

NATIONAL RESEARCH UNIVERSITY HIGHER SCHOOL OF
ECONOMICS

as a manuscript

Vasilyeva Ekaterina

**The role of face and facework in intercultural and intracultural business
communication**

PhD Dissertation Summary

for the purpose of obtaining academic degree

Doctor of Philosophy in Psychology

Academic supervisor:

Nadezhda Lebedeva

Prof., Doctor of Science

Moscow 2022

GENERAL DESCRIPTION OF THE DISSERTATION

The relevance of the research problem

In the context of globalization and unprecedented technological, social and scientific development, many countries continue the transition from an industrial to an information economy. In addition to professional knowledge, most specialists require an increasingly broad set of skills to meet the demands of technological advances and the globalization of the workforce (Hart Research Associates, 2016; Kirsch et al., 2007). In research literature and different professional overviews communication competence occupies a leading position (Rios, 2020). The development of communication competence becomes critical for achieving personal and organizational goals, including those related to the establishment, development and maintenance of interpersonal and intergroup relationships in different contexts (Light, 2007; Park, Lee, Lee, 2014). Effective communication contributes to both the completion professional tasks, and the trust development in the relationships, reducing uncertainty, increasing collective productivity, as well as the psychological well-being of employees (Light, 2007; Park, Lee, 2014).

The development of Russian business and the entry of large domestic companies into the international arena creates a demand for the study of business communication both in intracultural and intercultural contexts. Creating favorable conditions for business contacts and interpersonal interaction requires studying the predictors of the effective communication, as well as ways to reduce the conflict potential in both intra- and intercultural contexts. Thus, researchers in this area focus on the question: “what hinders and what contributes to successful business communication in a intracultural and intercultural context?”.

Effective business communication is usually viewed in terms of achieving the economic and relational goals of the interaction (Gelfand, 2006). Achieving relational goals, building business relationships based on trust, is closely related to the presentation and formation of a mutually accepted identity in the process of communication. At the interpersonal level, processes associated with identity negotiation are studied using the metaphor of «face». Identity-related needs are met

through the face concerns and facework (Cupach and Imahori, 2015; Ting-Toomey, 2015). It is important to note that, firstly, studies of face in Russian and foreign literature mostly remain within the framework of linguistics and cultural studies (Spencer-Oatey, 2007; Haugh, Bargiela-Chiappini, 2009). Secondly, socio-psychological studies of this phenomenon are mainly focused on cross-cultural differences in face concerns and facework behaviors. To date, there are practically no socio-psychological studies on the individual predictors of face concerns, as well as their relationship with the achievement of relational goals in business communication.

The study of face concerns and facework behavior, on the one hand, expands our understanding of the psychological mechanisms of interpersonal interaction, helps to identify factors that affect the business communication effectiveness. On the other hand, it provides new opportunities for creating new tools of communication competence development. In this study, we focus on identifying individual predictors of face concerns, as well as the influence of the context, and their relationship with facework and indicators of relational goals achievement in business communication.

The research problem lies in the need to obtain systematized psychological knowledge about the role of face concerns in business communication success.

The degree of scientific development of the problem

The study was based on Social identity theory (Tajfel, Turner, 1986), Identity management theory (Imahori, Cupach, 2005), and Face negotiation theory (Ting-Toomey, 2005).

According to Tajfel, social identity is that part of the individual self-concept, which arises from the awareness of one's membership in a social group (or groups) along with the value and emotional significance attached to this membership (Tajfel, Turner, 1986). On the one hand, the individual forms a fairly stable cognitive idea of himself, on the other hand, these ideas are built and constantly modified in the process of interpersonal interaction (Andreeva, 2012). In this regard, the authors of identity management theories introduce “relational identity” (Imahori, Cupach, 2005). In the process of communication, each of the participants demonstrates some idea of himself and ascribes a certain identity to his interlocutor (Collier, Thomas, 1988). Research

shows that identity shapes expectations and perceptions of social interaction and motivates communicative behavior (Hecht et al., 1993; Stets and Burke, 2000).

At the same time, representatives of different cultures have different ideas about the norms, rules and rituals, thus forming different expectations regarding the communicative behavior of their partner. An interaction situation in which these expectations are not met can be perceived as face threatening acts and require active identity management. In this sense, negotiation of mutually acceptable identities in interaction occurs through face concerns (Metts, 2003). In this paper, the term «face» is defined as a relational identity, jointly negotiated by the participants of communication.

According to S. Ting-Toomey's (Ting-Toomey, 2005) Face negotiation theory, in face threatening situation, the face of two interdependent participants is actively managed. Face concerns is the starting point for understanding face and facework since it determines an individual's interest and direction of the subsequent messages and can drive the affective, behavioral, and cognitive dimensions. Self-face is the concern for one's own image over any other image. Other-face is primary concern for another's image. Mutual-face is the simultaneous concern for parties' images and/or the "image" or responsibility to the relationship (Ting-Toomey, Kurogi, 1998). Previous studies have shown that self-face is associated with dominance, other-face is associated with avoidance and cooperation (Oetzel, Ting-Toomey, 2013). Y. Kim says that the desire of a communication participant to take care of their own face or the face of a partner is influenced by factors of different levels: cultural, individual and situational (Kim, 2005). However, at the moment there is a limited number of empirical studies demonstrating how cultural context and individual values influence face concerns, in particular in the process of business communication, as well as how the particular face concern is associated with the effectiveness of business interactions in terms of achieving relational goals.

The aim and objectives of the research:

The purpose of this study is to identify the role of face concerns and facework in achieving the relational goals of intercultural and intracultural business interaction, as well as to identify individual predictors of face concerns.

The objectives of this study include the following *theoretical, methodological, and empirical tasks*:

- To analyze the main theoretical approaches to the concept of «face», as well as the results of empirical studies on the predictors of face concerns, the relationship between face concerns and facework behavior in business communication.
- Prepare a reliable research tool for the study of face concerns, facework and indicators of relational goals achievement in business interaction.
- To analyze the data in order to identify individual predictors of face concerns (individual values).
- To identify similarities and differences in face concerns in intercultural and intracultural business interaction.
- To identify the relationship between face concerns, facework and indicators of relational goals achievement in business interaction in different contexts.
- To check the mediative role of face concerns in the relationship between individual values and facework behavior in intracultural and intercultural contexts of business communication.

Object of the research: business communication

Subject of the research: the role of face concerns and facework in intra- and intercultural communication.

Based on the context-oriented approach to the study of face concerns in business communication, developed by the author, the following hypotheses and research questions were proposed.

Hypotheses and research questions of the research:

Hypothesis 1: Individual values are associated with face concerns and facework.

Hypothesis 1a: Self-enhancement values are positively associated with self-face and dominating.

Hypothesis 1b: Openness to Change and Self-transcendence values are positively associated with mutual-face and cooperation.

Hypothesis 1c: Conservation values are positively associated with other-face and avoiding.

Hypothesis 2: Face concerns are associated with facework and indicators of relational goals achievement.

Hypothesis 2a: Mutual-face is positively associated with cooperation and communication satisfaction.

Hypothesis 2b: Other-face is positively associated with avoidance and willingness to communicate.

Hypothesis 2c: Self-face is positively associated with dominance and negatively with communication satisfaction.

For the qualitative stage of the study, a research question was formulated:

RQ1: What psychological difficulties do Russian managers experience in intercultural business interaction?

For quantitative research, the following research questions were formulated:

RQ2: Do face concerns differ in intra- and intercultural contexts of business communication?

RQ3: Do face concerns mediate the relationship between individual values and facework?

The theoretical and methodological base of the study was:

- Communication and intercultural competence (T. G. Stefanenko, A. P. Sadokhin, O. A. Leontovich, V. P. Zinchenko, D. Matsumoto, M. Barrett, J. Berry, B. Spitzberg, J. Chanon, etc.) ;

- Identity theories: Social Identity Theory by A. Tejfel and J. Turner, Identity Management Theory by T. Imahori and W. Cupach, Identity Negotiation Theory and Face Negotiation Theory by S. Ting-Toomey;

- Identity studies (J. Mead, C. Cooley, R. Fogelson, I. Hoffmann, S. Stryker, P. Burke, J. Stets, G. Simon, M. Hecht, M. J. Collier, J. Oetzel, S. Ting-Toomey, R. Jackson)

- Business negotiations theories and models (J. Rubin, M. Gelfand, D. Shapiro and others);

- The theory of individual values by Sh. Schwartz;

- Theoretical and empirical experience of Russian and foreign authors in the study of face (I. Hoffman, P. Brown, S. Levinson, K. Domenici, T. Holtgraves, R. Scollon, M. Cifiano, C. Ting-Toomey, J. Oetzel, S. Croucher, H. Spencer-Outey, T. Lim, J. Bowers, L. Mao, J. O'Driscoll, R. Arundale, R. Merkin, N. M. Lebedeva, E. P. Belinskaya, N V. Pisarenko, E. Yu. Kosheleva and others).

Methods of the research

To accomplish the tasks set, a combination of qualitative and quantitative methods of socio-psychological research was used (mixed methodology). The following methodological tools were used:

The semi-structured interview method was used to conduct a qualitative research and content analysis in the Atlas.ti data processing program.

Methods for quantitative measurement of the studied socio-psychological constructs:

1) Questionnaire for face concerns and facework (Ting-Toomey, Oetzel, 2001) translated and adapted by E. D. Vasilyeva.

2) An updated PVQ-R value questionnaire by Sh. Schwartz (Schwartz et al., 2012) for measuring individual values (the Russian version was developed and adapted by the Center for sociocultural research NRU HSE).

The methods, which were not originally presented in Russian, were translated, and adapted to the Russian sample. The adaptation procedure was carried out using forward and backward translation techniques by two independent translators and a cognitive interview using the “think-aloud” method (Willis, 2004).

Methods of statistical data processing: α -Cronbach's coefficient was used to test the reliability of the scales, Kolmogorov-Smirnov's test - to assess the nature of the distribution, Student's t-test - to compare means, confirmatory factor analysis - to determine whether the number of factors and the load of measured variables correspond to theoretical models, ANOVA - for intergroup comparison of means, invariance

analysis - to test the accuracy of methods in different cultural contexts using multigroup analysis, path analysis - to identify relationships between the variables under study. The statistical packages IBM SPSS 27.0, AMOS and statistical environment R were used as software.

The empirical base of the study.

The qualitative study involved 20 Russian employees of Russian companies that interact with Chinese partners. Semi-structured interviews were aimed at revealing the psychological difficulties of intercultural communication between Russians and Chinese.

The total sample of quantitative study included 363 respondents - Russian employees of international and domestic companies: 185 women and 178 men, age $M=33$, $SD=7.2$.

Based on this sample, two sub-samples were formed:

(1) managers who interact in an intracultural context - 137 respondents, 56 men and 81 women, age $M=33$, $SD=7.5$;

(2) managers who interact in an intercultural context - 226 respondents, 129 men and 97 women, age $M=33$, $SD=7.3$. All respondents had extensive experience of interaction with foreign colleagues and partners.

Respondents were attracted through their companies. In total, employees of 17 international and Russian companies took part in the study. The online questionnaire was posted on the 1ka.su platform, and no monetary reward was provided for filling out the questionnaire.

Scientific novelty

Theoretical: for the first time, a context-oriented approach to the study of face concerns in business interaction is formulated, the influence of cultural context on face concerns in business communication is shown.

Methodological: for the first time, cross-context comparison was applied to examine face concerns in intra- and intercultural communication. For the first time adapted to the Russian sample and introduced into scientific circulation the face concerns and facework questionnaire by S. Ting-Toomey and J. Oetzel (2001).

Empirical: for the first time, interrelations of individual values, face concerns and facework behavior were revealed. It was shown for the first time that face concerns are associated with the effectiveness of business communication. For the first time, the mediating role of face concerns in the relationship between individual values and facework behavior was shown.

The theoretical significance of the research is the expansion of the theoretical understanding of face concerns in business communication. A context-oriented approach to the study of face concerns was formulated and the model of the relationship between individual values, face concerns, facework and indicators of achieving relational goals in business communication was presented. Thus, the theoretical model of S. Ting-Toomey was expanded by including individual values as predictors of face concerns, as well as by analyzing their influence on achieving relational goals of business communication, which were first considered as an outcome in this model.

The practical implication lies in the possibility of using the results of the study: in the development of programs and recommendations related to negotiations in different business contexts; for the prevention of conflict situations in the field of negotiations and business communication; in conducting trainings and events aimed at developing intercultural communicative competence.

Basic ideas of the dissertation to be defended:

1. Face concerns are determined both by individual and contextual factors.
2. Individual values predict face concerns in business interaction.
3. Face concerns depend on the context of business communication: in intracultural context, self-face and mutual-face are more pronounced; in an intercultural context, mutual face is the most pronounced face concern.
4. Face concerns affect the business communication effectiveness. Mutual-face is positively associated with communication satisfaction in both contexts. Self-face is negatively associated with communication satisfaction in both contexts.
5. Relationship between face concerns and communication effectiveness varies in intra- and intercultural contexts of communication. In intracultural context mutual-face and other-face are positively associated with willingness to communicate.

6. Face concerns mediate the relationships between individual values and facework behavior in a different way in intracultural and intercultural contexts of business communication. In intracultural context, mutual-face strengthens the relationship between Openness to Change values and cooperation; mutual-face strengthens the relationship between Self-transcendence values and cooperation; other-face mediate the relationship between Self-transcendence values, Conservation values and avoidance. In intercultural context, mutual-face strengthens the relationship between Self-transcendence values and cooperation; other-face mediate the relationship between Self-transcendence values, Openness to Change values with avoidance and cooperation.

Approbation and introduction of the results

The content of the work was discussed at:

- research seminars of the Centre for sociocultural research NRU HSE “Culture Matters”,

- research seminar for PhD students at «The 11th IAIR Biennial Conference and the 15th CAFIC Annual Conference «Advancing Intercultural Research and Dialogue: Crossing Boundaries and Building Bridges» in Shanghai (2019),

- X and XI International summer schools «Design of Cross-Cultural Study» of the Centre for sociocultural research NRU HSE (2020, 2021).

The results of the study were presented at ten international and one All-Russia conferences:

- 27th International Conference of the International Association for Intercultural Communication Studies (IAICS) (Toledo, June 27, 2022). Report: «Does saving face help to achieve communication goals?» in English;

- 17th International Conference on Language and Social Psychology (ICLASP17) (Shanghai, June 25, 2022). Report: «Psychological difficulties of Russian-Chinese intercultural communication: qualitative study» in English;

- V All-Russia scientific and practical conference «Positive experience in the regulation of ethno-social and ethno-cultural processes in the regions of the Russian

Federation» (Kazan, April 28, 2022). Report: «Influence of individual values on face concerns in business communication», in Russian.

- XXIII Yasin International Academic Conference on Economic and Social Development (Moscow, April 8, 2022). Report: «Face concerns and business communication effectiveness in intra- and intercultural contexts», in Russian.

- VIII International Research Conference «Culture in Society, Between Groups and Across Generations» (Moscow, November 15, 2021). Report: «Individual values as predictors of face concerns in intra- and intercultural business communication», in Russian.

- International Research Conference «Acculturation and Intercultural Relations: Post-Soviet Experience» (Moscow, November 2, 2020). Report: «Facework Strategies of Russian Managers in Intra- and Intercultural Communication», in English.

- VII International Research Conference «Culture in Society, Between Groups and Across Generations» (Moscow, April 23, 2020). Report: «Psychological difficulties of Russian-Chinese intercultural communication: qualitative study of Russian business environment», in English.

- XXVII International Scientific Conference for Undergraduate and Graduate Students and Young Scientists «Lomonosov» (Moscow, April 13, 2020). Report: «Russian-Chinese intercultural communication: qualitative study of Russian business environment», in Russian.

- XXVI International Scientific Conference for Undergraduate and Graduate Students and Young Scientists «Lomonosov» (Moscow, April 8, 2019). Report: «Intercultural communication competence as a subject of cross-cultural research», in Russian.

- VI International Research Conference «Culture in society, between groups and across generations» (Moscow, April 6, 2019). Report: «Communication barriers perception in multicultural setting of Singapore», in English.

Dissertation structure

The thesis consists of two chapters, contains an introduction and conclusion, a list of references (305 sources, of which 43 are in Russian, 262 are in English) and 3

applications. The work includes 9 drawings and 10 tables. The total amount of the text of the thesis is 186 pages. Publications: The dissertation materials are presented in 4 publications. Of these, 3 publications in Russian in journals recommended by HSE, and 1 publication in English in journal recommended by HSE.

MAIN CONTENT OF THE DISSERTATION

The “**Introduction**” reflects the relevance of the research topic and the degree of its development in domestic and foreign psychological literature. The research problem, as well as the object and subject of the study are identified. Also, this part includes the aim of the study and theoretical, methodological and empirical tasks.

The aim of the study is to identify the role of face concerns in achieving the relational goals of intra- and intercultural business communication, as well as to identify individual predictors of face concerns.

In addition, research questions and hypotheses are put forward. The theoretical-methodological and empirical bases, research methodology are described. The characteristic of the scientific novelty of the dissertation is given, its theoretical and practical significance is formulated. The basic ideas of the dissertation to be defended are presented. Approbation and structure of the dissertation are described.

The first chapter “**Theoretical foundations of the face research**” is the theoretical foundation of the study and consists of 8 paragraphs.

The first paragraph “**Analysis of communication contexts research**” includes a description of the communication contexts studied in this paper. The section “**Business communication context**” discusses the features of business interaction. The most relevant in the context of studying face concerns is such a type of business communication as negotiations. Business negotiations are characterized by a high degree of formalization and require participants to perform certain professional roles. At the same time, the purpose of this communication can be both the realization of economic and relational goals, that is, the establishment of relationships between communication partners. We consider two negotiation models that take into account the relational aspect of negotiations - the integrative model of Relational Self Construal and negotiations (Gelfand et al., 2006) and the Relational identity model in negotiations (Shapiro, 2010). For the successful implementation of relational goals, participants are required to mutually manage their identity in communication. So we can use face concerns and facework in order to operationalize the identity management process and link it to relational goal achievement in business communication.

“Intra- and intercultural context of business negotiations” is devoted to comparing the intra- and intercultural contexts of business interaction in order to identify their features that can influence face concerns and facework. Based on the analysis of the literature, it is concluded that the process of intercultural communication is more stressful than intracultural, due to a greater degree of uncertainty, anxiety, possible negative attitudes, or lack of competence in working in a culturally diverse environment. In this regard, intercultural negotiations require participants to adapt to each other, to establish relationships to further achieve economic goals.

The second paragraph **“Approaches to studying identity in interaction”** discusses the main approaches to studying identity in interaction in foreign and domestic traditions. At the beginning of the paragraph, we consider the main theories of personal (E. Erickson) and social identity (A. Tajfel, J. Turner), which formed the prerequisites for the study of identity in the process of interpersonal interaction within the psychoanalytic and cognitivist approaches, respectively. Next, we consider identity theories formulated within the framework of symbolic interactionism, represented by the works of J. Mead, C. Cooley, R. Fogelson, I. Hoffmann, S. Stryker, P. Burke, J. Stets. These works reveal the importance of social environment in development of individuals’ self-concept. These works emphasize that identity is formed in the process of interaction and the assimilation of social roles. In the process of interpersonal interaction, personal and social identities are in a complex relationship. On the one hand, individual seeks to emphasize his uniqueness, and on the other hand, he retains the desire to be understood and accepted by the social environment. The development of these ideas takes place within the framework of G. Simon’s integrative approach. However, these theories do not address the issue of how relational identity is presented and formed in the process of interaction. This aspect was considered in the theories of Communication identity by M. Hecht, the Cultural contract theory by R. Jackson, Cultural identity theory by M. J. Collier, the Identity management theory by T. Imahori and W. Cupach, Identity negotiation theory S. Ting-Toomey. These theories shift the focus from the content of the identity to the process of interaction as such. They introduce the concept of relational identity, which is mutually negotiated by the

participants in the process of communication. This type of identity is conceptualized using the metaphor of "face".

“Theoretical approaches to the study of face and facework” discusses approaches to the study of "face" and facework behaviors. An analysis of the literature shows that along with the study of the "face" as a mutually negotiated relational identity, there are several differentiated approaches to the understanding and definition of this phenomenon. The indigenous approach considers "face" as a mechanism for regulating social behavior. In the framework of politeness research “face” is defined as a positive public image of a person. Accordingly, face concerns are aimed solely at maintaining one's own positive image and protecting one's reputation in the process of interaction.

Following the socio-psychological approach to face, we highlight the main characteristics of this phenomenon: (1) interactive nature, since the process of saving face implies an assessment of a person's behavior by another or a group; (2) face is mainly associated with positive attributes, as a person seeks to maintain a positive image of himself, the interlocutor, or their positive relationship; (3) face has cognitive and affective aspects - on the one hand, a person has ideas about himself and his interlocutor and forms expectations about the situation of communication, and on the other hand, he is emotionally sensitive to the interlocutor evaluations.

Active face management occurs in face threatening situations, when communicative behavior is perceived by interlocutors as inappropriate and/or contrary to expectations, norms and rules of interaction. There are three face concerns: (1) Self-face - is the concern for one's own image over any other image, the desire to emphasize one's independence and autonomy; (2) Other-face is primary concern for another's image, promotes attachment and adaptation to the interlocutor; (3) Mutual-face is the simultaneous concern for parties' images and/or the “image” or responsibility to the relationship.

The fourth paragraph, **“Face concerns and facework”** discusses the relationship between face concerns and facework behavior. Different approaches to the study of facework are considered. This work is based on the only classification of facework

behavior, which is associated with a socio-psychological approach to the study of the face concerns - dominance (protection and aggressive behavior), avoidance (avoidance, concession, seeking help from a third party and pretense) and cooperation (apology, compromise, private conversation, staying calm and talking about the problem) (Oetzel et al., 2008). Thus, the S. Ting-Toomey model used in this paper includes two main components: (1) face concerns – self-face, mutual-face, other-face; (2) facework - dominance, avoidance, and cooperation (Oetzel, 2001).

The fifth paragraph “**Predictors of face concerns**” includes an analysis of predictors, which are combined into three main groups: sociocultural (Ting-Toomey, 2005; Merkin, 2006), individual (Oetzel, Ting-Toomey, 2003; Spencer-Oatey, 2007) and situational (Han, 2016; Carson, Cupach, 2000). Basically, face concerns were studied in intracultural communication with cross-cultural analysis, therefore, the sociocultural predictors of face concerns are the most studied. However, individual values and the context of interaction (intra- and intercultural) are practically unexplored today.

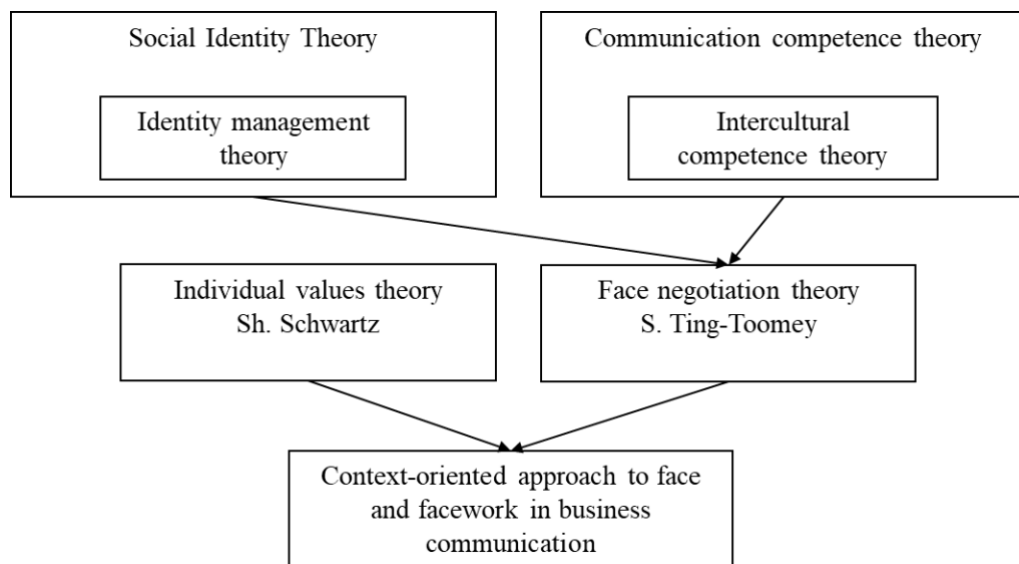
“**Face concerns, facework and communication effectiveness**” focuses on the relationship between face concerns, facework and effectiveness of business negotiations. The effectiveness of business negotiations is considered as the achievement of economic and relational goals of interaction. Face concerns are primarily associated with relational goals of communication. In this work, we use such measurable indicators of achieving relational goals as communication satisfaction and willingness to communicate.

In the seventh paragraph “**Conclusions to Chapter 1**” the main conclusions to the first chapter are formulated.

In the eighth paragraph “**Author's approach to study of face in business interaction**” a context-oriented approach to the study of face in business communication is presented. The author’s conceptual model describes the relationship between individual predictors, face concerns, facework and business communication effectiveness indicators.

A context-oriented approach to the study of face in business communication consists in an attempt to combine the main provisions of the Social identity theory by J. Tajfel, Identity management theory by T. Imahori and W. Cupach, the Integrative theory of communicative competence by B. Spitzberg, Face negotiation theory by S. Ting-Toomey and the theory of individual values by S. Schwartz (Picture 1).

Following B. Spitzberg, within the framework of this approach, we consider communicative competence as the degree of appropriateness and effectiveness of behavior in the perception of the interlocutor in particular context (Spitzberg, 2013). Such a definition (1) emphasizes the role of context, (2) allows us to focus on perception in the process of communication. Hence, it is not communicative behavior itself, but the extent to which this behavior is perceived and evaluated as such in a given context.



Picture 1 Theoretical background of the context-oriented approach to face and facework

According to the theories of identity in interaction, which develop the Social identity theory, communicative competence requires "the ability of a person to successfully negotiate the identities of the participants in the interaction, to form a mutually accepted identity in communication" (Cupach, Imahori, 1993, p. 118). The externalization of the identity negotiation in communication occurs through face concerns. Face concerns reflect the fulfillment of identity needs. Thus, identity need for independence or autonomy is expressed in different face concerns.

Individual values are considered as individual predictors of face concerns, since values depict motivational goals and determine individual's behavior at different levels, including in the process of communication (Batkina, Lebedeva, 2019).

Since face is a situationally determined phenomenon, it is inseparable from the context of communication. On the one hand, the process described above is influenced by the cultural context (Ting-Toomey, 2003), as cultural values shape communicative norms and influence participants' expectations of the interaction situation. On the other hand, cultural distance also may influence face concerns and facework. Thus, differences in face concerns and facework may be found within intra- and intercultural business communication. These contexts differ in terms of communication norms and the degree to which expectations are formed. Due to differences in culturally conditioned communication norms and cultural distance, communication with a representative of another culture may conflict with the expectations formed by previous experience.

In international business negotiations, employees face various challenges. The perception of the situation as a face threatening act depends on the expectations formed by generally accepted norms and social roles, that is, on the context of communication (Kim, Nam, 1998; Bousfield, 2018). People belonging to the same (or close) culture are more successful in understanding the intentions and behavior of their interlocutor, which contributes to successful communication. The intercultural context of communication, due to the difference in cultures, and as a result, the norms and rules of communicative behavior, makes the situation of communication more uncertain (Merkin, 2006).

Researchers distinguish several parameters of face threatening situations. Perception of such situations may be culturally determined (Imahori, Cupach, 2005; Ting-Toomey, 2015). Previous studies have shown differences in the perception of intra- and intercultural business communication (Collier, 1988; Elahee et al., 2002; Lee, 2005; Adair et al., 2009; Mayer et al., 2016). In addition to differences in the perception of the rules and norms of communicative behavior, it was also revealed that in the two contexts the perception of the nature of relationships, achievement of mutual

understanding and communication goals, as well as the evaluation of cultural identity by the interlocutor differ. Several business communication studies have shown that context also influences communication behavior patterns and the choice of negotiation strategies (Chen, 2002; Lee, 2005; Elahee, 2002).

The second chapter “**An empirical study of the role of face concerns and facework**” is devoted to empirical testing of hypotheses and consists of 3 paragraphs.

The first paragraph “**Study of the psychological difficulties of intercultural business communication**” is devoted to a qualitative study and the answer to the RQ1: “*What difficulties do Russian employees experience in intercultural business interaction?*”. This section presents the rationale for a qualitative study, examines the context of Russian-Chinese business communication. A description of the sample, the procedure for a semi-structured interview and the results of a study of the psychological barriers of intercultural business communication are also given. We grouped the identified psychological difficulties into three main categories - difficulties in building trusting relationships, difficulties caused by uncertainty, and emotional difficulties. In addition, at the last stage, the relationship of codes with the categories of “saving face” and “losing face” were analyzed using the Sankey diagram. Perceived “saving face” included such communication patterns as focusing on the result of business communication, compliance with agreements. The perceived “loss of face” includes the expressive manifestation of negative emotions, changes in agreements, direct communication, concessions. Two codes fell into both categories - persistently defending one's position in negotiations, as well as using an indirect communication style.

The second paragraph “**Study of the role of face concerns and facework in intra- and intercultural business communication**” presents the design and procedure of the study, describes the sample and research tools, as well as descriptive statistics of the questionnaire scales, methods of statistical processing and data analysis.

When answering the RQ2 “*Do face concerns differ in intra- and intercultural contexts of communication?*” results were obtained demonstrating that face concerns have different priorities in intra- and intercultural communication. In intracultural

communication, mutual-face and self-face are more pronounced, while in an intercultural context, mutual-face is the most preferable. Other-face is least expressed in intracultural business interaction. Based on the results obtained, we can say that the context influences face concerns in business communication. In the process of interaction with representatives of other cultures, Russians are more inclined to create and maintain mutual-face in the process of communication.

According to Hypothesis 1, the results of the study showed that individual values are predictors of face concerns and facework. Conservation values and Self-enhancement values are associated with self-face and dominating facework. Self-transcendence values are associated with mutual-face and cooperation. Openness to Change values and Self-transcendence values are positively related to other-face and avoidance, while Self-enhancement values are negatively associated other-face. In addition to universal relationships, differences were also found in the relationships of individual values, face concerns, facework in intra- and intercultural communication. According to the obtained results, Openness to Change values determine mutual-face only in intracultural communication. Self-transcendence values are directly related to cooperation only in intracultural communication. In intercultural communication, the relationship between Self-transcendence values and cooperation mediated by mutual-face and other-face.

The results of the study showed that face concerns predict facework behavior. Mutual-face is positively associated with cooperation, while other-face is positively associated with avoidance.

In accordance with Hypothesis 2, the results of the path analysis showed the relationship between face concerns, facework and communication effectiveness. Mutual-face is positively associated with communication satisfaction, self-face is negatively associated with communication satisfaction. In addition to universal relationships, differences were also found in the relationships between face concerns, facework and communication effectiveness in intra- and intercultural contexts. In intracultural communication mutual-face and other-face are positively associated with

willingness to communicate. In an intercultural context, cooperation mediates this relationship.

Thus, the obtained results answer the research questions and confirm the hypotheses. We were able to identify both universal and specific for intercultural and monocultural contexts of interaction of the relationship between face concerns, facework and business communication effectiveness.

“General discussion of research findings on the role of face concerns and facework in intra- and intercultural business communication” provides a discussion of the findings. The definition of the “face” as a mutually negotiated relational identity allows us to study the process of identity negotiation in communication more comprehensively, as well as to identify the factors that determine face concerns, and to understand how different face concerns affect the achievement of relational goals in business communication. The context-oriented approach, proposed by the author, made it possible to identify both universal and context-specific relationships between individual values, face concerns, facework and business communication effectiveness. We can say that there are universal relationships across both intra- and intercultural communication. At the same time the features of the intercultural communication demonstrate the studied variables unique interrelationships.

The first research question of this dissertation concerned the psychological difficulties experienced by Russian managers in intercultural business communication with the Chinese. The results of the study made it possible to highlight the peculiarities of Russians' perception of the process of intercultural business interaction, the perception of face threatening situations, as well as understanding the process of saving and losing face in intercultural business communication. Results show that face threatening situation featured in this study partially coincide with those that were identified by S. Ting-Toomey and T. Imahori and W. Cupach. For example, perceived cultural differences in communication styles. In addition, specific for business communication features of face threatening situation included: threat to the fulfillment of business obligations and professional roles. So, for example, the ability to stand

one's ground, to focus on solving difficult situations in negotiations, in contrast to the strategy of avoidance or withdrawal, is perceived as a communicative behavior that inspires confidence among Chinese partners and contributes to the effectiveness of business negotiations. In addition, persistence, and orientation towards the development of trusting business relationships in the view of Russians is associated with the face saving. In contrast, the display of emotions, concessions, direct criticism - these communication patterns are associated with the possible face loss in business negotiations with the Chinese.

The second research question concerned the influence of the communication context on face concerns. Previous studies have mainly emphasized the cross-cultural variability of face concerns, as well as the influence of situational factors (status, gender, age of partners). The results of this work showed that these situational factors were insignificant communication. It turned out that it is the context of interaction, communication with a representative of one's own or another culture, that influences face concerns. It is important to highlight that the cultural affiliation of the partner in intercultural interaction did not play a significant role in face concerns.

In intracultural communication Russian managers tend to put forward mainly self-face and mutual-face. In intercultural communication mutual-face is more pronounced. The need for mutual adaptation in the business context, which is expressed through mutual-face, is universal for two contexts. However, it manifests itself to a greater extent in intercultural communication, where the need for mutual adaptation, the search for commonality, and the coordination of mutually acceptable communication norms is higher (Chen, 2002). Interestingly, other-face turned out to be undesirable for both contexts. In business communication, focusing on maintaining the others identity needs can be perceived as an unproductive strategy in terms of achieving both relational and economic goals (Gao, Liu, Qian, 2016).

The first hypothesis of this study concerned the relationship of individual values, face concerns and facework. The results of the analysis showed both universal and context-determined relationships of the studied variables. Hypothesis 1a was fully confirmed in the intercultural and partially confirmed in the intracultural context,

hypothesis 1b was fully confirmed in the intracultural and partially confirmed in the intercultural context, hypothesis 1c was fully confirmed in the intracultural and was not confirmed for the intercultural communication.

The underlying motives of Conservation values and Self-enhancement values predict self-face in both contexts. Thus, self-face is determined by the motives of avoiding anxiety, creating a more predictable and safe communication environment, as well as the need to protect one's identity. At the same time, only in the context of communication between Russians and Russians, Self-enhancement values are positively associated with dominance. That is, the values of power and achievement lead to dominant, more aggressive behavior when Russians communicate with their compatriots in business communication.

Mutual-face is driven by Self-transcendence values. The combination of motives underlying these values determines mutual-face, because, on the one hand, individual retains his independence, but at the same time, he is ready for a new, open dialogue, is able to hear and take into account the other side. This allows one to shift the focus from protecting or saving face of one of the parties to the nature of the relationship. Also, the results showed that the desire to create a shared identity contributes to cooperative behavior.

Other-face is a polymotivated construct. The choice of this strategy is context-determined. When communicating with a representative of one's own culture, the motives of security, preservation of harmony and a sense of solidarity determine other-face. In intercultural communication, the choice of this face concern occurs due to the motives underlying Self-transcendence values - maintaining well-being, the need to join and maintain positive interaction. It is important to note that in intercultural communication this face concern is associated with both avoidance and cooperation. The analysis of mediation effects showed that other-face strengthens the relationship between Self-transcendence values and avoidance.

The second hypothesis of this study concerned the relationship between face concerns and facework and business communication efficiency. Consistent with the results of previous studies, mutual-face is positively associated with cooperation, and

other-face is positively associated with avoidance (Oetzel, 2001, 2012). However, the results showed that the relationships between face concerns, facework and business communication efficiency are context-driven. On the one hand, in both contexts, mutual-face is positively, and self-face is negatively related to communication satisfaction. We observe an interesting effect - mutual adaptation and the formation of mutually accepted relational identity contribute to the achievement of relational goals in business communication. Protection of one's identity, the desire for autonomy cause dissatisfaction with the communication. On the other hand, only in the situation of communication between Russians and Russians mutual-face and other-face cause willingness to communicate.

The results of this study showed that face concerns that take into account the interlocutor contribute to the implementation of relational goals - the establishment and development of business relationships.

The main value of the study is to create a comprehensive picture that demonstrates the role of face concerns and facework in business communication. Going beyond just the cultural conditioning of face concerns, we demonstrate how the context of communication affects the perception of face threatening situations and facework. The mechanism of identity negotiation varies in intra- and intercultural communication. The motives for face concerns, their connection with facework and communication effectiveness differs when communicating with representatives of one's own or another culture. We were able to identify both contextual and universal patterns of these relationships.

To achieve the relational goals of intercultural business communication, mutual adaptation and coordination of mutually acceptable identities are required to a greater extent, while focusing only on oneself or one's partner, avoidance negatively affects business relationships.

Communication with a representative of one's culture suggests a wider range of possible motives and ways to achieve relational goals. Other-face appeared to be the least favorable face concern in intracultural communication since it does not contribute to the development of business relationships.

It has been shown that there are universal motives for face concerns. For example, the need for predictability, security and autonomy, the protection of one's own identity stimulates self-face concern in business communication. Just as there is a strategy that is universal and most preferable in terms of achieving the relational goals of business communication – mutual-face concern.

Thus, this study highlights the importance of context when studying face issues in business communication, which can determine not only the motives, but also the productivity of these strategies. The context-oriented approach opens up new opportunities for a deeper and more comprehensive study of interpersonal business communication in general.

The “**Conclusion**” sums up, formulates the main conclusions of the study, describes the limitations and prospects for further development of this topic.

MAIN CONCLUSIONS ON THE RESULTS OF THE STUDY

The purpose of this study was to identify the role of face concerns and facework in achieving the relational goals of intercultural and intracultural business interaction, as well as to identify individual predictors of face concerns. This is one of the first scientific works in Russia aimed at a systematic study of individual predictors and the role of face concerns and facework in business communication. Based on the results obtained, the following conclusions can be drawn:

“Face” is a complex phenomenon that helps to analyze the process of identity negotiation in business communication. Context of communication plays a great role in face concerns. In intercultural communication, the need for mutual adaptation is expressed in mutual-face concern. In intracultural communication, this need is expressed to a lesser extent. The desire to implement both relational and economic goals of business communication stimulate both self-face and mutual-face. The least desirable in both contexts is other-face concerns.

Individual values are the individual predictors of face concerns and facework. The motivational goals underlying the Conservation and Self-enhancement values determine self-face in both contexts. The relationship of individual values with mutual-face and other-face is context-determined.

Face concerns navigate the choice of facework behavior in face threatening situations. Mutual-face promotes cooperation, while other-face promotes avoidance.

Face concerns can be seen as a factor that determines the achievement of relational goals in business communication. Thus, the most productive face concern from this point of view is mutual-face. It is positively related to communication satisfaction in both contexts, and in intracultural communication it is positively related to willingness to communicate. Self-face plays a negative role in business relationships, it is negatively associated with communication satisfaction. Other-face in a intracultural context causes willingness to communicate.

Based on the foregoing, it can be concluded that face concerns play an important role in establishing and developing business relationships. The variability of face concerns is due to both individual factors and the characteristics of intra- and intercultural communication contexts.

Dissertation thesis was carried out at the Center of Sociocultural research of the National Research University Higher School of Economics.

The main provisions of the study are reflected in the publications of the author:

1. Vasilyeva E.D. Face-concerns, facework and business communication efficacy. *Psikhologicheskie Issledovaniya*, 2022, Vol. 15, No. 83, p. 3. <https://psystudy.ru>
2. Vasilyeva E. “Saving face” — means or goal of communication? Socio-psychological characteristics of face concept. *National Psychological Journal*, [Natsional’nyy psikhologicheskiy zhurnal], 2020. Vol. 2 No. 42. P. 26–35. doi: 10.11621/npj.2021.0203
3. Vasilyeva E., Lebedeva N. Sino-Russian Intercultural Communication Research: Literature Review // *RUDN Journal of Psychology and Pedagogics*. 2020. Vol. 17. No. 1. P. 51-63.
4. Vasilyeva E. Psychological difficulties of Russian-Chinese intercultural communication: qualitative study of Russian entrepreneurs and employees // *Organizational Psychology*. 2020. Vol. 10. No 3. P. 124-139.

REFERENCES

1. Adair W.L., Taylor M.S., Tinsley C.H. Starting out on the right foot: Negotiation schemas when cultures collide // *Negotiation and Conflict Management Research*. - 2009. - Vol. 2, No. 2. P. 138-163
2. Bousfield D. Face(t)s of self and identity in interaction // *Journal of Politeness Research*. - 2018. -Vol. 14, No. 2. P. 225-243.
3. Carson C.L., Cupach W.R. Facing corrections in the workplace: The influence of perceived face threat on the consequences of managerial reproaches // *Journal of Applied Communication Research*. - 2000. - Vol. 28. P. 215-234.
4. Chen L. Perceptions of intercultural interaction and communication satisfaction: A study on initial encounters // *Communication reports*. - 2002. -Vol. 15, No. 2. P. 133-147.
5. Collier V. P., Thomas W. P. Acquisition of cognitive-academic second language proficiency: A six-year study // *Annual meeting of the American Educational Research Association, New Orleans*. – 1988.
6. Cupach W. R., Imahori T. T. Managing social predicaments created by others: A comparison of Japanese and American facework // *Western Journal of Communication (includes Communication Reports)*. - 1993. - Vol. 57, No. 4. P. 431-444.
7. Elahee M. N., Kirby S. L., Nasif E. National culture, trust, and perceptions about ethical behavior in intra-and cross-cultural negotiations: An analysis of NAFTA countries // *Thunderbird International Business Review*. – 2002. – Vol. 44, No. 6. P. 799-818.
8. Gao W., Liu Y., Qian L. The personal touch of business relationship: A study of the determinants and impact of business friendship // *Asia Pacific Journal of Management*. – 2016. – Vol. 33, No. 2. P. 469-498.
9. Gelfand M. J., Major V. S., Raver J. L., Nishii L. H., O'Brien K. Negotiating relationally: The dynamics of the relational self in negotiations // *Academy of Management Review*. – 2006. – Vol. 31, No. 2. P. 427-451.

10. Han K. H. The feeling of “face” in Confucian society: From a perspective of psychosocial equilibrium //Frontiers in psychology. – 2016. – Vol. 7. P. 1055.
11. Hart Research Associates. Recent trends in general education design, learning outcomes, and teaching approaches: Key findings from a survey among administrators at AAC&U member institutions. – 2016.
12. Hecht M. L., Collier M. J., Ribeau S. A. African American communication: Ethnic identity and cultural interpretation. – Sage Publications, Inc, 1993.
13. Imahori T. T., Cupach W. R. Identity management theory // In W.B. Gudykunst (ed.) Theorizing about intercultural communication. - Sage Publishing, 2005. P. 195-210.
14. Kim J. Y., Nam S. H. The concept and dynamics of face: Implications for organizational behavior in Asia // Organization Science. - 1998. -Vol. 9, No. 4. P. 522-534.
15. Kim Y. Y. Association and dissociation: A contextual theory of interethnic communication // In W.B. Gudykunst (ed.) Theorizing about intercultural communication. – Sage Publishing, 2005. P. 323-349.
16. Kirsch I. et al. America's perfect storm: Three forces changing our nation's future //Educational Testing Service. – 2007.
17. Lee S. Judgment of ingroups and outgroups in intra-and intercultural negotiation: The role of interdependent self-construal in judgment timing //Group Decision and Negotiation. - 2005. -Vol. 14, No. 1. P. 43-62.
18. Light J., Drager K. AAC technologies for young children with complex communication needs: State of the science and future research directions //Augmentative and alternative communication. - 2007. -Vol. 23, No. 3. P. 204-216.
19. Matveev A. V., Milter R. G. The value of intercultural competence for performance of multicultural teams // Team Performance Management: An International Journal. - 2004. - Vol. 10, No. 5-6. P. 104-111.
20. Mayer C. H., Boness C.M., Louw L., Louw M.J. Intra- and inter-group perceptions of Chinese and Tanzanian employees in intercultural cooperation //

Proceedings of the 28th Annual Conference of the Southern African Institute of Management Scientists. Retrieved August. - 2016. -Vol. 24. P. 119-138.

21. Merkin R. S. Uncertainty avoidance and facework: A test of the Hofstede model // International Journal of intercultural relations. - 2006. -Vol. 30, No. 2. P. 213-228.

22. Metts S. Face and facework: Implications for the study of personal relationships //In S. Duck (ed.) Handbook of personal relationships. John Wiley & Sons Chichester - 2003. P. 77-93.

23. Oetzel J. G., Ting-Toomey S. Face concerns in interpersonal conflict: A cross-cultural empirical test of the face negotiation theory //Communication research. – 2003. – T. 30. – №. 6. – C. 599-624.

24. Oetzel J., Garcia A. J., Ting-Toomey S. An analysis of the relationships among face concerns and facework behaviors in perceived conflict situations: A four-culture investigation //International Journal of Conflict Management. – 2008.

25. Oetzel J., Ting-Toomey, S., Masumoto, T., Yokochi, Y., Pan, X., Takai, J., Wilcox, R. Face and facework in conflict: A cross-cultural comparison of China, Germany, Japan, and the United States //Communication Monographs. - 2001. -Vol. 68, No. 3. P. 235-258.

26. Park J., Lee, J., Lee, H., Truex, D. Exploring the impact of communication effectiveness on service quality, trust and relationship commitment in IT services // International Journal of Information Management. - 2012. -Vol. 32, No. 5. P. 459-468.

27. Rios J. A. et al. Identifying critical 21st-century skills for workplace success: A content analysis of job advertisements // Educational Researcher. - 2020. -Vol. 49, No. 2. P. 80-89.

28. Rubin J. Z., Pruitt D. G., Kim S. H. Social conflict: Escalation, stalemate, and settlement. – McGraw-Hill Book Company, 1994.

29. Shapiro D. L. Relational identity theory: a systematic approach for transforming the emotional dimension of conflict // American Psychologist. - 2010. -Vol. 65, No. 7. P. 634.

30. Spencer-Oatey H. Theories of identity and the analysis of face // Journal of pragmatics. - 2007. -Vol. 39, No. 4. P. 639-656.

31. Spitzberg B. H. (Re) Introducing communication competence to the health professions // *Journal of Public Health Research*. - 2013. -Vol. 2, No. 23. P. 126-136.
32. Spitzberg B. H. Issues in the development of a theory of interpersonal competence in the intercultural context // *International journal of intercultural relations*. - 1989. -Vol. 13, No. 3. P. 241-268.
33. Stets J. E., Burke P. J. Identity theory and social identity theory // *Social psychology quarterly*. - 2000. - Vol. 63, No. 3. P. 224-237.
34. Stryker S. *Symbolic interactionism: A social structural version*. – Benjamin-Cummings Publishing Company, 1980.
35. Tajfel H., Turner J. C. *The Social Identity Theory of Inter-group Behavior*, in S. Worchel and LW Austin (eds) *Psychology of Intergroup Relations*. Chicago: Nelson-Hall. – 1986.
36. Ting-Toomey S. The matrix of face: An updated face-negotiation theory // In W.B. Gudykunst (ed.) *Theorizing about intercultural communication*. – Sage Publishing, 2005. P. 71-92.
37. Ting-Toomey S., Oetzel J.G. *Managing Intercultural Conflict Effectively*. Thousand Oaks, CA: SAGE Publication. 2001. 234 p.
38. Willis G. B. *Cognitive interviewing: A tool for improving questionnaire design*. – Sage publications, 2004.
39. Andreeva G.M. Identity presentation in interaction context // *Psychological studies*. – 2012. – Vol. 5, No. 26. P. 1-1. (In Russ.)
40. Andreeva G.M. Social psychology and social change // *Psychology journal*. – 2005. – Vol. 26, No. 5. P. 5-15. (In Russ.)
41. Batkhina, A. A., Lebedeva, N. M. Predictors of behavioral strategy choice among Russians in intercultural conflict // *Social psychology and society*, 2019. – Vol. 10, No. 1. P. 70-91. (In Russ.)
42. Zolotareva A. A. Validity and Reliability of the Russian Version of the Rosenberg Self-Esteem Scale. *Herald of Omsk University. Series “Psychology”*, 2020, no. 2, pp. 52-57. DOI: 10.24147 /2410-6364.2020.2.52-57. (In Russ.)

43. Schwartz Sh., Butenko T.P., Sedova D.S., Lipatova A.S. A Refined Theory of Basic Personal Values: Validation in Russia // Psychology. Journal of the Higher School of Economics. - 2012. – Vol. 9, No. 2. P. 43-70. (In Russ.)
44. Stroh V.A., Balakshin M.E. Role of Credence in Developing Productive Business Partnership Relations // The Bulletin of Irkutsk State University. Series «Psychology». – 2015. – Vol. 12. P. 70-93. (In Russ.)