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Assessing the impact of ethnicity on business succession planning:

A study on small and medium scale migrant family-owned

convenience stores and restaurants in Christchurch, New Zealand

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Hasni Pamaya Atapattu

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Business succession planning (BSP) is a process through which organisations plan for the handing over of either the ownership and/or top management in the future (Ip and Jacobs 2006), therefore BSP is a main concern in family-owned businesses (FOBs). Succession in FOBs is nowadays one of the issues drawing great worldwide attention within the study of success and failure factors in FOBs (International Council for Small Business, 2010). The overall focus of this study looks at how ethnicity affects BSP in FOBs; particularly in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch.

Researchers have long stressed the importance of business succession planning (BSP) in the sustainability of family-owned businesses (FOB) (Boyd et al., 2015; Mokhber et al., 2017); it is the key to the success of the FOB (Ghee et al., 2015). BSP in FOBs is part of a larger succession process and is defined as the 'deliberate and formal process that facilitates the transfer of management control from one family member to another' (Lybaert and Steijvers, 2015). Mandl (2008) reports that the success of a FOB is based on several integrated factors; the founder's business management skills, including the formation of a solid foundation for successors, to the successor transition process. Mandl and Mokhber et al. (2017) in their study on BSP in FOBs report that many FOBs failed to appreciate BSP in their business resulting in only one third of the FOBs surviving into the second generation, and only 10%-15% making it into the third generation.

This research focuses on BSP in ethnic migrant FOBs; a popular concept in the modern multi-cultural society; where skills and aspirations to be entrepreneurial across borders have become more evident among many ethnic migrants across the world (Nnabue 2016; Mokhber et al., 2017). In doing so, McDougall and Oviatt's (2000) findings is deemed as important where it identify a migrant business as 'a combination of innovative, proactive and risk-seeking behaviour that crosses national borders and is intended to create value in

organisations'. de Vries and Dana (2009) report that aspects such as moving across countries, settlement, culture and tradition and business emerged in a variety of forms based on an intricate and vigorous combination of the migrant entrepreneur's background along with the receiving country's socio-economic setup.

Studies by Ram et al. (2001), de Vries (2010) and de Vries and Kantor (2013) report that migrants face many impediments in the migrant country's labour market such as racial discrimination, lack of necessary language skills (for example the ability to speak English in an English-speaking country), and limited employment opportunities, which has forced them into initiating entrepreneurial ventures to escape unemployment. In this process where migrants engage in entrepreneurial ventures, de Vries (2010), Ram et al. (2012) and Mokhber et al. (2017) state that, in most cases, these migrant businesses were regarded as FOBs and were often categorised as small and medium scale enterprises (SMEs).

With migrant businesses being mostly FOBs, Tatoglu et al. (2008), Kaunda and Nkhoma (2013), Vassiliadis and Vassiliadis (2014) and Mokhber et al. (2017) in their studies report that BSP is the key to the success and continuation of these migrant FOBs. Migrant FOBs have at their base a variety of nationalities and ethnic backgrounds (Sonfield 2014), and in spite of the different ethnic backgrounds of these migrants, it is important that these migrant FOBs plan for business succession the same as any other FOB (Nel and Abdullah 2014; Sonfield 2014; Gongález and Campbell 2018).

The literature on BSP in FOBs by Alcorn (1982), Bachkaniwala et al. (2001), Bagwell (2008); Whatley (2011), Saxena (2013), and Collins and Fakoussa (2015) reports on family business succession in terms of the different levels of business succession, the family characteristics in succession planning, transgenerational business succession, models for family business succession, and stages of family business succession. However, there is a notable absence of research on how ethnicity impacts the decision for business succession in migrant FOBs.

As mentioned before, this study investigates the impact of ethnicity on BSP in small and medium scale migrant family-owned convenience stores and restaurants and is unique because it is the first of its type in New Zealand. Literature reported by the Ministry of Business, Innovation and Employment (2011) and the Inland Revenue Department (2014) suggest that the retail trade and the food services sector was considered as industries with low-barrier-to-entry as these industries did not require extensive skills and/or knowledge

and these were two industries which most migrants engaged in as a method of entering the New Zealand workforce.

The research sample comprised fifty-one research participants from twenty ethnic family-owned convenience stores and thirty-one ethnic family-owned restaurants operating within a five kilometre radius of Christchurch city centre, New Zealand. The sample was a combination of twenty-four Chinese, ten Indian, seven Thai, five Korean, three Vietnamese and two Japanese businesses. A mixed qualitative methodological approach including elements of grounded theory and case study methods was used, data were gathered via semi-structured interviews and analysed using NVivo.

A large proportion (49%) of the sample were middle aged (ages 35-44), tertiary qualified, second generation owners who are mostly male, who mostly believe that their ethnic background including culture, traditions, beliefs, religion, rituals, impacts on their business practices including their decision to plan for business succession. Interestingly, thirty-nine respondents (76%) had planned for business succession and twelve respondents (24%) had not. Given the high ethnic enforcements and the ethnic intensity, of those who had a BSP, thirty-eight (98%) held their plan in informal methods including at the back of their minds, merely as a thought and/or as a family matter discussed among family members. However, irrespective of such ethnic enforcements and family ethnic thinking of the participants, they were also eager to provide their children (heirs) with a good education that may result in the heirs wanting to choose a different career option over choosing to continue with the FOB. This resulted in creating a conflict of interest between two opinions which required further consideration by those who had a BSP; first, the business founders of the participants wanted their children to be well educated, which would enable them to become professionals and, secondly, because of ethnicity aspects such as *"persevering family pride"*, *"continuing with the family reputation"*, *"fulfilling family responsibilities"*, they also wanted them to take over the family business.

Irrespective of the incumbents having planned for business succession, in most cases a common feature in the respective ethnicities, having been brought-up and nurtured in the New Zealand cultural background and acclimatised to New Zealand surroundings, the heirs to FOBs were open to policy, societal, and environmental changes that may reduce and/or eliminate their interest in taking over the FOB in the future.

The study participants were, in some, cases oblivious to certain transformations in their behaviour and business practices that included their decision to plan for business succession. For example, some participants from the convenience store sector preferred to do their grocery shopping at supermarkets over convenience stores; the sustainability of convenience stores could be at a risk in the future.

Furthermore, the findings of this research highlights on potential changes in elements including policy changes and societal changes which could lead to a possibility in migrant family-owned convenience stores and restaurants coming to an end in New Zealand in future. It also emphasizes on a possibility of the 'ethnicity' factor becoming less intense in future due to such policy changes and societal changes.

The findings of this research add to present FOB BSP models and the literature.

Key words: Business Succession Planning (BSP), Family-Owned Business (FOB), Ethnicity, Migrants, Migrant Family-Owned Business.

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CHAPTER 1

INTRODUCTION

1.1 An Insight to the Research

Researchers have long stressed the importance of business succession planning (BSP) in the sustainability of family-owned businesses (FOB) (Boyd et al., 2015; Mokhber et al., 2017); it is the key to the success of the FOB (Ghee et al., 2015). Succession planning is part of a larger succession process and is identified as a process that is thoughtful and formal that enables the handing-over of management control from one family member to another (Lybaert and Steijvers, 2015) while Mandl (2008) reported that the success of a FOB is based on several integrated factors such as the founder's business management skills, the formation of a solid foundation for successors, and the successor transition process. Mandl et al., and Mokhber et al., notes that many FOB owners have failed to appreciate BSP in their business.

FOB's among migrant business is a popular concept in the modern multi-cultural society; the skills and aspirations to be entrepreneurial across borders has become more evident among many ethnic migrant backgrounds across the world (Nnabue, 2016; Mokhber et al., 2017). McDougall and Oviatt (2000) recognised migrant business as a blend of innovative, proactive and risk-seeking behavior that crosses national borders and is intended to create value in organisations. De Vries and Dana (2009) reported that aspects such as moving across countries, settlement, cultural and traditional and business emerged in a variety of forms based on an intricate, vigorous combination of the migrant entrepreneur's background with the receiving country's socio-economic setup. This research considers migrant FOBs and how ethnicity impacts BSP.

Studies by Ram et al. (2001), de Vries (2010) and de Vries and Kantor (2013) further noted migrants face many impediments in the migrant country's labour markets such as racial discrimination, lack of necessary language skills (for example, inability to speak English in a English speaking country), and limited employment opportunities, that forced them into initiating entrepreneurial ventures to escape unemployment. In this process, where migrants engage in entrepreneurial ventures, de Vries (2010), Ram et al. (2012) and Mokhber et al. (2017) stated that, in most cases, these migrant businesses were FOBs and were often categorised as Small and Medium Scale Enterprises (SMEs). Arguably, with migrant businesses being mostly FOBs, Kaunda and Nkhoma (2013), Tatoglu et al (2008),

Vassiliadis and Vassiliadis (2014) and Mokhber et al. (2017) in their studies reported that BSP is the key to their sustainability and success.

Migrant FOBs are a variety of nationalities and ethnic backgrounds (Sonfield, 2014) yet, it is important that migrant FOBs plan for business succession just as any other FOB does (Sonfield, 2014; Nel and Abdullah, 2014; Gongález and Campbell, 2018). Further, an ineffective succession process is deemed to have serious implications, not only for family members and business partners, but also on the economic development of the country.

This study considers migrant family businesses and how ethnicity impacts BSP in migrant FOBs, with Chapter 2 (Literature Review) illustrating and explaining various models of effective family business succession developed by Le Breton-Miller et al. (2004), Chirico and Salvato (2008), Whatley (2011) and Saxena (2013). It is these models that have formed the theoretical base of tis research. However, these models do not accommodate and/or discuss the impact of ethnicity on BSP in migrant FOBs, rather they examine variables leading to effective FOB succession discussed in the literature. These variables include common areas such as predecessor-related, successor-related; family-specific, business-specific, and succession process-related (Lussier and Sonfield, 2012). The findings of this research introduces the 'Ethnified Model of Family Business Succession' (Figure 5.1) that examines the impact of ethnicity on BSP in migrant FOBs that can be added to existing models, thus advancing the theory in the area.

In clarifying the research themes the chapter continues with a comprehensive understanding on BSP in small and medium scale migrant FOBs in New Zealand, a detailed understanding of the problem statement including the research questions of the study, the objectives of the study, and the findings of the study.

1.2 Business Succession Planning in Small and Medium Ethnic FOBs in New Zealand

SMEs play a major role in the New Zealand economy accounting for approximately 97% of all businesses, 29% of all employees, and 28% of New Zealand's GDP (Ministry of Business Innovation and Employment, 2011). New Zealand heavily depends on its SME sector for jobs compared with UK, US and Australia (Spoonley, 2017).

Around the globe, migrant business is considered an economic growth accelerator (Assudani, 2009) and migrants are most likely to become entrepreneurs in their own business when compared with non-migrants (Neupert and Baughn 2013). De Vries and

Kantor (2013) identified New Zealand as an migrant nation on the Pacific Rim that practised a migrant-receiving tradition that significantly benefited the country's economic development. Outside New Zealand, increased participation by ethnic minorities in business is noticeable in the SME sector in many European countries (Phizacklea and Ram, 1995). In the New Zealand context, Goodchild et al. (2003), de Vries (2010) and Spoonley (2012) reported that temporary and permanent migrants were beneficial to New Zealand in many ways since they brought universal talent that help address various skill shortages, knowledge, expertise, and capital. They also brought highly significant international connections that help build the existing workforce in New Zealand.

The New Zealand 2013 census reported that the Chinese and Indian communities in New Zealand were the largest migrant groups in New Zealand; where the Chinese population was approximately 147,570 and the Indian population was approximately 103,059 (de Vries and Kantor, 2013). However, Spoonley (2017) added that the higher birth rates and migration are likely to lead to higher rates of population increase for Maori, Asian and Pacific populations resulting in New Zealand becoming an Asia-Pacific nation.

Given the context of this study, Spoonley's (2012) report that most migrants arriving in New Zealand found it very difficult to enter the existing labour market because of a lack skills/qualifications and/or language skills (English proficiency). This resulted in an upsurge of SMEs, often serving the needs of migrant communities, such businesses being in the retail trade and food services; businesses that have a 'low barrier to entry'. Such businesses are the focus of this study.

Sawers and Whiting (2009) and Woodfield et al. (2017) report that the increase in family-owned SME owners reaching the retirement age and leaving the economy within the next 10 years will have a significant impact on the New Zealand economy in terms of firm valuation, survivability, retirement and employment. Therefore, planning for business succession is important.

1.3 Problem Statement

In-spite of the literature on business succession (Barnes and Hershon, 1976; Beckhard and Dyer, 1983; Bachkaniwala et al. 2001; Perricone et al. 2001; Bjuggern and Sund, 2005; van der Merwe et al. 2009 and Bissonnette, 2013), there is a notable gap in the literature on how ethnicity impacts on BSP in migrant FOBs, and in the New Zealand less than half the FOB owners were not engaged in BSP (Sawers and Whiting, 2009).

FOBs are significant contributors to the development of any country irrespective of being a developed or developing economy. FOBs play an important role both socially and economically and BSP concerning FOBs is a process that requires the attention of owners and managers to plan the business's future (van der Merwe et al., 2009). Chin-Jung et al. (2018) stated that only about 30% of FOBs survive to the second generation and merely 12% survive after the company's transition to the third generation. Most FOBs are looking at only a 3% survival rate to the fourth generation and beyond. Mokhber et al. (2017) report that approximately 70% of FOBs in SMEs collapse because of the lack of succession planning, therefore, effective succession is important to ensure the sustainability of the FOB (Carlock and Ward, 2005; Buang et al., 2013) and succession issues are key factors that always challenge and continue to threaten the success of FOBs in SMEs (Mokhber et al.).

Assudani (2009) advised that when considering BSP in FOBs, migrant businesses were acknowledged accelerators of economic growth. Neupert and Baughn (2013) noted that migrants were more likely to become entrepreneurs than non-migrants. Irrespective of the enormous contribution made by migrant FOBs to the growth of developed and developing economies around the world, Assudani made the point that ethnicity influences such as religion, beliefs, culture, and traditions generated various challenges in establishing and sustaining such entrepreneurial initiatives.

As cited by Largent (2012) and Nestle (2011), migrants were most likely to initiate small and medium retail enterprises in migrant countries, particularly in urban areas that housed co-ethnic groups of those countries with goods, services and/or resources. Piperopoulos (2010) reported that migrant entrepreneurs did not generally introduce a new product or service to the market to make profit, rather they made a profit by a much more sophisticated method of establishing a business with the aim of serving a community, for example, catering Indian food to the co-ethnic population. Accordingly, as noted by Ram et al. (2000), various drivers imposed by the environment such as the structure of the economy, the operating principles of the economy, and the balance of power, have been the basic stimuli for the emergence of small and medium scale ethnic retail enterprises. De Vries (2010) highlighted that when considering ethnic minorities, entrepreneurial activity was one of the most assuring platforms that integrated societies, strengthened their economic position and social eminence.

Having reviewed the various models of BSP in FOBs (see Chapter 2), as developed by Le Breton-Miller et al. (2004), Chirico and Salvato (2008), Whatley (2011) and Saxena (2013), it is clear that for this study, the literature does not provide evidence of how migrant FOBs operating in New Zealand practised any succession planning, or what frameworks their succession planning process looked like. For this study, it is also noticeable that the BSP models did not highlight and/or discuss the impact of ethnicity on BSP; they discuss the succession process, family context, industry context, social context, creating another noticeable gap. Wang (2010) reports on the importance of BSP in small and medium scale FOBs run by ethnic migrant groups in developed countries and the impact of ethnicity on the succession of such firms is scant.

Although Clydesdale (2011) provided evidence that immigration has positive effects on the New Zealand economy, and Spoonley (2012) emphasised that immigration fast-tracked economic growth and decreased unemployment in New Zealand, there is no study that looked at this in terms of BSP in migrant FOBs. In addition, irrespective of research having been undertaken on migrant business/migrant entrepreneurship in countries such as US and the UK (Ram and Jones, 1998; Bagwell, 2008), in Asia (Koning and Verver, 2013) and in migrant entrepreneurship in general (Rusinovic, 2008), no study has been undertaken on migrant entrepreneurship in New Zealand in FOBs and BSP.

The aims of this study, therefore, were to understand:

(1) The desire for BSP versus how it was perceived by ethnic migrants.

(2) The succession planning process in ethnic migrant FOBs operating in New Zealand.

(3) The influences of ethnicity on BSP with regard to the succession process, family context, industry context, and social context, hence filing a noticeable gap.

This study was undertaken to understand how ethnicity impacts BSP in small and medium scale migrant family-owned convenience stores and restaurants in New Zealand and leads to the following research question:

'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand, and, if so, how does it affect them?'

Given the research question, the following objectives guided this study:

(1) Understand the different migrant groups operating small and medium scale family-owned convenience stores and restaurants in Christchurch, New Zealand.

(2) Analyse the impact of ethnicity on BSP in these small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand.

(3) Understand the impact of ethnicity on BSP in such small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand.

In addressing the research question, and in order to achieve the research objectives, this study considers BSP in twenty migrant small and medium family-owned convenience stores and thirty-one migrant small and medium family-owned restaurants. In total, fifty-one research participants from six ethnic groups, namely, Chinese, Indian, Thai, Vietnamese, Korean and Japanese, located within a five kilometre radius of Christchurch centre formed the research group.

This study uses a mixed qualitative methodological approach including elements of Grounded Theory and Case Study methods. Data was gathered from the research participants using semi-structured interviews. On transcribing the interviews, the data was analysed using NVivo to arrive at codes. Carney's Ladder of Analytical Abstraction (Carney 1990) was used to vent the analytical process of the qualitative research to develop themes and the overall new theory.

1.4 The Study Findings

The study findings reveal that a great majority (98%) of the sample were middle-aged tertiary qualified, second generation migrants and were mostly male. A large proportion (76%) of the sample believed that their ethnic background (comprising culture, traditions, religion, beliefs) impacted on their business practices including their decision to plan for business succession.

This study included small and medium migrant family-owned convenience stores and restaurants located within a five kilometre radius of Christchurch city centre. When exploring migrant convenience stores and restaurants operating within a five kilometre radius of Christchurch city centre it was found that there were a number of such businesses

owned and operated by Filipino, German, Italian, American, Polish and Brazilian nationalities. However, it transpired that businesses operated by Filipinos, Germans, Italians, Americans, Poles and Brazilians did not comply with the criterion of FOBs as part of this study group so were discounted. The ethnic groups that did fulfil the criterion of small and medium scale ethnic family-owned convenience stores and restaurants comprised six Asian ethnicities namely, Chinese, Indian, Thai, Vietnamese, Korean and Japanese. Therefore, it is worth noting that using a sample of Asian research participants was not by design, it was a result of this ethnic base appearing to have a different approach to FOBs.

As explained earlier, literature on BSP in FOBs reviewed different levels of business succession (Lussier and Sonfield, 2012) such as family characteristics in succession planning (Lybaert and Steijvers, 2015), transgenerational business succession (Saxena, 2013), models for family business succession (Boyd et al., 2014), and stages of family business succession (Musselman 2015). Yet, there is a notable absence in the literature on how the ethnic backgrounds and various elements of ethnicity (culture, traditions, beliefs, religion) impact the decision for business succession in migrant FOBs, and most importantly, this is the contribution this study provides to the existing literature on BSP in FOBs.

The overall findings make it clear that ethnicity, as an independent variable, undoubtedly contributed to culture as individuals of the same or diverse ethnicities interacted as families, communities and societies. Hills et al. (2005) report that ethnicity was clearly more of common beliefs and various practices based on common ancestry, nationality and immigration experiences whereas Watt and Norton (2004) identify ethnicity as a concept that refers to cultural practices and attitudes that characterize a given group of people and distinguish it from other groups. This was further supported by Danes et al. (2008) who identified ethnicity as people within a group having a certain background with language, religion, ancestry and other shared cultural practices that provide them with a distinctive identity. As a result, migrants of the same ethnicities engaged in similar types of business and, in the context of this study, it was Asians engaging in the retail trade and restaurant sector. According to Danes et al. (2008), the 'family' with its own relational dynamics acts as the repository that creates the culture and thereby serves as the 'mediating locale' for the entrepreneurial experience. In the context of this study, passing on and taking-over the family business was considered as *"fulfilling family responsibility"*, *"preserving family pride and reputation"*. The most extreme example of this is a qualified General Physician

who had been compelled to forego his profession to take-over the FOB due to his father falling ill and not been able to continue doing business.

Culture, as an element of ethnicity was more complex and was a result of interpersonal interactions (Danes et al., 2008), whereas ethnicity was clearly more of common beliefs, values and various practices based on common ancestry, nationality and immigration experiences (Hills et al., 2005). In this study, ethnicity played a key role among study's participants in different ways from the reasons for migrating to New Zealand, initiating a FOB in New Zealand, passing on the FOB, the level of family involvement in the FOB and, most importantly, in the decision for planning for business succession. However, given the strength of ethnicity and how it affected the study participants, the overall findings revealed that the participants were mostly acclimatised with their respective ethnic backgrounds in their minds, rather than in practice.

Chapter 2 illustrates and explains various models of BSP in FOBs namely, the *'Preliminary model for Successful FOB Succession'* (Figure 2.2) and the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller et al. (2004); the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008); the *'Integrated Dialectic Knowledge Accumulation model for FOB Succession'* (Figure 2.5) developed by Whatley (2011), and the *'Eclectic Framework for FOB Succession'* (Figure 2.6) developed by Saxena (2013). These models are standard BSP models, and this research examines these BSP models against the research participants' understanding about BSP and compares it with what they actually did. However, these models fail to examine the impact of ethnicity on BSP in migrant FOBs, therefore this study introduces the *'Ethnified Model of Family Business Succession'* (Figure 5.1), which can be used as a new model to examine the impact of ethnicity on BSP in migrant FOBs as well as being an extension of the existing BSP models.

With ethnicity being strong and persuasive, the overall findings reveal that the study participants considered taking over the FOB as something *"personal"* and/or as something they were *"morally obliged"* to do., As a result, considering taking over the FOB as *"a need for continuing with family inheritance"*, *"a need for fulfilling family duties/responsibilities"* and as *"a need to follow culture and tradition"*. However, in-depth analysis of the findings finds this may not be the case. Irrespective of the participants holding a strong concept of their respective ethnicities, their actions and behaviours did not

necessarily show this in some instances. For example, the findings reveal that a large proportion of the sample (76%) had a BSP and 98% (thirty-eight) of those who had a BSP held it in informal methods (for example, as a thought, in the back of their minds and/or discussed within the family) whereas only 2% (one respondent) had it formally documented. Yet, these study participants wanted their children (heirs) to be well educated before taking over the FOB. This creates a possibility where the heirs may want to choose a different career path and/or become professionals rather than continuing with the FOB. As a result, the findings pose questions about how strong the ethnicity factor would remain in their families in time to come, especially with respect to business succession. The discussions held with the study participants made it clear that they were somewhat acclimatised to the New Zealand culture and this may be more intense among the heirs of the FOBs. Therefore, there is a possibility that the heirs may be less interested and less willing to take over the FOB leaving continuity of the FOB at a risk. This links to the theory discussed earlier on FOBs not surviving through generations.

However, it is worth noting that, this research focuses on the impact of ethnicity in migrant family-owned convenience stores and restaurants in New Zealand. Therefore, the problem identified and studied in this research could not be compared to BSP in family-owned farms in New Zealand, as the impact of ethnic enforcements on business practices including BSP in migrant businesses could possibly differ from that of family-owned farms in New Zealand.

In summary, the various challenges posed to migrant FOBs by the external environment (for example societal changes, policy changes, environmental changes) have made continuity of migrant FOBs questionable.

1.5 Overview of the Thesis

The thesis contains of five chapters and six appendices. This first chapter explained the background of the study and the context in which the research was explored, the problem statement, the research question of the study, the objectives to be achieved and the scope of the study along with the overall findings of the study. Chapter 2 reviews the literature on the phenomenon of business succession planning in small and medium scale ethnic family-owned businesses, its variations and its practical application in New Zealand. Chapter 3 explains the research paradigm and the reasons for selecting a mixed qualitative methodological approach of grounded theory and case study. This chapter also details data

collection. Chapter 4 details the findings gathered during interviews and the analysis of the responses received from the study's participants and demonstrates the codes developed using the responses and subsequent themes. Chapter 5 discusses the findings in detail and summarises the analysis. It also details the study's limitations and suggests areas for future research.

Appendices 1 to 4 include the research material which was used for gathering data, where Appendix 1 presents the semi structured questions asked at the interview, Appendices 2 and 3, the research information sheets (cover letters) provided to convenience store owners and restaurant owners along with the semi structured questions and Appendix 4, the consent form requesting all research participants for their consent in participating in the research. Appendix 5 provides descriptions of all codes and nodes developed using NVivo during data analysis and Appendix 6 exhibits examples using responses received from respondents as references to those codes and nodes which have been developed using NVivo during data analysis. Appendix 7 displays the linkage between key answers received during interviews in response to the research questions, which enable to create a flow from one to another.

CHAPTER 2
LITERATURE REVIEW

2.1 Introduction

This chapter presents a comprehensive literature review related to business succession planning in small and medium ethnic family-owned businesses. The essence of the problem discussed in this study is the need for ethnic small and medium family-owned businesses to survive through generations. The logic of the problem discussed in this study is supported by three main arguments: a) the general importance of small and medium businesses to an economy; b) the importance of immigrants to an economy; and c) the importance of business succession planning in small and medium ethnic family-owned businesses.

Discussions in many of the world's developed countries have focused the public on views of immigrants in their societies. This interest has opened avenues for 'immigration research', which is now a popular topic among economists, social scientists, governments, and various economic development agencies. Part of this discussion is about immigrant business owners mainly because their degree of business in developed countries compared with that in their native country (Crockett 2013; Vinogradov, Jorgensen and Benedikte 2017).

Research by Ram and Smallbone (2003), concerning ethnic minority business owners in Britain determined that the level of self-employment and business ownership by ethnic minorities was higher than in the native population. They found that there had been an increase of 9% in business start-ups of black and minority ethnic businesses in 1997 compared with the business start-ups of the native population.

In terms of business succession planning (BSP), Francis (1993) advised that BSP in family businesses was a vigorous process that required the attention of the owner and the managers to plan the future of the business. On considering business succession planning in family businesses, Ram and Jones (1998) determined that the increased involvement of ethnic minorities in the small business sector in the United States and Europe was sufficient evidence that ethnic minority businesses had been a stimulus in the development of these economies ranging from creating employment opportunities to achieving racial equality. In their study, Ram and Jones found that within the ethnic minority communities

in the UK, there had been two distinct types of business enterprises; survival-oriented businesses, that were narrowed down to the 'ethnic niche', and growth-oriented businesses that sought to 'break-out' of the set boundaries of the ethnic economic setting. Further, they argued that ethnic business owners had the ability to enter the economy, especially through the retail trade and the food services sector as these industries were considered as 'low-barrier-to-entry' industries which did not require extensive skills and/or knowledge.

However, given the absence of literature on the influence of ethnicity on ethnic family BSP, the literature has done little to approach the topic as a business process with the literature largely focused on management succession but there is a noticeable gap in ownership transition that this study looks forward to filling.

Accordingly, this chapter includes of the following sections:

2.2 Small and Medium Scale Enterprises (SMEs)

2.3 Family-Owned Businesses (FOBs)

2.4 Business Succession Planning (BSP)

2.5 Business Succession Planning in Family-Owned Small and Medium Enterprises

2.6 Ethnic Minority Businesses

2.7 The Significance of Ethnicity

2.8 Theories of Immigrant Business

2.9 The Concept of Mixed Embeddedness

2.10 The Impact of Ethnicity on Business Succession Planning in Family-Owned Businesses

2.11 The Invisibility of Women in Family-Owned Businesses

2.12 The New Zealand Context

2.13 Chapter Summary

2.2 Small and Medium Scale Enterprises (SMEs)

Definitions of SMEs

Given the nature and operations of small family-owned businesses, they may be considered as SMEs; however, there appears to be no internationally agreed definition of, or name for SMEs. The 'Organisation for Economic Cooperation and Development' (OECD) identified businesses with 1 to 4 employees as micro enterprises; businesses with 5 to 19 employees as very small enterprises and businesses with 20 to 99 employees as small enterprises. The 'Asia Pacific Economic Council' (APEC) identified enterprises with fewer than 5 employees and self-employed managers as micro firms; businesses with 5-19 employees as small enterprises and businesses with 20 to 99 employees as medium sized enterprises (Ayyagari, Beck and Demirgüç-Kunt, 2003). The 'World Bank's Regional Program on Enterprise Development' (WB_RPED) differs from both of the above; it identified businesses with fewer than 10 employees as micro enterprises; businesses with 10 to 49 employees as small enterprises and 50 to 200 employees as medium enterprises (Ayyagari et al. 2003).

The lack of agreement continues with Amba and Abdulla (2014) who explained that SMEs in European Union (EU) countries were defined as business ventures having fewer than 250 employees, whereas SMEs in the US were identified as businesses with fewer than 500 employees. In Australia, the 'Australian Bureau of Statistics' (ABS) defines SMEs as non-employing businesses or sole proprietorships and partnerships without employees; micro businesses as businesses that employ fewer than 5 people including non-employing businesses; other small businesses as businesses that employ 5 or more people but fewer than 20 and medium businesses as businesses that employ 2 or more people but fewer than 20 people (Yesseleva, 2012). Table 2.1 summarises the differences.

Table 2.1 – Small and Medium Scale Enterprises as identified by different Organisations

	OECD	APEC	WB_RPED	EU	ABS	US
Micro	1-4	0-5	0-10	N/A	0-5 and non-employing businesses	N/A
Macro	5-19	5-19	N/A	N/A	N/A	N/A
Small	20-99	N/A	10-49	N/A	5-20	N/A
Medium	N/A	20-99	50-200	N/A	2-20	N/A
SME	N/A	N/A	N/A	0-250	Non-employing businesses	0-500

The literature reveals that definitions of SMEs vary between countries and regions, many parameters including the number of persons employed; the amount of capital invested; the annual turnover and/or combination of any two were used to define SMEs (Sinnathurai, 2013). It appears there is no universally accepted definition of an SME.

The Significance of SMEs to Economic Growth

SMEs are part of a nation's business makeup, a source of new job opportunities, wealth, products and services. Thus, a healthy SME sector has been considered the engine of economic growth triggering competition and promoting innovation (Birley, 1986; Thurik, 1996; Memili, Fang, Chrisman and DeMassis, 2015).

The concept of 'creative destruction' developed by Schumpeter in 1943 (Ace, Morck, Shaver and Yeung, 1997) discussed the influence of SMEs on the economic growth of a country. The emergence of 'creative ideas' helped sustain the growth of SMEs as well as the constant 'destruction' of businesses where the absence of innovative ideas led to a less attractive business. Noting Schumpeter's work, Ace et al. (1997) suggested that innovation facilitated firms with domination within a market over a short period until a new entries replicated or surpassed existing innovations.

In addition, Neck (1979) noted that SMEs were important to a country because they trained and organised skilled and semi-skilled employees for the betterment of future business expansion, and encouraged and enhanced forward and backward relationships between

economically, socially and geographically varied sectors of the economy. The significance of SMEs is that they did not require any special managerial or technological systems compared with large businesses. They also provide opportunities for the emergence and adaptation of various technological and managerial methods (Neck, 1979). The increase in savings and investment made by local individuals along with the maximum utilisation of available resources and capital increased the mobility of the development of scarce capital and other natural resources. The endorsement of special subcontracting arrangements are also among the factors that highlight the relative importance of SMEs, thus SMEs play an important role in and contribute largely to the economic growth of a country.

2.3 Family-Owned Businesses (FOBs)

As previously explained, this study is focused on ethnic family-owned convenience stores and restaurants in New Zealand and their strategy for business succession planning. This section considers the FOB theme.

Before reviewing the literature on FOBs, it is worth noting that the development of the family business theory and the theoretical research dedicated to definitions of FOBs are gaining impetus. There seems to be some keen interest because the research results on the development of family business theoretical definitions were received well. In addition, the theoretical studies shed some light on how a family business differs from a non-family business, thereby giving rise to the following questions: (1) Why do family businesses exists?; (2) What factors make them more or less successful in survival, growth and creation of long-term economic values? (Debicki, Matherne III, Kellermanns and Chrisman 2009). The definition of any research objective is the key requirement for advances in any area. As noted above, theoretical definitions of FOBs began with a question, "What is the family business?".

It is important to focus on a detailed analysis of how the family relationships interact with that individual components that contribute to the existence of these structures. Mandl (2008) recognised two systems in family businesses layering on each other: (1) the system of family; and (2) the system of the business. Figure 2.1 illustrates the 'Two Circle Model of Family Business' as introduced by Mandl.

Figure 2.1 – The Two Circle Model of Family Business
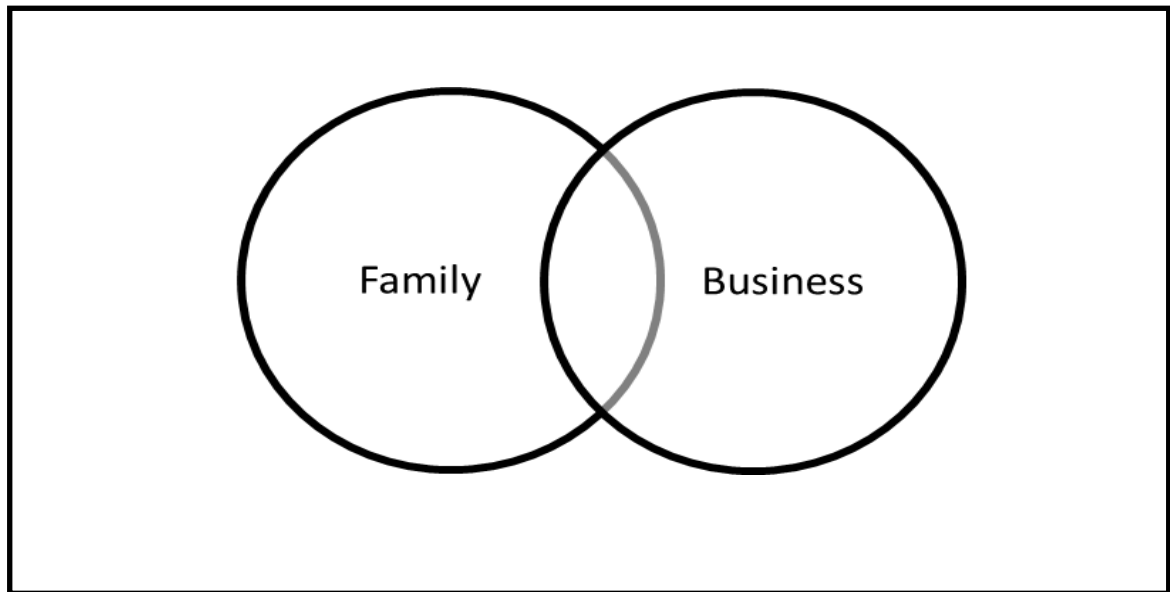
<div align="right">(Mandl,2008)</div>

These two systems, family and business, possess their own objectives, priorities and expectations. While supporting Mandl (2008)'s two circle model of family business, Murinova (2017) stated that the family world was characterised by a strong emotional aspect whereas the corporate world had a desire for rationality and results.

The family is the cornerstone of human communities; families come in different sizes and have unyielding internal relations. The goal of FOBs is not to get rich as fast possible, but to build something that will last long term and is able to offer something not only to the present generation, but also to future generations (Rodrigues, Borges and Aleixo, 2014). However, Wilson (2011) stated that FOBs, as a specific model of business management, had strengths and many drawbacks. Although many family members could work in a FOB, existing family relationships played a major role in the development of an FOB (Pounder, 2015).

Definitions of FOBs

FOBs are significant contributors to countries and play an important role both socially and economically (van der Merwe, Venter and Ellis, 2009; Saxena 2013). Wooldridge (2015) noted that FOBs were among the worlds' oldest forms of business. The significance of involving FOBs in any economic setting was the ability to ensure that there was proficient family leadership across the generations because this affects the sustainability of the business (Bocatto, Gispert and Rialp, 2010).

Although a variety of definitions for FOBs have been developed by scholars, common aspects include: (1) 'partnership held by family members' and/or (2) 'ownership held by members of a single family'. Thus, in early research, Barnes and Hershon (1976) identified FOBs as having the 'controlling ownership rested in the hands of an individual or of the members of a single family', whereas Alcorn (1982, p. 23) defined FOBs as 'a profit making concern that was either a proprietorship, a partnership, or a corporation; if part of the stock was publicly owned, the family had to also operate the business'. Rosenblatt et al. (1985, p. 4) defined an FOB as 'any business in which the majority ownership or control lay within a single family and in which two or more family members were or at some point were directly involved in the business'. Churchill and Hatten (1987, p. 252) suggested that what was usually meant by a FOB was 'either the occurrence or the anticipation that a younger family member had or was to assume control of the business from an elder'; Barry (1989, p. 178) noted FOBs were 'an enterprise which in practice was controlled by the members of a single family'.

Later, the Family Business Review (2006) recognised FOBs as 'a business in which the members of a family had legal control over ownership' whereas the International Finance Corporation (2011) identified an FOB as 'an organisation where the voting majority was in the hands of the controlling family; including the founder(s) who intended to pass the business on to their off-spring'. Carsrud and Brannbäck (2012, p. 2) defined FOBs as 'for-profit organisations in which two or more family members influenced the direction of the business through the exercise of kinship ties, management roles or ownership rights'.

Given the above, it is clear that an FOB is different from non-family businesses because the needs of the family interact with and influence the business. Scholars across the world have offered and used numerous definitions in their studies to define FOBs. These definitions usually cover three main aspects: (1) ownership of the firm; (2) the management of the firm; and (3) whether the firm is perceived as family owned.

Life within FOBs

The literature suggests that organisations outgrow the managerial capabilities of the founding business owners and evolve so that ownership and management become separated (Morris, Williams and Nel, 1996). However, such organisational life cycle models normally ignore issues of succession and fail to consider the different nuances inherent in family-owned and managed firms. If a family firm is approached from a 'total system' perspective, it consists of a number of subsystems, including the business as an

entity, the family as an entity and the founder(s) as an entity (Beckhard and Dyer, 1983; Dyer and Handler, 1994). Each subsystem has its own identity and culture that often have competing needs and values. Moreover, these subsystems are highly interdependent. Kepner (1983) referred to the 'co-evolution' of the family and firm when discussing how each affects, and is affected by, the other.

FOBs can be relatively stable so long as the founder is in place (Williams and Nel, 1996), yet can become destabilised by 'trigger events' such as the decision to bring a family member into a senior position or the founder's decision to disengage. The result is usually ambiguity, confusion and conflict among family members and the professionals employed by the firm with external factors such as state of maturity, economic health, and internal factors such as family dynamics (for example, closeness of family, interdependence among family members, sibling rivalries, financial condition of family members) all being important (Beckhard and Dyer, 1983).

When assessing interdependencies between family life cycles and family business cycles, Kepner (1983) concluded that stress was magnified when transition in the family coincided with transition in the firm. As each system was concerned with maintaining itself and became more resistant to differentiation and separation, the outcome results in a dysfunctional family relationship. This point is relevant to this study because it considers business succession planning.

It was also found that a distinction could be drawn between operational transition in the business itself and family management transitions (Morris et al., 1996). The business evolves through different types of organisational structure, reward systems, diversification moves and so forth, whereas the family management team evolves in terms of the death of the owner's spouse, the addition of a son-in-law, or the disaffection and departure of a favoured son. However, the most favourable outcomes occurs when the family management transition coincided with business transitions and vice versa, because such transitions involved mutual adjustments between the family and business subsystems (Barnes and Hershon, 1976). The study by Barnes and Hershon is now dated and this study seeks to bring a current view of the topic.

The systems theory in FOBs suggests a holistic and interdisciplinary approach that acknowledges that nothing is determined by a single factor (Carsrud and Brannbäck 2012, p. 2). In an attempt to understand the complex concepts within FOBs one cannot be limited

to either an individual or a systems viewpoint, rather one has to integrate both. Carsrud and Brannbäck (2012) further noted that this approach was challenging for many researchers, given their strong disciplinary training and professional affiliations. However, comprehending the complexity of the systems involved in an FOB is critical to sustaining the business.

Carsrud and Brannbäck (2012, p. 3) emphasized the characteristics of family business systems by suggesting that, building on the systems literature, one could define family business systems as a unit of interrelated and interdependent persons united into a recognizable unit, the family business, and, hopefully, are in some state of balance. Explaining further, Carsrud and Brannbäck mentioned that it is possible to define a family business system as a unit with a feedback structure and, therefore, capable of processing information. Further, people within such a system would be expected to satisfy their needs within that social system via cooperatively joining to achieve common goals; individuals within a family business would occupy various positions in the family, ownership and business systems. That said, individuals' roles are shaped by each system. As such, an individual is shaped by each system and, in turn, can change each of the other systems.

Kepner (1983) explained that family-owned firms can be problematic for those who manage, work in and consult with such firms. Accordingly, Kepner argued that the most salient cause identified was the nature of the business personality, disturbances in the father-son relationship, nepotism, and the influence of family dynamics on executive and management decisions. Support for Kepner's study came from Beckhard and Dyer (1983) who explained that decisions must be made at various points in the FOB's life, for example, deciding whether the business should be maintained or sold, the handling of family rivalries, friction or interests, appointing a successor to the top executive, training family members, preparing for the founder's retirement, developing management for the future or dealing with new and retired chief executives. Beckhard and Dyer (1983) identified that all such questions were influenced and guided by a series of forces including the general business environment, the culture of the organisation, the culture of the family, the family's influence on its founder and the personal motivations and values of the founder or owner.

As research in this area progressed, Brockhaus (2004) advised that in questions of 'business first' or 'family first', the business's strategic needs should take priority over benefits to individual family members. Brockhaus also noted that industry factors that have

a direct impact on the strategic plan of a family business include growth of demand, technological impacts, financial requirements, the competitive environment, personnel required, government regulations and the economic strength of customers, suppliers and competitors. In conclusion, Brockhaus emphasized that, ideally, in a normal context, senior generations often provided junior generations with sufficient experience of how the business works but failed to provide the skills required to recognise new opportunities and to develop new strategies needed to take advantage of such opportunities. Brockhaus (2004) further advised that finance is a key aspect concerning family businesses; it is typical for the junior generation to assume senior management positions and, at a later date, to assume ownership. However, assumption of ownership can be by inheritance on the death of the senior generation, by purchase from the senior generation or by gifting of the ownership by the senior generation. According to Brockhaus (2004), all three scenarios involve financial and legal issues related to taxation; these issues are compounded by fairness issues within the family. Although most families look forward to continuing with family ownership, there may be families who consider that selling the business is in the family's best interests. Early research by Barnes and Hershon (1976) confirmed that leveraged buyouts were a means of transition of ownership; more recent research by Stanton and Dalebroux (2015) discussed the applicability of employee stock ownership plans (ESOP) for family firms. Brockhaus (2004) suggested additional alternatives for obtaining cash from the business. A public offering is another form of taking capital out of the business.

The now dated research by Barnes and Hershon (1976) suggested that family transition and company transition usually occurred together. They advised that, although the stress might be high at these times, the combination of both transitions usually resulted in a smooth transition from a relationship perspective. Moreover, Barnes and Hershon (1976) advised that FOBs tend to have a relatively high degree of commitment to achievement along with perseverance derived from individual pride, family pride and family tradition. The frequency with which family businesses stress the positive values of family ownership of the business to their customers suggests that a relationship does exist.

As early as 1999, Nager noted that deciding on who should follow his/her foot steps in taking over an existing business was the toughest decision that had to be made by a family business owner in operating a successful business. On a similar note, Brockhaus (2004) confirmed that, among the various significant conditions affecting management succession,

is the attitude of the family and, if the family does not support a specific family member assuming the leadership role, it was unlikely to occur. This is like Nager's (1999) results that a potential successor has to obtain the trust of family members actively involved in the business.

Research on FOBs

Table 2.2 gives the different studies on BSP in FOBs as identified by Saxena (2013).

Table 2.2 – Research on Business Succession Planning in Family-Owned Businesses

Themes and/or sub themes	Researchers	Findings
(1) Attributes of incumbent		
Role in succession	Sharma et al. (2003)	Incumbent leaders of the family wield considerable control over the process of succession.
Demographics: Age	Dunemann & Barrett (2004)	Succession planning as a direct function of age of the incumbent.
Psychology: Importance	Grote (2003)	Psychological processes are at the core of the incumbent preparedness for business succession.
Willingness to relinquish control	Chung et al. (2007); Handler (1990); Kepner (1983); Kets de Vries (1993)	Willingness and preparedness of the incumbent to handover the baton is critical to succession.
Attitude towards succession planning	Saxena (2005);	Incumbent attitudes may lie anywhere between "business will find its own successor" to "plan and train a successor"
	Poza (2004)	Attitudes depend on the type of incumbent: "Monarch" fails to plan; "General" retires but plots he return; "Ambassador" delegates; "Governor" sets the exit date and openly pursues it; "Inventor" is eager to exit; "Transition Czar" actively pursues succession planning.
(2) Characteristics of Successor		
Demographics	Stavrou (1999)	Demographic factors affected the offspring intentions to join business.
Role in succession	Marisetty et al. (2008)	The other principal actor, albeit less researched one.
Extent of involvement in family business	Fox & Hamilton (1996)	Successor- business relationship becomes another vital component of the succession process.
	Birley (1986); Birley et al. (1999)	Successors may belong to family business in-group or out-group or they may just be the jugglers.
Psychology: role conflict	Grote (2003)	They desire to be like the incumbent yet also to supersede him or her; they must imitate the incumbent while seeking independence.
(3) Incumbent-successor relationship		

Perceptions	Fox & Hamilton (1996)	The similarities and differences between the perceptions of the incumbent and the successor (as regards integrating family and business matters, the maintenance or changing the status-quo, etc.) can have a lot of bearing on the succession process.
(4) Dialogue	Lansberg (1999)	Intergenerational conversations smooth out the succession process.
(5) Style of business	Taylor et al. (1998)	"Conservator" or "Expander." Four paring possible – two like parings and two opposite pairings.
(6) Family ecosystem		
Influences of the family relationships on succession	Pieper (2007)	Family adaptability, family cohesion, successor training, the family's commitment, and the quality of the owner-manager and successor relationships exert mediating influence.
Linkage between business and family life cycles	Bjuggren & Sund (2001)	Progress with succession tasks was more evident when the life cycle stages in the firm, business and ownership subsystems were congruent.
(7) Relationship with business's other stakeholders		
Personalized or shared	Dunemann & Barrett (2004)	If any family member cultivates exclusive relationship with firm's suppliers or customers, it can complicate the succession process.
Dependence on professional managers	Chua et al. (2003)	Managerial motives impact succession process via agency relationship.
(8) Business growth Importance	Jain (2006)	Business growth and family growth can feed on each other.
(9) Succession process		
Awareness of the need	Lamont (2010); Smyrinos et al. (1997)	Most family business owners are aware of the need for succession planning, yet they do not actively plan.
Strategy	Zhang & Rajagopalan (2006); Saxena et al. (2011)	Three types: relay succession, horse race and succession from outside. Linear recruitment (that is,, announcing the heir apparent during the tenure of the incumbent) is a far effective strategy.
(10) Succession outcomes		
Types of outcomes	Meijaard & Uhlaner (2005)	Three types of outcomes: survival and continuity; change in subjective satisfaction of the stakeholders; and change in objective measures of sales, profitability, and share price movement.
Survival of the firm	Qi (2009)	Sound succession ensures organisational survival and continuity.
Change	White et al. (1997)	Succession often accompanied by strategic change.
Cost of wrong succession	Qi (2009)	Loss of productivity and social costs in the United States nearly $14 billion per year.

(Saxena, 2013)

Having accepted the above, there has been no research on BSP in small and medium family-owned businesses operated by ethnic minorities in New Zealand. Also, it is evident that existing literature emphasise general areas concerning BSP in FOBs, that is, the incumbent, the succession process and the successor and does not emphasise on how ethnicity impact the decision for BSP in migrant FOBs.

As previously explained, this study is specifically focused on FOBs of ethnic groups and their BSPs, therefore the next section provides a detailed review of business succession planning leading to the discussion on to how FOBs plan for succession.

2.4 Business Succession Planning (BSP)

<u>Definitions of BSP</u>

Goudy (2002) defined BSP as 'a process by which an organisation safeguards the persistence of its leadership into the future', a crucial phase of business strategy that requires an organisation's best thinking. Goudy further noted that planning for succession in most business organisations was frequently ignored or it took place when it was too late. Similarly, Sambrook (2005) advised that BSP is an attempt to plan for the right number and quality of managers and key-skilled employees to cover retirements, death, serious illness or promotion and any new positions which may be created in future organisation plans. Ip and Jacobs (2006) contended that BSP is a process through which organisations plan for the handing over of either the ownership and/or top management in the future.

Rothwell (2010) identified BSP as a purposeful and methodical effort by an organisation to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future and encourage individual advancement. Nordqvist, Wennberg, Bau and Hellerstedt (2013) rationalised BSP as the process of business exit and entry in the form of a decision to either sell the firm, to hand it over to a family member, or to close it down.

Lussier and Sonfield (2012) and Duh (2015) believed that BSP was the foremost issue facing most FOBs. According to Whatley (2011), this view is potentially drawn from the work by Weber (1946), who determined that it was essential that the founders of FOBs made sure that there was a replacement who could take over the original business, including the development of organisational systems, structures and work procedures to safeguard the sustainability of the business.

In accordance with the definitions and literature above, BSP is a strategy for passing key leadership roles within a company to someone else in a manner that the company continues to operate even after the founder/owner is no longer in control. In terms of FOBs, BSP often refers to preparing the next generation to take over the business. Having mentioned the significance of ethnicity earlier in this chapter, the need for having a BSP could be presumed to have a link with an ethnic enforcement for wanting to have the FOB passed-on to the next generation. On that note, the next section is dedicated to reviewing literature on the importance of having a BSP.

<u>The Significance of Planning for Succession</u>

Whatley (2011) said that BSP or the absence of BSP is the most significant reason why many first generation FOBs do not survive. The Clifford and Ohio Ownership Employee Centre (OOEC) (2008) highlighted five compelling reasons to plan for ownership and management success: taxes, risk, options, control and value.

Clifford and OOEC (2008) reported that the more time taken to implement a succession plan, the fewer the options the owners were left with in meeting their goals. They also reported that most family business owners intended to provide a continued income for family members and maintain stable jobs for family members and colleagues. These owners also intended to create a personal legacy via continuation of the business or a charitable contribution. However, the number of options available to meet these goals gradually decreases. Another, major reason for planning for succession directed the owner to retain control over the outcome and there is a high probability that the government, or various other authorities, could take control if business owners failed to plan. Finally, where a business owner has not implemented a succession plan before falling sick or dying, the higher is the probability for a rapid decrease in the value of the business; often, it is considered that the business and business owner died on the same day, meaning that the owner's intended beneficiaries do not receive the full value of the business when the business did not have a proper succession plan in place.

Holmes and Kallabat (2015) advised that failure to develop a succession plan could result in fatal consequences for the long-term survival of the business and could rather quickly reverse years of hard work the owner had dedicated to build the business. It was always most appropriate that a succession plan is developed and implemented at the earliest opportunity to avoid drastic problems, whether the owner planned to leave the business to the family, sold to key employees or an outside party. Identifying the owner's goals and

creating a timeline for succession early could lead to significant savings and tax benefits (Holmes and Kallabat, 2015). The authors also emphasised that succession planning was important because it benefitted the owner, the successor, and the business. In the context of the owner, planning for succession could reduce or eliminate estate and income taxes. Planning also enabled a smooth path to retirement while retaining control of the business. Planning for success supported the survival and continued growth of the business.

Irrespective of the importance of planning for business succession, Clifford and OOEC (2008) noted that succession planning was rather challenging for a number of inevitable reasons.

The Challenge of Planning for Succession

As identified by Clifford and OOEC (2008), Siciliano (2009) and Van Skiver (2016), the reasons that make planning for succession a challenging task are life changes, mortality and changes in key personal relationships. Explaining this, Clifford and OOEC (2008), Siciliano (2009) and Van Skiver (2016) revealed that the business was considered an easy method to measure personal achievement through the life of a business owner. Thus, retirement required new measures of success. Generally, society compares 'who you are' with 'what you do' and this comparison was rather challenging to business owners because they were often used to being at the top in their business and were considered important in the community. As the business symbolised the accomplishment of the owner, when the owner was compelled to give it up the owner usually found him/herself ill at ease trying to face the tough questions of redefining themselves. Clifford and OEOC (2008) explained that business owners were generally used to being in control. In charge of a business, their opinions and ideas added significant weight to the business. However, despite the significant impact their advice and ideas had on the business, there could be high levels of insecurity when the business owner gave up formal control, but this is not how ethnic businesses see it. The business depended upon its owner for a many years until it was time for her/him to give it up. Though the owner's support and professional advice could still be important, a good plan prepared for a time when the former owner was not the most important leader is necessary.

Clifford and OEOC (2008), Siciliano (2009) and Van Skiver (2016) elucidated that although no one preferred to discuss the process of succession planning, it was all about 'what will happen when I'm gone'. However, this notion was different when it came to migrant FOBs, as they expected the next generation to take-over the FOB.

In a general context, Clifford and OOEC (2008) and Hughes (2015) advised that the owner's personal identity was often reflected in the business. Variations in that connection frequently raised uncertainty about the owner's personal and professional relationships. Such variations usually took place when the owner retired. Uncertainty remained even when the relationship was based on personal friendships and not professional dependence. The owner's marriage could be one significant change as the owner was compelled to strike a balance between married life and business; instead of spending endless hours at the office, with occasional breaks to go home, the owner had to work less and be at home spending time with the family. Retirement was all about having more personal time than professional time. It directly led to changes in the owner's family relationships and was extremely stressful, especially if some family members were potential successors in the business. A failure to recognise and deal with these changes resulted in failure of family relationships.

Elaborating further, Ghee, Ibrahim and Abdul-Halim (2015) argued that relationships could also be very challenging. The more complicated a relationship became, the more problematic it could be to manage and when a family member became an employee, managing the relationship became even more challenging. When another layer of interconnectedness is added, managing the relationship became further arduous. Such relationships tend to be managed on an incremental basis as they developed. For example, Clifford and OOEC (2008) illustrated with a father-son relationship, often difficult by itself, that became more complicated and challenging when the son was an employee or manager in the family firm. The father had to then become an employer and possibly a supervisor or manager in the business. Each level made the relationship more complicated and tough to manage.

Whatley (2011), identified that generally the owners, the senior managers and other stakeholders experienced distressingly uncertain feelings toward succession planning. Whatley, Handler and Kram (1988) attempted to describe this using Lewin's force-field approach that looked at the factors that promoted and reduced resistance at individual, group, organisation and environmental levels. Table 2.3 illustrates the resistance model to succession in a family business.

Table 2.3 - A Model of Resistance to Succession in the Family Business

Factors Promoting Succession	Factors Reducing Resistance
Individual Level	
Good health →	← Health problems
Lack of other interests →	← Other interests
Identity with business →	← Ability to dissociate from the firm
Retention of control overtime →	← Delegation of responsibilities to others
Fear of aging, retirement and death →	← Opportunities for life and career planning
Avoidance of self-learning →	← Capacity of self-reflection
Avoidance of technical advice and consultation →	← Pursuit of technical advice and consultation
Interpersonal group Level	
Lack of open communication →	← Honest, informed communication is encouraged
Minimal Trust →	← High level of trust
Heir(s) are appear disinterested, incapable, inexperienced or inappropriate →	← Heir(s) are actively and capably involved in the business
Minimal training →	← Mentoring is encouraged and practiced
Power imbalances →	← Shared power
Family conflicts or issues permeate the business →	← Family dynamics are separated from business issues
Nuclear and extended family members as potential heirs →	← One child as potential heir
Organizational Level	
Culture threatens organizational developments →	← Culture reinforces organizational continuity
Stability of organizational growth →	← Impending organizational crisis
Maintenance of structures promoting unilateral control →	← Organizational structure promotes functional delegation
Environmental Level	
Non-problematic environment →	← Problematic environment
Many industry requirements →	← Few industry requirements
Specialized professional prerequisites →	← Minimal professional prerequisites

(Whatley 2011)

Table 2.3 gives four levels that need to be considered: individual, group, organisation and environmental. The individual level as explained by Whatley (2011) includes the personal, emotional and development characteristics of the owner; the personality and development stage of the individual make significant impacts on the success of succession.

The second level, the interpersonal level as recognised by Whatley (2011), is concerned with the family systems that focus on succession and rest greatly on interpersonal and group dynamics. The influence of the organisation level refers to cultural aspects and the systems perspectives of succession with the environmental level influences are normally divided into either possibility or population environment theory perspectives. As explained by Whatley (2011), the significant contribution of this model is that it precisely identifies the intricacies of family succession and how all four levels hold on to factors that encourage and defy change.

Overcoming the Challenge of Planning for Succession

According to Myers (2016) and Phikiso and Tengeh (2017), when succession planning is in place it can help change the challenges arising from the relationships mentioned above; the succession planning process can place additional stress and effort on these

relationships. As a result, managers, employees, suppliers and customers may be anxious and curious about the future of the business because the process will disturb delicate, complex relationships shared by the groups. Clifford and OOEC (2008) elaborated that three main groups of members, namely, family members, owners and managers/employees were directly concerned in this and that these groups often overlap, many FOBs had people who were members of all three groups. This, in turn, resulted in four additional categories which increases the complexity of succession planning; family members who are also partial owners of the business, family members who are managers and/or employees but not owners, owners who are also managers and/or employees and family members who are partial owners and managers and/or employees.

Supporting the above, Clifford and OOEC (2008), Ghee et al. (2015) and Hughes (2015) mentioned that each member of each group was concerned about the business and the succession plan and they may develop hopes and expectations of not working in it due to education. If a plan was to meet any of these expectations, they must first be identified. This process could direct to conflicts of interests among the interest groups. However, a formal planning process will alleviate most of the conflicts because everyone can feel assured that their concerns will be heard. A good succession plan often eases the inevitable changes faced by business owners, whereas, on the other hand, Clifford and OOEC (2008) noted that the continued success of the business remained a tribute to the owner's achievements; it was a legacy. When it continued to provide needed products and jobs for relatives, managers and the community, it was rather a touch of immortality for its creator.

Drawbacks in Planning Succession

Goudy (2002), MacBean (2012) and Bissonnette (2013) suggested that, in spite of the importance of BSP and its benefits to the owner, the business and its stakeholders, BSP possessed certain drawbacks. Explaining further, Goudy (2002) highlighted that succession planning required existing managers to be evaluated on their achievements, potential for advancement and continued employment – this, in turn, causes unease and self-protection among these managers because it is considered as threatening.

Goudy (2002), MacBean (2012) and Bissonnette (2013) further argued that some managers became exhausted of leadership development initiatives. In an example Goudy (2002) noted that coaching and mentoring may be seen as a means to clear out those who are not top performers rather than as a method for effectively developing individuals' capabilities or establishing a high performance culture. Goudy explained that FOBs must be prepared

to deal with the reality that large skill and leadership gaps exist not only among the next generation of the leaders but also among the current executive team.

<u>Options to Consider when Developing a Succession Plan</u>

Morris, Williams and Nel (1996) advised that there are three major areas that succession planning needs to focus on: preparation of heirs, relationships among family and business members; and planning and control activities. Elaborating on this, Morris et al. (1996) explained that in successful FOBs heirs were well organized in terms of both education and experience, relationships within the family were positive and harmonious, and planning and control activities tended to be more informal with little reliance on boards, advisors and/or outside consultants. Furthermore, according to Morris et al. (1996) building trust, encouraging open communication and raising shared values among the family members were considered essential.

Holmes and Kallabat (2015) suggested that there is no one way to develop a succession plan, therefore, a succession plan had to be adapted to match the goals and needs of the business owner. Added to this, Holmes and Kallabat (2015) noted that aspects such as value, family, sale and employees are some the options each business owner should consider when developing a succession plan.

The next section discusses the various models and frameworks that can be used to develop a BSP.

<u>Models used in Business Succession Planning</u>

George (2013) described five major steps in developing a succession plan: identify candidates with high-potential and capabilities; define the knowledge, skills and aptitudes of a competent successor; measure the strengths and weaknesses of the candidate(s); recognise developmental opportunities and monitoring; and support and assess progress. In this study a key question to participants was "Do your family members (children or heirs) show a genuine interest in taking over the business?".

On the other hand, Le Breton-Miller, Miller and Stirer (2004) emphasized that the underlying reason behind an unsuccessful FOB generational transfer is often because of poor succession planning, thus Le-Breton et al. (2004) developed a preliminary model for a successful FOB succession (Figure 2.2), highlighting the variables that relate to activities and processes, and laying them out in a time sequence. The context of the model included principal actors such as the successor and incumbents, and the FOB and family framework

in which they operate. The model portrays all components; processes, and actors, and the framework in which they operate and their interactions within that framework that could influence the success of a succession plan.

In their next attempt, Le Breton-Miller et al. (2004) developed an Integrative Model of Effective FOB Succession where they focused more on yet un-explored, detailed and vital variables (Table 2.4).

Figure 2.2 – Preliminary Model for Successful FOB Succession
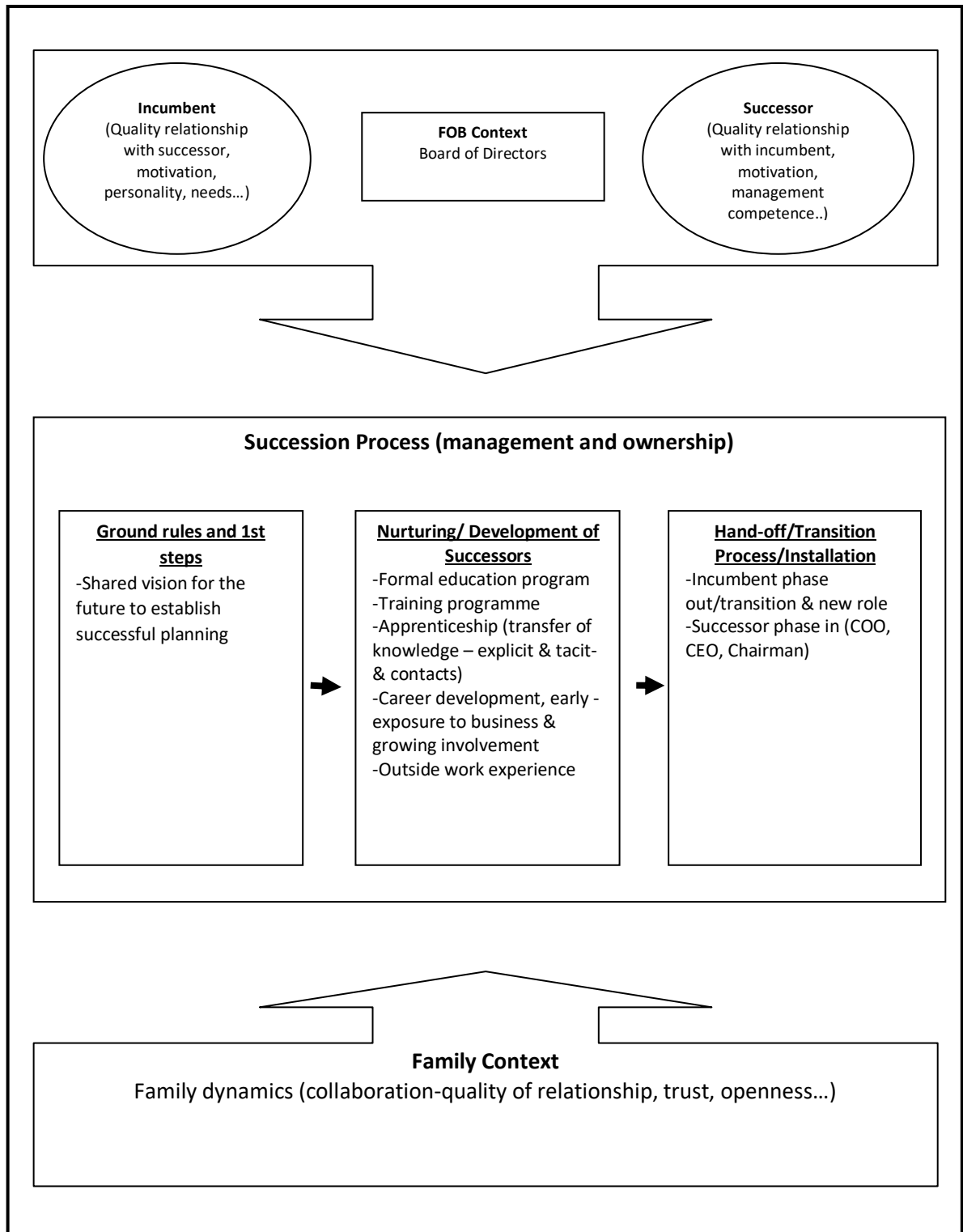
(Le Breton-Miller et al., 2004)

Integrating the variables explained in Table 2.4, Le Breton-Miller et al., (2004) developed the Integrative Model of Effective FOB Succession illustrated in Figure 2.3.

Table 2.4 – Unexplored Variables that Impact on the Success of an FOB Succession Plan

1.	Social Context	• Culture
		• Social Norms
2.	Family Context	• Family-firm interface is positive
		• Adaptability
		- Family council/meetings
		• Frequency and composition
		• Mission and family strategic plan
		• Norma/values
		• Rules/policies inside the FOB
		- Family dynamics
		• Openness
		• Respect
		• Spouse/mom leadership
		• Shared values
3.	Industry Context	
4.	FOB Context	• FOB form/ownership
		• Previous succession experiences
		• Boards of directors- frequency
		• FOB formalization (process and structure…) and FOB size
5.	Ground Rules and First Steps	• Governance guidelines (rules for ownership, board, council)
		• Selection criteria
		• Rule for choice (primogeniture, etc.)
		• Identifying potential successor(s)
		• Range of candidates (family, in-laws, externs)
		• Succession task force (key people/major stakeholders: board, company, veterans, counselor, family)
		• Career plan for by-passed non-family members & family members
6.	Nurturing Development of Successor(s)	• Previous employment with the business
		• Establishing gaps between FOB needs & prospective successor abilities
7.	Selection	• Selection of the CEO
		• Design of formal & legitimate process – final selection criteria & selection committee (jury, rules)
		• Person (talents, desire) and firm fit
8.	Hand-off/Transition Process/Installation	• Criteria for successor performance
		• Bridge manager interim
9.	Transfer of Capital	• Partition of shares
10.	Incumbent	• Gender
		• Age
11.	Successor	• Personal & financial investment

(Le Breton-Miller et al., 2004)

Figure 2.3 – Integrative Model of Effective FOB Succession

INDUSTRY CONTEXT (competitive structure, regulation…)

INCUMBENT
(Quality relationship with successor, motivation-willingness, personality, needs…)

FOB CONTEXT
Board of directors (composition, frequency), Strategy (strategic planning), Previous succession experiences, Organizational culture and design, FOB formalization (process, structure…) & FOB size , FOB form/ownership (controlling owner, sibling partnership, cousin consortium)

SUCCESSOR
(Quality relationship with incumbent, motivation, management ability-competence)

SUCCESSION PROCESS (management & ownership)

Ground Rules & 1st Steps	Nurturing/Development of Successor(s)	Selection	Hand-off/Transition Process/Installation
Shared vision for the future to establish succession planning including – • Selection criteria • Range of candidates (family, extern) • Rules for choice (primogeniture, etc.) • Identifying potential successor(s) • Governance guidelines (rules, for ownership, board, council) • Leadership partition plan & transition • Ownership partition plan • Succession task force • Time frame & timing • To be established early, communicated and adjusted with time, experiences and feedback	• Establishing gaps between needs & prospective successor abilities • Formal education program • Training program • Apprenticeship (transfer of knowledge – explicit & tacit - & contacts) • Career development , early exposure to the business & growing involvement • Outside work experiences • Incumbent personal interaction in the successor preparation	• Design of a legitimate process: -Final selection criteria -selection committee (rules, jury) • Person (talents, desire) and firm fit • Selection of the CEO	• Incumbent phase out/transition & new role • Successor phase in (COO, CEO, Chairman) • Bridge manager interim • Criteria for the performance of the successor **Transfer of capital** • Partition of shares: one controlling owner, division between siblings equally/not/between cousin VS who is the FOB leader

Performance/ Evaluation – Feedback (monitoring the process)

FAMILY CONTEXT
• Family dynamics (collaboration-harmony-team- approach-quality of relationship, trust, openness, shared values, respect, spouse-mom leadership…)
• Family influence on business decisions, commitment to the business & importance of family funding
• Family council/meetings (frequency, mission, norms/values, rules/policies, roles/responsibilities/privileges/rights)

SOCIAL CONTEXT (culture, social norms, ethics, religion, laws)

(Le Breton-Miller et al., 2004)

According to Le Breton-Miller et al. (2004) this model (Figure 2.3) is the first attempt at integrating the social and industry related factors and their influence on the family context and the FOB context, respectively. This model also clearly separated the skills and abilities of both the incumbent and the successor within the FOB context and its current needs. The model illustrates a four-stage succession process that leads to the transfer of capital and ownership, complete with performance/evaluation and feedback throughout the four stages.

In related research, Chirico and Salvato (2008) introduced the FOB Knowledge Accumulation Model (Figure 2.4) that emphasised the importance of knowledge accumulation and suggested that knowledge accumulation was the enabler of longevity in FOBs. Interestingly, according to the FOB Knowledge Accumulation Model, knowledge accumulation begins within the family and continues within and outside the FOB. The knowledge accumulation model identified two elements of importance: openness factors and emotional factors. The openness factors are those factors that aid in a successful transition such as academic courses and practical training courses outside the FOB; working outside the FOB, and employing/using non-family members. The emotional factors include those that aid in a successful transition such as family relationships working within the FOBs, encouraged by trust between family members and commitment to and psychological ownership of the family business. Chirico and Salvato's (2008) identification of the emotional factors that contribute to a successful FOB succession is their contribution to the literature on FOB succession.

The openness factors illustrated in Figure 2.4 speak about the extent to which the FOB and the family are ready to be influenced by the external environment, either via outside work experience or more formal education by the successor. Thus, the knowledge accumulation model is a flow between the internal capabilities and ensuring external influences that qualify the successor to accomplish as much tacit knowledge from both the incumbent and others to boost the probability of a successful succession transfer.

However, taking into account the Preliminary Model for Successful FOB Succession (Figure 2.2) and the Integrative Model of Successful FOB Succession (Figure 2.3) by Le-

Figure 2.4 –The FOB Knowledge Accumulation Model
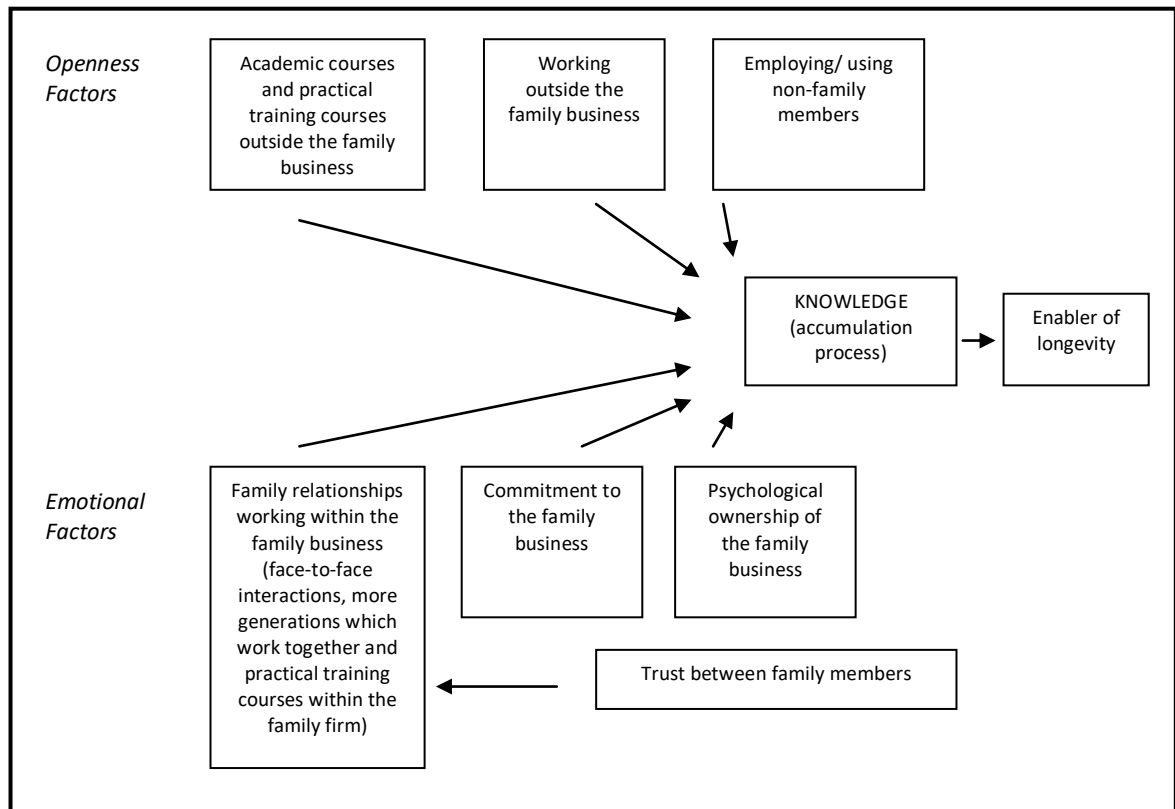
<div align="right">(Chirico and Salvato 2008)</div>

Breton-Miller et al. (2004) and the FOB Knowledge Accumulation Model (Figure 2.4) developed by Chirico and Salvato (2008) and merging the strengths of these models, Whatley (2011) developed the Integrated, Dialectic, Knowledge Accumulation Model for FOB Succession (Figure 2.5). This model developed by Whatley combines the Integrative Model of Successful FOB Succession and the FOB Knowledge Accumulation Model in an attempt to adopt the strengths and address the weaknesses of each approach.

Figure 2.5 is 'integrative' since it takes into account both the social background that outlines the family dynamics and the industry background that outlines and influences the FOB. The model also portrays a 'dialectic' process consisting of four key areas of effective succession transfer: ground rules consisting of values, vision, guidelines, communication of the possible transfer, development, which includes identifying gaps in skills/knowledge and training (external and internal to the FOB), hand-off transition, where the incumbent is phased out and the successor is positioned within a specific position; and transfer of capital where the decisions of ownership structure, control and the legal and tax considerations are focused.

Figure 2.5 - Integrated, Dialectic, Knowledge Accumulation Model for FOB Succession

INDUSTRY CONTEXT (competitive structure, regulation…)

INCUMBENT (quality (relationship with successor, motivation-willingness, personality, needs…) (Emotional)

FOB CONTEXT
-Board of directors (composition, frequency)
-Strategy (strategic planning)
-Previous succession experiences
-Organizational culture & design FOB formalization (process and structure) & FOB size
-FOB form/ownership (controlling owner, sibling partnership, cousin consortium) (Openness)

SUCCESSOR (quality relationship with incumbent, motivation management ability competence) (Emotional)

Ground rules

Development (Emotional/Openness)

Transfer of capital (openness)

Hand-off transition

FAMILY CONTEXT/PERFORMANCE/EVALUATION/FEEDBACK
-Family dynamics (collaboration=harmony-team approach-quality of relationship, trust, openness, shared values, respect, spouse/mom leadership
-Family influence on business decisions, commitment to the business, and importance of family funding
-family council, meetings (frequency, mission, norms/values, rules/policies, roles/responsibilities, privileges, rights, selection) (Emotional)

(Whatley 2011)

The 'dialectic' process illustrated in Figure 2.5 is an outstanding feature compared with Figure 2.3; the Integrative Model of Effective FOB Succession because Figure 2.5

incorporates four key areas as listed above rather than a linear process. Furthermore, the four areas representing the dialectic process contextually depend on the various family members and their abilities and experience, thus is a more open systems perspective on the nature of change. As a result, this model anticipates that each succession transfer may take a different path. Some succession transfers may set ground rules after evidence of development has occurred, whereas others may transfer the capital before commencing the hand-off transition. The strength of this model is that no single pathway has to be followed; instead, there are multiple ways to achieve a successful transfer, depending on the context. However, in the ethnic approach, there was always only one pathway to be followed; that is to pass-on and take-over the FOB.

In addition to his work on developing the Integrated, Dialectic, Knowledge Accumulation Model for FOB Succession (Figure 2.5), Whatley (2011) quoted Garcia-Alvarez, Lopez-Sintas and Gonzalvo (2002) who emphasised that FOB founders created values that outlined both the family and business socialisation processes. Whatley (2011) noted that socialisation included two patterns: the founder homosocial model and the new-leader development model, which is in-line with the founder's perceptions of the nature of the business. If the FOB was in a dynamic atmosphere, it was best to develop a successor based on the new-leader development model, which includes formal education. Whatley (2011) explained that for those FOBs that did not experience large amounts of external environmental change, the most suited model in developing a successor was the homosocial model which does not include any formal education. Additionally, as migrant family-owned convenience stores and restaurants were considered as low-barrier-to-entry businesses, they did not require formal education hence creates a gap from the existing models of BSP in FOBs.

The models discussed above (Figure 2.2 – Preliminary model for successful FOB successions; Figure 2.3 – Integrative model of effective FOB succession; Figure 2.4 – FOB knowledge accumulation model and Figure 2.5 – Integrated, dialectic, knowledge accumulation model for FOB) are considered models constructed within the parameters of a psychoanalytic framework that focuses mostly on the psychology of the incumbent and the successor and their relationships with the other members of the family and stakeholders of the business (Saxena, 2013). Yet, the ethnicity aspect had the potential of taking these models to a different level. Saxena (2103) introduced an eclectic, integrative framework (Figure 2.6) for examining succession related issues in family businesses by extending the

psychoanalytic framework. This eclectic framework is more focused on the emergence and continuation of business groups in the wider context of historical, economic, political and sociological circumstances of their respective settings. It is worth noting that the eclectic framework was derived from institutional theory as explained by D'Mello (2002), Redding (2005) and Carney et al. (2009).

Figure 2.6 – Eclectic Framework

History
Legacy of business systems, Colonial rule, Evolution of institutions

Politicolegal
State policy toward business groups, Inheritance laws, Regulation

Economy
Capital markets, market for managerial talent, Demand and supply conditions, Stage of development

Sociocultural
Religion, Cast/community, Family, Cultural dimensions, Context

Ethicomoral
Dark side of business groups, Employee rights

Successor
Age, health status in the family hierarchy.
Relationship with successor and other family members. Relationship with other stakeholders in the firm.
Psychology, behavioural orientations towards succession.

Succession outcomes

Family
Size, Stage, Cohesiveness

Need

Search

Initiation

Succession Process

Integration

Joint Reign

Withdrawal

Firm
Size, Complexity, Stakeholders, Ownership pattern

Incumbent
Age, health status in the family hierarchy.
Relationship with successor and other family members. Relationship with other stakeholders in the firm.
Psychology, behavioural orientations towards succession.

International
Global practices

(Saxena, 2013)

According to Saxena (2013), the eclectic framework had many advantages over the psychoanalytic framework for explaining the general succession process, particularly succession concerning FOBs. Developed from within business succession, first, this framework allowed the creation and understanding of regulative, normative and cognitive procedures that helped shape the individualities and pursuits of a large number of stakeholders and the numerous roles of the same stakeholders in succession (Filatotchev et al., 2011). Secondly, Saxena (2013) considered succession as a process and not just an event thus the eclectic framework encapsulated the entirety of the succession. It scrutinized the succession from the beginning – the need for succession planning by the incumbent until his/her departure in the best interests of the successor.

Thirdly, Saxena (2013) noted that the eclectic framework had an exact observed value; Hofstede (2004, 2007) revealed that national institutions justified 50% of the disparity in beliefs, attitudes, motives and values of business leaders and their behaviours.

In the context of this study, it is noticeable that the above models do not highlight or discuss the influence of ethnicity on BSP; they discuss succession, the family, industry, social contexts hence creating a noticeable gap. Accordingly, the question for this study is:

'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand, and, if so, how does it affect them?'

This is expected to bridge the gap; the content of the models illustrated and explained above, in relation to the findings gathered in this study will be discussed in depth in Chapter 5 – Discussion and Conclusions.

2.5 Business Succession Planning in Family-Owned Small and Medium Enterprises

According to Venter, Boshoff and Mass (2005), FOBs are accepted as major contributors to the creation of wealth and employment in practically in every country in the world. Thus, FOBs have become the dominant form of business enterprises in both developing and developed economies; their influence and numbers are expected to surge in the future. Bjuggren and Sund (2005) suggested that most FOBs belong to the category of SMEs.

Bjuggren and Sund (2005) explained that, irrespective of their contribution to the economic and social well-being of all capitalist societies, the lack of longevity in FOBs was a major problem. Internationally, approximately 30% family businesses survive into

the second generation and less than 14% made it to the third generation (Venter et al. 2005). Bjuggren and Sund (2005), van der Merwe (2009) and Perricone et al (2001) all suggested that the single most important reason for the high failure rate among first and second generation family businesses was their inability to manage the complex and highly emotional process of ownership and management succession from one generation to the next.

According to Sharma, Chua and Chrisman (2000), although almost one-third of family business literature was allotted to succession issues, knowledge on how family businesses were successfully passed down to the next generation remained emergent. Perricone et al. (2001) noted that literature on BSP in ethnic family firms was mostly fragmented.

With regard to this study concerning New Zealand, Gimblett (2014) reported that New Zealand FOBs had a relatively smaller turnover rate than those operating in other countries because the country itself was comparatively young. Gimblett (2014) also noted that most family members in New Zealand's FOBs had Chief Executives and Managing Directors operating their respective FOBs rather than controlling them. He also highlighted that nearly half of those running FOBs in New Zealand were either 55 years old or older reflecting that New Zealanders set aside succession planning until later in life. Only 17% of New Zealand FOBs possessed a healthy and formally documented BSP, this is a major business risk creating superfluous discomfort for families and their businesses. However, Gimblett's research obviously does not consider small and medium scale FOBs, whereas this study focuses on relatively smaller migrant FOBs thus adds new knowledge to the literature.

2.6 Ethnic Minority Businesses

Having reviewed the literature on SMEs, FOBs, BSP and BSP in family-owned small and medium scale enterprises this section is dedicated to reviewing literature on ethnic minority businesses, which is the main area researched on in this study.

Ethnic minority businesses are acknowledged as accelerators of economic growth around the globe (Assudani 2009) with immigrants are more likely to become business owners than non-immigrants (Neupert and Baughn 2013) and increased participation of ethnic minorities in self-employment is a noticeable feature in the SME sector in many European countries (Phizacklea and Ram, 1995). This is partly because of the development of ethnic minority communities in large urban areas through immigration from ex-colonies. As fixed

employment was unstable, the opportunity to start a small business created a positive environment that has led the progress of ethnic minority business.

Examples of where immigration and ethnic businesses have taken hold include Cubans in Miami, Koreans in Los Angeles and Chicago, Chinese in San Francisco and Vancouver, and East Indians in New Jersey. This highlights a technique for getting into restricted spaces in the labour market to create a socially decent and economically feasible position in the host countries and confirms an ethnically specific predisposition for business (Ram and Smallbone, 2003; Piperopoulos, 2010;).

Piperopoulos (2010) suggested that the common reasons for most immigrants to leave their home countries was the aim to have an improved life for them and their family, especially to provide the best for their children. In addition, the following reasons are also reported for starting a business. First there is a lack of opportunities in the labour market because of ethical/racial discrimination and language barriers. Secondly, there is the gathering of sufficient wealth to return to one's home country after taking part in a business opportunity created by a strong group of co-ethnics. There is the advantage of a high probability of earning money with the intention of investing in the family's future. There is upward social mobility in the host society and there is a personal preference or attitude towards business activities. These are among the various motives that trigger business initiatives (Aldrich and Waldinger, 1990; Phizacklea and Ram, 1995; Basu; Sanders and Nee, 1996).

In addition to the above reasons for being business focused, minorities also, in many instances, were/and faced with a variety of impediments in the business process including a lack of education, scarcity of resources, lack of adequate business experience and the inability to find qualified mentors and advisors (Heilman and Chen, 2003; Gibson, McDowell and Harris, 2011; Johansen, 2013). These issues indicate that minorities, in some instances, were less interested in starting their own businesses (Matthews and Moser 1996; Kourilsky and Walstad, 1998).

It appears that when ethnic minorities choose to initiate a business start-up, it is generally on a smaller scale and commonly within the retail or service sectors (Perry, 2002), low barrier, however where failure rates are much greater than other businesses (Brush and Chaganti, 1999). As cited by Largent (2012), and Nestle (2011), ethnic minorities are most likely to start small and medium scale retail enterprises in urban areas that provide co-ethnic groups of those countries with either goods, services or resources. Adding to this,

Piperopoulos (2010) explained that immigrant business owners generally did not introduce a new product or service to the market to make profit, rather the aim was of serving, for example, catering Indian food to the co-ethnic population. Nevertheless, ethnic business owners were 'sojourners'; they were people who worked hard, saved money, spent cautiously, lived parsimoniously and enjoyed privileged access to partial and least funding from family and other community organisations (Barrett, Jones and McEvoy, 1996).

Concepts that Stimulate Ethnic Minority Business Starts

Having reviewed the general reasons for ethnic businesses, this section reviews the four key approaches introduced by Piperopoulos (2010) that contributed to comprehending the process of ethnic minority business starts and becoming self-employed: (1) the cultural approach, (2) the block mobility approach, (3) the opportunity structures approach, and (4) the ethnic resources approach.

The cultural approach determined that an immigrant businessman usually demonstrated the keen nature of a trader (Morrison, 2000; Marger, 2001; Chaudhry and Crick, 2004; Piperopoulos, 2010). Such individuals often migrated with a clear, unambiguous target to initiate a business in the host country with the wide use of available formal and informal networks and systems. Accordingly, in this approach, the various special proficiencies, cultural partialities, individual aspirations, mind-sets, values, urge for success along with the legacy which ethnic business owners carry into the host country were generally converted into business endeavours and actions around specific business settings (Boyd, 1998; Morrison, 2000; Ram and Carter, 2003; Sriram, Mersha and Herron, 2007). Empirical evidence from Ram (1997) and Raijman and Tienda (2003) noted the reasons behind the success of ethnic minority businesses operated by ethnic communities such as Korean, Chinese, South-Asian, Cuban and Jewish, were their precise cultural approach to business. Also, the conventional values and socio-cultural background of ethnic business owners pertaining to this particular cultural approach explained not only the disparities between the native population and proportion of self-employed among ethnic business owners, but also the disparities among minority communities themselves (Teixeira, 2001). Ethnic minorities favour self-employment if they had been self-employed prior to migrating, or possessed certain levels of experience and training in similar fields or work when in their home countries (Hammarstedt, 2001; Basu and Altinay, 2002).

The second factor affecting ethnic minority business start-ups was a blocked mobility in the labour markets of the host countries (Piperopoulos, 2010). Ethnic minorities face many

disadvantages in the labour markets of host countries because of inadequate education, racial discrimination, redundancy, under-paid salaries, language barriers and other negative events that motivated them to initiate business activities (Basu and Gowsami, 1999; Hammarstedt, 2001; Basu and Altinay, 2002; Kontos, 2003; Chaudhry and Crick; 2004). The labour disadvantage theory (Emerson et al., 2011) discussed later suggests that many immigrants face various disadvantages in labour markets compared with native-born people. Therefore they are compelled to become self-employed as a mode of economic survival.

Heilman and Chen (2003) and Sriram et al. (2007) highlighted that although corporations worldwide provided immigrants with multiple access to recruitment programmes, in many instances, ethnic workers were not placed in reputable jobs that provided them with adequate opportunities for advancement. Neither were they given any proper on-the-job training for their development, so ethnic minorities were compelled to accept whatever available jobs were left (Chaudhry and Crick, 2004). Ethnic minorities usually face situations within conventional organisations where certain cultural obstacles limit them and eventually push them out of the organisations. Such situations directed ethnic minorities into businesses where they could achieve personal success and economic affluence (Barrett et al., 1996; Ram, 1997; Teixeira, 2001; Heilman and Chen, 2003; Ram and Crater, 2003; Hussain and Matlay, 2007). In France and Britain, racial discrimination usually 'pushed' ethnic minorities to self-employment because of the difficulty of finding and securing employment. This was most prominent in ethnic minorities' business starts (Phizacklea and Ram 1995).

For the third factor, the opportunity structure approach, ethnic minority business owners who possessed adequate knowledge and understanding of the particular needs and legacy of their co-ethnic consumers were more attracted towards business and self-employment (Ram, 1997; Iyer and Shapiro, 1999; Barrett et al, 2001; Raijman and Tienda, 2003; Sriram et al., 2007). Selling cultural food items, for example, created distinctive consumer demands and business opportunities that most vendors from specific ethnic groups could satisfy; these vendors possessed adequate inside knowledge (Boyd, 1998; Hammarstedt, 2001; Basu and Altinay, 2002; Jamal, 2005). Furthermore, ethnic minorities often created communities concentrated in specific geographical areas and, by doing so, created opportunities for ethnic minority businesses to act as training systems for young ethnic business owners, created network connections and informal communications of market

opportunities, and an embryonic group of ethnic business institutions (Basu and Goswami, 1999; Hammerstedt, 2001; Chaudhry and Crick, 2004). In discussing the creation of ethnic communities, Ram and Carter (2003) determined that ethnic minority businesses that were specifically attracted to ethnic communities focused largely on low-ordering retailing services, confectionery, grocery stores, newsagents, tobacconists, garment related businesses, and catering, along with other low-reward areas of the economy. It is also worth noting that ethnic minority business owners generally avoided the main markets and focused on ethnic markets that demonstrated the least inter-ethnic competition typified by import and/or export and retail of ethnic goods, or had favourable small business development policies enforced by the government (Piperopolous, 2010).

The final factor that persuaded ethnic minorities to engage in business starts was ethnic resources (Piperopolous, 2010). Social capital provided ethnic minority businesses with essential, steadfast labour sources, capital and credit, and a gateway to proper training and important information on market and business opportunities/threats that may not be readily available because of time and resource constraints (Sanders and Nee, 1996; Marger, 2001; Raijman and Tienda, 2003; Fong, Luk and Ooka, 2005; Deakins et al., 2007). Emphasizing this approach, many scholars, including Aldrich and Waldinger (1990), Portes and Sensenbrenner (1993), Sanders and Nee (1996), Chaudhry and Crick (2004), Fong et al. (2005) and Sriram et al. (2007) suggested that ethnic minority business owners such as Koreans, Japanese, Chinese, Asians and Cubans make maximum use of large networks of family, identity and enclave resources to obtain business information and inside knowledge of existing market opportunities to expedite business initiatives. It is important to mention that ethnic resources, which comprise kinship, family, social networks/ties, ethnic enclaves, are critical for business starts when ethnic minority business owners require financial and human resources (Raijman and Tienda 2003; Ram and Carter 2003; Ram, Smallbone, Deakins and Jones 2003; Deakins et al. 2007). Having discussed about ethnic minority businesses, the significance of ethnicity is an important aspect in this study because it may link to BSP.

2.7 The Significance of Ethnicity

The thrust of this study is to assess the ethnic factors that give rise to BSP in small and medium scale ethnic family-owned convenience stores and restaurants in New Zealand. Thus it is important to define discuss the significance of 'ethnicity'.

<u>Definitions of Ethnicity</u>

'Ethnicity' is defined by Eriksen (2010) in Harlambos and Holborn (2007, p. 16) as 'aspects of relationship between groups who considered themselves and were accepted by others, for being culturally different'. Eriksen (2010, p.16) also quoted Glazer and Moynihan (1975), who defined ethnicity as 'the character or quality of an ethnic group'. The Oxford Dictionary (2018) recognises 'ethnicity' as the fact or state of belonging to a social group that had a common national or cultural tradition.

As part of the ethnic discussion, Harlambos and Holborn (2007, p. 159) highlighted three key features of ethnicity that distinguish it from 'race'. First, ethnic groups often believe that they emerged from a common origin, hence they shared common forefathers and possibly common racial characteristics. Secondly, certain racial groups, such as Africans and Americans, were 'ethnified'; that is, they had the potential to adopt cultural characteristics that sometimes differentiated them as an ethnic group. Thirdly, certain other ethnic groups were racialised in the perception of others; that is, others saw such groups as having a common genetic origin and shared traits.

Additionally, Richardson (1990) quoted in Haralambos and Holborn (2007, p. 160) discussed 'ethnicity' simultaneously with 'race' and 'black/white'. According to Richardson, there were advantages in using ethnicity over race or black/white; the term 'race' was rejected because Richardson directly disagreed with the presence of grouping people biologically. The term 'black' was deemed to be confusing because, in certain contexts, it captured people of African Caribbean origin and, in the context of Britain, it was aimed at disadvantaged minorities and it was unfair to apply this term to Chinese, Cypriots and Middle Eastern people just because they were disadvantaged in the Western industrialised countries. Further, most Asians do not prefer to be identified as blacks. Richardson acknowledged 'ethnicity' as being based on certain cultural differences between groups of people and considered the term 'ethnicity' as attractive because it emphasised socio-cultural criteria compared with the conservative 'race' system. Also, 'ethnicity' contained potentially extensive groups of individuals compared with the 'black/white' model.

Hill et al., (2005) emphasized that the cultural prominence in the term ethnicity made it a much more constructive concept than 'race' and other related concepts. Ethnic groups can never exist in isolation. The idea of ethnicity was that the culture of one group was different from that of another group. Frequently, there is a hierarchy of ethnic groups with a society, where some groups experience more society status and more material rewards than others. Thus, the term ethnicity refers to relationships between groups whose members consider themselves different. These groups are positioned hierarchically within a society. The development of ethnic groups depends on the contact between groups of people who share ideas with each other as being culturally different.

Ethnic groups are different from one another in many ways (Eriksen, 2010 p. 10); they have myths of common origin and they have ideologies that encourage endogamy, that is, they encourage or require marriage partners to be selected from within the same ethnic group. Shared cultural characteristics were not necessarily essential for the development of ethnic identities, hence 'social classes' and 'members of an English fiction association' were not considered ethnic groups. Having defined ethnicity, Eriksen (2010, p.18) distinguished between different types of ethnic groups: urban ethnic minorities, indigenous people, proto-nations/ethno-nationalist movements, ethnic groups in plural societies and post-slavery minorities. Table 2.5 provides a detailed description of each of these ethnic groups.

Table 2.5 – Different Types of Ethnic Groups as Identified by Eriksen (2010)

Ethnic Group	Description
1. Urban ethnic minorities	Groups of immigrants and their offspring concentrated in cities and towns, for example, non-European origin in Europe (South Asians in Britain), Hispanics in the USA, Chinese in Indonesia and Koreans in Japan. Although such groups may experience discrimination they are unlikely to organize to demand their own separate states.
2. Indigenous people	Aboriginal natives of a territory, who are politically powerless and who are only partly integrated into the dominant nation-state, for example, Maori in New Zealand, Aborigines in Australia, Sami of Northern Scandinavia, tribal groups in the Amazon.
3. Proto-nations/ Ethnonationalist movements	Minority ethnic groups who are actively looking for an independent state. They have many things in common with nations but do not have control over their own territory, for example, Tamils in Sri Lanka, Kurds in Palestine; proto-nations in Europe with hope to political independence include the Basques in France and Spain and Bretons in France.
4. Ethnic groups in plural societies	Groups of people seen as culturally different within colonially created states. Such groups became more ethnically diverse during colonialism as a result of migration organized or backed by the colonial power. For example, – Kenya, Indonesia, Jamaica, Mauritius. For example, the Mauritius population consist of five ethnic groups – Creoles (African and Malagasy), Hindus (Indian), Muslims (Indian), Sino-Mauritius (Chinese) and Franco-Mauritius (French or British) also Coloureds (mixed origins). These ethnic groups do not seek for an independent nationhood, rather compete for resources with one another and hold strong stereotypical views of each other.
5. Post-slavery minorities	Minority ethnic groups who are the origins of slaves, African origin in America. Members of such groups develop a culture based on a 'rediscovered Africanness', for example, Rastafarians in Jamaica. They celebrate having a mixed identity, for example, African Americans.

(Eriksen, 2010, p. 18)

However, Richardson (1990), also pointed out certain issues embedded within the idea of ethnicity. It could be rather tedious to accurately differentiate between the various ethnic groups because most groups have been subdivided by themselves, thus they may overlap with one-another. Therefore, ethnic groups can be differentiated in many ways and this could lead to different classifications. For example, regional origin could lead to dissimilarities between Indians, Bangladeshis and Pakistanis, whereas religious association

could result in dissimilarities among Sikhs, Hindus and Muslims. Hence, there is a chance where principles of philology could produce a third classification system.

Though Eriksen's (2010) work revealed that ethnicity could come in different forms, Richardson's (1990) work showed that the identity of ethnicity could be based on different criteria. Between Eriksen and Richardson studies, Fenton (1999), emphasized the strength of ethnicity and the varied degrees of intensity of ethnic identification. Fenton noted that ethnicity had the potential to aggravate strong desires that could lead to aggression; it has the ability to control people's lives as well as being a comparatively minor source of identity that had limited relevance in everyday life. In other words, no person was a full-time ethnic in the same way in all circumstances. Thus, ethnicity varies within societies and, in the context of an individual; it varies according to different circumstances. Fenton's findings on ethnicity distinguished between hot and cold ethnicity where 'hot ethnicity' was drawn towards blood and passion and 'cold ethnicity' involved calculation and instrumentality. In hot ethnicity, ethnic identities support nationalist movements or any sort of passionate battle between ethnic groups where strong group loyalty was greatly emphasized. In cold ethnicity, the appeal was less passionate and less emotional.

In conclusion, the literature confirms that every approach to define ethnicity and classify types of ethnicity encounters various issues. The ethnicity approach is not restricted to labelling immigrant groups and the distinctive aspects of ethnicity: religion, language, regional origin. Ethnicity can be used as a basis of classification suitable for sociological issues. Nevertheless, ethnicity acknowledges that societal divisions between such groups of individuals are generated, persevered, modified and defined by individuals and that they are not the preordained product of potential biological differences. However, the term 'race' still remains useful if ethnic groups are thought, by themselves or by others, to be different in physical appearance.

Having discussed the significance of ethnicity, understanding how and/or why businesses were started by immigrants is an important aspect in this study because it may link to BSP.

2.8 Theories of Immigrant Businesses

Business start-ups were chosen by immigrants as an alternative to employment to enable them to earn a proper income and help them to attain quality of life (Heilbrunn and Kushnirovich 2008). Research by Emerson, Gunaratne, Hebblethwaite and Paulose (2011) explained that five conceptual theories had been developed regarding immigrant an

business, that is the ethnic enclave theory, middleman minority theory, labour disadvantage theory, cultural theory and opportunity structure theory.

The ethnic enclave theory suggests that new immigrants are able to find opportunities in places where businesses were already operated by similar ethnic groups, whereas the middleman minority theory identified the part that a minority group played in becoming the middleman between the immigrant market and suppliers in the main group. The labour disadvantage theory, as noted by Emerson et al. (2011), states that immigrants were compelled to become self-employed because of various disadvantages facing them. The cultural theory underlined that there were culturally determined features of ethnic migrants, commitment, living in tough conditions, being a part of a strong ethnic community, accepting social values, self–employment. Finally, the opportunity structure theory identified the ability of ethnic resources to provide an opportunity structure for new migrants. Piperopoulos (2010) revealed that ethnic businesses were generally considered an important component of most Western economies and, as a result, had escalated in numbers during the past two decades. Most migrants were from developing countries who had been recruited by developed countries had low-skills, thereby were discriminated against socially and politically. This has paved the way for the development of racial discrimination policies amongst ethnic minorities in their quest for equal employment opportunities (Osman, Asrah, Rashid and Rajput, 2011).

In conclusion, in spite of the various theories about how immigrants became self-employed, the general reason for people to migrate to other countries was mainly because of 'hope'; people hoped for a better life in terms of economy with improved working conditions and living standards and also family reunion (Yeung and Deniss, 2012).

2.9 The Concept of Mixed Embeddedness

Having discussed ethnic minority businesses, the concepts stimulating ethnic minority businesses and the immigrant business theories, this section provides a clear understanding of the concept of 'mixed embeddedness' and attempts to explain the subtleties of immigrant businesses in highly developed economies (Kloosterman and Rath, 2001; Kloosterman, 2010).

Ethnic businesses operate in a socio-economic and politico-institutional atmosphere; this has been identified as the 'mixed embeddedness' of ethnic minority businesses. The concept of mixed embeddedness includes the policy objective of offering support to

selected businesses, which is generally carried out via various institutions operating within the field (Kloosterman, van der Leun and Rath, 1999).

Emphasizing mixed embeddedness, Wahlbeck (2013) advised that the concept indicated the interdependence of resources and opportunity structures at that point of starting a business as well as when operating it. It provides a better understanding of why it is possible that some ethnic and migrant groups focus only on particular economic sectors and occupations.

According to Jones, Ram, Edwards, Kiselinchev and Muchenje (2014), the most common example of this concept is the South Asian communities of the 1980s in Britain. Their colossal over-representation in self-employment was believed to have emerged from labour power, finance and information supplied informally, cheaply and flexibly by family and co-ethnic communities. However, ethnic minority businesses had to be considered as grounded in both the mix of personal business resources and in the adjacent structural context of markets, competition and essentially the state regulatory system (Ram, Theodorakopoulos and Jones, 2008).

Most ethnic minority businesses were owned and managed by members of a single family (Basu and Goswami, 1999; Iyer and Shapiro, 1999). Confirming that statement, Basu (2004) advised that family background played a 'two-fold' role in business. First, the new business owners had previous experience of business from his/her family and, secondly, the support provided by the family was significant to the formation, provision and growth of the ethnic minority business.

Although the literature reviewed above defines ethnicity and explains the significance of ethnicity, it fails to identify how ethnicity impacts the business practices of ethnic minority businesses. Hence, creates a gap in the existing literature.

2.10 The Impact of Ethnicity on BSP in FOBs
According to Fraser (2008), a large proportion of ethnic minority family-owned firms operating in host countries belong to the category of small and medium scale. However, Hussain, Scott and Matlay (2010) argued that ethnic minority FOBs were frequently affected by the lack of vocational and business education and training and this risk was predominantly evident during crisis management, when opportunities and challenges related to succession become more evident and/or strategically important. Hussain et al. (2010) also noted that ethnic minorities had a greater propensity to demonstrate increased

levels of initial unemployment because they were rejected from large firm recruitment intakes. Walton (1979) noted that ethnic minorities had a higher probability of reporting lower levels of pay and increased job dissatisfaction and this could be linked with the theories of migrant businesses (Emerson et al., 2011) explained in Section 2.5.

Ram and Jones (2008) suggested that typical ethnic minority businesses were stereotyped as 'taxis and curry houses' but Dhaliwal and Adcroft (2005) highlighted that there was a greater tendency for most ethnic minorities to enter non-traditional, yet fast growing and highly capitalized small business sectors such as the pharmaceutical and IT sectors. According to Whitehead, Purdy and Keyes (2006), 90.4% of ethnic minority businesses SMEs in the UK were in the service industry and 69.9% within that industry were non-ethnic minority firms. Comparably, there were 15.6% of Asian and 29.5% of black owned new and established businesses in the services industry. However, in the same study 19.2% of the Asian embryonic business owners were involved in service businesses and 12.7% were engaged in computer related services compared with 27% of black embryonic business owners. Whitehead et al. (2006) confirmed that there was evidence of cluster-based start-ups in more traditional retail and restaurant sectors in the UK.

Goodchild, Sanderson and Leung-Wai (2003) reported that BSP in ethnic minority FOBs in New Zealand could arise from critical instances in the labour market. Explaining this using an example, Goodchild et al. (2003) highlighted that succession made the existing owners acknowledge that certain levels of capital built up in the business could be utilised to finance their retirement. Succession, according Goodchild et al. (2003), provided family members and potential employees with a career path in the business that would not have because of restricted opportunities for career advancement. Moreover, planned succession could be mutually beneficial for both parties in reinforcing the opportunities for both parties to achieve their goals in terms of career advancement and retirement.

Shepherd and Zacharakis (2000) noted that BSP in FOBs has been widely discussed on many occasions. However, Hussain et al. (2010) advised that succession appeared to be more complicated for ethnic minority family-owned businesses.

Ethnic Minority Family Firms and Succession Issues
Hussain et al. (2010) suggested that ethnic minority FOBs tend to have been initiated by first generation immigrants in traditional and low-profit making sectors and are often

unappealing to the second generation. According to Ram and Jones (2008), children of ethnic minority FOB owners born in the UK, who have also been well educated, have either decided not to take over the family business or have moved into higher value, high tech sectors of economic activity. Ram, Sanghera, Abbas, Barlow and Jones (2001), in a South Asian study, reported that most first generations had different goals for their children. Only very few wished their children to join or take over the management of the family business; many encouraged their children to be involved in professional careers rather than dealing with difficult, endless hours of self-employment, as discussed in Ram and Jones' (2008) study.

Education plays a major role in employment opportunities and the future performance of the FOB (Bachkaniwala, Wright and Ram, 2001). The prospect of 'harvesting' and selling the business are fundamental elements of whether successors are willing to join and take over the management of the ethnic minority FOB. Bachkaniwala et al. (2001) profiled five cases in which only one of the new generation was likely to succeed the founder. The parents of four ethnic families preferred professional employment opportunities for their children over their ethnic minority business.

Janjuha-Jivraj and Woods (2002a, b) emphasized that South Asian small firms practised many strategies for succession planning including the principle of 'good conversations' between generations that lead to a more effective BSP. Suganthi (2009) advised that the role of women appeared to be crucial to BSP where women were considered 'silent contributors' to the succession process of ethnic FOBs. Remarkably, irrespective of their role and involvement, in most cases, women were not considered by the founders of the ethnic FOBs (for example- their fathers') as appropriate successors to take over the management thus were downgraded to informal support positions within the businesses. Janjuha-Jivraj and Spence (2009) noted that mothers in ethnic family firms frequently acted as a significant defence between the generations of business ownerss engaged in succession.

The next section is dedicated to a discussion of gender issues concerning family business succession.

2.11 The Invisibility of Women in FOBs

The literature reviewed so far suggests that succession planning concerning family-owned businesses is a challenging process. However, within this challenging process lies the issue

of women in family businesses. Kubicek and Stamfestova (2016) in their study revealed that the recent increase in women launching successful businesses and getting into major leadership roles was contrary to the past where women had played either a minor or no role in the family business; the main role of women was to take care of the household as well as raise children.

The literature also suggests that the range of roles played by a woman as a parent, spouse, bread-winner of the family, in-law, stereotyped her in society, thus inhibited her from reaching higher leading positions in organisations (Rowe and Hong, 2000; Vajnjal and Zupan, 2011). However, a similar perception, discrimination commonly known as 'women's invisibility', existed in family businesses and was attributed to social traditions and culture. Philbrick and Fitzgerald (2007) noted that both family and social forces had influenced the invisibility of women in FOBs. More specifically, Sonfield and Lussier (2005) in their study noted that, in terms of business and businesses, women were less confident, less aggressive, more cautious, easier to persuade, easier to deceive, had poor problem solving ability when making decisions under risk and had poor leadership skills. On the same point, Cole (1997) suggested that women were more dependent in their management activities and styles and had concern for others whereas men, on the other hand, were more independent. Thus women were identified as 'nurturers', 'peacemakers' and 'negotiators' in their roles as family business owners and/or managers.

Conversely, many studies tend to support gender similarities more than differences (Carsrud, Gaglio, Olm and Churchill, 1987; Chaganti and Parasuraman, 1996; Powell and Ansic, 1997; Watson, 2002). Some research also suggested that there were no substantial differences in management decision-making values and/or styles between men and women (Chaganti, 1986; Powell, 1990) while other research revealed that men and women business owners had similarities in decision related personality traits (Birley, 1989; Sexton and Bowman-Upton, 1990). In addition, other studies concluded that men and women were equally successful in making decisions under risky conditions (Hudgens and Fatkin, 1985; Johnson and Powell, 1994); were equally capable of processing and reacting to information (Hyde, 1990; Stern et al., 1992) and were equally skilled in taking roles in leadership (Eagly, 1995).

2.12 The New Zealand Context

SMEs play a major role in the New Zealand economy accounting for approximately 97% of all businesses and approximately 29% of all employees and 28% of New Zealand's

GDP (Ministry of Business Innovation and Employment, 2017). New Zealand depends heavily on its SME sector to provide more jobs to individuals than the UK, US and Australia.

In the context of this study, Nicholson, Shepherd and Woods (2009) stated that approximately 60% of firms in New Zealand belonged to the category of family-owned businesses. Further, Nicholson et al. (2009) determined that New Zealand has been slower in adopting FOBs than nations such as UK, US and Australia, that have acknowledged the significance and influence of FOBs since the mid-1980s. However, given the substantial role FOBs play in the New Zealand economy, Nicholson et al. (2009) emphasized that there was merit in undertaking future research in this business area because the findings could mean the commitment of more resources to understanding and supporting FOBs in New Zealand.

Discussing small businesses in New Zealand, the Ministry of Business Innovation and Employment (MBIE) (2014), defined small businesses in New Zealand as 'any type of enterprise or firm with fewer than 20 employees'. According to MBIE, the small business sector could be further divided into sub-sectors: zero, micro and small enterprises. 'Zero' represented businesses with no employees, 'micro' represented businesses with 1-5 employees and 'small' represented as businesses with 6-19 employees. MBIE identified businesses with 50-99 employees as 'medium' business and, finally, businesses with over 100 employees as 'large' businesses. Nevertheless, MBIE identifies that SMEs in New Zealand, as those with fewer than 20 employees, account for 40% of the economy's total output on a value-added basis and 31% of all employees.

In accepting the above definition, Lewis ad Cassells (2010) advised that 99% of all business firms in New Zealand belonged to the SME category and Woodfield and Nel (2011) confirmed that approximately 70% of SMEs in New Zealand were FOBs.

In the framework of this study, convenience stores are identified in accordance with Statistics New Zealand categories. Statistics New Zealand (2015) identified convenience stores under the main classification of 'Food Retailing' and sub classification 'Supermarket and Grocery Stores'. According to Statistics New Zealand (2015), supermarkets and grocery stores had three primary activities: convenience store operations, grocery retailing and grocery supermarket operation, which are mainly involved in

retailing groceries or non-specialised food lines (inclusive of convenience stores), irrespective of whether the selling was organised on a self-service basis.

Acknowledging 'restaurants', MBIE (2014) explained that the food and accommodation industry in New Zealand comprised reasonably homogeneous elements that provide food and beverages such as cafes, restaurants, takeaways and bars. MBIE (2014) emphasised that this industry was mostly dominated by small and medium scale businesses.

This study is focused on 'ethnicity' and 'ethnic groups' in New Zealand. Statistics New Zealand (2013) defined ethnicity as "the ethnic group or groups a person identifies with or has a sense of belonging to". It is considered a measure of cultural affiliation (compared with race, ancestry, nationality or citizenship). Ethnicity is self-perceived and a person can belong to more than one ethnic group (Statistics New Zealand, 2013).

Given the background of this study where the reasons for business initiatives/business start-ups are major gaps in knowledge, it is necessary to narrow the discussion and review ethnic minority business starts and the theories of immigrant businesses that persuade individuals from different ethnic minority groups to engage themselves in business activities.

According to Sawers and Whiting (2009), the expected upsurge in family-owned small and medium business owners approaching retirement and leaving the economy within the next 10 years will heavily impact the New Zealand economy in terms of firm valuation, survivability, retirement and employment. Thus, succession planning is important in New Zealand even though less than half of the family-owned SME owners in New Zealand were not engaged in BSP (Sawers and Whiting, 2009). This is a gap in the literature.

Carswell and Rolland (2007) determined that the basis for the existence of the different ethnic groups in New Zealand was the immigration process that took place in the country in three different phases. The first phase was the arrival of the Māori to New Zealand over 1,000 years ago; the second phase was the arrival of large number of immigrants from the UK and Europe in the mid to later years of the nineteenth century a trend that continued through the twentieth century; and the third phase was the arrival of immigrants from the Pacific Islands and Asia during the 1960s, along with a continuation of immigrants from the UK and Europe. Emerson et al. (2011) commented that New Zealand has been a terminus for various ethnic minority groups since the arrival of the country's first settlers, the Polynesians, approximately 1000 years ago. Yeung and Deniss (2012) emphasized that

the relaxing of tight immigration policies in 1986 had provided immigrants from many countries easy access to New Zealand.

In the context of this study, it is worth noting that New Zealand has followed an open immigration policy since 1991 with the aim of drawing immigrants with exceptional skills including business and investment skills irrespective of their country of origin (Watts and Trlin, 2000). As a result, in 2013 Statistics New Zealand noted that the total New Zealand population comprised five major ethnic groups: 74% European ethnicity, 15% Māori ethnicity, 12% with at least one Asian ethnicity, 7% with at least one Pacific ethnicity; and 1% of the total population with at least one Middle Eastern/Latin/American and/or African (MELAA) ethnicity. This has provided access to many minorities including Chinese and Indians to migrate to New Zealand (Yeung and Deniss, 2012). Chinese have become the second largest migrant group in New Zealand with Indians the third largest migrant group (de Vries, 2010). This immigration could be a result of the immigrant business theories explained of Emerson et al. (2011). However, it is worth noting that the families of the research sample used in this study had migrated to New Zealand prior to 1991 and it was during the 1970s and the 1980s.

According to Eriksen's (2010, p. 10) study of differentiation on ethnic groups, it is clear that New Zealand consists of urban ethnic minorities where groups of immigrants and their offspring are concentrated in cities and towns in New Zealand and with ethnic groups in plural societies. Tan (2015) reported recently that the increased migration of students and workers had produced a more diverse Asian population within New Zealand in areas concerning age, gender, education and skills. Further, Tan (2015) predicted that the total number of migrants would rise because of the rebuilding taking place in Canterbury, which has come to fruition.

In the context of this study, most migrants arriving in New Zealand find it very difficult to enter the existing labour market with the qualifications and skills they possess (Cain and Spoonley, 2013). As a result, there has been an upsurge of small and medium businesses, often serving the needs of migrant communities. Such developments have led to the rise of ethnic districts in some parts of New Zealand, where there is concentration of economic activity involving a single immigrant group for example, Chinese-dominated areas such as the Church Corner Mall and surrounding premises in Upper Riccarton, Christchurch.

North (2007) determined that New Zealand's immigration policy and its paradigm shifts over the years shows a close relationship between immigration and economic conditions and a relationship between immigration and social cohesion. Bedford et al. (2008) noted that the Asian population in New Zealand falls into two main categories: Chinese and Indian. Elaborating on the increased Chinese population in New Zealand, Selvarajah (2004) noted that most Chinese who have migrated to New Zealand belong to the 'new wave' of immigrants who had arrived in New Zealand after 1987, as a result of the Business Immigration Policy introduced in 1987. Further, the Points System, which was introduced in 1991, was designed exclusively to attract migrants with specialized expertise and ability to invest in New Zealand has produce a further increase.

Research by Yeung and Deniss (2012) reported that the main reason that had led many Chinese to migrate to New Zealand had been the urge for a better life in a new country with different surroundings and a different culture. Additional reasons included access to higher education, reunion with family and, last, business opportunities. However, as New Zealand is an English speaking country, Chinese have had to deal with many obstacles including cultural differences, differences in the economy, and differences in society at large (Yeung and Deniss, 2012). Ip (2015) noted that the 2013 census results showed that the Chinese population in New Zealand had increased by 16% to approximately 171,000. Chen and McQueen (2008) emphasized that most Asian immigrants had invested and inaugurated their businesses in New Zealand and, recently, migrants had been a significant source of personal capital investment in New Zealand.

With regard to the Indian population residing in New Zealand, de Vries (2010) stated that a significant component of the social and economic life adjustments of Indian migrants in New Zealand had a direct link to their prestige that was achieved via different forms of employment. This impacted on the likelihood of their families settling, the level of acceptance by society and their personal honour. Hence, getting involved in a business activity as explained by de Vries (2010) had been a way to satisfy such needs. For example, starting restaurants that produce authentic Indian food and starting convenience stores that sold Indian meal ingredients. Ip (2015) noted that, according to the 2013 census results, since 2009 the Indian ethnic population in New Zealand had increased by 48% to approximately 155,000. Ip (2015) further noted that Hindi was the fourth most commonly spoken language in New Zealand after English, Māori and Samoan.

As already stated, this study seeks to understand ethnicity in businesses in a New Zealand context and how these business owners embed BSP. Having reviewed the ethnic literature, this review now discusses family-owned businesses.

2.13 Chapter Summary

Despite the study by Wang (2010) on the importance of BSP in small and medium scale FOBs run by ethnic minority groups in a developed economy, a notable gap in the literature is the impact of ethnicity upon the succession of such firms. A significant gap also exists in the literature in that there is no research on the impact of ethnicity on BSP in small and medium scale FOBs operated by ethnic minorities in developed countries. Further, despite research on ethnic minority businesses in the US and the UK (Ram and Jones, 2008), no research has been undertaken on ethnic minority businesses in New Zealand. The absence of the applicability of the immigrant business theories of Emerson et al. (2011) to ethnic minorities residing in New Zealand is another gap in literature.

The various models of BSP illustrated and explained in Section 2.8 are used as the theoretical framework of this study, yet none of those models takes into account the impact of ethnicity on BSP in migrant FOBs.

Clydesdale (2011) suggested that various econometric models provide evidence that immigration had positive effects on the economy of New Zealand (Chapple, Yeabsley and Gorbey, 1994). The model developed by Pool et al. (1988) was considered most significant because it emphasized that immigration fast-tracked economic growth and decreased unemployment in New Zealand. However, there is no literature that considers this in terms of BSP of FOBs. Finally, there is no literature on ethnicity and its impact on SMEs in convenience stores and restaurants. This study will address these gaps to find out how ethnicity impacts on BSP in small and medium scale FOBs like convenience stores and restaurants operated by ethnic minority groups in the economic setting of a developed country.

CHAPTER 3

RESEARCH METHODOLOGY & DESIGN

3.1 Introduction

This chapter includes of three main sections: 'Research Paradigms', 'Research Methodology' and 'Research Design'. Section 3.2 'Understanding Research Paradigms', presents commentary on research paradigms, components of research paradigms and its philosophical underpinnings. Section 3.3 'Research Methodology'; depict commentary on the quantitative and qualitative research methodologies. It concludes with the most appropriate method to use in this study to address the research question: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*

Section 3.4, 'Research Design', details how the study was carried out, including the use of a pilot study, the collection of data, audio recording the interviews, transcription of interviews and analysis of data using NVivo. Finally, Section 3.5, 'Research Ethics', details the relevant research ethics and their impact on this study.

3.2 Understanding Research Paradigms

Chalmers (1982, p.90), mentioned that paradigm was made up of general theoretical assumptions and laws, and techniques for their application that the members of a particular scientific community adopt, whereas for Denzin and Lincoln (Eds, p.105) paradigm was 'a basic system or worldview that guides the investigator'.

Once decided on a research topic one must consider how they want to carry out the investigation. The approach generally depends on how and what the researcher thinks about the research problem and also on how they think it can be investigated. Therefore, every researcher would have their own opinion of what constitutes truth and knowledge. As explained by Schwandt (2007), such views help guide their thinking, beliefs, and assumptions and help frame how they view their surroundings, and this is what social scientist identified as a 'paradigm'. Based on this identification Schwandt defined paradigm as "a shared world view that represents the beliefs and values in a discipline and that guides how problems are solved".

Similarly, Shah and Al-Bargi (2013), in their study mentioned that the term paradigm was first introduced by Thomas Kuhn in 1962, in his monograph The Structure of Scientific Revolution, where Kuhn defined paradigm as "an integrated cluster of substantive concepts, variables and problems attached with corresponding methodological approaches and tools".

Also, Rehman and Alharthi (2016) in their study mentioned that 'a paradigm is a way of understanding the reality of the world and studying it; that is a basic belief system and theoretical framework with assumptions about ontology; epistemology and methodology'. Moreover, Patton (2002) stated that a paradigm is a way of explaining a world view that is informed by philosophical assumptions about the nature of social reality (ontology- what do we believe about the nature of reality?); ways of knowing (epistemology – how do we know what we know?) and ethics and value systems (axiology – what do we believe is true?). Hence, a paradigm leads a researcher to ask questions and to use appropriate approaches to systematic inquiry which is also known as methodology (how should we study the world?).

Together, these paradigmatic aspects help to determine the assumptions and beliefs that frame a researcher's view of a research problem, how they went about investigating it and the methods they used to answer the research questions (Chilisa and Kawulich, 2012). The following section explains the four components of research paradigms in detail.

3.2.1 Components of a Research Paradigm: Ontology, Epistemology, Methodology, Methods and Axiology

Ontology

As identified by Richards (2003, p. 33) ontology refers to 'the nature of our beliefs about reality'. Also, researchers have assumptions (sometimes implicit) about reality, how it exists and what can be known about it. According to Patton (2002, p.134) it is the ontological question that leads a researcher to inquire what kind of reality exists: 'a singular, verifiable reality and truth (or)…socially constructed multiple realities'.

Epistemology

Epistemology refers to "the branch of philosophy that studies the nature of knowledge and the process by which knowledge is acquired and validated" (Gall, Gall and Gall, 2003, p. 13). It is concerned with "the nature and forms of knowledge, how it can be acquired and

how it is communicated to other human beings" (Cohen, Manion and Morrison, 2007, p. 7). Patton (2002, p. 134) mentioned that it is the epistemological question that leads a researcher to debate "the possibility and desirability of objectivity, subjectivity, causality, validity and generalisability".

Following an ontological belief system (explicitly and implicitly) guides the researcher to certain epistemological assumptions. Therefore, if a singular verifiable can be assumed, "then the posture of the knower must be one of detachment or value freedom in order to be able to discover how things really are and how things really work" (Guba and Lincoln, 1994, p. 108). Contrariwise, belief in socially constructed multiple realities lead researchers to reject the notion that people should be studied like objects of natural sciences; they get involved with the subjects and try and understand phenomena in their contexts (Rehman and Alharthi, 2016).

Methodology

Methodology is "an articulated, theoretically informed approach to the production of data" (Ellen 1984, p. 9). This paradigm refers to the study and critical analysis of data production techniques where Crotty (1998, p. 3) identified it as the "strategy, plan of action, proves or design" that informed the researcher's choice of research methods. On the other hand Grix (2004, p. 32) mentioned "it is concerned with the discussion of how a particular piece of research should be undertaken". The general understanding of this component is that it guides the researcher in deciding what type of data is required for a study and which data collection tools will be most appropriate for the purpose of the study. Thus, it is the methodological question that leads the researcher to ask how the world should be studied (Rehman and Alharthi, 2016; Chilisa and Kawulich, 2012). The different methodologies used in doing research will be discussed in detail later in this chapter.

Methods

Methods are the means used for gathering data, such as questionnaires and open ended interviews and are an important part of the methodology. Nevertheless, what methods to use for a research depends on the design of that study and the researcher's theoretical mindset (Chilisa and Kawulich, 2012; Rehman and Alharthi, 2016).

Axiology

Axiology refers to the ethical issues that need to be looked at when planning to carry out a research (Chilisa and Kawulich, 2012; Kivunja and Kuyini, 2017). It considers the philosophical approach to making decisions of value or the right decisions (Finnis, 1980). It involves defining, evaluating and understanding concepts of right and wrong behaviour relating to the research. Put simply, it addresses the question, 'what is the nature of ethics or ethical behaviour? In answering this question, it is important to consider the researcher's regard for human values of everyone that will be involved with or participate in the research (Kivunja and Kuyini).

3.2.2 Paradigms and Philosophical Underpinnings

What follows is a detailed explanation on different approaches to educational research; positivism, post-postivism, interpretivism and constructivism.

Positivism

Rehman and Alharthi (2016) suggested that positivism assumes that reality exists independently of humans. It is not mediated by our senses and it is governed by fixed laws. The ontological position of positivist is that of realism. Similarly, Chilisa and Kawulich (2012) stated that positivism was based upon the view that science was the only foundation for true knowledge and it held that the methods, techniques and procedures used in natural sciences offered the best framework for investigating the social world.

Moreover, Bogdan and Biklen (2003) in their study mentioned that positivists strived to understand the social world like the natural world. By nature, there was a cause-effect relationship between phenomena, and once established, they could be predicted with certainty in the future. Additionally, for positivists, the same applied to the social world, as reality was context free, different researchers working in different times and places converged to the same conclusions about a given phenomenon.

Also, the epistemological position of positivist was that of objectivism, where researchers came in as objective observers to study phenomena that existed independently of them and they did not distract what was being observed. They used language and symbols to describe phenomena their real form, as they exist, without any interference. As explained by Gall et al., (2003, p. 14), positivists viewed the world as being 'out there', and available for study in a more or less static form. Positivists believed that there were laws governing

social phenomena, and by applying scientific methods, it was possible to formulate these laws and present through factual statements.

According to Shah and Al-Bargi (2013), the positivism paradigm seeks predictions and generalizations, so different methods often generated quantitative data, such as experiments, quasi-experiments, standardized tests, scales, questionnaires, structured interviews and descriptions of phenomena employing standardized observation tools.

Post-positivism

Many scholars have criticized the positivist approach (Richards 2003, p.37; Bryman 2012, p. 27) for various reasons. First, it fails to differentiate people and social sciences from natural sciences, and deals with human beings like any other natural objects. Second, it seeks to dilute the complex to the simple by simplifying and controlling variables, which is why its application seems difficult in educational research. Third, it assumes that generalization is applicable in social sciences. However, it seems inapplicable based on differences in culture, belief and human experiences.

Grix (2004, p. 86) stated that criticisms of the positivist paradigm paved way to the emergence of post-positivism which assumed that reality existed independent of the observer, but could only be apprehended imperfectly due to the complications of social phenomena. Additionally, this paradigm also recognized the possibility of the researcher's own beliefs and values' affecting what is being observed. Moreover, the positivist assumption of applying scientific methods to social phenomena led to the discovery of laws that was deemed as 'not practical' (Rehman and Alharthi, 2016).

Interpretivism

Shah and Al-Bargi (2013) mentioned that this paradigm was considered as constructivist, naturalist, humanistic and anti-positivist which emerged in contradistinction to positivism for the understanding and interpretation of human and social reality. Interpretive research was concerned with subjective meaning as it recognized the individuals' interpretation and understanding of the social phenomena. In contrast to positivists, interpretivists assumed that there was no objective knowledge which was independent of thinking and reasoning by humans, therefore knowledge and meaning were acts of interpretation (Schwandt, 2007).

Moreover, interpretivists believed that adopting a cause-and-effect relationship in social sciences was not applicable. Thus, interpretivists aimed to explore individuals' perceptions, shared their meanings and developed insights about the observed case (Bryman 2012, p. 28; Grix 2004). Furthermore, according to Schwandt (1998) this type of research investigates and highlights how the subjective interpretations of individuals and groups shape the objective features of a society. In interpretivists' research, terms such as credibility, transferability, dependability and confirmability replace the usual positivist criteria of internal and external validity, reliability and objectivity.

It is also worth noting that interpretivists viewed quantitative research methods as inadequate to comprehend social phenomena, therefore they believed in qualitative techniques that were diverse. The qualitative aspects of such techniques presented human beings as the primary research instrument and these included phenomenology, grounded theory, ethnography, case study, historical and documentary research and ethno-methodology (Shah and Al-Bargi , 2013).

Constructivism

Constructivism asserts that people construct their own understanding and knowledge of the world through experiencing things and reflecting on those experiences. It is based on the analogy or basis that people form or construct much of what they learn through experience (Bada, 2015; Adom, Yeboah and Ankrah, 2016). Moreover, the constructivist philosophy portrays that learning occurs only when the researcher discovers the knowledge through the spirit of experimentation and doing (Dogru and Kalender, 2007).

Having explained the different approaches to educational research above, the next section discusses the different methodological approaches that could be used to carryout research.

3.3 Research Methodology

3.3.1 The Selection of an Appropriate Research Methodological Approach in Addressing the Research Question: Quantitative, Qualitative or Mixed

To answer the research question, it was initially viewed that grass roots data, gathered via listening to respondents, their opinions, perceptions and views of business succession planning from their respective ethnic backgrounds, would be essential. Given this base, it can be seen that a qualitative approach to the study was the best way forward. Such an approach is supported by Bachkaniwala et al. (2001), Ram et al. (2001), de Vries (2010)

and Jing Ye et al. (2013) whose studies into similar research areas used a qualitative approach. However, before settling on a particular approach, a thorough investigation of all possible methodologies is necessary because no two research projects are the same, therefore, the next two sections consider quantitative and qualitative research methods.

3.3.1.1 Quantitative Research Methods

Quantitative data gathering options fall into three areas: questionnaires, observations and measurement scales (Miles and Hubberman, 1994a; Easterby-Smith, Thorpe and Lowe, 2008).

Questionnaires, as explained by Miles and Huberman (1994a) and Easterby-Smith at al. (2008) are generally used when the researcher intends to find out what a participant knows about a predetermined subject. The questionnaire is applied using a set of questions with a limited number of responses, yes or no or a scale. This approach is mostly practised with large samples of participants where significant numbers are being used to form a generalised view. The use of this approach implies the researcher knows what questions to ask, has a predetermined hypothesis to test and potentially has a large sample. For this study, there is not a significantly large group of ethnic business owners in Christchurch; twenty-eight convenience stores owned and operated by ethnic minorities and fifty restaurants owned and operated by ethnic minorities. Further, though some questions could be pre-determined given the theme of this study, there would also need to be supplementary questions to help clarify question responses. On its own, a questionnaire would not sufficiently address the study questions.

Observations, within a quantitative structure require a systematic approach often via activity sampling, a work-sampling technique in which observations are made over time on processes, workers and/or machines (Kurian, 2013). This approach would have required spending a generous amount of time with ethnic owners of convenience stores and restaurants to observe their activities and business practices to gather data on how ethnicity impacted on BSP. That observation alone would not provide the required data, you also need to understand the participants' views. This study was not considering a process and/or action; rather it was trying to understand the concept of BSP. For those above reasons, observations were not necessary.

Scales, for example nominal scales, ordinal scales, interval scales and ratio scales (Salkind, 2010) are used within a quantitative frame to ensure that the measures applied in the study

are reliable and valid. Reliability concerns how much random error there is in the measurement of a given variable; validity is whether the measure being used is measuring what it is supposed to measure (Tharenou, Donohue and Cooper, 2007). Considering the nature of this approach, it appeared inapplicable to this study because the data collected via interviews in this study were words and the significance of the words could not be measured using measurement scales.

Having considered each of the qualitative methodological approaches, on their own each does not entirely serve the purpose of this research, which is exploratory in nature to understand what ethnic factors give rise to business succession planning in small and medium scale ethnic family-owned convenience stores and restaurants, and how such ethnic factors give rise to business succession planning in small and medium scale ethnic family-owned convenience stores and restaurants. This study involves asking 'how' and 'why' questions which are part inductive and part deductive, with the responses being words rather than numbers. In not completely dismissing a quantitative approach, it has been considered against available qualitative methodological approaches which are canvassed in the next section.

3.3.1.2 Qualitative Research Methods

Miles and Huberman (1994a) and Yin (2011) advise that qualitative methodological approaches can produce a source of well justified, powerful descriptions and clarifications of processes in recognisable local contexts. Accordingly, the qualitative approach is expected to maintain a sequential flow by identifying which events led to which consequences, thus allowing the researcher to develop themes and explanations for the actions of participants. This may well have been the rationale for previous research using a qualitative approach (Dyck et al., 2002; Jivraj and Woods, 2002; Goodchild et al., 2003; de Vries 2010; Ye et al., 2013; Collin and Fakoussa 2015) although those studies did not particularly speak about how ethnicity impacted BSP in small and medium family-owned businesses.

With regard to this study, a qualitative approach could enable the researcher to understand the ethnic factors that led the respondents having a BSP or not. Further, it would enable the development of a rich, strong explanation of how such ethnic factors gave rise to having a succession plan or not.

No matter the rationale for previous research methodologies, it is important to consider all available qualitative research genres that may help address the research question. These include ethnographical, biographical, and phenomenological factors, grounded theory and case studies (Denzin and Lincoln, 1994; Miles and Huberman, 1994a, 1994b; Creswell, 1998; Weinberg, 2002; Yin, 2003; Easterby-Smith et al., 2008). This section elaborates each methodology and discusses the appropriateness of each in addressing the research question of this study.

Ethnography, as explained by Miles and Huberman (1994a), is an approach that studies cultures, beliefs, values and attitudes by becoming highly active within that culture. In more detail, ethnography involves prolonged observation of a particular group, usually via participant observation, where the researcher engages him/herself in the day-to-day lives of the people or through one-on-one interviews with members of the group. This methodology is not appropriate for this study for several reasons. First, given the research question, participant observation was not necessary or applicable in this study. The questions could not have been addressed by engaging in the day-to-day lives of the respondents. Secondly, though aspects of behaviour are outcomes of decisions made with regard succession planning, this study was more focused on 'how and why' participants arrived at decisions not any demonstrated physical behaviour. Considering the context of ethnography, the methodology, although valid and has aspects of the research question, initially appeared inappropriate.

Biographical research is the study of an individual and his/her experiences as narrated by the researcher or found in archival documents (Miles and Huberman, 1994a; Schwandt, 2007; Goodwin, 2012). On the surface, this method appears inappropriate because this method provides an in-depth analysis of 'how ethnic factors gave rise to business succession planning in ethnic family-owned convenience stores and restaurants', the focus of this study was to generalise findings and conclusions. It is not a biographical study of just one participant. Therefore, this approach in its purist sense appears inappropriate for this study research.

Phenomenological studies are concerned with the substance or basic structure of a phenomenon and use data from the participants and the investigator's experience of the phenomenon (Creswell, 1998). Thorpe and Holt (2008) reported that phenomenology is a method of clarifying meaning that strips out references to extracting, historical or structural influences. Instead it looks to the subjects direct, unmediated awareness of phenomena.

Creswell (1998) reported that phenomenological studies are based on five basic assumptions: (a) the researcher could only understand the actual situation if they spoke directly to the respondents; (b) the questions asked by the researcher usually allow the respondents to describe the actual situation; (c) the data were generally collected by interviewing respondents; (d) data analysis produced a bunch of meanings that were very descriptive; and (e) the reader got a better understanding of the experiences of the respondents.

On the surface, phenomenology seems applicable to this research, but though phenomenological studies are most applicable to understanding the meaning of phenomena, they do not answer the 'how' elements of the given phenomenon (Morse (1994). Given Morse's views in the context of this study, although the approach could help understand what factors give rise to a BSP in ethnic family-owned convenience stores and restaurants, it appears it would not necessarily provide an understanding of how such ethnic factors gave rise to a BSP. Accordingly, this methodology, on its own, was not suitable for this study, although aspects would no doubt be used in the final methodological approach.

The inability to apply a purely phenomenological, ethnographical or biographical approach to the study resulted in the consideration of grounded theory and case study methods. Next explained are the applications of these two approaches along with its philosophical underpinnings.

Case studies

Case studies are accepted as an empirical inquiry that investigates a contemporary intervention phenomenon within its real-life context when the boundaries between phenomenon and context were not clearly evident and when multiple sources of evidence were used (Yin, 1984, p. 23; Zainal, 2007). However, Baxter and Jack (2008) stated that this methodology had two key approaches; one proposed by Robert Stake (1995) and the second by Robert Yin (2003, 2006). Both seek to ensure that the topic of research interest was well explored, and that the essence of the phenomenon was revealed.

Baxter and Jack (2008) and Zainal (2007) further explained on the philosophical underpinnings of the case study method, where they mentioned that both Stake (1995) and Yin (2003) based their approaches to case study on a constructivist paradigm. As explained earlier in this chapter, constructivists claimed that truth was relative and that it was

independent on one's perspective. Also, constructivism was built upon the premise of a social construction reality, and of the advantages of this approach was the close collaboration between the researcher and the participants, while enabling the participants to tell their stories (Crabtree and Miller, 1999, p. 10). Through these stories the participants are able to describe their views of reality and this enables the researcher to better understand the participants' actions (Robottom, 2005). In this study, given the desire to approach multiple business owners, they could each be considered as individual case studies.

A case study is one way to explore a phenomenon within its context (Yin 1994, p. 24). Yin also suggested that, to be effective, five components must be present in a case: (1) clear research question; (2) clear propositions; (3) a clear definition of the analysis units; (4) the logical linking of the data to the propositions: and (5) the criteria for interpreting the findings.

To clarify the five components as they present in this study: the research question is: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*.

In the case of this study, where there were interviews that were taped and transcribed to produce the data, the researcher was left with pieces (quasi units) of verbal transcript. Strauss (1990) used single words, inflections and pauses as the unit of analysis in a micro interpretation of grounded theory. Glaser (1992) used the whole conversation and paragraphs as the analysis units. Given those two studies, this study will focus on the essence contained within the sentences and phrases.

The next two components of Yin's case study design format (Yin 1994), logical linking of the data to the propositions and criteria for interpreting the findings are as follows. Linking the data to the propositions involves reflecting on the data and the development of a theoretical framework. Finally, the criteria for interpreting findings are clearly demonstrated in Chapter 4.

Haralambos and Holborn (2008) advised that a case study involved a detailed examination of a single example of something and therefore was bound to lack external validity. It could involve a study of a single community, institution or social group, a specific historical event, a single social action or an individual person. In the context of their

explanation of a case study this study could be identified as a study about BSP (a social action) in ethnic family-owned (a particular institution) convenience stores and restaurants (particular type of business).

Case studies also endeavour to arrive at a comprehensive understanding of the event under study and, at the same time, develop more general theoretical statements about regularities in the observed phenomena (Becker, 1970; Fidel, 1984); this is the main focus of this study and arguably a good reason for selecting the case study methodology. According to Bryman (2012), in some contexts, case studies could be considered as 'intensive analysis' where the quality of the theoretical reasoning was more imperative than the representativeness of the sample. This was an expectation of this study where factors giving rise to a BSP and how such factors gave rise to a BSP in ethnic family-owned convenience stores and restaurants were considered more important than the representativeness of the sample.

Haralambos and Holborn (2008) also noted that case studies could be used to produce typologies; a set of categories defining various types of social phenomenon. Another aim of this study could be to discover the different types of BSPs by exposing the various social meanings of them. Further support for the case study method for this study was justified within the context of previous similar studies conducted by several other researchers, for example, Bachkaniwala et al. (2001), Ram et al., (2001), de Vries (2010), and Jing Ye et al. (2013).

However, as stated, there was an aim to conclude with an understanding of ethnic groups as a whole, therefore, a pure case study approach did not seem appropriate. Considering the nature of the study and its unique features, the case study qualitative research methodology, especially the ability to ask 'how' and 'why' questions, seemed to be applicable as one possible methodological approach for this study (Yin, 2011; Miles and Huberman 1994a).

Furthermore, Yin (2003) and Stake (1995) used different terms to describe a variety of case studies. Yin (p. 3) categorized case studies as explanatory, exploratory or descriptive. He also differentiated between single, holistic and multiple case studies. On the other hand, Stake (p. 4) identified case studies as intrinsic, instrumental or collective.

Accordingly as explained by Yin (2003, p. 3), *explanatory* case studies were used to answer a question that sought to explain the presumed casual links in real-life interventions

that were too multifaceted for survey or experimental strategies. This however did not seem appropriate in the context of this study. Next, *descriptive* case studies were used to describe an intervention or phenomenon and the real-life context in which it occurred, therefore given its application, this type of case studies were considered as unsuitable in this research. On the other hand, *exploratory* case studies were used to explore those situations in which the interventions being evaluated had no clear, single set of outcomes. Given the nature and context of this study, the outcome of this study was not known at the outset; hence exploratory this type of case studies was deemed as appropriate. Also, as recognized by its term itself, a *multiple case study* enabled the researcher to explore differences within and between cases. Its nature was similar to what was identified by Stake (1995, p.4) as *collective* case studies. The goal was to replicate findings across cases, because comparisons were made, it was important that the cases were chosen carefully so that the researcher could predict similar results across cases or predict contrasting results based on a theory. Given the context of this study; the fifty-one research participants could be considered as multiple cases which enabled the researcher to explore differences within and between cases. Also, this enabled the researcher to predict similar or contrasting results across cases.

On the other hand, Stake (1995, p. 4) suggested that the *intrinsic* case study approach could be used by researchers who had a genuine interest in the case as it helped to understand the case better. It was not undertaken primarily because the case represented other cases or because it illustrated a particular trait or problem, but because in all its particularity and ordinariness, the case itself was of interest. The purpose of this approach was not to come to understand some abstract construct or generic phenomenon or to build theory. Given the nature of this approach, it was deemed as unfitting in this study.

The *instrumental* case study approach as explained by Stake (1995, p.4) was used to accomplish something other than understanding a particular situation. It provided an insight into an issue or helped to refine a theory. The case was of secondary interest; it played a supportive role and facilitated the researcher's understanding of something else. The case was often looked at in depth, its contexts scrutinized, its ordinary activities detailed and because it helped the researcher pursue the external interest. The case may or may not be seen as typical of other cases therefore, its application was deemed as inappropriate in this study.

Having explained and understood the application of the types of case studies as identified by Yin (2003, p. 3) it is deemed that this study follows an *exploratory multiple case study* approach.

Grounded Theory

Finally, the qualitative method, grounded theory, was considered. Glaser (1992, p. 4) advised that grounded theory is "a general methodology of analysis linked with data collection that uses systematically applied set of methods to generate an induced theory about a substantive area". Grounded theory derived its theoretical underpinnings from pragmatism and symbolic interactionism (Corbin and Strauss, 1990).

Grounded theory*,* as a methodology, is an inductive investigation in which the researcher poses questions about information provided by respondents or was taken from historical records (Miles and Huberman, 1994a). Glaser and Strauss (1967) developed grounded theory in the 1960s when they carried out a joint research on dying in hospitals. They published the fundamentals of grounded theory in 'The Discovery of Grounded Theory – Strategies for Qualitative Research' (Glaser and Strauss, 1967) and 'Theoretical Sensitivity' (Glaser, 1978).

The origin of Grounded Theory

The evolution of grounded theory is noteworthy prior to elaborating on this approach and its application. Grounded theory was the innovative brainchild of two American sociologists, Barney G. Glaser and Anselm L. Strauss in 1965 when they undertook a study relating to interactions between medical staff and terminally ill patients in hospices, which they later titled the Awareness of Dying (Kenny and Fourie, 2014).

During this research Glaser and Strauss encountered and criticized the 'overemphasis' of verifying theories to the detriment of actually generating the theory itself (Glaser and Strauss, 1967; Moore, 2009). They emphasized that the twofold process of firstly generating and subsequently verifying a theory should receive equal treatment within social research (Glaser and Strauss, p. 2) while they criticized the dearth of social theory which was actually composed by empirical research (Glaser and Strauss, p. 6). They also stressed the need to generate theory which arose from social research which they believed would be more successful than theories logically deduced from a priori assumptions, whilst arguing that marrying theory construction with social research would produce a healthy and incisive hypothesis grounded in research. Accordingly, Glaser and Strauss (p. 2),

fashioned a pioneering methodology to address these issues and to bridge the gap between theory and empirical research; the grounded theory (Glaser and Strauss, p. 2). Glaser later abbreviated grounded theory as GT (Glaser and Holton, 2004).

Elaborating further, Kenny and Fourie (2014) in their study mentioned that Glaser and Strauss reiterated that the ambition of grounded theory was not verification of a preconceived theory, or voluminous description, rather it was unambiguously defined by its exclusive endeavour to discover an underlying theory arising from the systematic analysis of data. Accordingly, both researchers arrived at a hypothesis (in the form of a theory) at the conclusion of the research which conceptualized the chief concern of the study. In order to achieve this objective Glaser and Strauss insisted that the researcher approached the study inductively, with no preconceptions to prove or disapprove, in order to uncover the main concern of participants. The methodology specified that the researcher should not know in advance where the unfolding research will lead or what the concluding hypothesis would encompass.

On the other hand, Strauss later suggested that there was also a deductive component to grounded theory, as during the concluding stages of the research the theory would also be systematically verified against the data (Strauss and Corbin, 1990). However, the emphasis was nevertheless chiefly inductive. Thus, grounded theory represented an important departure from previous books on methods of social research as it encompassed an inductive approach to research with the goal of conceptualization, rather than a deductive approach to a study with the objective of verification (Glaser and Strauss, 1967, p.1).

Moreover, Khan (2014) in their study mentioned that Glaser and Strauss designed a number of different methodological techniques unique to grounded theory. They stipulated that data collection and analysis occurred together and had to be conducted through the specific procedures of theoretical sampling, coding, constant comparison, saturation and memo writing. Further, Khan stated that Glaser and Strauss designed these exacting techniques to ensure that as data was collected, coded, compared and organized into increasingly abstract categories, a budding theory began to emerge. This emerging theory was edited and refined by incoming raw data, with the intention of forging a reciprocal relationship between data and theory formation. Thus, this approach ensured that the increasing abstraction of concepts was unequivocally substantiated and grounded in the research itself. Therefore, it was confirmed that grounded theory successfully married

theory and research as it systematically discovered a theory within the substance of the systematic research.

Upon confirming the above, Glaser and Strauss argued that during the process of generating a theory, not only did the concepts and hypothesis directly emerge from the data, but they are also systematically refined by it. The researchers' also contended that the theory was carefully generalized from empirical research and normally could not be retracted by more data, or suspended with an opposing theory. As a consequence, despite its inevitable modification and reformulation over time, grounded theory was known to destine to last (Glaser and Strauss, 1967, p.4). Thus, Glaser and Strauss asserted the potential and proficiency of their methodology.

Glaser (2002) in their study averred that two years after the publication of the Awareness of Dying study in 1965, Glaser and Strauss published The Discovery of Grounded Theory in 1967 to illuminate the grounded theory methodology which they had designed and employed during their research. This text defined and distinguished the rigorous methodology and provided a grounded theory handbook to guide aspiring researchers. Also, Glaser and Strauss published a further two grounded theory studies, Time of Dying in 1968 and Status Passage in 1971, and concurrently taught in qualitative research seminars, explaining grounded theory to various academics. Further, Glaser remained as an emeritus professor until his death in 1996.

However, grounded theory did not meet immediate commendation in the wider academic arena (Khan, 2014; Kenny and Fourie, 2014). Strauss retrospectively observed that during the 1960s, the decade in which grounded theory emerged, qualitative research had lost its status even among sociologists, as it was deemed incapable of providing verification (Strauss and Corbin, 1994, p.275). As a consequence, quantitative and positivist methodologies had become well-known in the USA and the social science discipline had moved towards defining research in quantitative terms (Charmaz, 2006, p. 4). Moreover, Strauss observed that within this climate it took approximately two decades for grounded theory to rise in the estimation of their contemporary American sociologists and to begin to be appreciated.

Strauss attributed this slow conversion to the increasing number of books, journals and papers either employing grounded theory, or disseminating its methodology. He argued that collectively this literature served to illustrate the rigorous and systematic procedures of

grounded theory, proved the value of the methodology, and portrayed grounded theory as visible and accessible to the academic world. Significantly, as grounded theory grew in acclaim, it also transcended the discipline of sociology to the extent that it was utilized by academics from a host of disciplines including speech and hearing sciences, nursing, psychology, medicine, cinematography, business, information systems, social work, anthropology and education (Strauss and Corbin, 1994).

According to Charmaz (2006, p. 5), the emergence of grounded theory was seminal to the development of qualitative research as it was methodical, rigorous and structured. It also demonstrated the compelling logic and potent capacity of qualitative research to generate theories closely connected with data. Consequently, Charmaz (p. 7) confirmed that the epistemological challenge embedded within grounded theory transformed methodological debates and inspired generations of qualitative researchers.

The rift between Glaser and Strauss

Literature on the genesis of grounded theory by Charmaz (2006), Kenny and Fourie (2014) and Khan (2014) also reveals a schism between Glaser and Strauss in their contribution to grounded theory.

As Glaser and Strauss continued to mature grounded theory, their progression precipitated professional and methodological divergence. In the 1970's and 80's Glaser and Strauss each wrote a further exposition of grounded theory, but published their books separately rather than collaboratively. By 1990 Strauss had forged an academic alliance with Juliet Corbin and together they refined particular features of the original grounded theory. Strauss and Corbin revised the original percept of a natural emergence of a theory from data, to be discovered by the researcher. Instead, they devised a highly analytical and prescriptive framework for coding, designed to deduce theory from data systematically. This rigorous and meticulous coding framework was underlined by the philosophy of pragmatism and symbolic interactionism. Although there was certainly a nuance of this philosophical inclination embedded within the original configuration of grounded theory, Jones and Alony (2011) averred that it was patently more significant and seminal in Strauss and Corbin's reconfiguration of GT.

Strauss and Corbin also challenged the tenet of abstaining from literature prior to embarking on the study, highlighting the differences between an open mind and an empty

mind. Consequently, this transformation of the original tenets of grounded theory fashioned the alternative Straussian grounded theory which Strauss and Corbin assembled in their book, Basics of Qualitative Research: Grounded Theory Procedures and Techniques in 1990.

Glaser criticized Strauss and Corbin's reconfiguration of grounded theory (Glaser, 1992, p. 2). While the Basics of qualitative Research: Grounded Theory Procedures and Techniques written in 1990 was still pending publication, Glaser wrote two personal letters to Strauss articulating his disapproval. In his letters Glaser protested, 'you wrote a whole different method, so why call it grounded theory?' whilst mentioning Strauss had never grasped their work together neither had studied it appropriately. Significantly, Glaser's reproach extended beyond a criticism of Strauss' work, and culminated into a call for action, where Glaser demanded Strauss to withdraw the book pending a rewriting of it, and invited him to consider the misconceptions and to rewrite the book by mutual consent (Glaser, p. 1).

However, Strauss and Corbin remained persistent in their position and did not withdraw their reconfiguration of grounded theory. They proceeded with the publication in 1990, Basics of Qualitative Research: Grounded Theory Procedures and Techniques and they dedicated their book to Glaser with admiration and appreciation. Glaser criticized that Strauss' book as 'without conscience, bordering on immorality" (Glaser, 1992, p. 5). He counteracted their publication in 1992 by writing a contending book titled Basics of Grounded Theory Analysis: Emergence vs. Forcing. Glaser deliberately structured his book in the exact chapter sequence and nomenclature of Strauss and Corbin's Basics of Qualitative Research (1990) to specifically enable the reader to follow the correlation and divergence between both books (Glaser, 1992, p. 10). He also published his aforementioned personal letters to Strauss in the preface of his book. Glaser believed it was up to him to write a cogent, clear correction to set researchers using grounded theory on a correct path, to combat the wrong ideas, errors, and misconceptions that Strauss and Corbin's book was propagating (Glaser, p. 3). Thus, Glaser described his publication as a corrected version of Strauss' book and he saw himself as the defender of the original grounded theory (Glaser, p. 3).

In successive years, Glaser, Strauss and Corbin continued to develop their diverging positions. Strauss and Corbin (1990, 1994) published a few articles disseminating Straussian grounded theory. Furthermore, in response to the affirmative feedback from their initial publication, Strauss and Corbin published a second edition of Basics of

Qualitative Research: Grounded Theory Procedures and Techniques in 1998, and a third edition in 2008. Sadly, Strauss passed away in 1996, two years before the publication of the second edition (Strauss & Corbin, 1998). By the third edition, Corbin was careful to incorporate Strauss' voice and distinguished specific sections which Strauss may not have been in accord with.

Meanwhile, Glaser published copious books and articles defending and developing the original conception of grounded theory, later identified as classic grounded theory, or Glaserian grounded theory. Having already established his own publishing house, Glaser launched his own non-profit website and organization (Grounded Theory Institute), as well as a pertaining journal; Grounded Theory Review: An International Journal. He sought to propagate what he deemed to be the pure, authentic, and classic grounded theory; to augment his position he expounded and developed many of the original tenets, including theoretical sampling, theoretical coding and theoretical memos (Hunter et al, 2010). As a consequence, Classic grounded theory grew in clarity with successive publications, particularly as Glaser was defending, developing and defining it against Straussian grounded theory (and other subsequent reconfigurations). Significantly, despite the contentious schism between these two factions of grounded theory, Glaser and Strauss' personal friendship and professional affinity prevailed until Strauss' death in 1996. However, the reformation of grounded theory did not cease with Strauss' death. Neither did the rift remain within the dual confines of Classic versus Straussian grounded theory (Birks & Mills, 2012).

Application of grounded theory in research

Essentially, grounded theory focusses on asking two main questions: "(1) What is the main concern or problem of the people in the substantive area, and what accounts for most of the variation in processing the problem; and (2) What category or what property of that category does the incident indicate" (Glaser, 1992, p. 4). This approach enables the data to display what is happening, an inductive process, rather than a deductive process more associated with quantitative research.

Returning to the reason for selecting a qualitative research methodology, at the outset the researcher had no specific hypothesis and therefore was uncertain about what the findings would be throughout the progress of the study. Given this uncertainty, the researcher was

required to approach the study with an open mind, in Glaser's terms (1992, p. 22): "….with abstract wonderment of what's going on…."

Glaser and Strauss (1967, p. 2) intended grounded theory to be fully inductive and relatively unstructured "discovery of theory from data analytically obtained from social research". In 1990, Strauss and Corbin (1990) published 'Basics of Qualitative Research' in which they progressively structured the grounded theory research process. They also suggested that the researcher need not just only accept the research data, rather should ask questions about it; that is, be somewhat deductive. As such, they suggested some 'processes around how the research is completed'. That began a major, public difference of opinion between Glaser and Strauss that eventually saw Glaser (1992) publish 'Emergence versus Forcing – Basics of Grounded Theory Analysis'.

A major strategy for furthering the discovery of grounded theory is the general method of comparative analysis. This strategic method is for generating theory that can be used on social units of any size, ranging from men or their roles to nations or even regions. Grounded theory as shown by Glaser and Strauss (1967) was a method that combined two data analysis processes. In the first process, the researcher codes all data and methodically analyses the codes to verify a particular proposition. In the second process, the researcher does not engage in coding data as such, but merely inspects the data for properties of categories, uses memos to track the analysis, and develops theoretical ideas. However, Glaser and Strauss (1967) stated that neither of these processes could properly accomplish the goal of generating theory from data. They suggested an amalgamated approach to data analysis: "a method that combines, by an analytic procedure of constant comparison, the explicit coding procedure of the first approach and the style of theory development of the second" (Glaser and Strauss, 1967, p. 102). The combining of elements of both processes was the birth of grounded theory which is also known as the method of constant comparison (Glaser and Strauss, 1967).

Grounded theory is also appropriate when research questions deal with ways in which individuals express their experience (Morse 1994); this approach, in some ways, could answer 'How ethnic factors gave rise to business succession planning in ethnic family-owned convenience stores and restaurants'. Based on the explanation provided by Glaser and Strauss (1967), it is acknowledged that grounded theory is focused on the development of theory in an area of concern; this is a partial requirement of PhD research. Similarly,

involving grounded theory in this study is also well justified within the context of previous similar research conducted by de Vries (2010) and de Vries, Hamilton and Voges (2015).

To conclude, grounded theory generally advises the researcher to 'approach the research with an open mind', leaving behind any preconceived ideas or theories, in contrast to deductive, quantitative, hypothesis-testing research that begins from an 'established base' that is used to form an understanding of the current issues (Glaser and Strauss, 1967). Accordingly, new theories arise from the data and are not pushed forward by preconception (Glaser 1992). However, prior theoretical ideas and researcher understanding of previous studies are not entirely disregarded at this point, rather they will be introduced as appropriate once the theory begins to develop. It is further arguable that any PhD Study could not take place without extensively reviewing the literature – as has been in the case for this study, yet the basis of it is highly relevant to the study.

Again there are elements of this method that could help answer the research question but, given that grounded theory is based on an inductive approach and planned questions would have to be asked of participants, a pure grounded theory approach was not appropriate. It is therefore possible that this approach could be used along with the case study approach; this study accommodates a mixed methodology.

Further justifying the reasons for selecting a qualitative approach for this study, it is acknowledged that a qualitative approach allowed the researcher to discover and understand the experiences, perspectives and thoughts of respondents that enabled the researcher to explore the meaning, purpose and reality pertaining to the study topic. In doing so, the researcher considered accommodating a detailed assessment of the research question where information was gathered via semi structured interviews (Harwell, 2011) with owners of the ethnic family-owned convenience stores. Harwell also suggested that a qualitative approach accommodated a description of interactions among participants and researchers in a naturalistic setting with limited boundaries, resulting in a flexible and open research process. Such distinctive interactions suggest that different results could be obtained from the same participants depending on who the researcher was, because results were generally created by the participant and the researcher in a given situation. Having considered the above, the researcher was compelled to be more vigilant and sensitive towards the respondents when asking them about the ethnic factors that gave rise to succession planning in their family-owned business and how such ethnic factors gave rise to succession planning in their family-owned business.

Another sensible reason to opt for a qualitative research approach over a purely quantitative approach can be the fact that quantitative research methods are typically about collecting numerical data via the use of closed-ended questions in quantitative hypotheses to explain a particular phenomenon instead of open-ended questions via qualitative interview questions (Muijs, 2011; Creswell, 2014).

However, qualitative research is inductive in nature, and the researcher generally explores meaning and insights in a given situation (Strauss and Corbin, 2008), therefore Hewitt (2007), reports that there is a possibility where self-reporting could represent only a version of reality, rather than 'truth' per se. Also, Dickson-Swift et al., (2007) in their research mentioned that qualitative research is vulnerable to bias through the attitudes and qualities of the researcher, social desirability factors, and conditions of worth.

3.3.1.3 A Mixed Methodology

The general view of a mixed methodology, or multi-strategy research, integrates quantitative and qualitative research within a single project (Bryman, 2012), or as Tashkkori and Tedlie (2003) suggested, a mixed methodology. It is research in which more than one worldview is used. Bryman suggested that such a study can combine structured interviews with structured observation or ethnography with semi-structured interviews; such combinations of research methods are associated with just one research strategy.

Mason (2006) noted that mixing methodologies was good for studying research questions about social experiences and lived realities, providing that the value of such an approach could be judged in relation to their theoretical logic. Accordingly, Mason suggested that mixed methods enables the potential to generate new ways to comprehend the difficulties and contexts of social experiences and to improve the capacity for social explanation and generalisation, something this study set out to achieve. Laws and McLeod (2004) reported that a mixed approach allows flexibility within the research plot and is assured to produce a rich yield of perfectly generated research data that helps to illuminate the significance of the research topic.

In summary, in all the above commentary related to qualitative and quantitative research methods to address this study's questions it is viewed that: (1) the same questions would have to be asked of participants, but supplementary questions would also have to be asked. (2) Though each participant represented a case, there would be multiple cases, so this research was not purely case study. (3) Opinions were being sought about why decisions

were or were not made in terms of BSP. Analysis would involve drawing together themes so that an understanding of the concept of BSP could be distilled – something akin to grounded theory but, as questions were pre-determined, this is not a pure grounded theory approach. No one distinct methodological approach is appropriate; a mixed approach, a combination of case study and grounded theory, was deemed necessary. Where necessary the rules applying to each would need to be followed.

3.4 Research Design

This section details the design aspects of the research, that is, how the participants were identified and selected, the development of the questions that were used in the study's questionnaire, the pilot study, data gathering and subsequent analysis.

3.4.1 Participant Selection and Theoretical Sampling

Generally, the selection of research participants is complicated. Glaser and Strauss (1967, p. 49) say "the researcher chooses any groups that will help generate to the fullest extent, as many properties of the categories as possible, and that will help relate categories to each other and to their properties". Realistically, the researcher chooses who he/she believes will provide data pertinent to the study. As will be explained later in this chapter and Chapter 4, to answer the research question of this study: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*; qualitative semi-structured interviews were held with the current owners of small and medium scale ethnic family-owned convenience stores and restaurants operating within a five kilometre radius around Christchurch city centre (Figure 3.1).

The Canterbury region was selected because it is the second most populated region in New Zealand after Auckland, with a population 539,433; the territorial authority areas closest to Christchurch city experienced the greatest recent population growth (STATS NZ, 2013). Observations suggested that there were many small and medium scale enterprises in the retail and restaurant sectors potentially belonging to migrants to Christchurch.

The locations of previous studies undertaken on a similar research theme, (see Bachkaniwala et al., (2001); Ram et al., (2001); de Vries (2010); Jing Ye et al., (2013) did not focus on any particular geographical area hence the findings of those studies were more general than specific. Taking this into consideration, the researcher intended to be more specific in terms of location by selecting the sample from within a specific geographical

location (within a five kilometre radius of Christchurch centre). By doing so, the researcher aimed to improve the richness of the findings and to maintain a high level of confidence of the method used.

The remainder of this chapter discusses different sampling techniques available and the most appropriate sampling technique selected for this study.

Focusing on small and medium scale ethnic family-owned convenience stores and restaurants, this study uses purposive sampling. The reason to select the purposive sampling technique in this study is mainly because, as identified by Yin (2011), the sample is not set at the outset. Rather it has been selected purposefully to ensure that only persons relevant to this study are used to gather data. As explained earlier, the study respondents will be owners of small and medium family-owned convenience stores and restaurants operated by ethnic minority groups do not of New Zealand origin nor having roots in New Zealand. Qualitative samples are generally purposive (Miles and Huberman, 1994a).

Figure 3.1 – Locations within a Five Kilometre Radius of Christchurch City Centre

(Google Maps, 2016)
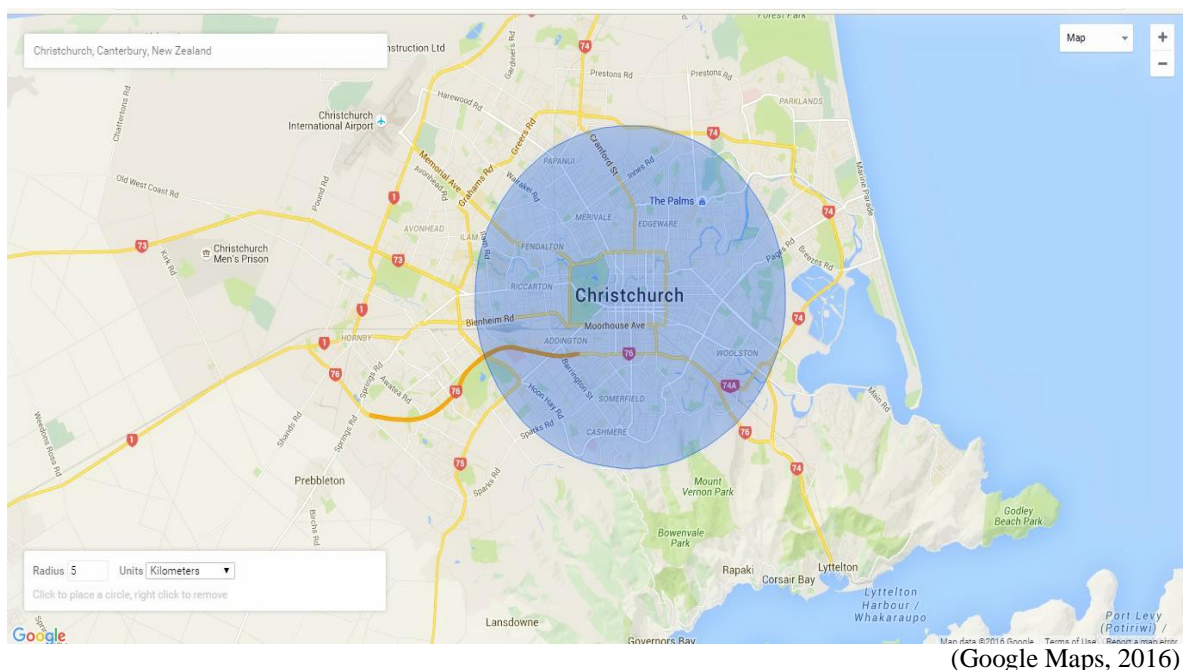
Sampling techniques other than purposive sampling include random sampling, snowball sampling and convenience sampling (Yin, 2011). Random sampling selects a statiscally defined sample of units from a known population; this sampling technique is most appropriate if and when the study is aimed at generalising the findings numerically to the entire population of units (Yin, 2011). This rationale, however, is not pertinent to qualitative research. Snowball sampling as explained by Yin (2011) is practised when the

researcher makes initial contact with a small group of people who were relevant to the research topic and uses the same group of people to make connections with others. Convenience sampling is selecting respondents only because they are readily available. Convenience sampling is likely to produce an indefinite level of incompleteness since most readily available sources of data were not likely to be informative. Yin also remarked that convenience samples very often resulted in unnecessary bias.

In addition to the sampling techniques explained above, Bryman and Bell (2007) reported another technique commonly used in commercial research, quota sampling. The aim of this sampling technique is to generate a sample that reflects a population in terms of the relative proportions of people in different categories such as ethnicity, age group, gender, and socio-economic status.

Having selected the small and medium scale ethnic family-owned convenience stores and restaurants, in the context of this study the researcher's self-definition in identifying convenience stores is 'retail stores that generally sell grocery food, bread and cereals, milk, cheese and eggs, oils and fat, food additives and condiments, confectionery, nuts and snacks, non-alcoholic beverages including coffee, tea, other hot drinks, soft drinks, water and juices and convenience foods such as ready-to-eat-prepared-food, usually operating daily from 9.00 am to 9.00pm, mostly employing fewer than twenty employees, and owned and operated by ethnic minority groups who does not possess New Zealand origin nor have their roots in New Zealand'.

Similarly, the researcher's self-definition in identifying small and medium scale ethnic family-owned restaurants is 'any premises where meals are supplied for consumption by the public on the premises as well as for take-away; commonly operating daily 11.00 am to 11.00 pm; mostly employing fewer than twenty employees and owned and operated by ethnic minority groups that do not possess New Zealand origins nor have their roots in New Zealand'.

Preliminary observations revealed that there were seventy restaurants and thirty-nine convenience stores operated by a variety of migrant groups (for example, Chinese, Indian, Filipino, Thai, Korean, Vietnamese, Japanese, German, Italian, American, Polish and Brazilian) within a five kilometre radius around Christchurch city. However, only twenty of thirty-nine convenience stores and thirty-one of seventy restaurants within the selected geographical area were operated by migrants and belonged to the small and medium scale

family-owned business category. As mentioned in Chapter 1, it transpired that businesses operated by Filipinos, Germans, Italians, Americans, Poles and Brazilians did not comply with the criterion of FOBs as part of this study group so were discounted. The ethnic groups that satisfied the criterion of small and medium scale ethnic family-owned convenience stores and restaurants comprised six Asian ethnicities namely, Chinese, Indian, Thai, Vietnamese, Korean and Japanese. Therefore, the scope of the study was twenty convenience stores operated by three ethnic groups (Chinese, Indian and Korean) and are located within a five kilometre radius of Christchurch city centre and thirty-nine restaurants operated by six ethnic groups (Thai, Chinese, Japanese, Indian, Vietnamese and Korean) and located within a five kilometre radius of Christchurch city centre. The aim of this study was to see how these ethnic groups go about business succession planning. Qualitative researchers often work with small samples of people based on the context and study them in detail compared with quantitative researchers who focus often on larger numbers of context-stripped cases and work in search of statistical implication (Miles and Huberman, 1994a).

3.4.2 Development of Questions for Collecting Data

The various instruments to collect qualitative data include focus group interviews, in-depth interviews, conversations, semi structured interviews, and observation (Miles and Huberman, 1994a; Bryman and Bell, 2007). Interviewing is commonly used in qualitative research even though the interviewing process, the transcription of interviews and analysis of the transcripts are time consuming. However, interviews can be easily accommodated into the personal experiences of the respondents (Bryman, 2012).

Quantitative or structured interviews are semi-formal and are usually conducted in surveys using standardised interview schedules; qualitative or semi-structured/in-depth/ethnographic interviews have a more informal, interactive and/or chatty character, which is shaped partially by the interviewer's pre-existing topic guide and partially by other concerns embryonic in the interview (Bloor and Wood, 2011).

To address the questions of this study, data were collected from respondents using semi-structured interviews. Essentially, interview data can be used by social scientists in many ways including: (a) as a source of witness accounts of the social world, (b) as a basis of self-analysis, (c) as an indirect foundation of evidence about the respondents' attitudes and viewpoints and (d) as a source of substantiation about the constructional work on the part

of the respondent in the ways in which interview data are produced (Hammersley, 2003). Hammersley also reported that the 'flexibility' factor concerning interviews was what made them more attractive thus, in the context of this study, interviewing the respondents was most appropriate to gather the data.

In addition, questions in semi-structured interviews necessarily need not follow exactly how they were outlined (Hammersley, 2003). Nevertheless, all qualitative semi-structured interviews have three core-features: (1) the interactional exchange of dialogue between two or more participants, in face-to-face or other contexts, (2) a thematic, topic centred, biographical or narrative approach where the researcher has topics, themes or issues they wish to cover, using a smooth and flexible structure, and (3) meanings and understandings are generated in an interaction that was effectively a co-production involving the construction or reconstruction of knowledge (Mason, 1996). Mason further suggested that semi-structured interviews were useful in the partial pre-planning of the questions and the permitted repetition of the interview with other respondents. They can also be conducted by telephone, videophone, etc., although conducting them face-to-face is considered most appropriate.

Table 3.1 lists the questions developed by the researcher to gather data from the respondents during the semi-structured interviews. It is worth noting that each question was developed after careful consideration of three aspects: (1) the relevance/similar perspectives discussed in literature; (2) how the question related to the research question of this study; and (3) how the questions related to the research theme of this study. Each question is supplemented by a justification explaining how the question related to those aspects.

Respondents were able to speak about their genuine opinions and viewpoint from within their ethnic background. The researcher intentionally divided the questions into four sections: (a) general profile; (b) family business profile; (c) business succession planning profile; and (d) ethnicity profile. Within each section, the opening questions are followed by some probing questions; this allowed the respondents to think more deeply before they started answering the questions.

3.4.3 Pilot Study

A pilot study refers to the practicability of a study that is carried out in preparation for the main study; it can also serve as pre-test of a specific research instrument (van Teijlingen and Hundley, 2010). A pilot study can also be considered a small-scale study of a larger study that generally involves fewer participants and lasts for shorter time (Schreiber, 2008).

Given the above, the researcher conducted a pilot study before approaching the target sample. In doing so, the researcher randomly selected a sample of eight participants, four from the convenience store sector and four from the restaurant sector. The main purpose was to test the clarity and efficacy of the questions and the duration of the interview; to test different interviewing exercises and guides and to make alterations where the length was inappropriate (Bloor and Wood, 2011). During the pilot study, the researcher developed a better background understanding of the research setting and how the setting impacted on the conduct of the study.

Table 3.1 – Developing the Questions for Collecting Data

A. General Profile
1. What is your name?
- *An internal holistic/personal/general question.*
2. What is the name of your business?
- *An internal holistic/personal/general question.*
3. Please circle the age category to which you belong.
- *A general and personal question to see what age groups were mostly involved in FOBs.*
4. With which ethnic group do you identify yourself?
- *The need to find the ethnicities of the participants in order to address the first research question, 'what ethnic factors give rise to business succession planning in ethnic family-owned convenience stores and restaurants in Christchurch, New Zealand?'.*
5. Please circle your highest academic qualification.
- *A general, personal question looking at the education level of the participants.*
B. Family-owned Business Profile
6. Why did you/your parents decide to migrate to NZ?
- *Developed by the researcher with the intention of putting the respondent at ease*

prior to inquiring directly about the subject matter.

- *To capture information on migration drivers as suggested by Vries (2010) – 'The Unique Characteristics of Indian Immigrant Entrepreneurs: A Case Study of Immigrant Entrepreneurship in New Zealand'*

7. Why did you decide to start/buy this business?

- *Developed by the researcher to capture information about the reasons that inspired the respondent to start or buy the business.*

- *This also enables to confirm which one of the five immigrant entrepreneurship theories developed by Emerson et al. (2011) in Exploring the Drivers if Entrepreneurship in Indian Migrants to New Zealand: An Enquiry into the Personal, Labour Market and Economic Factors Prompting Entrepreneurial Behaviour' applied.*

8. Are any of your family members involved in the business in the capacity of partners, shareholders, employees, etc. ?

- *Developed by the researcher to get to know if the respondent had any of his/her family involved in the business and, if so, were they shareholders, ordinary employees, decision makers, etc.*

9. If you are in a partnership; who are you in a partnership with? (spouse, any other family member, non-family, etc.).

- *General question to see with whom the partnership was with if there was any.*

- *Also to see the level of involvement of family members in the business.*

10. If you have shareholders; who are the shareholders? (family members, non-family members, both).

- *General question to see who the shareholders were, if there were any.*

- *Also to see the level of involvement of family members in the business.*

11. Who are the employees working with you? (family members, non-family members, both)

   Developed by the researcher to see how many family and/or non-family employees were involved in the business.

12. How important do you think it is to have family involved in the business?

- *To find out if the respondent preferred/did not prefer having family members involved in the business or considered the involvement of family members in the business as either optional or challenging as suggested by Vries (2010) in 'The Unique Characteristics of Indian Immigrant Entrepreneurs: A Case Study of Immigrant Entrepreneurship in New Zealand'; Perricone, John and Taplin (2001) in 'Patterns of Succession and Continuity in Family-Owned Businesses: Study of an Ethnic Community'.*

- *To clarify if the involvement of family members in the business, helped planning for succession by encouraging building trust and understanding between family members as suggested in the FOB knowledge accumulation model of Le Breton-Miller et al. (2004) in 'Toward an Integrative Model of Effective FOB*

	Succession'.
13.	To what extent do you have your family involved with you when making business decisions?
-	*To see if the respondents had their family involved in the business and in making business decisions.*

C.	Business Succession Planning Profile

14.	Do you have a succession plan for your business?
-	*Developed by the researcher to get to know if the respondent had an idea about business succession planning (BSP) and if the respondent had a succession plan for the business.*

If the respondent had a business succession plan:

15.	Is your BSP in any way developed with your ethnic background in mind? If so, can you please explain?
-	*Developed by the researcher to understand the impact of the respondent's ethnicity upon business succession planning.*
-	*Also, with reference to the Eclectic Framework introduced by Saxena (2013) in 'Transgenerational Succession in Business Groups in India'; which goes beyond the parameters of a psychoanalytic framework for business succession planning.*
16.	Would you have done it differently if you were in your home country? If YES, please explain. If NO, please explain.
-	*Developed by the researcher to support the previous question, to see to what extent the respondent practised his/her ethnicity in New Zealand when planning for business succession.*
17.	What made you think of having a business plan for your business?
-	*Developed by the researcher to look at the reasons for having a business succession plan.*
18.	Do your family members (children/heirs) show a genuine interest in taking over the business?
-	*To find out successor information as suggested by Le Breton et al. (2004) in 'Toward an Integrative Model of Effective FOB Succession' and Saxena (2013) in 'Transgenerational Succession in Business Groups in India'.*
19.	In what form is your succession plan currently held? Is it formally documented, orally informed to the respective parties, discussed and decided among family, just kept in mind?
-	*Developed by the researcher to capture information on how the respondent held the succession plan.*
20.	Approximately when are you looking to put your succession plan into practice?
-	*Developed by the researcher to get to know how soon the respondent planned on*

handing over the business to the successor in mind.

If the respondent did not have a business succession plan:

21. Would you mind sharing with me some of the reasons why you haven't developed a business succession plan?

-    *To get to know any particular reasons for not having BSP because planning for succession can be challenging as suggested by Clifford and OEOC (2008)in 'An Owner's Guide to Business Succession Planning'.*

22. What makes you think that your business does not need a succession plan?

-    *Developed by the researcher to get to know the possible reasons for not planning for business succession.*

23. In the case of your business, do you see any potential risks concerning the business not having a succession plan? If YES, please explain. If NO, please explain.

-    *Developed by the researcher to see if the respondent was aware of any potential risks of not having a succession plan for his/her business.*

D.   Ethnicity Profile

24. How do you think your ethnic background influences the way you do business?

-    *Developed by the researcher to get to know if the respondent's ethnic background impacted on the overall operations of the business.*

25. Why do you think that people from your ethnic background establish themselves in certain types of business?

-    *To capture information about particular ethnic groups being well known to succeed in a particular business sector (food, retail, etc.), as suggested by Vries (2010) in 'The Unique Characteristics of Indian Immigrant Entrepreneurs: A Case Study of Immigrant Entrepreneurship in New Zealand'; Emerson et al. (2011) in 'Exploring the Drivers if Entrepreneurship in Indian Migrants to New Zealand: An Enquiry into the Personal, Labour Market and Economic Factors Prompting Entrepreneurial Behaviour'; and Piperopoulos (2010) in 'Ethnic Minority Businesses and Immigrant Entrepreneurship in Greece'.*

-    *To get to know if women, in particular, were given/not given the opportunity of taking over the business as suggested by Basu and Altinay (2002) in 'The Interaction between Culture and Entrepreneurship in London's Immigrant Businesses'.*

26. Given your ethnic background, is it considered very important that you pass on your business to family members after your retirement? If YES, please explain. If NO, please explain.

-    *To get to know how the factors explained in the Eclectic Framework as suggested by Saxena (2013)in– 'Transgenerational Succession in Business Groups in India' applied in the selected sample.*

3.4.4 Executing the Pilot Study

In executing the pilot study, the researcher hand delivered an envelope containing the cover letter (refer Appendices 2 & 3) that included all necessary information in relation to the study along with the consent form (Appendix 4) to the four convenience stores and four restaurants within the selected sample. This was delivered to the owner of the business or to anyone present at the counter at the time. The business owner's name and contact number were requested and the recipient was informed that they would be contacted by phone five days after receiving the documents and an appointment for an interview would be made with the owner. Interviews were audio recorded with the consent of the respondent and notes were taken down as necessary.

During the pilot study, it was found that the interview questions in Table 3.1, to test the possibility, consistency and rationality of the study design were found to be feasible, reliable and valid in the context of this study. All respondents were from the second generation in New Zealand; three research participants (two from convenience stores and one from restaurants) required de-briefing of the term 'Business Succession Planning' and apart from that they all understood the questions well and they were also able to converse in English. The questions did not require any alterations so were used to gather data from the target sample.

3.4.5 Approaching the Respondents

When approaching the target sample, the researcher followed an approach similar to that for the pilot study. The researcher hand delivered an envelope containing the cover letter (Appendices 2 & 3) that included all necessary information in relation to the study along with the consent form (Appendix 4) to all convenience stores and restaurants in the sample. Ideally, it was delivered to the business owner or to anyone who was present at the counter at the time. The business owner's name and contact number were requested and the person was informed that they would be contacted by phone five days after receiving the documents and an appointment for an interview would be made with the owner.

3.4.6 Audio Recording Interviews

The various methods to record interviews for transcription and later analysis include videotape recording, audiotape recording, remembering, and note-taking (Kvale, 2011). Audio recording face-to-face interviews, which is the key method used in this study, has the advantage of more precise reporting than taking down notes during an interview

(Opdenakker, 2006). This practice is important in collecting data because qualitative researchers are not only interested in what respondents say but also in the manner (voice intonation) in how they express their views (Bryman, 2012). Kvale (2011) suggested that audio recorded interviews enable the researcher to record the interviews in a more perpetual form that the researcher is able to listen to it again and again when it comes to transcribing the interviews and analysing the data. Thus, in the context of this study, it was decided at the outset that all interviews would be audio recorded, subject to the interviewee's approval.

Actual interviews lasted between 40-50 minutes, beginning with the respondents being given a cover letter (Appendix 2) containing all the necessary information in relation to the study along with the consent form (Appendix 3) to ensure that the respondents had clear knowledge about the study and to help them to be comfortable with it.

3.4.7 Transcription of Interviews

Transcribing interviews from oral to written mode converts the interview conversations into a form suitable for closer analysis; this is the initial analysis (Kvale, 2011). This process, however, is very time consuming and generates large amounts of paper (Bryman, 2012); it is said to take 5-6 hours to transcribe every hour of conversation.

The researcher chose to transcribe all interviews without the involvement of any external transcribers because this was anticipated to help bring the researcher closer to the data and encouraged the researcher to identify key themes and to become fully aware of similarities and differences between the various ethnic groups (Bryman, 2012). Upon completion of the transcription, the next task was to analyse the interview transcripts (data) as explained below.

3.4.8 Data Analysis

Miles (1979) identified qualitative data as an 'attractive nuisance' merely because of the allure of its richness and the difficulty of finding ways to analyse this richness. Therefore, the researcher is required to stay away from being fascinated by data's richness to emphasise the significance of it for the social sciences; this condition is known as 'analytic interruptus' (Lofland 1971).

The literature suggests that there are various strategies developed for analysing qualitative data: (1) evaluation data (Patton, 2002); (2) grounded theory (Strauss and Corbin, 1998);

(3) phenomenology (van Manen, 1990); (4) discourse analysis (Potter and Wetherell, 1994) and (5) narrative analysis (Leiblich, 1998). The literature also reveals that researchers and evaluators who adopted 'critical realist' epistemology (Miles and Huberman, 1994a) were mostly unacquainted with most of the traditional qualitative analysis strategies mentioned above. They wished to have a candid set of procedures, without having to go by the underlying philosophy and technical jargon associated with many qualitative analysis approaches.

This study used a computer-assisted qualitative data analysis (CAQDAS) approach, NVivo. The next section is dedicated to an explanation of CAQDAS and particularly NVivo.

Mangabeira, Lee and Fielding (2004) reported that CAQDAS packages first emerged in the 1980s and were initially identified as code-and-retrieve. The abbreviation CAQDAS was coined by Raymond M. Lee and Nigel G. Fielding in 1991 (Bryman, 2012). Over many years, three trends concerning CAQDAS have become apparent (Mangabeira, Lee and Fielding, 2004): (1) a drive to develop more sophisticated software; (2) increased market demand for CAQDAS software; and (3) escalating numbers of users of CAQDAS packages. Thus, there is a wide range of computer-assisted qualitative data analysis software packages available in the market (Bringer, Johnston and Brackenridge, 2004); for example, QDA Minor Lite; Coding Analysis Tool Kit (CAT); Computer- aided Textual Markup and Analysis (CATMA); ELAN; Qiqqa; Kirq; TOSMANA; Cassandre; NVivo; Compendium; and Aquad. Given the CAQDAS software available in the market, the analysis of the data in this study was with NVivo.

NVivo is a qualitative data analysis computer software system, designed and developed for qualitative researchers who are involved in working with rich, text-based data (for example, interview data, open-ended survey responses) that requires in-depth analysis (QSR International, 2017).

Key advantages of using NVivo to analyse qualitative data are: (1) the ability to manage the data – an ability to organise numerous records of data; (2) the ability to manage ideas – an ability to organise and provide quick access to theoretical knowledge produced in the research; (3) the ability to question data – ask easy or difficult questions related to data; (4) the ability to visualise data – an ability to demonstrate the substance and/or the structure of ideas, concepts, cases, etc. at different levels of the data interpretive process; and (5) the

ability to report from data – an ability to use the contents of the qualitative database (Bazeley and Jackson 2013).

In conjunction with using NVivo, Carney's Ladder of Analytical Abstraction (Carney, 1990) (Figure 3.2) was used to vent the analytical process of qualitative research. This process is a method of framing qualitative research and begins with gathering data from participants and looking for connections in the data. The process demonstrates the study in terms of the range of different themes within the data.

Figure 3.2 – Carney's Ladder of Analytical Abstraction

Levels	
	3b Delineating the deep structure *Synthesis: integrating the data into one explanatory framework.*
3. Developing and testing propositions to construct an explanatory framework	
	3a Testing hypotheses and reducing the bulk of the data for analysis of trends in it *Cross-checking tentative findings.* *Matrix analysis of major themes in data.*
2. Repackaging and aggregating the data	
	Identifying themes and trends in the data overall *Searching for relationships in the data: writing analytical memos.* *Finding out where the emphasis and gaps in the data.*
1. Summarizing	
	1b Trying out coding categories to find a set that fits and packaging *Coding of data.* *Writing of analytical notes on linkages to various frameworks of interpretation.*
	1a Creating a text to work on *Reconstruction of interview tapes as written notes.* *Synopses of individual interviews.*

(Carney 1990 in Miles and Huberman, 1994a, p. 92)

Within Carney's ladder of analytical abstraction (Carney, 1990) data are considered either as repackaging or aggregating; allowing codes to be seen with similar merged themes. This also allows questions to be asked about the data, for example, Are the research participants suitable for the research? Unlike quantitative research where technology is used to present perfect results, time is needed for critical thinking as participants' words have tentative meanings and may possess multiple meanings that take time to digest.

As analysis progresses, data are integrated into one descriptive theory at the final stage (level 3) of the qualitative research process. When moving to conclude qualitative research, the data will be considered within the context of its gathering and the participants and against known understanding, in this case the research question: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'* .

3.5 Research Ethics

'Research Ethics' is a topic discussed with much emphasis by various social scientists because it is a topic for methodological reflection. The importance of research ethics has increased during the recent past for various reasons: the heavy use of technology which has created distinctive problems; legislation protecting data and so forth (Hammersley and Traianou, 2012). If research involves humans, the process has to be reviewed to ensure that it is being conducted in an ethical manner (Leedy and Omrod, 2010).

Elaborating on research ethics, Diener and Crandall (1978) in Bryman and Bell (2007), emphasized four different areas in which ethical principles in business research play a major role: (1) if there was any sort of impact on the participants; (2) if there was any absence of consensus; (3) if there is any incursion of confidentiality; and (4) if there was any sort of cheating involved.

Thus, it is noteworthy that all possible precautionary steps have been followed to assure the ethics of this study. The study has been reviewed and approved by the Human Ethics Committee (HEC) at Lincoln University. The procedures for collecting data have also been approved by the HEC to ensure the prevention of any sort of impact on the participants and the absence of consensus. The confidentiality of the data has been guaranteed throughout the study; every possible measure has been taken to protect the anonymity of all respondents.

Additionally, necessary protective measures have been followed in storing and record keeping of all research data. None of the research data have been manipulated thus no deceptive actions have been practised throughout the study so the results are genuine and constructive for the future development of BSP in small and medium ethnic family-owned

businesses operating in Christchurch, New Zealand, as well as small and medium scale family-owned businesses around the world.

3.6 Chapter Summary

This chapter explained the research methodology and research design of this study along with explanations in two other sections, Carney's ladder of analytical abstraction and the research ethics. This is a qualitative study employing a mixed methodology, a combination of case studies and grounded theory. The sampling technique is purposive sampling and the instrumental data collection method is semi-structured interviews. The target sample consists of ethnic family-owned convenience stores and restaurants operated within a 5 kilometre radius of Christchurch city centre, New Zealand. Research data gathered from respondents (via semi-structured interviews) will be analysed using a computer-assisted qualitative data analysis approach, NVivo. The data analysis and the study results (including the pilot study) will be presented in Chapter 04.

CHAPTER 4

RESULTS & ANALYSIS

4.1 Introduction

This study used a mixed research methodology with the base data gathered during interviews with research participants. In terms of qualitative data, Strauss and Corbin (1990, p21) questioned the extent to which data should be interpreted by researchers or, indeed, should be analysed at all, but possibly presented in an 'unprocessed' form and left to the readers to come to their own conclusions. However, the need to arrive at conclusions and develop a level of generalisation is the core of research, hence, meticulous analysis of the data was vital.

As this research method applied the genre of grounded theory, data gathering and analysis were ongoing throughout the study until and including the sections on discussion and conclusions. To guide the reader in following the data gathering, analysis and further data gathering and analysis, this chapter often refers to analysis as being at a certain level of the ladder of analytical abstraction (Carney, 1990) (Figure 4.1).

The findings and analysis are presented in two parts, Sections 4.2 and 4.3. The first part of the chapter, Section 4.2, focuses on a general profile of the lives of the respondents. In addition to analysing personal information pertaining to respondents, this section also analyses their perceptions and views of their respective ethnicities and on how their ethnic background influenced their business practices. In addition to making the research participants comfortable with the interviews and putting them at ease, preliminary observation and understanding of the operational ethnic family-owned convenience stores and restaurants in Christchurch, it was obvious that certain biographical questions could provide this study with a lead to finding out if ethnicity impacted on the decision to have or not have a BSP.

The second part of this chapter, Section 4.3, focusses directly on questions linked to BSP and ethnicity. This section consists of two sub sections, Section 4.3.1 – family owned business profile and Section 4.3.2 – business succession planning profile. The findings and analysis are presented under these headings.

Figure 4.1 Carney's Ladder of Analytical Abstraction

Levels	

3b Delineating the deep structure
Synthesis: integrating the data into one explanatory framework.

3. Developing and testing propositions to construct an explanatory framework

3a Testing hypotheses and reducing the bulk of the data for analysis of trends in it
Cross-checking tentative findings.
Matrix analysis of major themes in data.

2. Repackaging and aggregating the data

Identifying themes and trends in the data overall
Searching for relationships in the data: writing analytical memos.
Finding out where the emphasis and gaps in the data.

2. Summarizing

1b Trying out coding categories to find a set that fits and packaging *Coding of data.*
Writing of analytical notes on linkages to various frameworks of interpretation.

1a Creating a text to work on
Reconstruction of interview tapes as written notes.
Synopses of individual interviews.

(Carney 1990 in Miles and Huberman, 1994a, p. 92)

Each question is analysed in a sequential manner including a commentary for each question, analysis of the findings gathered during the interview, a discussion of the findings from the literature perspective (if the literature supports the findings or not) and the relevance of the findings addressing the research question of the study.

4.2 General Profile

The general profile was designed to gather basic background information about the respondents. By doing so, the researcher's intention was to put the respondents at ease and to prepare them for the interview on BSP. The results gathered under the general profile are discussed in this section. Respondents are identified throughout the study as R1, R2, R3 to R51.

4.2.1 Participants' Age Categories and Gender

This part of the questionnaire deals with age and gender, enabling the researcher to establish the frequency of the age categories involved in businesses at the time of the study. Study participants' ages have not been reported in previous studies on BSP in FOBs, therefore, this is believed to add new knowledge to this particular research area and may affect the findings.

Table 4.1 details the fifty-one participants; twenty-five respondents (49%) were aged 35-44 and nineteen (37%) were aged 45-54. It is worth noting that 96% of respondents belonging to these two age categories were second generation migrants presently operating their family business. Four respondents (8%) were aged 25-34 and three respondents (6%) were aged 55-64. No participants were in the age group 'over 65'.

Table 4.1 – Age Categories and Gender of the Respondents

Age Category	No. of Respondents	% of Respondents	Type of Business		Gender of the Respondents	
			Convenience Store	Restaurant	M	F
25-34	4	8%	1	3	4	-
35-44	25	49%	13	12	23	2
45-54	19	37%	5	14	15	4
55-64	3	6%	1	2	3	-
65 and above	0	0%	-	-	-	-
Total	**51**	**100%**	20(39%)	31(61%)	45(88%)	6(12%)

Table 4.1 also exhibits that, of the four respondents aged 25-34, three were in the restaurant business and one was from a convenience store. Of the twenty-five respondents aged 35-44, thirteen were from convenience stores and twelve from restaurants whereas, of

the fifteen respondents aged 45-54, fourteen were from restaurants and five were from the convenience stores. The three respondents aged 55-64 comprised two from restaurants and one from a convenience store.

As reported by Bible and Hill (2007), in spite of the present closing gap between men and women in business, the 'glass ceiling' was still fairly apparent in most instances. In this study there were more men than women in management/ownership positions. According to Cai and Kleiner (1999), in most cases, business and management of business was considered a male occupation, hence, was considered as not appropriate for a woman. This is compatible with the findings presented in Table 4.1 where twenty-three of twenty-five respondents aged 35-44 were male and only two were females. Similarly, there were fifteen male respondents in the age band 45-54 and only four females. There were no females in the age bands 25-34 and 55-64. This shows that female participation/involvement in the business was as low as 12% with male participation /involvement in business as high as 88%. As further reported by Bible and Hill (2007), gender based stereotyping was mostly based on perceptions and opinion and not on facts. Gender based stereotyping is also directly linked to the concept of 'women's invisibility' (Johnson and Powell, 1994; Cole, 1997; Stamfestova, 2016) as will be discussed later in this chapter.

4.2.2 Ethnic Identity

This question partly addresses the research question: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?,* because it exposes the ethnicities involved. Note that twenty-four participants were Chinese (46%); ten Indian (20%); seven Thai (14%); five Korean (10%); three Vietnamese (6%) and two Japanese (4%). The results are presented in Table 4.2 with the age categories and gender of each nationality.

Supplementing the findings in this section, Table 4.2 shows that the study sample included four male participants in the 25-34 age band and no female participants; twenty-three male participants and two female participants in the 35-44 age band; fifteen male participants and four female participants in the 45-54 age band and five male participants and no female participants in the 55-64 age band.

Deeper analysis of Table 4.2 reveals that among the two dominant ethnicities (Chinese and Indian), there are also sub-categories of ethnicities. Beginning with the Chinese category Table 4.3 identifies eleven respondents (46%) from the 'Han' ethnic group; four (17%) 'Hong Kong Chinese'; three (13%) from the 'Zhuang' ethnic group; two (8%) from the 'Manchu' ethnic group; two (8%) from the 'Hui' ethnic group; one (4%) 'Tibetan Chinese' and one (4%) 'Taiwanese Chinese'. Having explained in Chapter 1 that the retail and trade and the food services sector are industries with low-barrier-to-entry for migrants and that Chinese were among the largest migrant groups in New Zealand that specifically engaged in these two industries (while demonstrating high levels of self-employment), it is not surprising that Chinese are highly represented in this type of business ownership.

Table 4.2 –The Ethnicities and Gender of the Respondents

Ethnicity	No. of Respondents	% of Respondents	Age Categories and Gender									
			25-34		35-44		45-54		55-64		>64	
			M	F	M	F	M	F	M	F	M	F
Chinese	24	46%	-	-	15	2	6	-	1	-	-	-
Indians	10	20%	3	-	5	-	2	-	-	-	-	-
Thai	7	14%	-	-	-	-	2	3	2	-	-	-
Korean	5	10%	1	-	-	-	3	1	-	-	-	-
Vietnamese	3	6%	-	-	2	-	1	-	-	-	-	-
Japanese	2	4%	-	-	1	-	1	-	-	-	-	-
Total	**51**	**100%**	**4**	**-**	**23**	**2**	**15**	**4**	**3**	**-**	**-**	**-**

Table 4.3 – Composition of the Chinese Respondents

Chinese Ethnic Groups	Number of Respondents	Percentage of Respondents
Han	11	46%
Hong Kong Chinese	4	17%
Zhuang	3	13%
Manchu	2	8%
Hui	2	8%
Tibetan Chinese	1	4%
Taiwanese Chinese	1	4%
Total	**24**	**100%**

With the rise in 'ethnoscapes' where migrant clusters have influenced food, language and culture (nzherald, 2015), according to population projections issued by Statistics New Zealand (stuff 2015), more New Zealanders are expected to identify themselves as Maori, Asian or Pacific over the next two decades. According to stuff nz (2015), Asian ethnicity is

the fastest growing ethnic group with an anticipated growth from 12% in 2013 to 17% in the mid-2020s and thereafter to 21% in 2038. Census 2013, released by Statistics New Zealand (2014), reported that Chinese was the largest Asian ethnic group in New Zealand in 2013 with approximately 171,400 people or 36.3%, but this was a decrease from 41.6% in 2006.

The worldatlas (2017) and The Economist (2016) reported that 91.59% (approximately 1.2 bn) of the Chinese population consists of Han Chinese making it the predominant ethnic group in China. This, in turn, could be the reason why nearly half of the Chinese population in the sample were Han Chinese. Statistics from the worldatlas (2017) show that Zhuang Chinese represented 1.3% of the entire Chinese population; they were the third largest (13%) in the sample. All other ethnic groups including Manchu, Hui, Hong Kong, Tibetan and Taiwanese Chinese represented 7.1% of the entire Chinese population. This could be the reason why 46% of the Chinese population in the study sample were of Han ethnicity.

Table 4.4 presents data on the Indian research participants where six respondents (60%) identified themselves as 'Sikhs', two respondents (20%) identified themselves as 'Punjabi Hindu'; one (10%) as 'Kerala Malayali' and the other (10%) as a 'Brahmin'.

Table 4.4 – Ethnic Composition of Indian Respondents

Indian Ethnic Group	Number of Respondents	Percentage of Respondents
Sikh	6	60%
Punjabi Hindu	2	20%
Kerala Malayali	1	10%
Brahmin	1	10%

Census 2013 data from Statistics New Zealand (2014) showed that in 2013 Indians were the second largest Asian ethnic group in New Zealand with approximately 155,178 people accounting for 32.9% of the Indian population which is higher than the 29.5% reported in 2006.

All seven Thai respondents identified themselves as 'Thai', the five Korean respondents identified themselves as 'Koreans' from South Korea, the three respondents from Vietnam identified themselves as 'Kinh' and the two respondents from Japan identified themselves as 'Japanese'.

In summary so far, it is noted that the great majority (98%) of the participants (except for R12 and R20) were second generation migrants who had migrated to New Zealand with their families during their childhood. R12, from the age band 55-64, was the founder of the business and was still running it. R20, from the age band 45-54, was the founder of the business and was also still running the business. Hence, the study sample consisted of second generation migrants, who had taken over the business from its founders (their fathers in most cases). Almost 99% of the participants in this study migrated to New Zealand during their childhood; their reasons for migrating and their stories will be discussed and analysed later in this chapter.

In spite of the literature on family BSP (Whatley, 2011; Lee et al., 2003; Bachkaniwala et al., 2011) no research reported the age categories of the research participants and/or its significance, for example, what age categories were mostly functional in operating the family businesses; what age category was most likely to take over the family business. Most previous studies reported only on the family leadership across generations that affected the sustainability of the business (Bocatto et al., 2010; Morris et al., 1996); the composition of family businesses (Carsrud and Brannbäck, 2012); and the unique nature of family-owned firms (Kepner 1983).

The results show a significant disparity in the gender composition in the study sample with forty-five five males (88%) and six females (12%) in the study sample clearly portraying that the involvement of males is far greater than females. The reasons related to this will be discussed later in this chapter. However, the concept of 'women's invisibility' has been highlighted on various occasions (for example, Johnson and Powell, 1994; Cole 1997; Stamfestova, 2016) concerning BSP in FOBs.

4.2.3 Influences of Ethnic Background upon overall Business Practices

Irrespective of the literature on BSP (Whatley, 2011; Lussier and Sonfield, 2012; Duh, 2015) and ethnic minority business (Ram, and Smallbone, 2003; Assudani 2009; Piperopoulos, 2010; Neupert and Baughn 2013), there is no literature that helps inform us about the knowledge specific to respondents' ethnic backgrounds on business practices and various ethnic related elements (for example, culture, traditions, beliefs, religious aspects, family norms, rituals, customs) that influenced the respondents on how they did business. To expand general understanding of this, participants were asked what influence their ethnic background had on their business practices.

Such influences of respondents' ethnic background upon their business practices are in terms of the analysis method referred to as 'open coding' (Strauss and Corbin 1990); the process of breaking down, examining, comparing, conceptualising and categorising data. Table 4.5 details the themed responses of participants.

Table 4.5 – Influences of Ethnic Background on Business Practices

Open Code Number	Influences of Ethnic Background on doing Business	No. of Respondents	Ethnicities						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
A1	Culture had made them what they were at present	14	5	2	3	1	2	1	5	9	27%
A2	Tried to incorporate culture, traditions and customs in everything they did	13	5	6	-	-	2	-	5	8	25%
A3	Ethnic background came first in everything they did	10	4	6	-	-	-	-	3	7	20%
A4	Ethnic background had a high influence on their business practices	7	5	2	-	-	-	-	4	3	14%
A5	Practiced religion before starting the day	5	-	5	-	-	-	-	2	3	10%
A6	Celebrated cultural and religious functions	4	-	2	-	-	2	-	1	3	8%
A7	Practiced Thai Buddhist culture	4	-	-	4	-	-	-	-	4	8%
A8	Very traditional and conservative	3	1	-	1	-	1	-	1	2	6%
A9	Displayed symbolic cultural elements in the business place	2	2	-	-	-	-	-	2	-	4%
A10	Living within their Vietnamese culture	2	-	-	-	2	-	-	-	2	4%
A11	Living exactly like in China	2	2	-	-	-	-	-	-	2	4%
A12	Have a responsibility to take forward	1	-	-	-	-	-	1	1	-	2%
A13	Following traditional trends followed by dad	1	-	1	-	-	-	-	1	-	2%
A14	Loyal customers' from dad's time shop here	1	1	-	-	-	-	-	1	-	2%
A15	Living according to ethnicity	1	-	-	-	-	1	-	-	1	2%
A16	Living according to Brahmin culture	1	-	1	-	-	-	-	-	1	2%
A17	Family oriented and collective culture	1	-	-	1	-	-	-	-	1	2%
A18	Responsible for family name and reputation	1	1	-	-	-	-	-	1	-	2%
A19	Limited influence of the Vietnamese culture	1	-	-	-	1	-	-	-	1	2%
A20	Strong Korean culture	1	-	-	-	-	1	-	-	1	2%
A21	Brought up in a mixed environment	1	-	-	-	-	1	-	-	-	2%
A22	Does not follow culture or traditions	1	1	-	-	-	-	-	1		2%

Note: Percentages do not add to 100% because more than one response was given by the same respondent.

(Refer appendices 5 and 6 for full details of the development of codes and nodes).

The findings gathered during the interviews revealed that fourteen respondents (27%) were of the view that culture had made them what they were at present. Of the fourteen, five were Chinese; and participation observation made it obvious that Chinese considered culture as their backbone and they heavily depended on it, for example R1 mentioned:

> *"It always comes first in everything I...we do. What we are is because of our strong culture. And it is our responsibility to take it forward".* = Open Code No.A1

Thirteen respondents (25%) mentioned that they tried to incorporate culture, traditions and customs in everything they did. For example, R8; a Chinese respondent age 45-54, running a convenience store mentioned:

> *"Well, from the day I was born I have lived with my culture and traditions. Our culture has always been a part of us and it applies to doing business as well. We do not have to make an effort to do business according to our culture or traditions, it just happens naturally".* = Open Code No.A2

R22, a Chinese respondent age 35-44, owner of a restaurant said:

> *"Even if we live away from China, we always try to live according to our culture and traditions. So I think our ethnic background influence us in everything we do".* = Open Code No. A2

R37, a Thai respondent age 45-54 mentioned:

> *"I think as Thai we are very cultural people. Our community is very close and traditional. In business also this is the same. We always try to do business like in our religion; we are Buddhist".* = Open Code No. A2

R38, another Thai respondent age 45-54, said:

> *"As a Thai I would say that we are very traditional and conservative people. We like to associate more of our community. We are Buddhist and are very religious. So this how we live and*

it's the same with our business as well. We try to do business in a
very honestly and peacefully". = Open Code No. A2

Of these thirteen, six were Indian and, in addition to the responses given by these respondents, participation observation showed that the various cultural, traditional and religious practices that they included in their overall business practices (for example, displaying statues of gods and goddesses in their workplace, their daily traditional attire, cultural decorations in the workplace, religious recitals playing on the audio player). Some responses given during the interviews are given below.

R13, age 35-44, running a convenience store said:

> *"Although we are far away from our country we always live*
> *according to our religion and culture. We do business also the*
> *same way. Before we start our day we practice our religion with*
> *Pooja and offerings. We recite our religious sutras. We celebrate*
> *our Sikh festivals. I suppose we don't feel that we are away from*
> *our country at all sometimes". = Open Code No. A2*

R14, age 35-44, owner of a convenience store said:

> *"I think it influences us in everything we do and not only business.*
> *The always live according to our culture. Before we start our*
> *business every morning we follow our religion. We have certain*
> *customs like Pooja and offerings, bajans and recitals. We*
> *celebrate our annual festivals and always make sure that we*
> *practice our traditions just like in India". = Open Code No. A2*

R15, age 45-54, owner of a convenience store said:

> *"We do business according to our Sikh culture and traditions. Not*
> *only business, everything we do is done with our culture and*
> *background in mind". = Open Code No. A2*

Among the various other responses received, R1 mentioned that, given their strong culture, it was their responsibility to take it forward:

> *"It always comes first in everything I...we do. What we are is*
> *because of our strong culture. And it is our responsibility to take it*
> *forward". = Open Code No. A12*

R6 said that he was following traditional trends practised by his dad:

> *"…….because I follow the same sort of things as my dad. So dad was a very traditional and conservative man and I'm just following him".* = Open Code No. A13

R7 said:

> *"Most of my customers are familiar with shopping here. They have been shopping in my store since my dad's time and most of them are from our community as well. So we talk the same language and I pretty much know what their requirements are".* = Open Code No. A14

R21 said:

> *"We basically live according to our ethnicity".* = Open Code No. A15

R36 shared a fairly long response about their Brahmin ethnicity:

> *"Coming from a Brahmin culture I think ethnicity matters a lot me and my family. Brahmins are the highest cast in our society and we never work for anyone. Our dignity, our reputation, our social status matters to us a lot. It's the same with business. We are Hindus and we are strong believers of our religion. We believe in thirty three million gods. We start our day with our religion and make sure that the blessings of these Gods are with us throughout the day".* = Open Code No. A16

R41 mentioned about the family oriented and collective culture:

> *"….Our culture is very family oriented and collective. We have a very close relationship with our community….".* = Open Code No. A17

R41 also mentioned about having to be responsible for their family's name reputation:

> *"…. it is our responsibility that we make sure that our family name and reputation is taken care of at all times…..".* = Open Code No. A18

R46 mentioned they had limited influence of their Vietnamese culture:

"It is true that we are Vietnamese by birth, but we've lived most of our lives in New Zealand, so our connectivity to our culture and Vietnamese traditions our very limited....". = Open Code No. A19

R47 mentioned their Korean ethnicity:

"We are Koreans, and we have strong culture. So we live keeping that in mind". = Open Code No. A20

R48 had been brought up in a mixed environment and they expressed:

"I have been brought up in mixed environment, and my parents have tried their best to practice and follow Korean culture and tradition and as a result of that is why I am running my dad's restaurant today.....". = Open Code No. A21

However, R27's response was very different from the others because their ethnic background seemed to have little or no influence on them at all:

"I am not much of a follower of ethnic matters. I come from a cultural background and a very conservative one. But I believe in my own theories most of the time". = Open Code No. A22

Having analysed the responses above, it is clear that ethnicity made a significant impact on the overall business practices of the research participants and that this was exclusive to participants of Chinese and Indian ethnicity. On the other hand, the overall findings reveal that respondents were moulded by their culture and traditions irrespective of them residing and doing business in another country. This is a result of how they have been brought-up by their families. It is also worth noting that 'religion' was considered significant especially for Indian and Thai; both groups incorporated religious practices in their overall business practices.

Most of the research participants who were moulded by culture and traditions and incorporated their ethnic background into their business practices were between the 35 and 44 years old and were second generation migrants who had taken over the family businesses.

Figure 4.2 illustrates the repackaging of data following Carney's ladder of analytical abstraction (Carney, 1990); new codes have been developed from within the existing higher level codes based on their relevance. However, the higher level codes 'have a

responsibility to take it forward'; 'loyal customers from dad's time shop here'; 'does not follow culture or traditions'; 'limited influence of Vietnamese culture' and brought up in a mixed environment' have not been repackaged since they don't reflect any similarity or relevance with the other existing codes. The overall significance of these codes will be discussed in Chapter 5 – Discussion and Conclusions.

Figure 4.2 - Repackaging the Data: Influences of Ethnic Background on Doing Business

List of Current Codes

A4 High influence

A1 Culture makes us what we are

A12 Have a responsibility to take it forward

A2 Try to incorporate culture, traditions, and customs in everything we do

A9 Symbolic elements placed in the store which represented culture

A13 Following traditional trends followed by

A14 Loyal customers from dad's time shop

A5 Practice religion before starting the day

A11 Same as in China

A 6 Celebrate cultural and religious functions

A15 Live according to ethnicity

A22 Does not follow culture or traditions

A3 Ethnic background comes first in everything

A16 Brahmin culture

A7 Thai Buddhist Culture

A8 Very traditional and conservative

A17 Family oriented and collective cultures

A18 Responsible for family name and

A10 Living within the Vietnamese culture

A19 Limited influence of Vietnamese culture

A20 Strong Korean culture

A21 Brought up in mixed environment

New Codes

Consider culture/traditions as an element within

Follow religion as an element of ethnicity

Concerned about family as an element of ethnicity

Ethnicity impact on living life/doing business

Note: The list of current codes does not follow a numerical order as they have been listed according to Table 4.5, based on the number of responses received from the research participants (high to low).

4.2.4 Reasons for People from Specific Ethnic Backgrounds to Engage in Specific Types of Businesses

Basu et al. (2002), Piperopoulos (2010), Vries (2010), Emerson et al. (2011), and Saxena (2013) have previously considered that certain ethnic groups are well known to succeed in certain types of business in migrant countries. As cited by Nestle (2011) and Largent (2012), ethnic minorities were most likely to start small and medium scale retail enterprises in many countries, especially in urban areas that provided co-ethnic groups of those countries with either goods, services or resources. Piperopoulos (2010) also explained that immigrant businessmen owners generally did not introduce a new product or service to the market in order to make profit, rather they made profit in a much more sophisticated method by establishing a business with the aim of serving, for example, Indian food to the co-ethnic population.

Given that this study focused on convenience stores and restaurants, the research participants were asked the question: "Why do you think that people from your ethnic background establish themselves in certain types of businesses?", with the intention of expanding knowledge in this research area.

Preliminary investigation and a study of the background of convenience stores and restaurants in Christchurch showed that these two types of business were mostly owned and operated by ethnic minorities (Chinese, Indian, Thai, Vietnamese, Korean, Japanese). Table 4.6 details the findings.

As detailed in Table 4.6 fourteen respondents (27%) were of the view that it was mostly because people from the same ethnicities were always good at what they were doing and this had a combination of eight Chinese, two Indian, three Thai and one Korean respondent. Eleven Chinese respondents (21%) were of the view that Chinese were always good in doing business. A few of the responses received from these Chinese respondents are exampled below;

R1, a convenience store owner age 35-44 mentioned:

"Chinese have always been great businessmen throughout history……". = Open Code No. 2

Table 4.6- Reasons for People in the Same Ethnicity to Engage in Similar Types of Business

Open Code Number	Reasons for People in the same Ethnicity to engage in similar types of Businesses	No. of Respondents	Ethnicities						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
B1	Because they are always good at what they do	14	8	2	3	-	1	-	6	8	27%
B2	Chinese are always good at doing business	11	11	-	-	-	-	-	8	4	21%
B3	Because it is a passion	11	7	4	-	-	-	-	6	5	21%
B4	Because they did not like to work for anyone	7	2	5	-	-	-	-	3	4	14%
B5	Because migrants had difficulty in finding jobs in NZ	6	-	4	2	-	-	-	4	2	12%
B6	Sikhs are always good at doing business	4	-	4	-	-	-	-	2	2	8%
B7	Because having their own business brought pride to their families	3	1	2	-	-	-	-	1	2	6%
B8	Because Thai people were always good at restaurant business	3	-	-	3	-	-	-	-	3	6%
B9	Because it was good to be your own boss	2	-	1	-	-	-	1	-	2	4%
B10	Because having their own business was always good	2	1	1	-	-	-	-	-	2	4%
B11	Indians were always good at doing business	2	-	2	-	-	-	-	2	-	4%
B12	Because migrants found it hard to find jobs in NZ due lack of English proficiency	2	-	-	2	-	-	-	-	2	4%
B13	Because they tried to follow others in the same community	2	2	-	-	-	-	-	2	-	4%
B14	Many Chinese in the community run a retail business	1	1	-	-	-	-	-	1	-	2%
B15	Because many people found it attractive	1	1	-	-	-	-	-	1	-	2%
B16	Because Chinese disliked doing small jobs in NZ	1	1	-	-	-	-	-	-	1	2%
B17	Because dark skin prevented them from finding good jobs in NZ	1	-	1	-	-	-	-	-	1	2%
B18	Because having a family business is a big achievement in the Chinese culture	1	1	-	-	-	-	-	-	1	2%
B19	Because they tried to do something different from others and tried to do it best	1	-	-	1	-	-	-	-	1	2%
B20	Because they wanted to continue with the family business	1	-	-	1	-	-	-	-	1	2%
B21	Because they had the need for fulfilling family responsibilities by taking over the family business	1	-	-	-	1	-	-	-	1	2%
B22	Because they were comfortable with what they did	1	-	-	-	-	1	-	-	1	2%
B23	Because they tried to work hard in the Japanese culture	1	-	-	-	-	-	1	-	1	2%

Note: Percentages do not add to 100% because more than one reason was given by the same respondent.

R8, another convenience store owner age 45-54 mentioned:

> *"People in our community are generally good in doing business. Doing business is what we do best".* = Open Code No. B2

R22, age 35-44, running a Chinese restaurant mentioned:

> *"I don't know the correct reason. But I think it's because they are good in doing business".* = Open Code No. B2

R23, another restaurant owner age 35-44 mentioned:

> *"Chinese always good in business".* = Open Code No. B2

On the other hand, as shown below, four Sikh Indians mentioned that Sikhs, in particular, were good at doing business.

R13, a convenience store owner age 35-44, mentioned:

> *"Sikhs always do good business. We are very good in retail business….".* = Open Code No. B6

R14, another convenience store owner age 35-44, mentioned;

> *"……and also we Sikhs are very good in doing business".* = Open Code No. B6

These results add new knowledge to this research area since there is no supporting literature.

Observation supplemented by the study by Chiswick (1999) suggested that these immigrants were induced to take up their own economic opportunities and they undoubtedly enjoyed their involvement in their family businesses, making it their passion. These migrants always had extraordinary ability, were vigorous, more determined and were exceptionally entrepreneurial. Thus, of the fifty-one, eleven respondents (21%) mentioned that being passionate about doing a particular business was another reason why people of the same ethnicity got into similar types of businesses. Of these eleven, seven were Chinese and four were Indian. For example:

R6, a Chinese respondent age 35-44 running a convenience store, mentioned:

> *"I think it's because its makes them feel comfortable and they are really good at doing what they are doing. When something becomes your passion, it is way easier to succeed".* = Open Code No. B3

R33, an Indian respondent age 25-34 running a restaurant, mentioned:

> *"May be because they like to do what they do and also they do what they like to do the most".* = Open Code No. B3

Seven respondents (14%) thought that the reasons why people from their ethnicity got into similar kinds of businesses were mainly because they did not like working for anyone; and this was a strong belief among most (five) of the Indian respondents. For example:

R14 mentioned:

> *"I think it's mainly because we don't want to work for someone.....".* Open Code No. B4

R17 mentioned:

> *"......because most Sikhs don't like to work for anyone...".* Open Code No. B4

R34 mentioned:

> *"I think as Sikhs we like to have our own business more than working for anyone else....".* = Open Code No. B4

Emerson et al. (2011) and Koning and Verver (2013) in their studies explained about immigrant business theory, the labour disadvantage theory, and various other reasons that coaxed immigrants to get into business start-ups. Consequently, six respondents (12%) shared the view that migrants, like them, found it rather difficult to find suitable employment in New Zealand, and this persuaded such migrants to start something of their own. A few responses by respondents are given below.

R16, an Indian respondent age 45-54, from a convenience store, mentioned:

> *"....I also think that Indians because of their skin colour find it hard to find good jobs in countries like this and because of this*

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reason many Indians try to start their own business even at a small scale….". = Open Code No. B17

R17, another Indian respondent age 35-44, from a convenience store mentioned:

".…...Also it can be because Indians because of dark skin find it difficult to get in to good jobs so they are pushed to start something on their own to make a living". = Open Code No. B17

R37, a Thai respondent age 45-54 running a restaurant, mentioned:

".....When we come to foreign countries like this it is difficult for us to find good jobs because no one like to give us jobs. We don't speak good English and we cannot communicate like them. So this is why many Thai try to start own business". = Open Code No. B12

R38, another Thai respondent age 45-54 owner of a Thai restaurant, mentioned:

"One thing is that migrants like us find it very difficult to find good jobs in countries like this because we don't speak good English. I have been here for a long time and I think I speak some good English but it's different with many others who come here. So they try to start something of their own….". = Open Code No. B12

Turkina et al. (2013), Khosa et al. (2015), Wang et al. (2015) and Brzozowski (2017) have previously reported on how immigrants found it interesting to follow their communities. The immigrants intended to do something different; these findings expanded the knowledge specific to this research area.

Among the various other responses, received R3, a Chinese respondent age 35-44 who was in the convenience store business, mentioned:

"I guess they find it attractive". = Open Code No. B15

R3 also mentioned about how many Chinese in their community had their own retail business:

"I know of many other Chinese in our community who does similar sort of business". = Open Code No. B14

R12, a Chinese age 55-64 and owner of a convenience store mentioned:

> *".....Many Chinese people don't like to do small jobs here because in China they have own business".* = Open Code No. B16

R30, a Chinese respondent age 35-44 and running a restaurant, mentioned:

> *"Many from our community have their own business and I think this is because in our Chinese culture having your own business specially a family business is a big achievement and it brings pride to the family. Chinese are always good at doing business".* = Open Code No. B18

R37, a Thai respondent age 45-54, from a restaurant business, mentioned:

> *"I think because they try to do something different from others and they try to do it in the best way....."* Open Code No. B19

R42, another Thai respondent 45-54 and owner of a Thai restaurant mentioned;

> *"Many from our community who are into similar businesses are second generation people just like me. It is their fathers or mothers who have started the business and now they are continuing with it. I think this is because they know that they are supposed to follow traditions like how I know the importance of it".* = Open Code No. B20

R46, a Vietnamese respondent, age 35-44 from a restaurant business mentioned that it was because people like him had to fulfil their family responsibilities by taking over the family business:

> *"People similar to me as in who have got their businesses from their dads probably have an urge to fulfil their responsibilities to their families I guess".* = Open Code No. B21

R48, a Korean age 45-54 and owner of a restaurant, mentioned

> *"I suppose it's because they are comfortable in what they do".* = Open Code No. B22

R50, a Japanese age 35-44 and owner of a restaurant, spoke of how hard working and efficient Japanese were:

> *"...Japanese are quiet hard working and efficient...".* = Open
> Code No. B23

As suggested by Jing et al. (2010) and Dou et al. (2013), as detailed in Table 4.6, Chinese respondents believed that they had extraordinary skills in doing business; operating in the retail sector was one of their many specialties. Their community disapproved of them being employed in small jobs in migrant countries as well, inheriting and operating a family business was considered as an achievement in Chinese culture.

On the other hand, as suggested by Saxena (2013) in a study, Indian respondents in the target sample believed that they were good at doing business. They disapproved of working for anyone/being employed by another; having their own business brought pride to their family and they wanted to fulfil their family responsibilities by continuing with the family business.

The existing higher level codes have been repackaged following Carney's ladder of analytical abstraction (Carney, 1990). As illustrated in Figure 4.3, based on their relativity, new codes have been developed from the existing higher level codes. However, three higher level codes – 'Thai people always good in restaurant business'; try to follow others in the same community' and 'try to do work hard in the Japanese culture', have not been repackaged because they don't reflect any similarity or relevance to the other codes.

Further analysis reveals that the higher level codes 'Thai people always good in restaurant business' could be a reason why the research sample did not include of any convenience stores owned and operated by respondents with a Thai ethnicity. However, this higher level code, along with the higher level code; 'try to follow others in the same community' is supported by Crockett (2013) in the study of economic immigrant businesses – immigrants' motivations and expectations of different potential host countries before migration. Economic immigrant businesses also explains the push factors (inflicted from the source country) and the pull factors (rising from the destination country) that help decide person's decision to migrate.

Figure 4.3 – Repackaging the Data: Reasons for People in the Same Ethnicity to Engage in Similar Types of Businesses

List of Current Codes	New Codes
B2 Chinese are always good in business	Indian ethnicity oriented
B7 Having own business brings pride to our family	
B9 Good to be your own boss	Personal choice
B14 Many Chinese in the community run a retail business	
B15 Many people find it attractive	Self-willingness
B1 Because they are good at what they do	
B4 Doesn't like to work for anyone	Mainly focused on family
B3 A passion	
B10 Like to have their own business	Limitations faced by migrants
B5 Difficulty in findings jobs so they start their own	
B16 Chinese don't like to do small jobs in NZ so they start their own	
B6 Sikhs are good in doing business	
B11 Indians are good in doing business	
B17 Dark skin prevents them from finding good jobs in NZ	
B18 Having a FOB is a big achievement in the Chinese culture	
B19 Try to do something different from others and try to do it best	
B12 Difficulty to find jobs because cannot speak good English	
B8 Thai people always good in restaurant business	
B20 Continuing with family business	
B21 Need to fulfil family responsibilities by taking over the FOB	
B22 Comfortable with what they do	
B13 Try to follow others in the same community	
B23 Try to work hard in the Japanese culture	

The overall significance of these codes will be discussed in Chapter 5.

4.2.5 Significance of Passing-on the Family Business

This question, "Given your ethnic background, is it considered very important that you pass on your business to family members after your retirement? If YES, please explain. If NO, please explain", was initiated from within the Eclectic framework of BSP in FOBs (Saxena 2013). The question content was aimed at getting to know the views and opinions of the respondents on how important they thought it was to pass on their business to family members upon their retirement. Given the overall theme of the study, this question also had a direct link to the research question of the study: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*. The findings are detailed in Table 4.7.

Twenty-three respondents (45%) believed that passing the family business on to members in the family upon reaching retirement was an important Chinese cultural practice. A few these responses are given below.

R1, age 35-44, and owner of a convenience store said:

> *"In the Chinese culture, usually the dad's business is continued by the son; this would not apply in the same way for daughters. Back in those days many people wished to have sons and not daughters; but now times have changed. A business that has been passed over to many generations is usually considered as a significant business in our culture".* = Open Code No. C1

R22, age 35-44, and owner of a Chinese restaurant said:

> *"Yes, this is a normal practice in our culture".* = Open Code No. C1

R24, a restaurant owner, age 35-44 said:

> *"In our culture yes. It's all about family pride".* = Open Code No. C1

Table 4.7 – The Importance of Passing-on the Business to Family Members upon Owner Reaching Retirement

Open Code Number	Importance Statements	No. of Respondents	Ethnicity						% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	
C1	It's a Chinese cultural practice	23	23	-	-	-	-	-	45%
C2	It's a Sikh cultural practice	6	-	6	-	-	-	-	12%
C3	It's a Thai cultural practice	7	-	-	7	-	-	-	14%
C4	It's a Korean cultural practice	2	-	-	-	-	2	-	4%
C5	Not compulsory	4	1	1		1	1	-	8%
C6	It's a Vietnamese cultural practice	3	-	-	-	3	-	-	5%
C7	It's a Japanese cultural practice	1	-	-	-	-	-	1	2%
C8	It was unfair/not practical to force a family member to take over the business	2	-	-	-	1	-	1	4%
C9	It's a Malayali cultural practice	1	-	1	-	-	-	-	2%
C10	It's a Punjabi Hindu cultural practice	1	-	1	-	-	-	-	2%
C11	It's a Brahmin cultural practice	1	-	1	-	-	-	-	2%
	Total	**51**	24	10	7	5	3	2	**100%**

R32, another restaurant owner, age 45-54 said:

> *"Our Chinese culture is always family first culture. For us, it is always better to have our own business and not work for anyone else. So this is why family business is very famous in our culture".*
> = Open Code No. C1

R9, a convenience store owner, age 35-44 mentioned;

> *"I think I said this earlier as well. Yes, it is important that we pass down the business to our family members. This is a part of our tradition and brings so much pride to the family'.* = Open Code No. C1

As given below, six Sikh participants (12%) also considered this an important Sikh cultural practice:

R13, age 35-44, from a convenience store business said:

"In our Sikh culture yes it is very important. This is like a symbol of our culture and tradition'. = Open Code No. C2

R18, age 35-44, from the convenience store business said:

"Yes, like I said before, it is a practice in our Sikh culture and it is duty to continue with this tradition". = Open Code No. C2

R34, age 35-44, owner of an Indian restaurant said:

"Passing down the family business into the next generation is a general practice in our culture and it is important". = Open Code No. C2

Similarly, seven Thai respondents (14%) mentioned that passing the family business to the next generation was an important Thai cultural practice. A few responses received during the interviews are as follows.

R37, age 45-54 said:

"In Thai culture, family business is important. We have many family business in Thailand and these happen for many years. These families are very respectable and have very good name in the country. Always father's business go to children and this is how family business happen for many years". = Open Code No. C3

R38, age 45-54 said:

"I think yes it is important. A family business is a valued thing in our community. So the family must make sure that it will continue from generation to generation". = Open Code No. C3

R39, age 45-54 said:

"As I said before, this is said in our culture and usually this is how it should happen". = Open Code No. C3

R40, age 55-64 said:

> *"Yes, this is a tradition in our culture. A family business is always considered very high. This brings pride to the family and it's always good for the family name that we continue the business from generation to generation".* = Open Code No. C3

Two Korean respondents (4%) made it clear that passing the business to the family upon reaching retirement was a strong Korean cultural practice and three Vietnamese respondents (5%) said it was also an important Vietnamese cultural practice. One Japanese respondent (2%) agreed that this was an important Japanese cultural practice.

Conversely, two respondents (4%) mentioned that irrespective of cultural enforcements, it was unfair and/or not practical to force a family member to take over the business and this is a point discussed in Chapter 5. For example:

R46, a Vietnamese respondent age 35-44 from a restaurant business said:

> *"I am thinking maybe it is a practice where the father's business is passed down to the son from one generation to another, but it would be wrong to force a person to take it unless the person has a genuine interest to do it".* = Open Code No. C8

R51, a Japanese respondent age 35-44 from a restaurant business said:

> *"The Japanese culture says this; a father's business must go to son and it will continue likewise but in the modern days I don't think it's very practical because many youngsters will have different ambitions and it's not fair to force them into something they will not want to do".* = Open Code No. C8

Among the various other responses, received R16, an Indian respondent said:

> *"Yes, it is important. This is a Malayali practice".* = Open Code No. C9

R35 referred to his/her Punjabi Hindu ethnicity:

> *"Yes, it is important for our social status in our community".* = Open Code No. C10

R36 referred to his Brahmin ethnicity:

"In our Brahmin culture, a father's business should go to the son and this will keep happening for generations. This is important to the reputation and social status of the family. The society will judge you on this". = Open Code No. C11

Given the responses above, it is evident that the research sample acknowledged and affirmed the importance and necessity of passing the family business to the next generation (based on the ethnicities) upon retirement. Such acknowledgement could be identified as an element of 'moral order', the norms and values of a particular community (Katila, 2010).

The overall results provide sufficient evidence that ethnicity and the family context are compatible in creating a business culture. As suggested by Danes et al. (2008), 'ethnicity' was more vital in ethnic family-owned businesses than in other types of business because of the collective orientation that helped categorize cultures.

4.2.6 Participants Qualifications

Tables 4.8, 4.9 and 4.10 present the education levels against a range of other factors. There were no respondents with only primary education; forty-six respondents (90%) had achieved tertiary level education with thirty-four respondents (74%) having certificate/diploma level qualifications, eleven respondents (24%) had a bachelor degree and one respondent (2%) had a masters degree. Five respondents (10%) had only secondary level education. The research sample included of General Physician and his qualification is listed under 'Bachelor degree'.

Table 4.8 – Participants' Academic Qualifications

Level of Education	Number of Respondents	Percentage of Respondents
Primary education	No primary qualifications held	No primary qualifications held
Secondary education	5	10%
Tertiary education	46	90%
Certificate/diploma level	34	74%
Bachelor degree	11	24%
Masters degree	1	2%

Analysing the findings based on the different age categories (Table 4.9), of the four participants between age 25-34, two had a bachelor degree and two others had certificate/diploma level qualifications. All four participants had their qualifications related to the business field. As the youngest age group in the research sample, this suggests that these respondents considered business qualifications important for running a business as well as a stepping stone to taking over the family business.

Table 4.9 – Participants' Academic Qualifications based on Age

Education Level	Age Categories				No. of Respondents	% of Respondents
	25-34	35-44	45-54	55-64		
Secondary education	-	2	2	1	5	10%
Tertiary education -Certificate/diploma level	2	20	11	1	34	67%
-Bachelor degree	2	2	6	1	11	21%
-Masters degree	-	1	-	-	1	2%
No. of Respondents	4	25	19	3	51	100%

Of the 25 respondents between ages 35-44, 20 held certificate/diploma level qualifications, two had a bachelor degree and one a masters degree. Two respondents, R9 and R50, had only secondary level education. Except for the participant with a Master of Landscape Architecture degree and the General Physician (with a Bachelor degree), all the participants with tertiary qualifications had obtained their qualification in the business field. Again, these business qualifications had been earned with the intention (intention of their fathers') of taking over and running the family business.

Two study participants, R32 and R44, aged between 45-54 had only secondary education; the certificate/diploma level qualifications were the highest educational achievements of ten respondents, one respondent was in the process of completing a qualification and the remaining six respondents in this age group held bachelor degrees. Of the nineteen respondents in this age category, except for R29, R38 and R47, all had their qualifications in the business field. This reveals that earning a business qualification was considered important also by the respondents in this age category because it helped them in take over and run their family business.

Of the three participants aged 55-64, R12 had obtained only secondary level qualifications; R40 a bachelor degree and R41 a diploma/certificate qualification. Both participants with tertiary level qualifications had studied in the business field. This also reveals that older the less qualified these research participants were and this proves their desire for wanting the younger generation to be academically qualified prior to taking-over the business.

In summary, the findings demonstrate that, of the sample of fifty-one respondents, thirty-nine had tertiary level qualifications related to the business field and this supported them in operating the business in which they were involved at present. This common theme determines that in spite of having a promising family business, these respondents considered it important to be academically qualified, especially with a business qualification, because it prepared them to take over and run the family business. It is also worth noting that this is the first time that such data have been reported when considering BSP, hence could be a contribution to knowledge.

The findings have been further analysed according to the ethnicity and gender of the participants (Table 4.10).

Table 4.10 – Participants' Academic Qualifications based on Ethnicity and Gender

Level of Education	Age Category				Gender		Ethnicity						No. of Respondents	% of Respondents
	25-34	35-44	45-54	55-64	Male	Female	Chinese	Indians	Thai	Korean	Vietnamese	Japanese		
Secondary education	-	2	2	1	5	-	3	-	-	-	1	1	5	10%
Tertiary education -Certificate/diploma level	2	20	11	1	31	3	17	9	3	3	1	1	34	67%
-Bachelor degree	2	2	6	1	9	2	3	1	4	2	1	-	11	21%
-Master degree	-	1	-		1	-	1	-	-	-	-	-	1	2%
No.of Respondents	4	25	19	3	46	5	24	10	7	5	3	2	51	100%

According to Table 4.10, of the fifty-one study participants, the five participants with only secondary education were male whereas of the thirty-four participants with certificate/diploma level educational qualifications thirty-one were male and three were female. On the other hand, of the eleven respondents with a bachelor degree, nine were male and two were female. The only respondent with a masters degree was male. These data link with the concept of a 'glass ceiling' as discussed by Bible and Hill (2007); there

is a significant gap between the participation of men and women in society activities including doing business. Although both men and women could run families and businesses simultaneously, generally the burden of family responsibilities is borne by women who are compelled to learn household duties rather than become academically qualified (Bible and Hill). Additionally, the PR Newswire (2004) reported that in many countries in Asia, which is home to over half the world's female population, women are denied education and academic achievement that they need to earn an income. However, how this area of gender-based qualifications related to BSP in FOBs has not been discussed in literature so this is adding new knowledge to this research area.

With young males being academically qualified, the results above give rise to two important questions: (1) do they need a degree/diploma to run this type of business; and (2) might they be getting qualified to leave the business or expand the business? This may have direct link to New Zealand's immigration policy (New Zealand Immigration, 2017) which will be discussed further in Chapter 5.

Further analysis of the participants' highest education qualification based on their ethnic identity shows that three Chinese respondents had only secondary education, seventeen had certificate/diploma level qualifications, three had bachelor degrees and one a masters degree. Of the ten Indian participants, nine had certificate/diploma level qualifications and one a bachelor degree.

Three of the seven Thai research participants had certificate/diploma level qualifications and four had bachelor degrees. Of the five Korean participants, three had certificate/diploma level qualifications and two had bachelor degrees. Of the three Vietnamese participants, one respondent had only secondary level education, one had a certificate/diploma level qualification and one a bachelor degree. Lastly, of the two Japanese participants, one had secondary level education and the other had a certificate/diploma level qualification. However, it is worth noting that this data is based on the Asian sample used in this study and may differ with a different sample.

Looking at Table 4.10, it is clear that almost 90% of the research sample who had achieved secondary or tertiary level education comprised male respondents and only 10% of the sample comprised female respondents with the same qualification level.

Although the content of this question has not been discussed in previous studies of BSP in FOBs, it is a holistic, personal question which has been developed with the intention of

obtaining data on the highest level of education achieved by the participants. Another reason for having this question was to get to know the respondent better as well as to make the respondent feel comfortable before moving-on to the questions about business succession planning.

The analysis of the findings related to this question helps to understand the highest educational qualification achieved by the research participants based on the different age categories they belong to; their gender as well as their ethnic identities. However, these findings will be linked to and discussed further in Chapter 5.

4.2.7 Section Summary

The 'General Profile' introduced the study's participants and provided a clear direction to the study in addressing the research question: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*.

This section comprised six sub-sections: 4.2.1 – the age categories of the participants; 4.2.2 – the ethnicity of the participants; 4.2.3 - the influence of ethnic background on business practices; 4.2.4 – the reasons for people from the same ethnic background getting into similar businesses; 4.2.5 – the level of the significance of passing the business on to the next generation; and 4.2.6. – the educational qualifications of research participants.

The study sample comprised fifty-one participants in six different ethnic groups: 46% Chinese, 20% Indian, 14% Thai, 10% Korean, 6% Vietnamese and 4% Japanese that is,, nearly half the study sample were Chinese. Nearly all of the sample (96%) were second generation migrants who had migrated to New Zealand with their families during childhood.

A large proportion (49%) of the participants were aged between 35 and 44 years; 88% of the sample were males with only 12% being female. Ninety per cent (90%) of the participants had tertiary academic qualifications; the remaining 10% had secondary school qualifications. The representation of restaurants in the sample was high at 61%; the representation of convenience stores was 39%. Thus, it is evident that, at present, family-owned restaurants were the dominant business type among ethnic minorities in Christchurch.

The results from the general profile revealed that ethnicity significantly impacted the business practices of the participants; this tendency was high among the Chinese and the

Indian respondents compared with other ethnicities. The respondents were moulded by their culture and traditions irrespective of residing and doing business in a foreign country. This was how they had been nurtured and brought-up by their families. The results also revealed that 'religion' was considered significant among Indians and Thai; both fused religious practices into doing business.

Observations suggested that these immigrants were induced to taking-up their own economic opportunities and they undoubtedly enjoyed their involvement in their family businesses, making it their passion. The responses during the interviews revealed that these migrants had extraordinary skills and abilities and were exceptionally entrepreneurial; they disliked working for anyone and preferred to be self-employed and took pride in possessing their family business.

Given the results, it was evident that the sample's members acknowledged and affirmed the importance and necessity to passing on the family business to the next generation (based on their respective ethnicities) upon retirement. The results also provide evidence that ethnicity and family context were compatible in creating a business culture.

Having analysed the results of the interviews under the 'General profile', the next section presents the results pertaining to the 'ethnic family business succession planning profile'.

4.3 Ethnic Family Business Succession Planning Profile

This section presents the results and analysis of more intense, more specific questions related to BSP in ethnic family-owned businesses. This directly links to the study questions: (1) what ethnic factors give rise to business succession planning in ethnic family-owned convenient stores and restaurants in Christchurch New Zealand?; and (2) how do such ethnic factors give rise to business succession planning in ethnic family-owned convenient stores and restaurants in Christchurch, New Zealand?

The results are reported under two sub-sections: Section 4.3.1 Family-Owned Business Profile; and Section 4.3.2 Business Succession Planning Profile. The results were developed by reviewing the transcripts and identifying reasons that became the codes as explained in Section 3.3.8 Data Analysis. As explained in Chapter 3, Carney's Ladder of Analytical Abstraction was used to vet the analytical process of qualitative research. This process is a method of framing qualitative research and begins with gathering data from participants and looking for connections in the data. It also presents the research in terms of the range of different themes within the data.

4.3.1 Family-Owned Business Profile

This section of the interview asked questions about migrating to New Zealand, the reasons for starting the business, and was designed to understand ownership of the family business before exploring BSP. The findings are presented accordingly.

4.3.1.1 Migrating to New Zealand

As mentioned in Section 4.2.1, a large proportion (96%) of the participants were second generation migrants. Table 4.11 shows that twenty-three respondents of fifty-one (45%) stated the main reason for their parents migrating to New Zealand was to provide their children with good education, especially education in English that was not possible in their home countries. This group was mostly Chinese participants (12). This finding may also link to participants' qualifications discussed and analysed in Section 4.2.6.

Twelve respondents (23%) stated their parents wanted to earn good money; eight were Chinese. Ten respondents (20%) stated their parents intended to provide their families with an improved life; four of them were Indian. Unfavourable living conditions in the home country, a trend for migrating to New Zealand in the late 1970s, and a peaceful environment in New Zealand had persuaded nine respondents (18%) to migrate to New Zealand.

The following vignettes are examples of the qualitative data being developed/aligned to a 'code' related to Table 4.11. Strauss and Corbin (1990, p.61) referred to this as 'open coding'; the process of breaking down, examining, comparing, conceptualising and categorising data.

R2 mentioned:

> *"...because they had family living here who were willing to support them, they considered migrating as a better option"* = Code No. D16

According to R16, back in the days when their family had migrated to New Zealand:

> *"...immigration rules in New Zealand had not been very strict and they were able to migrate to New Zealand".* = Code No. D18

R16 also added that their father had always dreamt of migrating to New Zealand:

> *".....had always had a dream of coming to New Zealand…."* = Code No. D17

R35 mentioned:

> *"The reason they would have moved here is from what I think, they would have seen a better opportunity here".* = Code No. D19

Table 4.11 – Reasons for Migrating to New Zealand

Open Code Number	Reasons to Migrate to New Zealand	Ethnicity						Number of Respondents	Percentage of Respondents
		Chinese	Indian	Thai	Vietnamese	Korean	Japanese		
D1	For better education	12	4	2	2	2	1	23	45%
D2	To earn good money	8	2	-	-	2	-	12	23%
D3	For an improved life	3	4	2	-	1	-	10	20%
D4	Migrating to New Zealand had been a trend in the late 1970s	4	3	-	1	1	-	9	18%
D5	To reunite with families	2	4	-	-	-	-	6	12%
D6	To settle down in New Zealand	3	1	1	-	-	1	6	12%
D7	Political instability in the home country	3	-	-	1	1	-	5	10%
D8	Cannot remember and/or unaware of the reason	2	-	1	1	-	-	4	8%
D9	Housing problems in the home country	3	-	-	-	-	-	3	6%
D10	Wanting to have a quality life	1	1	1	-	-	-	3	6%
D11	Decision to migrate was dad's wish	1	2	-	-	-	-	3	6%
D12	Environmental pollution in the home country	2	-	-	-	-	-	2	4%
D13	For a good life	1	-	-	-	-	1	2	4%
D14	In search of a peaceful life and safe future	-	-	-	1	1	-	2	4%
D15	To start a new life with family	-	-	-	1	-	-	1	2%
D16	To live with relatives who were willing to support	1	-	-	-	-	-	1	2%
D17	Always dreamt of coming to New Zealand	-	1	-	-	-	-	1	2%
D18	Immigration rule were not so strict	-	1	-	-	-	-	1	2%
D19	For a better opportunity	-	1	-	-	-	-	1	2%
D20	Received an invitation from a customer to move to New Zealand	-	-	1	-	-	-	1	2%

Note: Percentages do not add to 100% as more than one reason was given by the same respondent.

R40 mentioned:

> *"My dad was a chef in Bangkok and had received an invitation*
> *from one his customers to move into New Zealand".* = Code No.
> D20

Four respondents (8%) mentioned that they were unaware of the reasons and/or couldn't remember (Code No.D8) why their parents had migrated to New Zealand.

R3 mentioned:

> *"My parents migrated to NZ when I was 11. From what I have*
> *heard……."* = Open Code No. D8

R21 mentioned:

> *"...my family had migrated to New Zealand when I was very young*
> *so I don't remember much."* = Open Code No. D8

R33 said:

> *"When my parents moved here I was just two or three and I don't*
> *actually remember much".* = Open Code No. D8

R36 mentioned:

> *"My parents migrated to New Zealand many years back and I was*
> *probably an infant by then….."* = Open Code No. D8

Accordingly, when considering the participants' responses for the various reasons for migrating to New Zealand, it was clear that the first, overwhelming, reason to migrate was for better education, secondly, to earn good money, and thirdly for an improved life.

The individual interviews and comments related to migration created text to which Axial Coding (Corbin and Strauss 1990, p. 96) has been applied to connect developed codes and themes. Figure 4.4 presents the higher level codes for 'better education', 'earn good money' and the need to 'settle down in New Zealand' as a newly repackaged code 'new home'. Likewise, the new code 'improved life' has been derived from the higher level codes 'political instability in home country', 'housing problems in home country', 'environmental pollution in home country', 'improved life' and 'have a quality life' and 'peaceful and safe environment in New Zealand'.

Though most higher level codes have been developed into themes, several codes: *'always dreamt of coming to NZ'; 'dad's wish', 'unaware/cannot remember'* and *'received an invitation from a customer to move to NZ'* have not been repackaged because they do not reflect any similarity or relevance with the existing codes and are therefore left as individual codes.

Figure 4.4 – Repackaging the Data: Reasons to Migrate to New Zealand
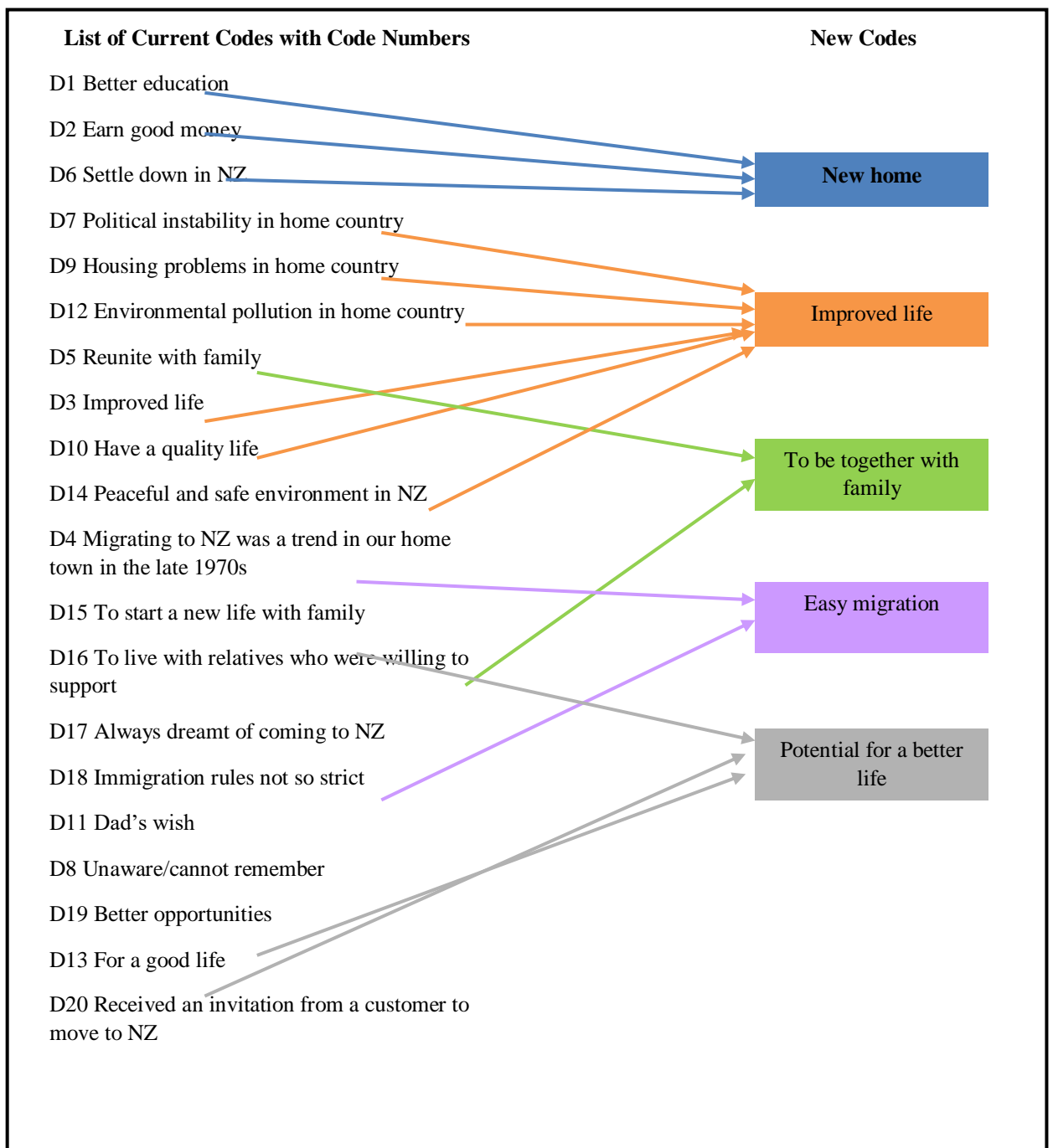
In summary, among the various reasons for migrating to New Zealand, it is clear that the main reason that drove migrants to come to New Zealand was to improve their quality of life, which included the need for better careers and educational opportunities for themselves and their children. Additionally, with reference to the literature review (Vries, 2010), homeland dissatisfaction, including political and racial issues, have been identified as push factors that influenced the decision to migrate to New Zealand. On the other hand, the attractiveness of New Zealand is identified as a pull factor (Vries, 2010) in favour of migration.

However, the reason for looking at this is because it is a forerunner and perhaps helps one to understand why people do/do not have a BSP as discussed later in this chapter. The significance of the codes is discussed in detail in Chapter 5. The results pertaining to reasons for starting/buying the business will now be analyzed.

4.3.1.2 Reasons for Starting/Buying/Taking-over a Business

To understand the various reasons that inspired participants to start or buy the business are important because it may well impact BSP. Table 4.12 presents the reasons for starting/buying a business. This section also links to Section 4.3.1.1.

Twenty-one respondents (41%), advised that the business had been started by their fathers and now the venture was operated by them. These twenty-one comprised eleven Chinese, four Indian, three Thai, two Vietnamese and one Korean. These same twenty-one respondents also mentioned that they had inherited the business. Twelve of these respondents (24%) made it clear that their fathers were now too old to manage the business, therefore it was their duty to take care of the business. Four respondents (8%) said that they took over the business after the death of their father.

Among the other responses, three (6%) said that they had taken over their father's business to fulfil their father's dream; two (4%) were compelled to take over the business because of ill health of their father and another two (4%) revealed that they had taken over the business as a duty from taking over the responsibility of the family.

The following are vignettes from participants subsequently coded into Table 4.12.

Table 4.12 – Reasons for Starting/Buying/Taking-Over a Business

Open Code Number	Reasons to have Started/Bought the Current Business	Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Number of Respondents	Percentage of Respondents
		Ethnicity							
E1	Originally started by dad and now operated by the second generation	11	4	3	2	1	-	21	41%
E2	Continuing with an inheritance from the family	11	4	3	2	1	-	21	41%
E3	Duty of taking care of dad's business because dad is too old now	5	3	2	1	-	1	12	24%
E4	Took over dad's business after dad passed away	3	-	1	-	-	-	4	8%
E5	Took over dad's business in order to fulfil dad's dream	1	3	-	-	-	-	3	6%
E6	Compelled to take over dad's business due to ill health of dad	1	-	-	-	-	1	2	4%
E7	Took over the business as a duty of taking over family responsibility	1	1	-	-	-	-	2	4%
E8	It is a Chinese tradition	1	-	-	-	-	-	1	2%
E9	I find it interesting	1	-	-	-	-	-	1	2%
E10	Having my own business is better than working for someone else	1	-	-	-	-	-	1	2%
E11	Gives me pride	1	-	-	-	-	-	1	2%
E12	Self-importance	1	-	-	-	-	-	1	2%
E13	Did not like to work under anyone	1	-	-	-	-	-	1	2%
E14	Put an idea into practice	-	-	-	-	1	-	1	2%
E15	Dad started the business with me	1	-	-	-	-	-	1	2%
E16	Because I didn't want to go to University after high school	-	-	-	-	1	-	1	2%

Note: Percentages do not add to 100% as more than one reason was given by the same respondent.

R1 mentioned:

> *"....it is also in our Chinese tradition that the son will take over whatever business run by dad."* = Code No. E8

R1 also said:

> *"....I find it interesting"* = Code No. E9

On the same note R1 expressed:

> *"Having my own business is better than working for someone else. This is also my dad's wish…."* = Code No. E10

and,

> *"….it gives me pride in two things; one is to be running a family business and two is to have my own business."* = Code No. E11

R9 mentioned:

> *"Having a business to your-self was a big thing in our culture and continuing a family business brought so much self-importance."* = Code No. E12

R12 stated:

> *"I don't like to do many small jobs; not good money"* = Code No. E13

R20 stated:

> *"….I got this idea and I thought why not we start a small food store"* = Code No. E14

R23 mentioned that his dad had started the business along with him:

> *"My father start this in 2000 with me."* = Code No. E15

R44 mentioned that he never wanted to go to university after high school, therefore had wanted to join the family business:

> *"…soon after I completed high school I joined his business. I was never a good student at school and probably studying was not what I wanted to do."* = Code No. 16

The results above are attuned to the theories of immigrant business explained in Section 2.4. According to Heilbrunn and Kushnirovich (2008), business was chosen by immigrants as an alternative to employment. It helped them make a living and helped them to have quality of life.

Interviews with the participants revealed that the business founders (first generation migrants) initiated the ventures for a variety of reasons. Some of these reasons are harmonious with the theories of immigrant business as explained by Emerson et al. (2011). For example:

R2 mentioned:

> *"My dad worked as a casual worker in many construction sites for a few years in Wellington and my mother worked as a checkout operator. After a while, my dad had wanted to start his own business. However, he had his grand uncle living in Christchurch, and he had his own business. The business was doing well, and my grand uncle wanted my dad to take over the business as he was old and was unable to continue with it. So we all moved to Christchurch in 1994. This store was a present to my dad and now I'm taking care of it because my dad has retired".* = Open Code No. E3

R7 mentioned:

> *"This business was started by my father a few years after we moved to New Zealand. This is how we made money. Before my father was a labourer but later he wanted to start his own business. In our Hui culture, having our own business and not having to work for someone else is considered as a high status. Even before we moved to New Zealand my father had his own business in China. It was a similar business; he was in the retail trade. I came into this business in 2000 when I was 26 after my father gifted his business to me".* = Open Code No. E8

The statements above are well attuned with the 'cultural theory' as explained by Emerson et al. (2011), which underlines the culturally determined features of ethnic migrants: commitment, living in tough conditions, being a part of a strong ethnic community, accepting social values, self–employment.

R11's response well-matched the 'opportunity structure theory' that identified the ability of ethnic resources to provide an opportunity structure for a new migrant (Emerson et al., 2011).

> *".....I suppose he saw potential in Christchurch for the exact sort of business which he wanted to start. So we moved to Christchurch in 1990 and this business was started by my dad. The city did not have many shops at that time and there weren't many people as*

well. He started at a very small scale with no one to help him out…." = Open Code No. E1

According to the 'ethnic enclave theory', new immigrants are able to find opportunities in places where businesses were already operated by similar ethnic groups, hence:

R27, who is Chinese, mentioned:

"This restaurant was my dad's idea which he put into practice. He had good knowledge and experience about running a restaurant because he had one back home as well. During that time there had been others from our community who were running similar business here as well…". = Open Code No. E1

R37 was Thai and she mentioned:

"My father started this restaurant because he knew how to do restaurant business and many people from Thailand and Asia were running restaurants and take-out joints by then…". = Open Code No. E1

Some participants highlighted the consequences of the 'labor disadvantage theory' (Emerson et al., 2011) where immigrants were compelled to become self-employed because of various disadvantages facing them in the host country. For example (Note: these examples are not coded in Table 4.12 because they are from Section 4.3.1.1. They are presented here to supplement this section):

R16, an Indian respondent mentioned:

"No matter how qualified we are and what university degree we hold, because of our dark skin, it is very difficult to find a good job that would match with our qualifications. This is another reason why most of the migrant like us have to rely on our own…".

R18, another Indian respondent mentioned:

"The colour bar problem is somewhat prominent here and it makes it difficult for us to find a suitable job no matter how educated we are sometimes…."

R42, a Thai respondent mentioned:

> *"Most of the migrants from where I come from, don't speak good English and cannot understand any English at all and because of this it's very difficult for them to find a job here and this one other reason why they want to have their own business…"*

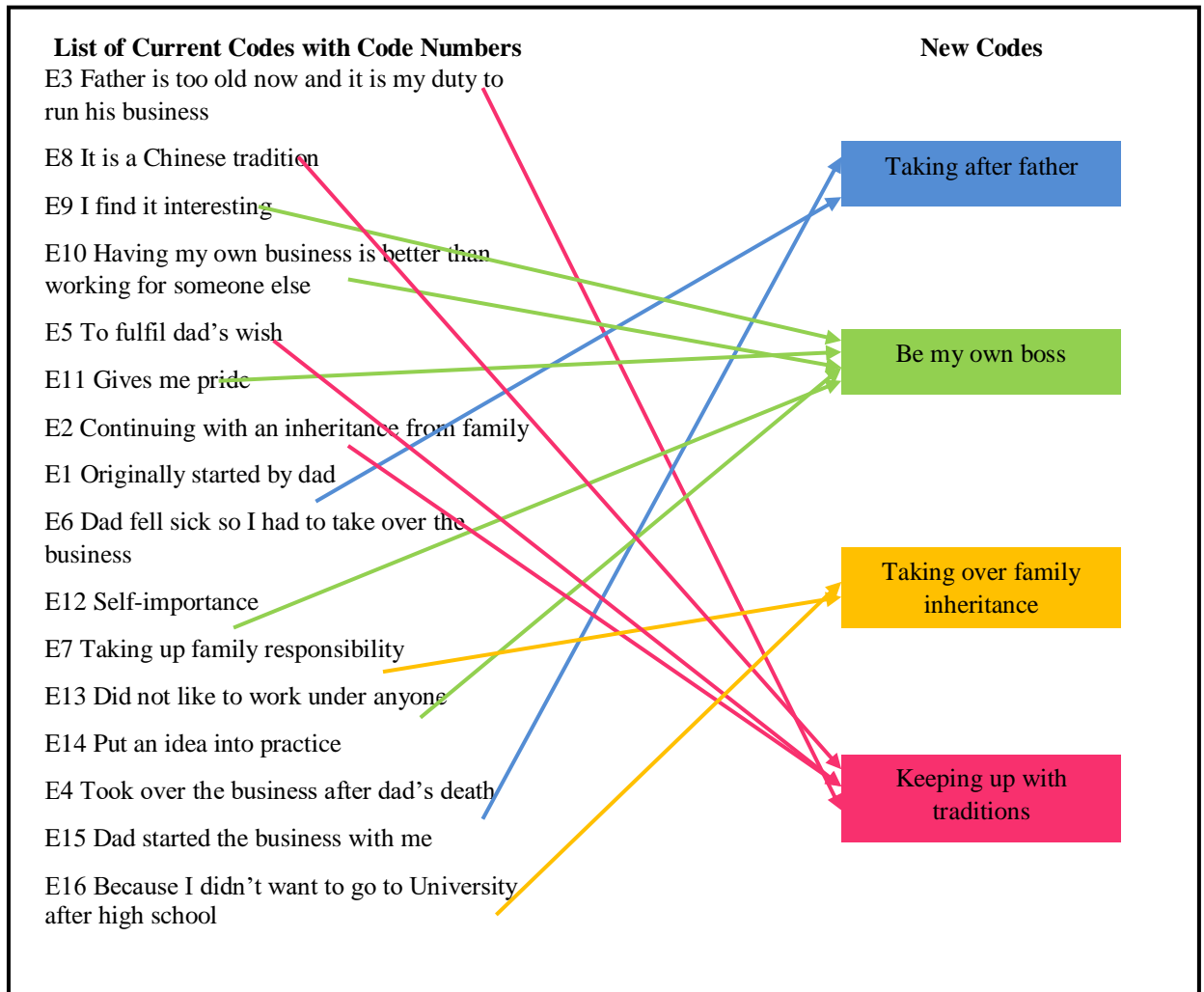R45, a Vietnamese respondent mentioned;

> *"Good jobs are only for residents here. We cannot find suitable jobs even if we are qualified. So it's always good and safe to have our family business…."*

The results above suggest that 41% of the participants were currently running a family business that had been founded by their fathers.

Figure 4.5 illustrates the repackaging of the data following Carney's ladder of analytical abstraction (Carney, 1990). It shows four higher level codes namely: (1) taking after father; (2) be my own boss; (3) taking over a family inheritance; and (4) keeping up with tradition.

Figure 4.5 – Repackaging the Data: Reasons to Starting/Buying/Taking-Over the Business

List of Current Codes with Code Numbers	New Codes
E3 Father is too old now and it is my duty to run his business	Taking after father
E8 It is a Chinese tradition	Be my own boss
E9 I find it interesting	Taking over family inheritance
E10 Having my own business is better than working for someone else	Keeping up with traditions
E5 To fulfil dad's wish	
E11 Gives me pride	
E2 Continuing with an inheritance from family	
E1 Originally started by dad	
E6 Dad fell sick so I had to take over the business	
E12 Self-importance	
E7 Taking up family responsibility	
E13 Did not like to work under anyone	
E14 Put an idea into practice	
E4 Took over the business after dad's death	
E15 Dad started the business with me	
E16 Because I didn't want to go to University after high school	

As illustrated in Figure 4.5, the two codes, 'put an idea into practice' and 'dad started the business with me' have not been repackaged because they are not similar or relevant to the other codes. The significance of all of the codes will be discussed in detail in Chapter 5.

4.3.1.3 Family Involvement in the Business

BSP is the crux of this study and, as rationalised by Nordqvist et al. (2013), BSP is 'the process of business exit and entry in the form of a decision to either sell the firm; to hand it over to a family member or to close it down'. Hence, family involvement is an integral part of BSP.

Table 4.13 details the involvement of family in the business. Thirty-two respondents (63%) did not want women in the family getting involved in the business and twenty-five respondents (49%) mentioned that they were the only ones involved in the business at the moment. Four respondents (8%) still had their father involved in the business and three respondents (6%) mentioned their husband was involved in the business (Note: – the

percentages do not add to 100% because more than one reason was given by the same respondent).

In addition, two respondents (4%) received occasional help from their father; two respondents (4%) mentioned their parents were now retired; two respondents (4%) mentioned their father (the founder of the business) was still in the business (minor involvement) along with other employees; two (4%) had their brother involved in the business and two advised (4%) their wife was involved in the business.

Additionally, R8 mentioned:

> *"Well, it's mostly just me doing everything in the store…."* – Code No.F10

R8 also added:

> *"….I have my son who occasionally helps me out…"* -Code No. F11

R12 mentioned:

> *"This business have me and my son and we work together"* – Code No. F12

Table 4.13 - Involvement of Family in the Business

Open Code Number	Involvement of Family in the Business	Number of respondents	Percentage of Respondents
F1	Did not want women in the family getting involved in the business	32	63%
F2	Just myself in the business at present	25	49%
F3	Having dad involved in the business	4	8%
F4	Having husband involved in the business	3	6%
F5	Having dad's help occasionally	2	4%
F6	Retired parents	2	4%
F7	Having other non-family employees	2	4%
F8	Having brother involved in the business	2	4%
F9	Having wife involved in the business	2	4%
F10	Mostly it's me	1	2%
F11	Get help from son occasionally	1	2%
F12	Me and my son	1	2%
F13	Me, my brother and my dad	1	2%
F14	Me and my sister	1	2%

Note: Percentages do not add to 100% as more than one reason was given by the same respondent.

R19 mentioned;

> *"....so we have three partners now dad, myself and my bother".* – Code No.F13

R49 mentioned:

> *".....me and my sister we are partners"* – Code No. F14

It is worth noting that thirty-two respondents (63%) did not want women in the family getting involved in the business; this can be directly linked to 'women's invisibility in FOBs' discussed in Chapter 2 where Sonfield and Lussier (2005) noted that even though the involvement of women in business has increased from what it was during the 1980s, in terms of managing a business, women were less confident, less aggressive, more cautious,

easier to persuade, easier to deceive, had poor problem solving ability when making decisions under risk and had poor leadership skill. Philbrick and Fitzgerald (2007) noted that both family and social forces influenced the invisibility of women in FOBs. Rowe and Hong (2000) and Vajnjal and Zupan (2011) reported that the range of roles played by a woman as a parent, spouse, bread-winner, in-law, etc., stereotyped her in society and inhibited her from reaching higher leading positions in organisations.

Table 4.14 details the ethnicities of the respondents who thought women should not be a part of the family business.

Table 4.14 - Ethnicities of Respondents not Wanting Women Involved in the Business

	Ethnicity of the Respondent						Total
	Chinese	Indian	Thai	Korean	Vietnamese	Japanese	
Did not want women in the family getting involved in the business	19	10	-	1	2	-	32
	59.375%	31.25%	0%	3.125%	6.25%	0%	100%

As presented in Table 4.14, a large proportion such as nineteen respondents (male respondents) who did not want women getting involved in business are Chinese, and their responses are noted below.

R1 stated:

> *"My mom helped my dad by taking take care of me while he was occupied with business and now my wife helps me by taking care of my parents and my son"*

R3 stated:

> *".......It's mostly the men in the family who are the bread winners and the women go about with the household duties"*

R25 stated:

> *"Chinese family businesses are usually done by the sons in the family. If the child in the family is a daughter, some parents may want to gift the business to the daughter at their wedding ceremonies as a gift for the newly wedded couple so that they could continue with the business. We usually don't get our wives involved in the business. Doing business and earning a living for the family is a man's job and the wife is expected to take care of the family".*

R29 stated:

> *"In our culture a woman's duty is to take care of her family and this is the best support she could give her husband".*

R30 stated:

> *"...in our Chinese culture women usually don't get involved in the business and its always the men. My mom never got involved and so is my wife".*

R32 stated:

> *"Our culture says no women in the business".*

Similarly, 10 Indian respondents shared views about women's involvement in the business where:

R13 mentioned:

> *"In our Sikh culture we do not have women in business. But now times have changed and there many women doing business. But in our family tradition we don't take women into business. Our women take care of the house and family".*

R36 mentioned:

> *"...too much trouble. Women are always good in taking care of family and household, so I think its best they stick into that and let the men in the family do the business".*

R15 mentioned:

> *"My sister is married and she lives away from Christchurch. She doesn't have any involvement in the business. Usually we don't have women getting involved in the business at all".*

R34 mentioned,

> *"In our Sikh culture even back home women are usually not involved in the business. Women are kept busy at home with kids and household stuff. I personally don't see anything wrong with that".*

Two Korean participants responded.

R19 said:

> *"Generally in our culture, the father's business is given to the son….."*

R47 mentioned:

> *"My wife stay at home and take care of the family because we have two kids. I think it is much better when women stay at home and support by taking care of the family".*

It is clear that all thirty-two respondents who discouraged women getting involved in the business, shared similar views and opinions on having women involved in business; their responses stereotyped women to be less confident, easier to deceive, only good at house-keeping and raising a family (Bible and Hill, 2007).

On the other hand, Watson (2002) and Lussier and Sonfield (2009) reported that, at present, gender differences in management decision making styles seemed to be less significant compared two decades ago. Rather men and women business owners seemed to have more qualities in common when it came to decision-related personality traits, were equally successful in making decisions under pressure, were successful in roles of leadership and were also equally capable of processing and reacting to information (Collins-Dodd et al., 2004). For example, two Japanese research participants mentioned the following:

R50 stated:

> *"I think it's a good move"* when asked for his opinion on having women in the family getting involved in the business.

R51 stated:

> *"I don't see anything wrong in having women involved in the business. In Japan we have many women doing business"*.

A Korean research participant; R49 stated:

> *"I think it's something very important in the modern world. Women can work just as men and there is no difference in their ability"*.

Three Vietnamese respondents R44, R45 and R46 had similar view where:

R44 mentioned:

> *"I don't see anything wrong in having women involved in the business…"*

R45 mentioned:

> *"I think it's a good thing to have women involved in the business. Unlike back then, today there are so many women around the world involved in business and I think it's a good thing"*.

R46 mentioned:

> *"I think it's something very important and useful"*.

Six Thai respondents also spoke in favour for having the women in their families getting involved in the family business. For example:

R37 mentioned:

> *"In Thai culture, women always good in doing business. Women more faster and able to do more work even man's work. If you go to Thailand you can see that always women do business. Women can work hard for the family just like man"*.

R38 mentioned:

> *"In our culture women are generally more workaholic than men. If you go to Thailand you will see what I mean. It's always women who work really hard whether it be restaurants, groceries, street shops, markets anything. Unlike most Asian countries where women are not involved in business our Thai culture is different".*

R39 mentioned:

> *"…...most Asian cultures don't encourage women to get into business. Fortunately the Thai culture holds a different opinion on this matter. In Thailand a majority of the workforce are women. Women work in practically all sectors and industries across Thailand. So we have no barriers in getting women involved in the business and its always good to have man's opinion and a woman's opinion about a matter because women see thigs differently from men".*

R40 mentioned:

> *"I think there's nothing wrong in having women involved in the business. If you look at from where I come from, a majority of the workforce is made up of women. I think that women are capable of doing everything that men do".*

R42 mentioned:

> *"In Thailand women do most of the work. So there is nothing wrong with women getting involved in business".*

R43 mentioned:

> *"I think it's a good thing to have women involved in the business and this is a normal thing in our Thai culture".*

Whilst there is a general view of 'women's invisibility in FOBs' some Chinese and Indian respondents did not agree with the concept as noted below.

R9, a Chinese respondent, stated:

> *"I have my wife involved in the business, but not as a partner or a shareholder. This is our business and we work together to develop it".*

R10, another Chinese respondent, stated:

> *"I prefer to have family involved in the business it allows me to make better decisions all the time. My wife is a qualified accountant, so she handles all the accounts for me so I don't have to hire from outside and this saves money for me".*

Another Chinese respondent, R28, stated:

> *"....I make all decisions after discussing with my wife. Mom helped dad and they started this business together, and now I do the same with my wife".*

R35, an Indian respondent, stated:

> *"From what I know in our Indian culture we hardly wee women getting involved in the business, but times have changed now. I personally think there is nothing wrong in getting women involved in the business. My dad started this restaurant with my mom and look he has become a successful businessmen. My wife is a lecturer by profession so it's different in my case that I don't get her into the business. But in general, I don't have a negative opinion about this matter".*

In spite of contradicting the typical concept of 'women's invisibility', there is no literature to support the above responses. Hence, this creates a gap and avenue for future research.

In this study, Chinese, Indian, Korean and Vietnamese participants appear to believe that women should not be involved in business. Their ethnicity, which also includes their culture and beliefs, seems to play a major role in disregarding women getting into business. Instead, they stereotype women as taking care of families and house-keeping; they consider that business should be handled only by the men in the family.

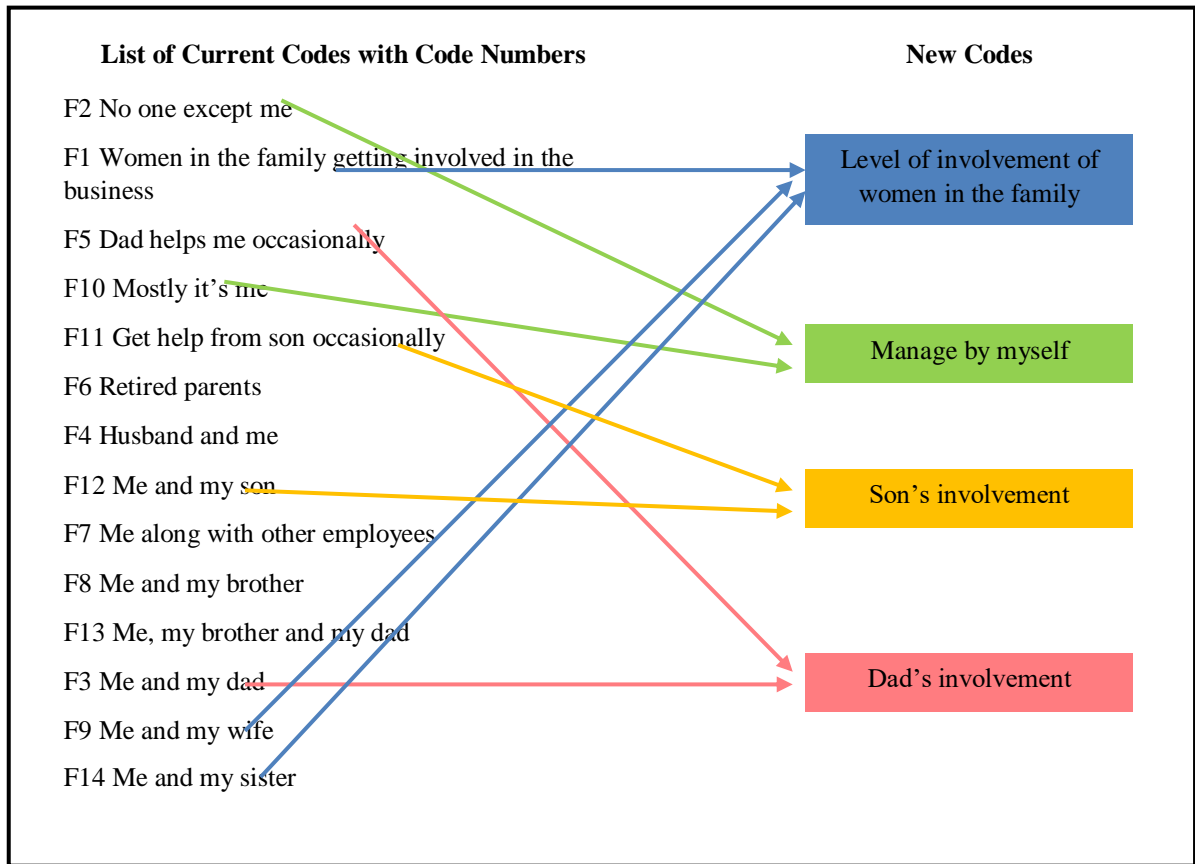**Figure 4.6 – Repackaging the Data: Involvement of Family in the Business**

List of Current Codes with Code Numbers	New Codes
F2 No one except me	Level of involvement of women in the family
F1 Women in the family getting involved in the business	Manage by myself
F5 Dad helps me occasionally	Son's involvement
F10 Mostly it's me	Dad's involvement
F11 Get help from son occasionally	
F6 Retired parents	
F4 Husband and me	
F12 Me and my son	
F7 Me along with other employees	
F8 Me and my brother	
F13 Me, my brother and my dad	
F3 Me and my dad	
F9 Me and my wife	
F14 Me and my sister	

Figure 4.6 illustrates the repackaging of data following Carney's ladder of analytical abstraction (Carney, 1990) to create new higher order codes as with analyses in previous sections. As shown in Figure 4.6, four higher level codes have been developed from the existing codes: 'Level of involvement of women in the family', 'Manage by myself', 'Son's involvement' and 'Dad's involvement'. The codes 'Retired parents', 'Husband and me', 'Me along with other employees', 'Me and my brother' and 'Me, my brother and my dad' have not been repackaged because they don't reflect any similarity or relevance to other existing codes. The significance of these codes will be discussed in detail in Chapter 5.

4.3.1.4 Ownerships, Partnerships and Shareholdings

This question about the type of business ownership was developed with the intention of getting to know if respondents had any of their family involved in the business and, if so, were they shareholders, ordinary employees, decision makers. Potentially, this information could lead to finding out the immediate heirs of the business who, as a result, would have a direct link to the decision for business succession in ethnic FOBs. As no research has

considered ownership in terms of BSP, it was important to do so, because this would add new knowledge to this specific research area.

In New Zealand, businesses can be structured in one of the following ways: sole trader, partnership, company or a trust (Ministry of Business Innovation and Employment New Zealand 2017). Each has its own legal procedures and pros and cons. Table 4.15 details by ethnicity, the legal structure of the business.

Table 4.15 - Composition by Ethnicity Based on the Legal Structure of the Business

Type of Legal Structure/ Business Ownership	No. of Respondents	% of Respondents	Ethnicity						Type of Business	
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant
Sole traders	6	12%	2	2	1	-	1	-	4	2
Shareholders	1	2%	-	1	-	-	-	-	-	1
Partnerships	8	16%	1	2	3	-	2	-	3	5
Trading trusts	36	70%	21	5	3	5	-	2	13	23
Total	**51**	**100%**	**24**	**10**	**7**	**5**	**3**	**2**	**20**	**31**

Table 4.15 details that thirty-six participants(70%) were trustees in trading trusts, which was best suited for running a family business, six (12%) were sole traders, one (2%) was in a company and eight (16%) were in partnerships with immediate family members. Table 4.16 details the findings for the existing partnerships.

Table 4.16 - The Details of Existing Partnerships by Ethnicity

Existing Partnerships	No. of Respondents	Ethnicity						Type of Business	
		Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant
With brother	3	-	1	2	-	-	-	1	2
With cousin brother	1	-	1	-	-	-	-	1	-
With brother and father	1	-	-	-	-	1	-	1	-
With father	1	1	-	-	-	-	-	-	1
With wife	1	-	-	1	-	-	-	-	1
With sister	1	-	-	-	-	1	-	-	1
Total number in partnerships	**8**	1	2	3	-	2	-	**3**	**5**

Interestingly, no participant of Vietnamese and Japanese ethnicity are listed as having partnerships. Analysing the type of business the respondents were involved in, the results reveal that, of the eight respondents in partnerships, five were in restaurant businesses and three in a convenience store business.

4.3.1.5 Involvement of Employees in the Business

Chapter 2 set a clear dichotomy between micro enterprises, small enterprises and medium enterprises based on the number of employees employed in each (Yesseleva 2002; Ayyagari et al., 2003; Amba and Abdulla, 2014). Taking the literature into consideration, this study set its own parameters for identifying a family-owned SME, as a family-owned business that employed fewer than twenty employees. The results here not only add to the literature, but also help determine the size and potential of the business.

Nine respondents (18%) mentioned that they did not have any employees rather they were managing the business themselves. Seven respondents (14%) employed seven non-family employees. There were seven other respondents (14%) who employed six non-family employees and six respondents (12%) employed five non-family employees. Table 4.17 details the results.

As detailed in Table 4.17, employees listed by number refer to non-family employees employed by the business. In the event of the involvement of family members in helping run the business, they have been referred to as dad, brother, wife, etc. It is also worth noting that non-family employees were employed by the business for a wage/hourly payment and no payment was made to family members who helped in running the business.

Convenience stores were mostly managed by the participants themselves or with the help of another immediate family member. On the other hand, it is mostly the restaurants that employed different numbers of employees that were non-family. Given the nature of the business, it is understandable that restaurants needed more people to operate; this is why restaurants could not be operated only by the participants. Having established the size of the business in accordance with the definition of a SME as identified in the literature, the next section aims to discover family involvement in business decision making.

Table 4.17 - Involvement of Employees in the Business

Current Employees	No. of Respondents	Chinese N	Chinese CS	Chinese R	Indian N	Indian CS	Indian R	Thai N	Thai CS	Thai R	Vietnamese N	Vietnamese CS	Vietnamese R	Korean N	Korean CS	Korean R	Japanese N	Japanese CS	Japanese R	% of Respondents
Just myself	9	6	6	-	3	3	-	-	-	-	-	-	-	-	-	-	-	-	-	18%
Seven employees	7	3	-	3	1	-	1	2	-	2	-	-	-	1	-	1	-	-	-	14%
Six employees	7	1	-	1	2	-	2	3	-	3	-	-	-	1	1	-	-	-	-	14%
Five employees	6	-	-	-	1	1	-	2	-	2	1	-	1	1	-	1	1	-	1	12%
Four employees	3	1	-	1	-	-	-	-	-	-	-	-	-	1	-	1	1	-	1	6%
Three employees	1	1	-	1	-	-	-	-	-	-	1	-	1	-	-	-	-	-	-	2%
Two employees	3	1	1	-	1	1	-	-	-	-	-	-	-	1	1	-	-	-	-	6%
Nine employees	2	2	-	2	-	--	-	-	-	-	-	-	-	-	-	-	-	-	-	4%
Non-family	1	1	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Get dad's help occasionally	2	2	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4%
Myself and brother	1	-	-	-	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Myself and wife	1	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Myself and husband	1	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Myself and son	1	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Fifteen employees	1	1	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Eleven employees	1	1	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Thirteen employees	1	1	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2%
Fifteen to eighteen employees	1	-	-	-	1	-	1	-	-	-	-	-	-	-	-	-	-	-	-	2%
Six to seven employees	1	-	-	-	-	-	-	-	-	-	1	-	1	-	-	-	-	-	-	2%
Total	**51**	**24**	12	12	**10**	6	4	**7**	-	7	**3**	-	3	**5**	2	3	**2**	-	2	**100%**

(N= Number of respondents; CS= Convenience Stores; R= Restaurants)

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4.3.1.6 Family Involvement in Business Decision Making

This question was developed to find out if the participants had family members involved in business decision making. The level of involvement of family members in making business decisions may link to the respondents' decisions in planning for business succession, for example, it can be assumed that if a respondent was planning to pass the business to his son upon his retirement, there could be a chance of him having his son involved in making business decision.

In spite of the literature elaborating much about the various general complexities involved in business decision making in FOBs (Birdthistle and Fleming, 2007; Alderson, 2009), there seemed to be a significant absence in literature anything that actually speaks about family involvement in business decision making in different cultural backgrounds. This would be a contribution to knowledge to the field of BSP concerning ethnic FOBs.

Given the research question of this study: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*, the aim is to find out if the involvement of family members in making business decisions differed between ethnicities, as well as if this dichotomy impacted on BSP and if so how it affected BSP. Table 4.18 presents the details about who in the family is involved in business decision making.

Table 4.18 – Family Involvement in Business Decision Making

Open Code Number	Involvement of Family in making Business Decisions	No. of Respondents	Respondents by their Ethnicities						% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	
G1	All decisions were made by the respondents themselves	25	13	5	-	2	3	2	49%
G2	Received dad's support occasionally when making decisions	6	6	-	-	-	-	-	12%
G3	Made joint decisions with family	17	9	3	4	1	-	-	33%
G4	Made decisions with business partners	8	1	2	3	-	2	-	16%
G5	Occasionally got help from son when making decisions	2	2	-	-	-	-	-	4%
G6	Son makes the decisions	1	1	-	-	-	-	-	2%

Note: Percentages do not add to 100% because more than one response was given by the same respondent.

As detailed in Table 4.18, twenty-five respondents (49%) made all decisions themselves whereas six (12%) had occasional help from their father when making business decisions. Two respondents (4%) occasionally received help from their son in decision making.

Table 4.18 also demonstrates that seventeen respondents (33%) made business decisions together with their family and eight others (16%) made decisions with their business partner; these partnerships were all intra-family as detailed in Table 4.16. In addition, one respondent (2%) said that his son made all the decisions because the business was now owned and operated by him.

Table 4.18 demonstrates that when it came to making all decisions alone, there were thirteen Chinese respondents, five Indian respondents, two Vietnamese, three Koreans and two Japanese. It is significant to note that there only Chinese respondents (six of them) received occasional help from their father in making business decisions. Of the seventeen respondents who made business decisions after having discussed the matter with their family, nine were Chinese, three Indian, four Thai and one Vietnamese.

In addition, Table 4.18 also shows that two respondents received occasional help from their son and the one respondent who had his son owning and operating the business and he was making all business decisions himself. The feature here is that they were all of Chinese ethnicity.

It is clear that Chinese ethnicity played a major role in making business decisions themself, in having their father's help occasionally in making business decisions, and in making business decisions along with their family. No Thai respondents made business decisions by themselves; they made decisions together with their family or with their business partners. Lastly, none of the Korean or Japanese respondents had their families involved in making business decisions.

4.3.1.7 Section Summary

This section summarises the results in six areas: Section 4.3.1.1- migrating to New Zealand; Section 4.3.1.2 – reasons for starting/buying/taking-over the family business; Section 4.3.1.3 – family involvement in the business; Section 4.3.1.4 – ownerships/partnerships/shareholdings; Section 4.3.1.5 – involvement of employees in the business and Section 4.3.1.6 – family involvement in business decision-making.

Ninety-six percent of the study sample were second generation migrants who had migrated to New Zealand as young children along with their family. Of the various reasons for

migrating to New Zealand, the participants' family had migrated mainly for better education, to earn good money and for an improved life. These participants were mostly Chinese, Indian and Thai.

Among the various reasons for starting/buying/taking-over the family-owned business, the dominant statement mentioned by 41% of the respondents was that the business had been started by their father and was now being inherited and operated by the respondents. Also, during the interviews, it was found that respondents inheriting the family business were influenced greatly by their ethnicity. This will be further discussed in Chapter 5.

The level of family involvement in the business was that, of the fifty-one participants, thirty-two did not want the women of the family being involved in the business. This seemed to be an ethnicity-related concern common among Chinese, Indian, Vietnamese, Korean and Japanese. Seventeen respondents had family members involved in the business but twenty-five were operating the business themselves.

With respect to ownership legal structure of the fifty-one ethnic family-owned businesses in the study sample, thirty-six were trading trusts, which is an ideal business legal structure for a family-owned business. Most (twenty-one) of these trading trusts belonged to Chinese and the least (two) were Japanese. Eight participants of Chinese, Indian, Thai and Korean ethnicity were involved in partnerships and they partnered with family members.

As well as finding out if the fifty-one businesses in the sample were compatible with the definitions of an SME (the number of employees employed) as defined and explained in the literature, the results also affirmed that all convenience stores and restaurants within the sample were congruent (on number of employees employed) with the definitions of a convenience store and a restaurant as defined for this study (Subsection 3.3.1).

Lastly, the findings determined that nearly half of the respondents (49%) made business decisions themselves but a least number of them (2%) had their sons (immediate heirs) involved in making business decisions. Among the other variations of family involvement in making business decisions, there were cases where the decisions were made with the involvement of the father of the respondent, spouse of the respondent, partners in the business partnerships as well family involvement in general. Of those who made business decisions themselves, thirteen respondents were Chinese and the low was two who were Vietnamese and Japanese. Interestingly, seventeen of the fifty-one respondents had their

family involved in making business decisions; nine of these were Chinese and the lowest was one Vietnamese.

The significance of the codes and content discussed above will be reviewed in Chapter 5.

Having analysed the results of the interviews under the 'Family-owned business profile', the next section reports the results pertaining to the 'Business succession planning profile'.

4.3.2 Business Succession Planning Profile

The prime purpose of this study was to understand BSP in ethnic family-owned businesses in Christchurch New Zealand. The main research question of this study focus on: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*.

This section reports on the answers to questions that directly related to BSP and whether the respondents had a successful plan for their business. The questions in this section were asked in two different categories based on whether the respondents had a BSP for their business. There were thirty-nine businesses (76%) with a BSP and twelve (24%) without one.

As explained in Subsection 3.3.3, this study executed a pilot study before approaching the target sample. The pilot study was carried out using a randomly selected sample of eight participants; four from the convenience store sector and four from the restaurant sector. However, although not encountered during the pilot study, with the study sample, there were instances where some of participants needed de-briefing and further explanation of the term 'Business Succession Planning'. This, in turn, showed that even respondents of the same ethnicity (pilot study sample vs. study sample) had different levels of understanding of BSP; this will be further elaborated in Section 4.3.2.2.

4.3.2.1 Businesses Having a Business Succession Plan

Table 4.19 presents details of the ethnicity and type of business of the study participants who had a BSP.

Table 4.19 – Respondents with a Business Succession Plan

Ethnicity	Age Category of Respondents					Type of Business		Total
	25-34	35-44	45-54	55-64	65 n above	Convenience Stores	Restaurants	
Chinese	-	11	5	1	-	9	8	17
Indian	3	5	2	-	-	6	4	10
Thai	-	-	5	2	-	-	7	7
Vietnamese	-	2	-	-	-	-	2	2
Korean	-	-	2	-	-	1	1	2
Japanese	-	-	1	-	-	-	1	1
Total	3	18	15	3	-	16	23	**39**

Table 4.19 shows that of the seventeen Chinese respondents who had planned for business succession most (eleven) were aged 35-44. They had taken over the family business and had very young children of their own. Of the Chinese respondents who had a BSP, nine were convenience store businesses and eight had restaurants. The following vignettes detail the reasons provided by the respondents for having a BSP.

R11 stated:

> *"I plan to gift the business to my son one day. He is still in school and I want him to finish his studies and then take this over".*

R6 stated:

> *"I would like to keep options opened. My eldest son is more interested in becoming a doctor, that's what he says. But my second seems to be somewhat interested in helping me during school holidays and you know, he likes being with me in the store. So I don't know what exactly would be their future. I would like to handover the business to both of them or at least to one of the one day and that's my plan for now".*

R31 stated:

> *"I want to get my son into the business after he completes his studies".*

The Indian and Thai respondents had a BSP. Like the Chinese respondents, most Indian respondents (five) were aged 35-44 and had very young children. The number of respondents in the convenience stores (six) was greater than those with restaurants (four).

Indian owners had similar thoughts to the Chinese about how business succession would happen as indicated in the following comments.

R16, who was in a partnership with his brother in their family owned business, stated:

> *"We have decided to give the business to our sons. My son Ruvindar is 13 and Arvind's son Dharmesh is 7. So when they have grown up and finished their studies we will pass this business to them".*

R34 stated:

> *"One day I hope to give the business over to my child".*

R36 mentioned:

> *"....My father surely had a plan and his plan was to pass it over to me and I think I will do the same one day".*

On the other hand, a majority (five) of the Thai respondents who had a BSP were aged 45-54 and had young children to whom they were planning to hand the business to. For example:

R37 stated:

> *"We already make plan about retirement. We have two sons we like to give the restaurant to them when they finish education".*

R42 stated:

> *"... I plan to give the business to my daughter after she finishes her studies".*

R43 stated:

> *"We already decided that we transfer the business to our son".*

The two Vietnamese respondents who had a BSP were aged 35-44 and they too had inherited the businesses from their fathers who were the business founders. They both had young children and had convenience stores. Their responses were as follows:

R45 stated:

> *"... I have an idea of giving this business to my son in the future.*
> *He is just 5 and I think it's a bit too soon for me to decide on it".*

R46 stated:

> *"We have started to think of this and we plan to give this over to*
> *our son some day. He is still 9 and there's more time anyway".*

The two Korean respondents, both aged 45-54, one with a convenience store and the other with a restaurant, had the following to say.

R20, from the convenience store, stated:

> *"We plan to give this to our son after he completes his studies"*

R48, from the restaurant, stated:

> *"I got this business from my dad and this saved me time from*
> *trying to find a job and start making a living so this is what I want*
> *for my child as well. I want him to study hard but I want him to*
> *have a secure future one day".*

Lastly, R51, a Japanese respondent aged 45-54 who owned and operated a restaurant started by his father revealed his BSP as:

> *"I have a plan to give this business to my son in time to come".*

4.3.2.1.1 Impact of Ethnic Background on a Business Succession Plan

This question directly addresses the prime focus of this study which is to find out if ethnicity impacts on the decision to plan for business succession. In the academic field, there is ample literature that talks about family business succession in terms of different levels of business succession (Lussier and Sonfield, 2012), the family characteristics in succession planning (Lybaert and Steijvers, 2015), transgenerational business succession (Saxena, 2013), models for family business succession (Boyd et al., 2014), the stages of family business succession (Musselman, 2015). There has been no research on how

ethnicity impacts the decision for business succession. As elaborated in Chapter 1, this highlighted a major gap in the literature. Accordingly, this study aims to fill this gap; the results gathered at this point definitely adds new knowledge to this subject.

Table 4.20 records the results of answers to the question "Does ethnic background have an impact on BSP?". This question was asked of the thirty-nine respondents who had a BSP.

Table 4.20 –The Impact of Ethnicity on Planning for Business Succession for those with a BSP

Open Code Number	Impact	Ethnicity						Type of Business		No. of Respondents	% of Respondents
		Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant		
H1	Having their culture/ethnic background in mind	17	10	7	2	1	1	16	22	38	97%
H2	No involvement of their ethnic background	-	-	-	1	-	-	-	1	1	2.5%
H3	Not willing to force their children into taking over the family business	-	-	-	-	1	-	-	1	1	2.5%

Note: Percentages do not add to 100% because more than one response was given by the same respondent.

The results show that ethnicity had had an impact on the thirty-nine respondents who had a BSP. The following responses are some examples from the different ethnicities of the respondents.

Among the Chinese respondents, R5 mentioned:

> *"Ethnicity does matter to me to a great extent. I cannot forget my country and my culture; mainly because that was how I was brought up. We always lived with those in mind even we were away from our country. So this was one reason why I followed my dad's footsteps. In our Chinese culture, usually the son in the family takes over dad's business after him. And then the business is passed down to the next generation and so on. That's how it usually happens. So my plan is to gift this business to my son*

oneday. He already helps me out in the store sometimes and I feel he is interested in doing business. I think it runs in the family". = Open Code No. H1

R6 mentioned:

"I suppose yes; because this store; this business was my dad's and he gifted it to me, so I will want to do the same to my sons. This I guess is a part in our Chinese culture where the dad's business is passed down to the sons and it continues throughout the generations. This is common in China". = Open Code No. H1

R8 mentioned:

"To some extent yes. It is a practice in our culture where the father's business is passed down to the son. In my case, it is also that my son is very interested in this business so I know that he will take good care of it". = Open Code No. H1

R9 mentioned:

"Although I was brought up away from my home country, my parents always made sure that I was nurtured within a good Chinese background. I saw how my dad did business. Our culture and traditions, our beliefs and customs were always practiced and maintained. Being brought up in an environment like that is what made me realize about my responsibilities and duties even though I had chosen a different profession. As I said before, a family business is a great symbol to a family in our culture. Continuing with a family business is considered great always. So I would like to continue with it as well". Open Code No. H1

R12 mentioned:

"In our culture, father's business always going to son. This is tradition". = Open Code No. H1

Given these responses from the Chinese participants, it was found that the ethnicity element comprising the respondents' origin, culture and traditions, had a significant influence on the decision to have a BSP.

The ten Indian respondents who had a BSP had a similar view. A few of these responses are given below.

R13, an Indian of Punjabi ethnicity, mentioned:

> *"In our Sikh culture a family business is normally passed down from one generation to another. This is what Babba that's my grandfather, did to Pita and what Pita did as well. So I also plan to hand this business over to my son Akal in the future".* = Open Code No. H1

R14, a Sikh respondent, mentioned:

> *".... we Sikhs always follow our tradition and culture in everything we do. In our Sikh culture, a son is entitled to get the father's business. This is how the family name continues from generation to generation. So even after one generation is over, the business will always continue. Dad got this from his grand uncle, then he passed it down to me and I will pass it down to my son".* = Open Code No. H1

R16, a Kerala-Malayali Indian, mentioned:

> *"...Pitaav passed down his business to us and one day we will have to do the same. This is very common in Kerala and in our Malayali culture'.* = Open Code No. H1

R17, a Sikh respondent, said:

> *"Like I said before, although we stay away from home we never forget where we come from. We always make sure to practice our culture and traditions where ever we are. So when it comes to business, I think it is once again the same. In our Sikh tradition, a father's business goes to the son. Also, it is the son's responsibility to continue with the family business and pass it over to his son. So this goes on. After all family business is a big thing in our culture. We usually don't like to work for someone else. In this way, I have also decided to give this business to my son because of this".* = Open Code No. H1

Accordingly, also among the Indian respondents, the ethnicity element together with the culture, traditions and origin seemed to have a substantial impact on the decision to have a BSP. These responses revealed that the respondents were compelled to plan for business succession because it was how things had happened in the past and was how it should happen within their ethnic background.

A few responses from Thai respondents who had a BSP are given below.

R39 mentioned:

> *"....in our Thai culture, there is this things where a father's business should go to the next in the family. Unfortunately my son is not interested in this so this is why we have thought of keeping this going without having to shut it down."* = Open Code No. H1

R40 stated:

> *"....in our Thai culture, a family business is usually passed down from one generation to the next and this s exactly what I am doing".* = Open Code No. H1

R41 said:

> *"...in our Thai culture a father's business is usually passed down to the children".* = Open Code No. H1

R42 mentioned:

> *"My dad gave me this business and now I will give it to my daughter. This is a general practice in our Thai culture".* = Open Code No. H1

R43 stated:

> *".....in our Thai culture a family business is usually passed down from one generation to the next".* = Open Code No. H1

Hence, it is clear that among the Thai respondents, the ethnicity element was imperative when planning for business succession.

Of the three Vietnamese respondents in the sample, two had a BSP and their views of the ethnicity impact on their decision to have a BSP were as follows.

R45 mentioned:

> *"I was brought up in a very traditional and very Vietnamese environment and I know what our culture and traditions are. So in our culture a family business most of the time is passed down from one generation to the next and this is what my father did as well. So I would like if I could do the same".* = Open Code No. H1

R46 had a completely different reason for having a BSP:

> *"Not exactly it just that we want to make sure that his future is safe and after all this is a good opportunity".* = Open Code No. H2

Thus, R46 did not consider on his ethnic background when planning for business succession, rather he was more concerned about securing his son's future.

Of the five Korean respondents in the sample, R20 had a BSP and mentioned that although their decision to have a BSP was linked to his ethnic background, he was not willing to force the idea too hard. His view was that, although he had planned on handing over the business to his son one day, he was unsure if his son would be interested in taking over the business and he was not too keen on forcing his son into it:

> *"In Korea the father's business goes to the son. That's what my dad did. But for me although I want my son to take it over one day, I am not sure if he will want to and I don't want to force him either".* = Open Code No. H3

This was mainly because R20 was currently residing in New Zealand; away from his Korean ethnic background and was prepared to change his views and adapt to the new surroundings:

> *"Although we haven't forgotten our roots, we now live here. We definitely have to change and get used to the Kiwi culture. Back home it would have been different and we must follow our family traditions, cultural traditions and all of that. But here it's not like that. My son was born here and he is growing up here in this environment. As much as I would like him to take over the family business one day, I cannot force him into this if he is not interested".* = Open Code No.H3

The Japanese respondent, R51, who had a BSP said:

> *"I want to follow my dad and also in our Japanese culture a*
> *father's business is usually given to the son. This is how we*
> *continue family business".* = Open Code No. H1

Therefore, it is clear that planning for business succession is important to a Japanese and this had driven R51 to have a BSP for his business.

Having analysed the results in Table 4.20, it is evident that the participants' ethnic background made a significant impact on their decision to plan for business succession. However, given that the sample in this study comprised respondents of only Asian ethnicity, the results give rise to a potential new research questions: "Is this unique to Asian family business owners and/or does it apply to family businesses in general?"

Having analysed how ethnicity impacts the decision to have a BSP, the next section aims to find out if the respondents' current location (New Zealand) affected their BSP decision in anyway.

4.3.2.1.2 Does Location Impact the BSP Decision?

Having considered if ethnicity impacted the decision to have a BSP, it was also important to know if the current location of the respondents (New Zealand) had impacted the BSP decision. Therefore, the following question was asked of respondents who had a BSP: "Would you have done it differently if you were in your home country? If YES, please explain, if NO, please explain".

As explained earlier in this chapter, these study participants were second generation migrants and it would seem obvious that because of migrating to a new country, that local influences could impact their BSP decision. Table 4.21 presents the results of the interviews.

Table 4.21 – Location Impact on the BSP Decision

Open Code No.	Did your current location made impact your BSP decision?	No. of Respondents	Percentage of Respondents
I1	No difference	35	90%
I2	Unsure about the circumstances	4	10%
	Total No. of Respondents with a BSP	**39**	**100%**

As explained in Table 4.21, 25 respondents (90%) of those who had a BSP mentioned that they did not plan a BSP any differently from what they were practising irrespective of the country of domicile. Below are some of the responses received.

The Chinese respondents affirmed that they would always have followed their ethnic practices even if residing in a different country from home.

R1 mentioned:

> *"There is not much of a difference in the way how I run my business now. So even if we were back home, it would be the same".* = Open Code No. I1

R5 stated:

> *"Following our culture would be the same in any country, the way we live and the way we do things especially like how we do business, hasn't changed just because we live in New Zealand".* = Open Code No. I1

R8 said:

> *"Our culture, our traditions, and things like that remain the same where ever we are".* = Open Code No. I1

R10 mentioned:

> *"It would be the same even if I stayed back in China. I mean it's true we live away from home now. But we still follow our culture, our traditions and our ethnic practices".* = Open Code No. I1

R11 stated:

> *"I don't think I would have done it any differently".* = Open Code No. I1

Among the responses received from the Indian respondents, R14 said:

> *"No, because this how it will happen even if I was in India. Traditions remain the same where ever we are".* = Open Code No. I1

R15 mentioned;

> *"The same traditions are followed anywhere in the world".* = Open Code No. I1

R18 said

> *"No matter where in the world we are, we never forget our roots. Everything would be the same and we will always try to practice our ethnicity and live in our culture".* = Open Code No. I1

R34 stated:

> *"Not really. Anywhere in the world culture and tradition would be the same".* = Open Code No. I1

These responses determine that the current location of New Zealand did not affect Indian respondents in how they planned for business succession. They were confident that whichever part of the world they were, their ethnic practices, culture and traditions were followed just as they would have done in India.

Of the seven Thai respondents who had a BSP, six respondents affirmed that, having their ethnic backgrounds in mind, living in New Zealand had not affected them in how they had planned for business succession. For example:

R37 stated:

> *"We do it same in Thailand".* = Open Code No. I1

R39 mentioned:

> *"...cultures and traditions would be the same or more if we were back in Thailand".* = Open Code No. I1

R40 and R42 did not give any reasons, but said:

> *"No".* = Open Code No. I1

R41 and R43 did not explain any further, but did say:

> *"I don't think so".* = Open Code No. I1

This meant that living in New Zealand did not have any effect on their decision to plan for business succession; they followed their ethnic practices just as they would have if they were in Thailand.

On the other hand, R38 said that he was unsure about the nature of the circumstances, hence there was a possibility of them planning differently were they back in their home country. For example, in their words:

> *"I don't know what the circumstances would have been if we lived in Thailand. I mean things could have been different. But either way, I'm sure at least one of us would have been doing dad's business and then it would be passed down to our children thereafter". =* Open Code No. I2

The two Vietnamese respondents, R45 and R46, who had BSPs shared a similar view to R38.

R45 stated:

> *"I think it would depend on the circumstances". =* Open Code No. I2

R46 said:

> *"I have been brought up in a kiwi culture although I am a Vietnamese by birth and so is my wife. So we wouldn't exactly know what it would be like to be living back there". =* Open Code No. I2

It seemed that these two Vietnamese respondents acknowledged that there was a possibility of them planning differently were they in their home country. The obvious reasons were ethnic practices including culture, traditions and various other best practices that would have been followed and put into practice if these respondents were in Vietnam.

The Korean respondent, R48, who had a BSP was of a similar view when he said:

> *"May be I don't know". =* Open Code No. I2

R51, the Japanese respondent, who had a BSP, mentioned that residing in New Zealand at present had not affected his planning method for business succession; rather he had

incorporated his ethnicity and made the BSP within the ethnic background despite living outside Japan. In R51's words:

> *"No I think traditions will be same even in Japan".* = Open Code No. I1

Accordingly, 90% of the respondents who had BSPs affirmed that their current location (New Zealand) did not affect their decision on planning for business succession. Instead, they made sure that their ethnic practices were followed without hesitation regardless of them being away from their native country. The reason for doing so was mainly because the respondents were nurtured by their family within their respective ethnic backgrounds hence the respondents acknowledged the need to plan for business succession incorporating the their culture, traditions and ethnic practices.

In general, the results gathered via participation observation differed slightly from the actual responses given by the participants. The participants' body language and behaviour (for example, the vocabulary, the gestures) was evidence that, although they mentioned about their ethnic background being highly dominant and significant when planning for business succession and how in-depth they practised their culture and traditions, participants were oblivious to the fact that they had adapted to Kiwi culture in certain ways.

However, given that the sample in this study comprised only Asian family business owners, these results give rise to a question that should be addressed in future research: "Is this unique to Asian family business owners or does it apply to family business owners in general?".

The results presented and analysed in the next section focus on finding out what made the participants plan for business succession.

4.3.2.1.3 The Decision behind Business Succession Planning

This study is focused on understanding the influence of ethnicity on BSP among ethnic family-owned businesses in New Zealand. Scholars such as Clifford and OOEC (2008), Whatley (2011), Koropp et al. (2013); Morford (2013), Lybaeart et al. (2015) and Holmes and Kallabat (2015), have investigated the reasons for family business succession in the area of motivation, the features of the predecessor and the successor, the relationships between the predecessor, the successor and the family, and family characteristics as

determinants of BSP. There is a need to find the best fit for the firm, the need to be ahead of the curve, the need to keep up with the industry, and the significance of family business succession. Yet there is a significant absence of studies highlighting ethnicity or ethnicity-related aspects as reasons and/or driving forces for developing a BSP. Therefore, to improve overall understanding, participants were asked: "What made you think of having a business succession plan for your business?".

The dichotomy between the content analysed in this section and the results presented in Sections 4.3.2.1.1 and 4.3.2.1.2 is that this section focuses directly on finding out what particular reasons had driven the respondents to develop a BSP for their business. Since the prime focus of this study is to find out the impact of ethnicity on BSP, there was a possibility that elements of ethnicity such as culture, traditions, family trends, communal practices, could be among the driving forces for these participants to develop a BSP for their business. Table 4.22 details the various reasons given by the respondents for developing a BSP for their business.

Analysing the responses detailed in Table 4.22, there were six reasons that could potentially have a direct link to ethnicity: (1) to preserve family reputation; (2) to keep the business going even after the respondents had expired; (3) to continue with dad's efforts; (4) to fulfil family responsibilities; (5) to follow culture and tradition; and (6) to follow a community practice.

Accordingly, from the 39 respondents who had a BSP, Table 4.22 details that fourteen respondents (36%) had planned for business succession 'to preserve family reputation'. This group comprised six Chinese, four Indians, two Thai, one Vietnamese and one Korean. Relevant examples are given below.

Table 4.22 – The Reasons behind the Decision for a Business Succession Plan

Open Code No.	Reasons for planning for business succession	No. of Respondents	Ethnicity						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
J1	To preserve family reputation	14	6	4	2	1	1	-	9	5	36%
J2	Concerned about child's future	13	-	7	3	1	2	-	5	8	33%
J3	To keep the business going even after they were dead and gone	10	4	1	2	1	1	1	6	4	26%
J4	To continue with dad's efforts	9	5	2	1	1	-	-	4	5	23%
J5	To fulfil family responsibilities	8	2	6	-	-	-	-	6	2	20%
J6	Following culture and traditions	8	3	4	1	-	-	-	3	5	20%
J7	Concerned about the success of the business	4	3	-	1	-	-	-	3	1	10%
J8	Considered the business as a part of the family	2	-	2	-	-	-	-	2	-	5%
J9	Inspired by father	2	1	1	-	-	-	-	1	1	5%
J10	No particular reason	1	1	-	-	-	-	-	1	-	2%
J11	Certainty about giving the business to son	1	1	-	-	-	-	-	1	-	2%
J12	Considered it as an honour to own a business in a foreign country	1	1	-	-	-	-	-	-	1	2%
J13	A community practice	1	-	1	-	-	-	-	-	1	2%
J14	Afraid to see the business shut down	1	-	-	1	-	-	-	1	-	2%
J15	Not everyone is lucky to have a business like this	1	-	-	1	-	-	-	1	-	2%

Note: Percentages do not add to 100% as more than one response was given by the same respondent.

R9, a Chinese respondent in a convenience store business said:

> *"The need for continuing the legacy of our family".* = Open Code No. J1

R13, an Indian respondent in a convenience store business mentioned:

> *"We are Sikhs and in our culture having a family business to run adds value to our social status. This brings in a lot of pride to our family".* = Open Code No. J1

R38, a Thai respondent in a restaurant business mentioned:

> *".....to make our family proud".* = Open Code No. J1

R45, a Vietnamese respondent in a restaurant business said:

> *".....I also want to keep the family reputation going".* = Open Code No. J1

R48, A Korean respondent in a restaurant business stated:

> *"....I want to make sure that I continue with the good reputation of my family....".* = Open Code No. J1

Thus, planning for succession as a need to continue the family's reputation seemed to be the dominant reason for many (36%) of the respondents and continuing the legacy of the family was considered imperative by Chinese, Indian, Thai, Vietnamese and Korean respondents.

As presented in Table 4.22, ten respondents (26%) decided to have a BSP because they wanted the business to continue even after they had died. These ten respondents comprised four Chinese, one Indian, two Thai, one Vietnamese, one Korean and one Japanese. A few of their responses are given below.

R10, a Chinese running a convenience store mentioned:

> *"I want to keep the business going even after we are dead and gone".* = Open Code No. J3

R13, an Indian respondent in a convenience store business said:

> *"So it is our duty and responsibility to make sure that the business will not stop even after we are dead and gone. This is why we pass down the business to the next generation".* = Open Code No. J3

R37, a Thai respondent in a restaurant business mentioned:

> *".....We must work hard to protect it and make sure that business will not finish after we are dead and gone".* = Open Code No. J3

R46, a Vietnamese respondent in a restaurant business said:

> *"..... By doing this we know that this business will continue even after our time has gone".* = Open Code No. J3

R48, A Korean respondent in a restaurant business stated:

> *"A part of my idea is because I want to see the business do well and I want to see it continue even after my time.....".* =Open Code No. J3

R51, a Japanese respondent in a restaurant business mentioned:

> *"....... it is my duty to make sure that this will continue even after my time....".* = Open Code No. J3

Irrespective of the ethnicity, when analysing these responses from the participants, it is obvious why they, as detailed in section 4.2.3.1, wanted their children to take over the business upon their retirement. The respondents were clearly concerned about the sustainability of the business even after their death; they did not want the business to go with them. Participation observation disclosed that being concerned about the sustainability of the business resulted from the ethnic background of the respondents and directly linked to their conventional thoughts and practices.

As the businesses were founded by the participants' fathers, Table 4.22 shows that nine respondents (23%) had planned a business succession as a measure of respect for and paying tribute to their father's efforts. These nine respondents comprised five Chinese, two Indians, one Thai and one Vietnamese.

Among the five Chinese respondents, R6 mentioned:

> *"The love and respect I have for it. This is a gift from my dad, so it means a great deal to me. I need to make sure that it has a future".* = Open Code No. J4

R8 mentioned:

> *"My dad built this business with a lot of effort. The business is doing well and we are doing well because of this. So it is my responsibility to make sure that there is a future for this business'.* = Open Code No. J4

The Chinese respondents were of the impression that they were compelled to develop and come up with a BSP for the business to continue with their father's efforts.

Similarly, the two Indian respondents shared their views as follows.

R16 said:

> *"Pitaav risked a lot of things in life when he moved to New Zealand. He put in a lot of time and effort to build this up. This business helped us to live for all these years…."*. = Open Code No. J4

R17 mentioned:

> *"……our duties and responsibilities. My father started this very small and he brought it up to some stage. I am also doing my best by contributing to the success of this business….."*. = Open Code No. J4

R38; the Thai respondent in this category mentioned;

> *".....we have to make dad proud…."*. = Open Code No. J4

R45; the Vietnamese respondent mentioned:

> *".....I would like to follow my father…"*. = Open Code No. J4

Having analysed the responses given by the participants, it was evident that feeling compelled to plan for business succession to make their father proud and/or to continue with their father's efforts was derived from within their respective ethnic background. This included their thoughts and perceptions, culture and tradition and how these respondents had been nurtured and brought-up in their family.

As detailed in Table 4.22, the next reason that could be considered as ethnicity-related when developing a BSP for the business was 'to fulfil family responsibility'. Eight respondents (20%) agreed on this. Of the eight who had planned for business succession in order to fulfil family responsibility, there were six Chinese and two Indians.

Among the responses gathered from the six Chinese respondents, R8 mentioned:

> *"Surely this is my responsibility. My family migrated to New Zealand with the idea of having a better life. A better life for all of us. My dad built this business with a lot of effort. The business is doing well and we are doing well because of this. So it is my responsibility to make sure that there is a future for this business…."*. = Open Code No. J5

R9 mentioned:

> *"The need for continuing the legacy of our family. This is my responsibility and I know dad will want me to do the same".* = Open Code No. J5

R29 stated:

> *"It is my responsibility to make sure that my father's business is taken care of. Continuing with a family business is a big achievement in our culture. It's respect and pride we bring to the family".* = Open Code No. J5

As shown below, the two Indian respondents had similar views to share.

R33 mentioned:

> *"Our family, our traditions, our culture. Because this is my responsibility as a good Sikh".* = Open Code No. J5

R36 mentioned:

> *".....This is my duty and responsibility as a son".* = Open Code No. J5

Accordingly, it is clear that planning for business succession with the intention of taking the business forward and fulfilling family responsibilities as dutiful family members was considered important by the Chinese and Indian ethnicities.

The next important reason for having had planned for business succession was 'following culture and traditions'. As shown in Table 4.22, eight respondents (20%) comprising three Chinese, four Indians and one Thai, claimed this reason.

The three Chinese participants expressed their views as follows.

R11 said:

> *"………..according to our traditions, a family business is generally passed down to the next generation…….".* = Open Code No. J6

R21 mentioned:

> *"My dad's teachings, our culture, traditions and also the continuity of the business. I think all of it".* = Open Code No. J6

R31 mentioned:

> *"……Our culture and our traditions……".* = Open Code No. J6

In their responses, the four Indian research participants mentioned the following.

R13 said:

> *"We are Sikhs and in our culture having a family business to run adds value to our social status…..".* = Open Code No. J6

R17 mentioned

> *"Our culture our traditions and our duties and responsibilities……".* = Open Code No. J6

R33 said:

> *"Our family, our traditions, our culture. Because this is my responsibility as a good Sikh".* = Open Code No. J6

R34 said:

> *"…… our community, where I come from, our Sikh culture and tradition everything….".* = Open Code No. J6

R40, the only Thai participant who specifically mentioned culture and tradition as a reason for having a BSP, said:

> *"….it's probably our culture and how things usually happen from where we come from and it's up to us that we follow the traditions".* = Open Code No. J6

By specifically mentioning the words 'culture' and 'tradition', these eight respondents clearly established that among the various other reasons, one reason for having a BSP was because they acknowledged that they had to live up to their culture and traditions, which are elements of their respective ethnicity. Hence, their ethnicity influenced them in developing a BSP.

Finally, R34, an Indian respondent, mentioned that he took his community into consideration because planning for business succession was a communal practice among Sikhs. For example, R34 said:

"………our community…..". = Open Code No. J13

The participants' responses along with participation observation helped acknowledge that the decision to plan for family business succession was supported by their respective ethnic backgrounds. Though this study sample comprised only Asian participants, it is questionable if this is unique to Asian family business owners in developed countries. Does it apply to family business owners in general?

Among other responses in Table 4.22, R1 mentioned that although he had not seriously thought about planning for business succession and had no particular reason to do so, he was certain that he was going to have his son run the business after him.

> *".....I had never thought about it as a major plan until now. I was just hoping to go with the flow, because in the back of my mind I always knew that I was going to have my son run this business after me."* = Open Code No. J11

R5 mentioned:

> *"It is a honour to be having my own business in a foreign country....."*. = Open Code No. J12

R39 mentioned:

> *"It's just that I don't want to see this shut down. This is good business and not everyone is lucky enough to have a business like this."* = Open Code No. J14

This response given by a Thai research participant who had taken over his father's restaurant is considered an exception because he was content with the current progress of the business and acknowledged that he was lucky that the business provided him with a living. It was also revealed during interviews that migrants like him usually found it difficult to find suitable employment in New Zealand because of their lack of English speaking skills and because of labour market issues. Therefore, his decision for a BSP was driven by him not wanting to see this valuable venture shut down.

Figure 4.7 – Repackaging the Data: Decision for Planning for Business Succession
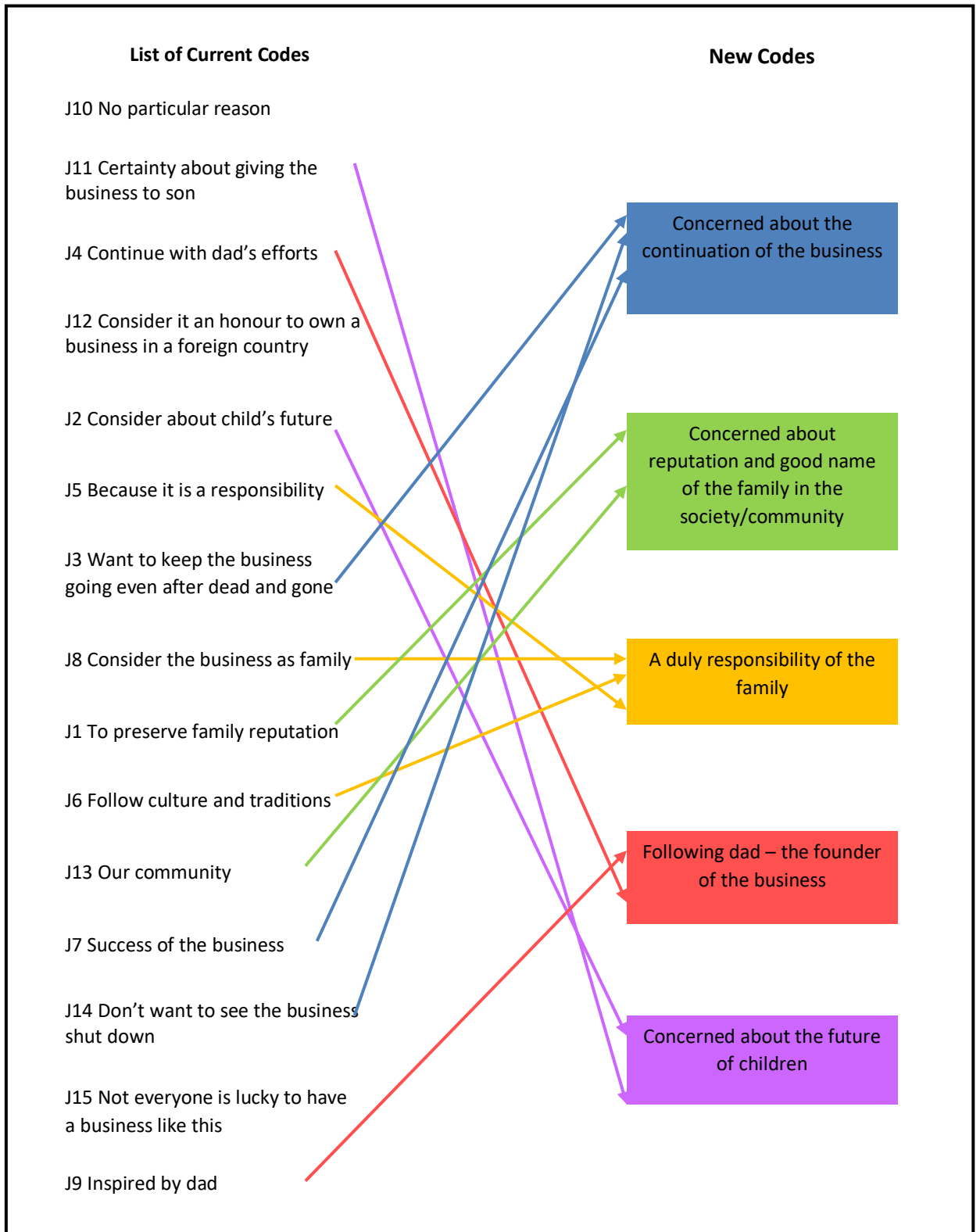
Following Carney's ladder of analytical abstraction (Carney, 1990), the data have been repackaged as illustrated in Figure 4.7. As illustrated in Figure 4.7 three codes: 'no particular reason'; 'consider it an honour to own a business in a foreign country'; and 'not

everyone is lucky to have a business like this', have not been repackaged because they do not have any relevance/similarity to the other codes. These will be further discussed in Chapter 5.

4.3.2.1.4 Heir's Interest in the Business

Le Breton et al. (2004) and Saxena (2013) considered the interests of heirs of businesses (in Montreal and India, respectively). To expand the general understanding of this subject, participants were asked if their heirs had an interest in continuing with the business: "Do your family members (children or heirs) show a genuine interest in taking over the business?". Table 4.23 details the results.

Table 4.23 – Heirs Interest in Taking-Over the Business

Open Code No.	Family Members Interest in Taking Over the Business	No. of Respondents	Ethnicity						Type of Business		% of Respondents
			Chinese	Indians	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
K1	Children were very interested in taking over the business one day	20	11	5	3	-	-	1	9	11	51%
K2	Usually the family business belongs to the son and not the daughter in the family	7	2	5	-	-	-	-	4	3	18%
K3	Unsure about son's future interests	4	2	-	1	1	-	-	1	3	10%
K4	Too soon to decide on it	3	-	-	1	1	1	-	1	2	8%
K5	Newly married and no kids as yet	3	2	-	1	-	-	-	1	2	8%
K6	Children were not very interested or had different ambitions	2	-	-	1	-	1	-	-	2	5%
	Total	**39**	**17**	**10**	**7**	**2**	**2**	**1**	**16**	**23**	**100%**

Table 4.23 shows that, of the thirty-nine respondents with a BSP, twenty (51%) mentioned that they were certain of their children wanting to take over the business one day. There were eleven Chinese, five Indian, three Thai and one Japanese in this category were mostly involved in restaurants.

Secondly, there were seven respondents (18%) who mentioned that the family business generally belonged to the son in family and not the daughter. These seven respondents

comprised two Chinese and five Indian respondents and were mostly from restaurant businesses. For example,

R29 stated:

> *"My son is 14 and he is very much interested in this. My daughter is 10 and she too is interested. But usually the family business always goes to the son in the family".* = Open Code No. K2

The disapproval of these respondents for having women involved in the business links directly with the findings analysed in section 4.3.1.3 where 'women's invisibility' was emphasised.

Interestingly, four respondents (10%) mentioned that although they had planned to hand over the business to their sons, they were unsure if their sons would be interested in taking on the business. Among these four respondents two were Chinese, one was Thai and one Vietnamese.

Among the other various responses, R20 stated:

> *"....is interested and helps me out during his free time but he also wants to becomes a photographer. He loves nature and his hobby is taking pictures of nature. So I don't know what he wants to do".*
> = Open Code No. K3

R36 stated:

> *"...I have just gotten married and we still don't have any kids".* =
> Open Code No. K5

Having analysed the results above, it is obvious that the context is very culture related and was felt and made to feel an obligation. For example:

R1 stated:

> *"We are Chinese although we live in New Zealand. We have to live by our traditions and culture. That is exactly how we bring him up as well. So I don't think he will not want to take this up. Of course I will let him study whatever he wants to, and become whatever he wants to. But apart from that he will be given the business to take care of. That's what I plan to do".* = Open Code No. K1

R5 stated:

> *"It seems that my son is interested in this. He is ambitious and keen on taking over. He is learning his duties and responsibilities as a son".* = Open Code No. K1

R13 stated:

> *"Yes, Akal is very much interested because he already knows how things work in the family and he knows that this business belongs to him. These things we don't have to teach our children separately, they learn these when they grow up".* = Open Code No. K1

R35 stated:

> *"Yes, my son he's 10 but he shows some interest because he knows that this will be his one day".* = Open Code No. K1

Given the clarity of the results in Table 4.23, the data will not be repackaged using Carney's ladder of analytical abstraction (Carney, 1990). The overall significance of the content explained above will be further discussed in Chapter 5.

4.3.2.1.5 Formalisation of the Business Succession Plan

At this stage, it was important to find out the current form of existing BSPs. As the literature did not mention anything about formal versus informal methods of having/planning for family business succession, the questions: "In what form is your succession plan currently held? Is it formally documented, orally informed to the respective parties, discussed and decided among family, just kept in mind?", was asked of those who had a BSP.

Though thirty-nine participants reported having some form of BSP, further investigation about the form of the plan was undertaken to see if it was formal, informal or merely a concept yet to be developed. Table 4.24 presents the results.

Table 4.24 –The Nature of the Business Succession Plan

Open Code No.	Current Form of the BSP	No. of Respondents	Ethnicity						Type of Business		Percentage of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
L1	Discussed with the family	19	10	6	2	-	1	-	8	11	39%
L2	Had it in the back of the mind	8	3	2	1	1	-	1	3	5	16%
L3	No need to document family traditions	6	1	4	1	1	-	-	2	4	12%
L4	Still had discussions going on in the family	2	1	-	-	-	1	-	1	1	4%
L5	Had it documented	1	1	-	-	-	-	-	1	-	2%
L6	Children were aware of their responsibilities – no need for documenting	1	-	1	-	-	-	-	-	1	2%
L7	Discussed already and looking forward to documenting soon	1	1	-	-	-	-	-	1	-	2%
L8	Just a thought	1	1	-	-	-	-	-	1	-	2%

Note: Percentages do not add to 100% as more than one response was given by the same respondent.

Table 4.24 shows that of the thirty-nine respondents who had planned for business succession, only one had formally documented their BSP. R12 was a Chinese respondent aged 55-64, who had his own convenience store. He mentioned:

> "I change registration name of business to my son's name already". = Open Code No. L5

During the interviews it was revealed that this respondent was certain about his BSP decision and his son had already taken over the business. As a result, R12 had formally documented the decision and handed over the business to his son.

All other respondents who had a BSP held their plans informally as follows: "*discussed and kept within the family*"; "*held it back in mind*"; "*discussions were still in progress within the family*"; "*did not see the need for documenting family traditions*"; or "*was looking forward to documenting soon*". This informality had a possibility of deterrents to intra-family business succession (Lockamy III, Carson and Lohrke, 2016); the potential successor's lack of motivation and/or satisfaction, arguments and/or disagreements between family members later; or issues related to trust and honesty.

Among those who had decided on their BSP formally or informally, six respondents (12%) mentioned they did not need to document the BSP and clearly highlighted that they strongly believed that family traditions did not require any formal documentation. Rather, they expected their children (immediate successors) to grow up bearing in mind their ethnic background, culture and family traditions. This group comprised four Indian respondents. During the interviews it was apparent that, as an important part of their culture, traditions and family customs, their children were indirectly forced to take over the family business on the retirement of their father. For example:

R32 said:

> "I don't have to document anything because my sons already know their responsibility and I as a father know mine". = Open Code No. L3

Analysing further, R32 was certain that his sons were aware that they had to take over the business once they were ready; as a father he fulfilled his responsibility by handing the business to his sons.

Similarly, R34 mentioned:

> "Nothing is documented and it doesn't need to be put into documents as well. We know what we are supposed to do". = Open Code No. L3

These responses reflect the obvious feature that such mind-sets were certainly being moulded culturally and traditionally.

Figure 4.8 illustrates repackaging of data and development of new codes according to Carney's ladder of analytical abstraction (Carney, 1990). As illustrated in Figure 4.8, all higher level codes have been repackaged based on their relativity and similarities, which produced four new codes: 'not verbally announced or formally documented', 'the BSP was made purely based on discussion', 'the BSP has been/will be put into a document' and 'did not require documenting the BSP'. These will be further discussed in Chapter 5.

Figure 4.8 - Repackaging the Data: Formalisation of a Business Succession Plan
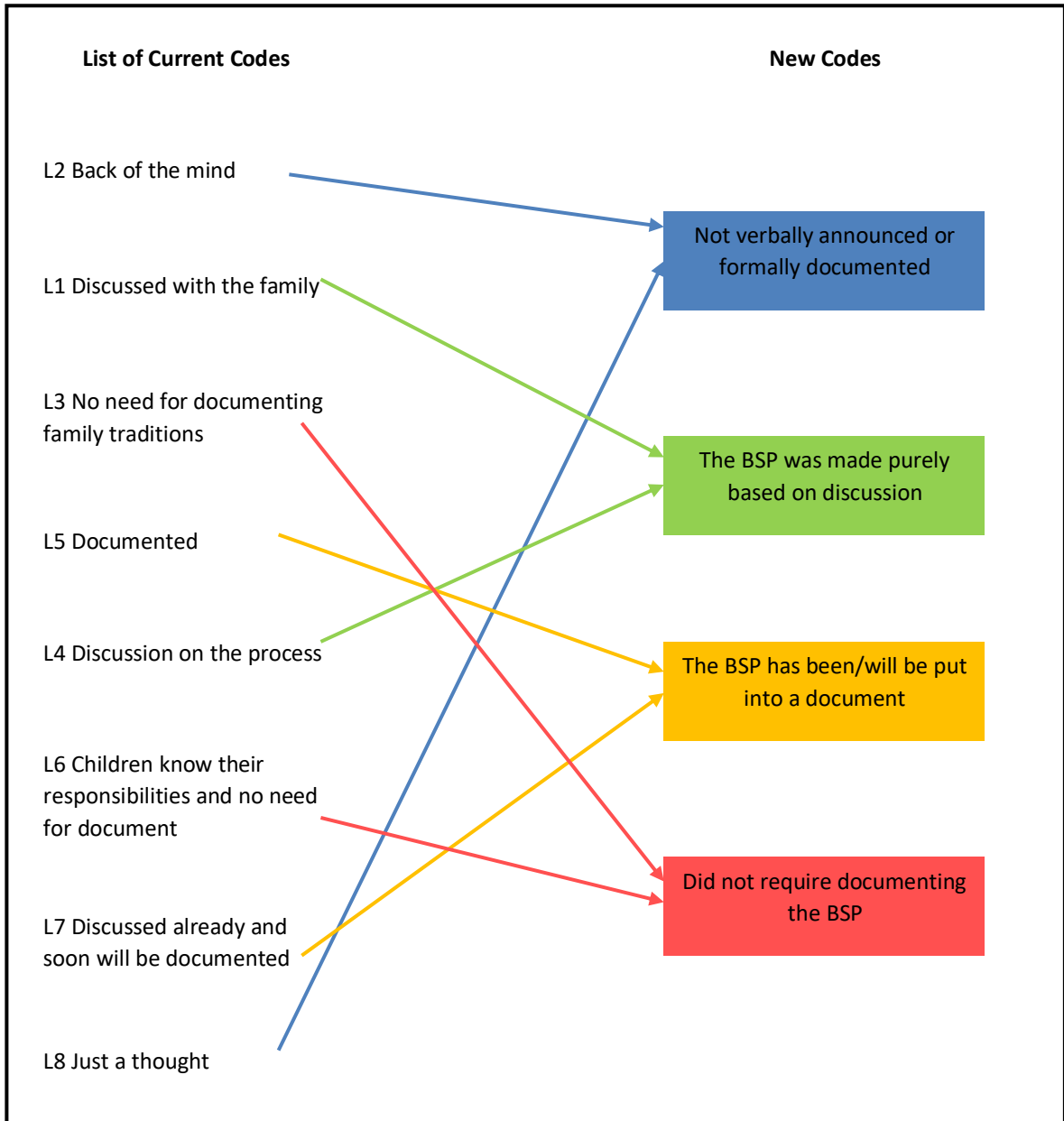
4.3.2.1.6 Achieving the Business Succession Plan

Crittenden et al. (2015) previously considered when family BSPs had the greatest advantage, but there is no literature supporting the right time to execute a BSP in family businesses. Having affirmed the form in which the BSP was held by those who had a BSP (Section 4.3.2.1.5), it was essential to find out when these respondents looked forward to executing their BSP. Therefore the concluding question in this profile was: "Approximately when are you looking forward to put your succession plan into practice?" and was asked from those who had a BSP. Table 4.25 details the results.

Table 4.25 – The Time to Fulfil a BSP

Open Code No.	When to put the BSP into Practice	No. of Respondents	Ethnicity						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
M1	Upon completion of son's education and when he is ready to take over the business	30	15	10	3	2	-	-	13	17	76.92%
M2	Upon completion of daughter's education	2	-	-	2	-	-	-	-	2	5.13%
M3	When we are old and not capable of doing business anymore	2	1	-	-	-	-	1	1	1	5.13%
M4	Not decided because child is too young	2	-	-	-	-	2	-	1	1	5.13%
M5	When the time is right	1	-	-	1	-	-	-	-	1	2.56%
M6	Before the end of 2016	1	1	-	-	-	-	-	1		2.56%
M7	Already put into practice	1	-	-	1	-	-	-	-	1	2.56%
	Total	**39**	**17**	**10**	**7**	**2**	**2**	**1**	**16**	**23**	**100%**

Table 4.25 details that thirty respondents (76.92%) mentioned that they looked forward to putting their BSP into practice upon completion of a son's education and when their son was ready to take over the business. A few example responses based on the different ethnicity of the participants are given below.

Of the fifteen Chinese respondents who were planning to execute their BSP on the son's completion of his education and when the son was ready to take over the business, R5, age 45-54, owner of a convenience store mentioned:

> *"Once my son is ready for it. That'll be after he has completed his studies and when he is ready to move on his own".* = Open Code No. M1

R6, age 35-44, also owner of a convenience store said:

> *"After my sons have finished their studies and when they are ready to take over".* = Open Code No. M1

R21, age 45-54, owner of a Chinese restaurant, said:

> *"I want my son to finish his studies first, I want him to graduate from UC and may be after that".* = Open Code No. M1

R22, a female respondent, age 35-44, owner of a Chinese restaurant said;

> *"One day after my son finish with his studies".* = Open Code No. M1

Similarly, among the ten Indian respondents who were planning to execute the BSP on son's completion of his education and when their son was ready for it, R13, age 35-44, operating a convenience store said:

> *"When my son is ready to take it….".* = Open Code No. M1

R14, age 35-44, owner of a convenience store mentioned:

> *"My son is too young now and he needs to finish his studies. After he completes his studies and when he is ready to come into the business fulltime I will hand it over to him".* = Open Code No. M1

R34, a Indian restaurant owner age 35-44, stated:

> *"One day when my son is ready to take over".* = Open Code No. M1

Among the three Thai respondents who waited for their sons to finish their education to hand over the business, R37, a female respondent age 45-54 said:

> *"May be after our sons graduate from university".* = Open Code No. M1

R38, age 45-54, mentioned:

> *"We want our son to finish his studies first and may be after that".* = Open Code No. M1

R40, age 55-64 said:

> *"Soon after my son graduates this year".* = Open Code No. M1

Lastly, the two Vietnamese respondents shared their views on this as follows.

R45,; age 35-44, owner of a Vietnamese restaurant said:

> *"If the plan goes well, maybe once my son completes his studies".*
> = Open Code No. M1

R46. age 35-44, and also an owner of a Vietnamese restaurant stated:

> *"May be once our son completes his studies and if he is ready to*
> *take over".* = Open Code No. M1

Given the responses above, it can be assumed that all thirty respondents in this category, irrespective of their different ethnic backgrounds, thought alike and were very certain about the time frame for executing their BSP. However, though the majority of them shared similar views about when they planned to execute their BSP, there is a possible question for future research: "Is this unique among Asian family-business owners in a developed country or is it common among all family-business owners?".

Two respondents (5.13%) mentioned that they looked forward to putting their BSP into action on completion of their daughter's higher studies. Two other respondents (5.13%) disclosed that they looked forward to putting their BSP into practice when they were old and were not capable of doing business any more. Another two (5.13%) mentioned that they were not certain about when they wanted to put their BSP into practice because their children were still too young. For example:

R1 stated:

> *"It has a very long way to go. My son is only 1½ yet".* = Open
> Code No. M4

R36 stated:

> *"When the time is right".* = Open Code No. M5

In addition to answering the question, R36 also revealed that he was ready to execute his BSP only on reaching retirement and upon completion of his son's education:

> *"I am still strong to run this business and I don't plan to retire*
> *anytime soon. I want my son to be well educated before handing*
> *this over to him. After that I can retire peacefully".* = Open Code
> No. M1

R43 mentioned that he was looking forward to execute his plan by the end of 2016:

> *"Before the end of this year because now it's time for me and my*
> *wife to start relaxing".* = Open Code No. M6

Of the thirty-nine respondents who had a BSP, only one respondent (R12) had already implemented his succession plan. This respondent, aged 55-64, was the founder and owner of the business; his son was currently pursuing his higher education in the business field and simultaneously was involved in the business. To fulfil his responsibilities as a father and follow his Chinese cultural practices and traditions, R12 had already formally handed the business to his son. Therefore, it is a fair assumption that the son was hoping to take over the business.

4.3.2.1.7 Section Summary

Given the key focus of this study, understanding BSP in ethnic family-owned businesses in New Zealand, the results presented and analysed in this section comprised six sub-sections namely: 4.3.2.1.1 – Impact of Ethnic Background on BSP; 4.3.2.1.2 – Does Location Impact the BSP Decision; 4.3.2.1.3 – The Decision behind BSP; 4.3.2.1.4 – Heirs' Interest in Business; 4.3.2.1.5 – Formalization of the BSP; and 4.3.2.1.6 – Achieving the BSP.

The results revealed that ethnicity and ethnicity-related aspects such as culture, traditions, best-practice, respondent's perceptions, beliefs, played a vital role in the day-to-day lives of the participants and this was well acknowledged by them. Consequently, this was evident in the responses they provided during the interviews, where thirty-eight (97%) of them said that their respective ethnic background influenced their decision to plan for business succession. This influence mostly took place in terms of following ethnically infused family trends and communal practices where the sustainability of the family business depended on passing it down from one generation to the next.

Although thirty-five (90%) of those who had a BSP were certain that their current country of residence, New Zealand, did not affect their decision to plan for business succession from within their ethnic background, participation observation revealed otherwise. In spite of these respondents speaking their native language, eating their authentic food and associating with others of the same ethnicity, they did not necessarily divulge that they were 100% engrossed in their ethnic background through all their behaviour. Among the various reasons given by the respondents for having a BSP were six reasons that could potentially be linked to the ethnicity. These were: (1) to preserve family reputation; (2) to

keep the business going even after the respondents had died; (3) to continue with dad's efforts; (4) to fulfil family responsibilities; (5) to follow culture and tradition; and (6) to follow a community practice.

A unique feature among twenty (51%) of those who had a BSP was their certainty and strong belief that their off-springs' interest in the business at present (even as children) was definitely going to result in them taking over the family business when the time was right, upon completing their studies and/or upon the retirement of the respondents. Only one respondent (2%) had their BSP formally documented; all others who had a BSP held it in different casual forms: discussed and kept within the family; held it back in mind; discussions were still in progress within the family; did not see the need for documenting family traditions; or was looking forward to documenting soon.

Accordingly, the results reported in this section make it clear that, irrespective of the different ethnicities in the study sample (Chinese, Indian, Thai, Vietnamese, Korean and Japanese), they were all from Asia and their thinking patterns and behaviours were somewhat alike. Although these respondents were second generation migrants, the collectivism they demonstrated in their day-to-day activities and their perception on being 'family-first' clearly showed that they were ethnically bounded. The up-bringing and nurturing of these respondents by their families had moulded them to what they were at present. Being in a foreign country, surrounded by a different culture and ambience, had affected them on different levels, but they kept tied to their roots.

Having analysed the responses gathered from the thirty-nine respondents who had a BSP resulted in one question for future research: "Is this unique to Asian family business owners in developed countries or is this common to all family-owned businesses worldwide?".

Section 4.3.2.2 details the results and analysis pertaining to the twelve respondents who had not planned for the family business succession.

4.3.2.2 Businesses without a Business Succession Plan

Twelve respondents (23.5%) did not have a BSP; Table 4.26 details the ethnicities and business type of those participants.

Table 4.26 –Details of the Respondents without a Business Succession Plan

Ethnicity	Age Category of Respondents					Type of Business		Number of Respondents	% of the Respondents
	25-34	35-44	45-54	55-64	65 n above	Convenience Store	Restaurant		
Chinese	-	6	1			3	4	7	58%
Indian	-	-	-	-	-	-	-	-	0%
Thai	-	-	-	-	-	-	-	-	0%
Vietnamese	-	-	1	-	-	-	1	1	8%
Korean	1	-	2	-	-	1	2	3	26%
Japanese	-	1	-	-	-	-	1	1	8%
Total	1	7	4	-	-	4	8	**12**	**100%**

As detailed in Table 4.26, of the twelve respondents who had no BSP, seven were Chinese, one was Vietnamese, three were Korean and one was Japanese; they mostly had restaurants. A few examples of their responses are given below.

R28, a Chinese respondent, age 35-44, who had now taken over the restaurant founded by his father many years ago, when asked if he had a BSP, stated;

> *"No I haven't thought about it as yet"*

R27, another Chinese respondent age 35-44, who had also taken over his father's restaurant upon retirement stated:

> *"Not exactly, I focus more on the present and not on the unseen future".*

Similarly, R19, a Korean respondent age 25-34, currently partnering in the family business, a convenience store, along with his father and brother stated:

> *"Right now we are doing this and we have no need to think about retirement or the future of the business".*

After analysing the responses from the twelve respondents who had no BSP, it is worth noting that their core reason for not having a succession plan was mainly because these respondents did not feel the need to do so; they were too occupied with their current involvement in the business.

However, most literature (Miller et al., 2006; Long and Chrisman, 2014; Botero et al., 2015;) related to continuity/succession of family businesses focussed greatly on the succession process and/or the governance structures in the family firm and not on respondents' need to have/not have a BSP. Therefore, results here add new knowledge to this research area and open an avenue for future research.

There were some respondents who had not given any thought to a BSP, but made the interview a starting point to think about it. For example:

R49 stated:

> *"We actually haven't decided on it may be we should start thinking about I now".*

As explained in Section 4.3.2, a significant finding here is that although some respondents were familiar with the term 'business succession planning', some were not; respondents of the same ethnicity had different levels of understanding about BSP. Hence, a brief explanation of BSP was given to those respondents. For example, R24, Chinese respondent, age 35-44, with a Master of Landscape Architecture, running a restaurant founded and formerly operated by his father said:

> *"What exactly is business succession?"*

R33, a young Indian, age 25-34, with a certificate/diploma level qualification in business administration, who had inherited the restaurant which was founded, owned and formerly operated by his father mentioned:

> *"Can you explain more please?",* as he was unfamiliar with the term BSP.

R42, a female Thai respondent, age 45-54, with a certificate/diploma level qualification in business, currently in-charge of her father's restaurant business said:

> *"What is business success plan?"* which this was due to her lack of English proficiency she did not understand much business related vocabulary.

Conversely, some respondents who already had a BSP were unfamiliar with the term 'business succession planning'. For example:

R1, a Chinese respondent, age 35-44, with a certificate/diploma level qualification in business, who had inherited his father's convenience store said:

> "Are you asking me if I plan to hand over the business to my child?"

R37, a female Thai respondent, age 45-54, with a certificate/diploma level qualification in business, currently in-charge of her father's restaurant business, said:

> "We already make plan about retirement and what we want to do with this business".

These responses make it clear that at least five respondents of the sample of fifty-one had trouble in acknowledging and comprehending the essence of a BSP. The responses gathered from the participants also disclosed that the ethnicity element did not influence their decision not to have a BSP, rather it was their negligence, not having the need of a BSP or because they were too occupied with their business.

The literature related to this study does not discuss this situation of FOBs having/not having succession plans; hence these results add new knowledge to this research field. The significance of the content described above will be discussed in Chapter 5.

4.3.2.2.1 Reasons for not having a Business Succession Plan

This question was inspired by Clifford and OOEC (2008) that reported reasons business owners did not have a succession plan for their business. The intention was to understand the reasons why respondents did not have a succession plan for their business. This directly links to the research question of the study: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand, and if so, how does it affect?'*. Table 4.27 details the findings.

Twelve (24%) participants did not have a BSP. Table 4.27 presents the reasons for this; five (42%) had not thought about having a succession plan for their business. These responses are given below.

Table 4.27 – Reasons for not having a Business Succession Plan

Open Code No.	Reasons for not having a BSP	No. of Respondents	Ethnicities						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Store	Restaurant	
N1	Not given a thought as yet	5	2	-	-	1	1	1	2	3	42%
N2	Unsure about child's future ambition and interests	3	2	-	-	-	1	-	1	2	25%
N3	Still too early to think about retirement	2	2	-	-	-	-	-	-	2	17%
N4	Too busy to think	1	1	-	-	-	-	-	1	-	8%
N5	Focused more on the present	1	-	-	-	-	1	-	-	1	8%
	Total	**12**	**7**	**-**	**-**	**1**	**3**	**1**	**4**	**8**	**100%**

R3, a Chinese respondent, age 35-44, in a convenience store business said:

"Never thought about it......". = Open Code No. N1

R25, a Chinese respondent, age 45-54, owner of a restaurant said:

"Never thought about it because I have been too busy working". =
Open Code No. N4

R44, a Vietnamese respondent, age 45-54, owner of a Vietnamese restaurant said:

"I haven't thought of it as yet". = Open Code No. N1

R47, a Korean respondent, age 45-54, owner of a Korean restaurant said:

"Never thought about it because I am too busy". = Open Code No.
N4

R51, a Japanese respondent, age 35-44, running a Japanese restaurant stated:

*"I have been too busy with work and my kids are still too young so
I haven't given it a thought". =* Open Code No. N4

On the other hand, three (25%) respondents had no BSP because they were unsure about their child's future ambition and interests. Their responses are given below.

R3, a Chinese respondent, age 35-44, in a convenience store business, who had not given a thought to the family business succession, detailed his response as follows:

> *"……In my case I wanted to continue with my dad's business and I had to because he fell sick and stuff. But in my son's case, I don't know if he'll want to do this or if he will want to become a doctor or pilot or something like that. It all depends what he wants to do once he grows up".* = Open Code No. N2

R30, the other Chinese respondent, age 35-44, running the restaurant he had inherited from his father shared a rather practical view:

> *"My dad wants my son to take over the business one day but my problem is that I don't know if my son will have an interest on this. He is still too young for us to make a decision and I also feel wrong if I have to force him into this. Dad has many hopes that his efforts will continue with pride and I don't want to explain this to him. They come from a different generation and their way of thinking and looking at things can be very different, more culture oriented".* = Open Code No. N2

It seemed that R30 was rather uncertain about his son's future interests and did not feel it right to force him into taking over the business if he was not keen to do so.

R47, the Korean respondent, age 45-54, and owner of a Korean restaurant who mentioned that he was too busy therefore had not given a thought about family business succession also detailed that this was because the children were still too young and they were uncertain what their future held before them:

> *"My children are still too young and we don't know what they would want to do when they grow up".* = Open Code No. N2

Two (17%) Chinese respondents in the restaurant business were clearly not prepared to think about retirement as yet.

R27 mentioned:

> *"I believe in the present. I want to make sure I keep up to my*
> *responsibilities during my time and focus on what has to be done".*
> = Open Code No. N3

R28 mentioned:

> *"….I am still strong to work and I don't think I will retire soon…"*
> = Open Code No. N3

The responses given above reveal that the dominant reason for not having a BSP was because these respondents had not yet thought of it, either because they were too occupied running the business and/or because their children were too young for these respondents to think about it. Most importantly, it was understood that not having a BSP for these twelve respondents was not influenced by any ethnicity-related reason; it was because of various other choice- and circumstance-related reasons.

The extensive literature related to this topic does not discuss the situation of FOBs not having a succession plan; the information here adds new knowledge to this research field.

4.3.2.2.2 Acknowledging Potential Risks (if any) of not having a Business Succession Plan

The literature surrounding BSP does not specifically speak of any risks associated with not having a BSP, although the literature supports BSP as best practice (Whatley, 2011; Lussier and Sonfield, 2012;). The question asked was: "In the case of your business, do you see any potential risks concerning the business in not having a succession plan? If YES, please explain. If NO, please explain", which will help add knowledge specific to ethnic groups' approach to not having a BSP and the associated reasons for this situation. The findings are presented in Table 4.28.

Five respondents (42%) mentioned that they did not see any risk coming their way in not having a succession plan; three (25%) acknowledged that there was some risk involved. Two respondents (17%) mentioned that there were no risks or downfalls at present but they were uncertain about the future. For example,

Table 4.28 – The Potential Risks of not having a BSP

Open Code No.	Potential Risks of not having a BSP	No. of Respondents	Ethnicities						Type of Business		% of Respondents
			Chinese	Indian	Thai	Vietnamese	Korean	Japanese	Convenience Stores	Restaurants	
O1	No risks	5	3	-	-	1	1	-	2	3	41%
O2	No risks at the moment but unsure about the future	3	1	-	-	-	1	1	1	2	25%
O3	See potential risks coming their way	2	1	-	-	-	1	-	1	1	17%
O4	Waiting for something good to happen for the business in the long-run	2	2	-	-	-	-	-	-	2	17%
	Total	**12**	**7**	**-**	**-**	**1**	**3**	**1**	**4**	**8**	**100%**

R44 stated:

> *"At the moment the business is doing well and I am too busy working on it that I don't see any risks coming. But as you say, there could be a risk in the future for which I need to prepare. In that case if none of my children wants to continue with this business, I might look at selling it off to someone at a good price".=* Open Code No. O2

Two respondents (17%) believed that something good would happen to their business in the long run, therefore they were little concerned about any potential risks. For example:

R27 stated:

> *"I believe that what's best for the business will happen to it with time. I just only have to work for it". =* Open Code No. O4

R7 stated:

> *"I hope that something good will happen in the future". =* Open Code No. O4

Both these respondents were Chinese and one could assume that Chinese FOB operators without a BSP relied on unseen beliefs and therefore failed to foresee any potential risks that might come their way.

Again, the literature on BSP in FOBs does not discuss any potential risks foreseen by participants who did not have a BSP, therefore the results of this question add new knowledge to this research field.

4.3.2.2.3 Section Summary

This section presented the results relevant to twelve respondents who had no BSP. Section 4.3.2.2.1 elaborated the reasons for not having a plan and Section 4.3.2.2.2 analysed the results about acknowledging the potential risk of not planning for family business succession.

The analysis disclosed that not having a BSP was not because of ethnic reasons but was because of the respondents' personal choices, busy life style and/or their negligence. Five of those who had no BSP did not foresee and/or were oblivious of any risks in not having a BSP. They seemed to be content about how things were currently running and did not seem to worry about the future.

4.4 Chapter Summary

This section summarizes the results discussed under the three profiles: 'General Profile', 'Ethnic Family Business Succession Planning Profile' and 'Business Succession Planning Profile' and attempts to connect these findings and the various models used in business succession planning as discussed and illustrated in Chapter 2. The gist of the results discussed above suggests that 'ethnicity' was imperative when it came to planning for business succession in ethnic family-owned businesses.

In spite of ethnicity being an individual element, it certainly contributed to culture as individuals of the same or diverse ethnicities interacted as families, communities and societies. In reality, the 'family' with its own relational dynamics acted as the receptacle that created the culture and thereby served as the 'mediating locale' for the business experience. Culture as an element of ethnicity, is more complex and is a result of interpersonal interactions (Danes et al., 2008). Ethnicity is clearly more of common beliefs, values and various practices based on common ancestry, nationality and immigration experiences (Hills et al., 2005, p.23).

Chapter 2 illustrates and elaborates the various models used in business succession planning; the homosocial model and the new-leader development model, and the integrated, dialectic, knowledge accumulation model for FOB succession (Whatley, 2011),

the preliminary model for successful FOB succession and the integrative model of effective FOB succession (Le Breton-Miller et al., 2004); FOB knowledge accumulation model (Chirico and Salvato, 2008) and the eclectic framework for FOB succession (Saxena, 2013).

The integrative model of effective FOB succession developed by Le Breton-Miller et al. (2004) and the eclectic framework developed by Saxena (2013) seem to be relevant to the results in this chapter because these two models concentrated on the sociocultural element when planning effective FOB succession.

The integrative model of effective FOB succession developed by Le Breton-Miller et al. (2004) was an improvement of their first model, the preliminary model for successful FOB succession. The integrative model incorporated a list of unexplored variables that impacted on the success of FOB succession (Chapter 2 - Table 2.2). Here, Le Breton-Miller et al. (2004) not only looked at the family context (for example, adaptability, family meetings, family dynamics, shared values) but also at the sociocultural context (for example, culture, social norms, ethics, religion, laws) which impacted on BSP in FOBs. Nevertheless, there was an element that supported 'ethnicity'. Additionally, this model was the first attempt to integrate social and industry related factors and their influence on the family and the FOB.

Similarly, the eclectic framework for effective FOB succession developed by Saxena (2013) focused on the emergence and continuation of business groups in a wider context of the historical, economic, political and sociological circumstances of their respective settings. Most importantly, this model considers Hofstede's (2004, 2007) findings on beliefs, attitudes, motives and values and looks at how they impact on the decision to plan for business succession in ethnic FOBs.

The results reveal that the participants tend to produce a static comprehension of their respective ethnic backgrounds, for example, all family members are assigned to restore ethnic identity and the relations between family members; the importance of passing the family business from one generation to another; maintaining family pride and family reputation; fulfilling family responsibilities; not wanting to work under supervision.

Although the participants spoke highly in favour of being framed by their respective ethnic background, participation observation showed that they were unconsciously driven and/or taken-up by the Kiwi culture in certain ways. This is considered as inevitable since 96% of the participants were second generation migrants; they had migrated to New Zealand

during their childhood with their parents/families, mostly during the late 1970s and the early 1980s. Thus, they had adapted and blended well to the culture and background of the migrant country.

In concluding Chapter 4, Chapter 5 is dedicated to producing conclusions of the study and discussing the limitations and various constraints faced during this study.

CHAPTER 5

DISCUSSION & CONCLUSIONS

5.1 Introduction

The final chapter of this thesis interprets and discusses the findings in detail, compares the findings with the literature (similarities and/or dissimilarities), the limitations of the study, future research, theoretical contributions and managerial implications, and finally draws conclusions about the entire study.

Chapter 2 illustrated and explained the five different models of BSP in FOBs, namely the *'Preliminary model for Successful FOB Succession'* (Figure 2.2) and the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller, Miller and Steier (2004); the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008); the *'Integrated Dialectic Knowledge Accumulation Model for FOB Succession'* (Figure 2.5) developed by Whatley (2011), and the *'Eclectic Framework for FOB Succession'* (Figure 2.6) developed by Saxena (2013). However, none of these models accommodates and examines the impact of 'ethnicity' on BSP in FOBs. This study proposes a new model for BSP in migrant FOBs (based on the responses received by the research participants); the *'Ethnified Model for Family Business Succession'* (Figure 5.1), which emphasizes how 'ethnicity' impacts the decision for BSP concerning migrant FOBs.

In addition to the development of a new BSP model, this study contributes to the knowledge base of BSP in FOBs via the methodological approach it took. This study adds considerable new knowledge regarding migrant FOBs in New Zealand in the convenience store and restaurant sectors.

5.2 Discussion of the Findings

Discussion of the overall findings of this study is in two sections; section 5.2.1 is dedicated to the general findings and section 5.2.2 discusses the findings that directly address the study.

5.2.1 Discussion of the General Findings

In tunnelling-down to address the research question of this study, it is important that the reader understands the background to the study. Therefore the following helps to set up the background of this study.

This study is unique because it is the first study of its type in New Zealand, but it acknowledges similar international research. Research specialist in small business and ethnic minority entrepreneurship, Professor Monder Ram, University of Birmingham, has undertaken significant research on ethnic minority family businesses in the UK where he has stereotyped the traditional view of ethnic minority businesses in the UK as 'taxis and curry houses', owned and operated in the UK mostly by Indians (Ram et al., 2012). Also in the UK, Dr Rebecca Fakoussa, University of Northampton, has undertaken research on immigrant ethnic family businesses and/or ethnic minority entrepreneurship among migrant Pakistanis'. She offers a unique insight into the business culture and personal culture of Pakistani immigrant FOBs in the UK. Knight (2015) in his study of migrant entrepreneurship reported on Polish migrants in the UK. He finds that the main reason for ethnic migrants to get involved in ethnic economy employment was because of their lack of interest in acquiring English skills.

Outside the UK, Labrianidis and Hatziprokopiou (2010) reported on Chinese, Nigerian, Albanian and former USSR migrants in Greece. They find that the entrepreneurship of migrants was embedded within the dynamics of immigrants' integration and the broader factors on which it depended, which resulted in calling for a realistic, coherent, inclusive and long-span migratory policy. Chiang and Hsu (2005) report the location decisions and residential preferences of Taiwanese migrants in Australia where they find that Taiwanese immigrants were fundamentally different from early Chinese settlers who aimed to settle in Chinatown locations.

Liebermann, Suter and Rutshauser (2013) reported on migrants from central Europe in Switzerland. They investigated whether immigrant self-employment was related more to segregation in the labour market than work as an employee or, conversely, it reflected equality in self-employment by the Swiss. Khosa and Kalitanyi (2015) reported on African migrants in Cape Town, South Africa. Their study revealed that immigrant entrepreneurs migrated to South Africa and got engaged in necessity entrepreneurship to survive in the host country and to confront discrimination in the labour market, which meant immigrant entrepreneurs in Cape Town were pushed rather than pulled towards entrepreneurship.

From this brief summary above, scholarly research has been undertaken on immigrant businesses and/or ethnic minority entrepreneurship in different countries, yet research to

date has emphasised BSP in ethnic FOBs, making it the key reason determining the significance for undertaking this study.

In the New Zealand context, Dr Hubert de Vries, University of Canterbury, who is a research specialist in diversity in entrepreneurship within the start-up and SME sector, has studied areas such as antecedents of ethnic minority entrepreneurship, the impact of engagement and beliefs of immigrant ethnic minority entrepreneurship, the changing faces of ethnic minority entrepreneurship, concerning Indian and Chinese immigrant entrepreneurs in New Zealand.

However, the unique factor of this study and the added knowledge to the literature is on how the various ethnicities of ethnic migrants affect and influence BSPs in small and medium scale ethnic family-owned convenience stores and restaurants in New Zealand.

The aims of this study

Aims of this research were to understand:

1. The desire for BSP versus how it was perceived by ethnic migrants.

2. The succession planning process in ethnic migrant FOBs operating in New Zealand.

3. The influences of ethnicity on BSP with regard to the succession process, family context, industry context, and social context, hence filing a noticeable gap.

Accordingly, the research question for this study; *'Does ethnicity affect BSP in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand, and, if so, how ethnicity affects BSP in ethnic family-owned convenient stores and restaurants in Christchurch New Zealand?'*.

Why select convenience stores and restaurants?

Having explained the importance for undertaking this study, it is also worth explaining the reasons for the selection of convenience stores and restaurants. Perry (2002) reports that when ethnic migrants choose to start a business in a foreign country, it is normally on a smaller scale and commonly in the retail or service sectors. As cited by Largent (2012) and Nestle (2011), ethnic migrants are most likely to start small and medium scale retail enterprises in urban areas that provide co-ethnic groups of those countries with either goods, services or resources. Adding to this, Piperopoulos (2010) explains that immigrant

business owners generally do not introduce new products or services to the market to make a profit, rather the aim was to serve, for example, catering Indian food to the co-ethnic population. Nevertheless, ethnic business owners were 'sojourners'; they were people who worked hard, saved money, spent cautiously, lived parsimoniously and enjoyed privileged access to partial and least funding from family and other community organisations (Barrett, Jones and McEvoy, 1996).

In the New Zealand context, Spoonley (2012), Crawford (2016) and Alves (2017) report that 'convenience stores', also known as 'corner shops' or 'dairies', have enabled many migrants to enter the workforce in New Zealand; most of these businesses had become inter-generational, with children taking over from their parents when they grew up. Chinese and Indians, among the largest migrant groups in New Zealand (Spoonley, 2012?), are specifically involved in small businesses with a high level of self-employment in areas such as retail and food. The Inland Revenue Department (IRD) (2014) reports that the three most common industries that migrant businesses belong to are the retail trade, accommodation and food services, and rental, hiring and real estate services. Preliminary investigation and a background study undertaken before carrying-out this study showed that the retail trade and food services were popular among migrants in New Zealand. Therefore this study is on small and medium scale family-owned convenience stores and restaurants owned and operated by migrants in New Zealand.

Sample overview

This study included small and medium ethnic family-owned convenience stores and restaurants located within a five kilometre radius around Christchurch city centre. Arguably, the preliminary observations and background investigation undertaken before selecting a group for this study revealed that there were a number of convenience stores and restaurants within a five kilometre radius of Christchurch city centre that were owned and operated by Filipino, German, Italian, American, Polish and Brazilian nationalities. However, it transpired that businesses operated by Filipinos, Germans, Italians, Americans, Poles and Brazilians did not comply with the criterion of FOBs as part of our study group so were discounted. The ethnic groups that did fulfil the criterion of small and medium scale ethnic family-owned convenience stores and restaurants comprised six Asian ethnicities namely, Chinese, Indian, Thai, Vietnamese, Korean and Japanese.

The participant group comprised was fifty-one from twenty ethnic family-owned convenience stores and thirty-one ethnic family-owned restaurants operating within a five

kilometre radius around Christchurch city centre, New Zealand. The sample was a combination of twenty-four Chinese, ten Indian, seven Thai, five Korean, three Vietnamese and two Japanese enterprises. As identified in the findings, a large proportion (49%) of the sample were middle aged (ages 35-44), tertiary qualified, second generation mostly male owners, who mostly believe that their ethnic background including culture, tradition, beliefs, religion, rituals, impact on their business practices including their decision to plan for business succession.

In considering the literature that has included Asians but not necessarily FOBs, Basu et al. (2002) report on ethnic immigrant businesses in London. Their sample included East African Asians, Pakistani, Bangladeshi, Turkish Cypriot and Turkish. Piperopoulos's (2010) study of ethnic minority entrepreneurship and ethnic immigrant businesses in Greece included Albanians, Armenians, Bulgarians, Georgians, Russians, Nigerians, Chinese and Indians in their sample. Vries (2010), Emerson et al. (2011), Spoonley (2012), IRD (2014) and Alves (2017) reported on Indian and Chinese immigrant entrepreneurs in New Zealand. It is evident that previous research on ethnic minority entrepreneurship and immigrant businesses involved Chinese and Indian migrants; Thai, Vietnamese, Korean and Japanese ethnic migrants have received less attention. Therefore, using a sample of Asian research participants was not by design, it was a result of this ethnic base appearing to have a different approach to FOBs.

Having identified the six different ethnicities for the study sample, it is worth noting that this study is generic in terms of the respective the *'ethnic backgrounds'* of the research participants. For example, as explained in Chapter 4, Table 4.3 exhibits the composition of the Chinese respondents in the sample. They comprise seven sub-ethnicities namely: Han, Hong Kong Chinese, Zhuang, Manchu, Hui, Tibetan Chinese and Taiwanese Chinese. Yet this study considers all these sub-ethnic groups as Chinese respondents. The same applied to the Indian participants in the sample (Table 4.4). The Indian research participants included Sikh, Punjabi Hindu, Kerala Malayali and Brahmin, yet all were considered Indian. All other research participants identified themselves as Thai, Korean, Vietnamese and Japanese. Hence, this is a generic view.

The rationale for the study

Before discussing the overall findings, it is also noteworthy to mention that the findings of this study are based purely on data gathered from the study's research participants; it does not include views and/or opinions of other possible stakeholders of the FOBs (for example,

financial advisors, accountants, lawyers). Therefore, the rationale for this study is based solely on the involvement of family members in the business.

The introduction above aims to provide the reader with a comprehensive understanding of the background to this study, including the significance of the study, its aims and a detailed overview of the sample. The next section shares the background of the participants and why they migrated to New Zealand. This is important because it influences overall views on BSP in FOBs.

Similar cultures; similar types of businesses

Basu et al. (2002), Piperopoulos (2010), Vries (2010) and Emerson et al. (2011) have previously indicated that ethnic migrants are well known to succeed in the retail trade and accommodation and food services sectors in migrant countries. The study sample that formed the study group were all Asian and, with regard to Asian cultures in general, they are collectivistic. Hence Asian families are inter-dependent and malleable by nature (Bennett, Wolin and McAvity, 1988; Cole, 1994; Edirisingha, Ferguson and Aitken 2015). Therefore the study participants could have been assumed to, and did, display features of collectivism and shared similar views and opinions on business practices as well as family practices. This notion is supported by Spoonley (2012), Inland Revenue Department (2014) and Alves (2017); a large number of Chinese and Indian migrants arriving in New Zealand are self-employed in the retail trade and/or in the food services sector.

The preliminary observations and a study of the background of convenience stores and restaurants in Christchurch showed that these two types of business were mostly owned and operated by ethnic migrants. However, as explained earlier, although such migrant groups included Filipino, German, Italian, American, Polish and Brazilians in addition to the six Asian ethnic groups in the study sample, the convenience stores and restaurants owned and operated by Filipino, German, Italian, American, Polish and Brazilians were discounted becsause they did not meet the criterion of being small and medium scale ethnic family-owned businesses. It is interesting to note that there were no Thai respondents operating convenience stores; all seven Thai respondents operated restaurants with the Thai respondents stating that they were always good at this type of business; for example

R38 mentioned:

> *".....Thai people are always good in the restaurant business because this one of the most popular businesses in Thailand".*

This comment is supported by Basu et al. (2002), Vries (2010) and Emerson et al. (2011) who say that people from the same ethnicities were good at doing what they did.

Eleven Chinese research participants; eight from convenience stores and four from restaurants, agreed that the Chinese started and/or owned similar types of business because they were good at what they did. For example R8 mentioned:

> *"People in our community are generally good in doing business. Doing business is what we do best"*, and

R1 said:

> *"Chinese have always been great businessmen throughout history……"*.

In addition to what is reported in the literature, other significant reasons found in this study that triggered people from the same ethnicity to engage in similar types of business include: *"the need for being entrepreneurial and passionate about doing business"; "the need for having their own business and being their own boss";* and *"the need for following community trends"* (when everyone else in a community who migrated started to replicate the business done by others in the same community).

In the discussions with the study's participants, together with participation observation, it was evident that the reasons mentioned above that had stimulated participants of similar ethnic backgrounds to engage in similar types of business are based on the influence their respective culture, traditions and beliefs had upon them. Thus there is a direct linkage with ethnicity. For example R2 mentioned:

> *"Chinese are known for their business skills, I'm sure you have heard about it as well. Besides that having your business is somewhat a pride and brings more value to our status-quo, especially family business. Living in another country away from home, and having your own business is a big achievement"* and

R36 said:

> *"Brahmins will never want to work for anyone because we are the highest in the Indian society and because of this they will always have their own business".*

Interestingly, previous studies on Asian and/or non-Asian migrant businesses in general, and not necessarily on FOBs, by Ram and Jones (1998), Reva and Coverley (1999), Ram

et al. (2000, 2001, 2012), Ram and Smallbone (2003), Levie (2007), Whyman and Petrescu (2014), Collins and Fakoussa (2015), Anwar and Daniel (2016) and Mendy (2018) did not specifically speak about why similar types of ethnicity engaged in similar types of businesses from an ethnicity point of view. Also, those studies were undertaken in the UK; there has been little or no similar research undertaken in the New Zealand context. Hence this study adds new knowledge to this research area.

The next section discusses reasons that persuaded these ethnic migrants and their families to move across the world and settle in New Zealand.

Migrating to New Zealand

Zaidman (2010) reports that migrants are the victims of society's problems and are subject to racist attacks and, as a result, flee their home countries in search of better lives; some of the stories of the study participants were compatible with this notion. For example:

R5 mentioned:

> *"I was 12 when I came to New Zealand with my parents. That was somewhere in 88 or 89 if I'm not mistaken. My parents probably decided to migrate because they wanted settle down here. They also wanted to educate me well. Life in China was getting difficult with financial problems, housing problems; I think it's worse now. New Zealand when compared to China is so much quiet and peaceful and clean. And I think it's a great place to raise a family",* and

R10 mentioned:

> *"We came to New Zealand in 1980. We are from the Sichuan area. During that time China was having many political problems and economy problems. Many people in our area and community were migrating at that time. This is why my family also decided to migrate. Many from our community were moving here at that time and everyone believed that New Zealand was a peaceful country to live in. Also the various messages sent to relatives and friends from those who had migrated were positive and this made the others motivated to do so as well".*

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Migrating to New Zealand with the intention of having an improved life was mainly because the home countries (of the study participants) posed chaotic and disturbing situations on their daily lives such as, housing problems, political issues, unstable economies, civil issues and environmental pollution. R31 mentioned:

> *"We are from Northern China although we are Taiwanese. My family moved to New Zealand in 1978. This time China had many political issues and the country was not safe for living. Many people from our community had migrated to New Zealand and to Australia so this why my family also decided to migrate",* and

R47 mentioned:

> *"I came here when I was very young. My dad say that Korea had many political problems at that time so it was unsafe to live there. This is why he brought us here".*

The literature, for example, Basu et al. (2002), Piperopoulos (2010), Vries (2010), Emerson et al. (2011) and Khosa and Kalitanyi (2014), suggests that some common reasons for most immigrants to leave their home countries were the aim to have an improved life for them and their family, especially to provide the best for their children. Interestingly, Alves (2017) in the study on convenience stores in New Zealand reported that *"many dairy owners were doing their jobs to give their kids a good education and better life opportunities"*. Additionally, STATS NZ (2017) reports that there are seven main reasons that attracted migrants to the country namely: social, education, employment, economic, housing, environment and political/cultural/other. In June 2017, the migration composition to New Zealand was mostly Australians, second British, third Chinese and fourth Indians. As reported in STATS NZ (2017), these migrants chose to settle first in the Auckland region, second in the Canterbury region and third in the Wellington region.

During the interviews, it was revealed that the second generation migrants in the study sample had migrated to New Zealand with their families during their childhood for better education, especially English education that was not available in their home countries; the need to earn good money; and the need for an improved life. For example:

R7 said:

> *"My family came here when I was around 12. My parents wanted*
> *to educate me well; give me a proper English education which was*
> *not available in China…..".*

R34 mentioned:

> *"….Perhaps he wanted a better life for our family, wanted us to be*
> *educated well and live in a English speaking country".*

In addition to the reasons discussed in literature (Basu et al., 2002; Piperopoulos, 2010; Vries 2010) and the reasons discussed in the findings that had driven the migrants to leave their home countries, there were certain other reasons not highlighted in literature, but were expressed by the participants. Such reasons included the need to reunite with family and/or relatives who were already living in New Zealand; the need to fulfil their ultimate dream of migrating to New Zealand; and the potential to migrate to New Zealand because immigration rules were not so rigid at the time.

Discussing New Zealand's immigration policy before these migrants arrived in New Zealand, STATS NZ (2010) reports that New Zealand attracted migrants in the early 1970s in response to labour shortages and, in 1987, a new Immigration Act was passed that led the way to increased immigration from Asian countries rather than the traditional sources of Australia and UK. A new immigration system was introduced in 1991, a point system. Potential migrants gained points depending on their age, work history and other relevant demographics. By this time, New Zealand had high net inflows of migrants from most Asian countries including China, India, Korea, Japan, Hong Kong, Thailand, Philippines and from other parts of the world including Germany, Italy, Croatia, and African countries.

Preliminary observations and the background study undertaken before carrying out this study revealed that there was a variety of migrants in Christchurch who had migrated, settled in and were employed in a variety of jobs; for example, professional, scientific and technical services; transport, postal and warehousing; construction; healthcare and social assistance As explained earlier, there were Filipino, German, Italian, American, Polish and Brazilians in convenience stores and restaurants although these were not FOBs. Discussions with these ethnicities revealed that these immigrants had migrated to New Zealand mostly with the intention of settling down in New Zealand for good and to live a good life. This reason was supplemented in International Organisation for Migration

(2018), where the reasons for migration, in general, included the need to earn better wages, and the need for improved welfare and human development for migrant families. However, there is potential for future research to find out if these other migrant groups had any critical reasons for migrating to New Zealand other than the general reasons shared during the discussion. This could help us understand if the reasons provided by the six Asian ethnicities in this study were unique to Asian migrants, or otherwise.

Recap: the discussion so far

The above discussion reports that this study involved fifty-one Asian participants from small and medium scale ethnic family-owned convenience stores and restaurants within a five kilometre radius of Christchurch city centre along with the reasons their families migrated to New Zealand. A large proportion (49%) of the sample were second generation migrants, tertiary qualified, middle aged (35-44) male participants who believed that passing on the family business was important given their respective ethnic backgrounds. The discussion now continues to the findings that are directly aimed at addressing the study's research question.

5.2.2 The Findings Addressing the Research Question

The study's research question is: *'Does ethnicity affect business succession planning in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch New Zealand and, if so, how does ethnicity affect BSP in small and medium scale migrant family-owned convenience stores and restaurants in Christchurch, New Zealand?'*.

The discussion is presented in two sections. Section 5.2.2.1 discusses initiating a FOB in New Zealand, the importance of passing on the FOB as viewed by the research participants, the business structuring process and the level of involvement of family in the FOB. Section 5.2.2.2 discusses the achievement of a BSP by those participants who had a plan for business succession and reasons for not having a BSP for those participants who had no plan for business succession.

5.2.2.1 Before Planning for Business Succession

Initiating a FOB in New Zealand

After having arrived in New Zealand, families', in most cases the fathers, of the participants had initiated a FOB. The stories of the participants divulged that their fathers

had been employed by different employers in New Zealand, mostly in temporary jobs, until they decided to start something on their own. For example:

R10 mentioned:

> *"This business was started by my father a few years after we moved to New Zealand. This is how we made money. Before my father was a labourer but later he wanted to start his own business….."* and

R34 mentioned:

> *"The restaurant was my dad's idea and his dream come true. Just as we moved he worked in many jobs and with the money he saved is how he started this. Of course it was not grand as this by then, but with time it picked up…"*.

Supporting literature on this topic by Nestle (2011), Largent (2012), Scholosser (2013) and Kerr and Kerr (2016) reports that migrants are most likely to start small and medium scale retail enterprises in urban areas that provide co-ethnic groups of migrant countries with either goods, services or resources. Piperopoulos (2010) notes that immigrant business owners generally did not introduce a new product or service to the market to make profit, rather the aim was to serve, for example, catering Indian food to the co-ethnic population of the migrant country.

The labour disadvantage theory introduced by Emerson et al. (2011), highlights how migrants were unable to find suitable employment in migrant countries, which triggered them to start something on their own to make a living. This complied with the reports by Khosa and Kalitanyi (2014) on African migrant entrepreneurs in Cape Town, Hughes et al. (2011) on Polish migrant entrepreneurs in the UK and the study of Pakistani migrants in the UK reported by Collins and Fakoussa (2015). This notion was also supported by some of the responses given by the participants in this study.

For example: R1 mentioned:

> *"My dad started working in a gas station…."*, and

R2 said:

> *"My dad worked as a casual worker in many construction sites for a few years…."*.

Therefore, it is evident that migrants, in general and around the globe, face difficulties in finding suitable employment and initiated an entrepreneurial venture as means to make a living.

This study reports a unique finding not been discussed in previous migrant entrepreneurship literature, where the founders of some FOBs in the sample had initiated the business because having their own business and not having to work for someone was considered as a higher status in their culture. This finding adds new knowledge to research on migrant entrepreneurship. For example:

R10 mentioned:

> *"Before my father was a labourer but later he wanted to start his own business. In our Hui culture, having our own business and not having to work for someone else is considered as a high status. Even before we moved to New Zealand my father had his own business in China. It was a similar business; he was in the retail trade…".*

The crux of this study was to understand the next stage in business life, a BSP and how ethnicity impacted on the decision to plan for business succession in ethnic FOBs. The next section discusses the importance of passing on FOBs to the next generation as part of a BSP.

The importance of passing on the FOB

A large proportion (76%) of the sample had already planned for business succession, a smaller proportion (24%) had not. However, irrespective of having or not having planned for business succession, in general, the participants agreed that passing on the family business was a decision that deserved reasonable consideration and attention. During the interviews, it was found that passing on the family business was a *"traditional practice"* and/or a *"cultural practice"*.

For example R22 mentioned:

> *"Yes, this is a normal practice in our culture".*

However, before passing the business on, some participants were clear that the family business was to be inherited by the sons in the family and not by the daughters. For example R1 said:

"In the Chinese culture, usually the dad's business is continued by the son; this would not apply in the same way for daughters. Back in those days many people wished to have sons and not daughters; but now times have changed. A business that has been passed over to many generations is usually considered as a significant business in our culture".

Although there is literature surrounding business succession in FOBs (Reva and Coverley, 1999; Perricone et al, 2001; Goudy, 2002; Janjuha-Jivraj and Woods, 2002; Goodchild et al., 2003; Le-Breton Miller, 2004; Venter et al., 2005; Siciliano, 2009; van der Merwe, 2009; Whatley, 2011; Saxena, 2013; Ye et al., 2013; Jing et al., 2013; Shepherd, 2015; Ghee et al., 2015; Myers, 2016; van Skiver, 2016; Phikiso and Tengeh, 2017; Mokhber et al., 2017), despite the changing professional and family roles of women worldwide, published works in the literature have relatively little to say on the role of gender in family business succession. Hence, in addition to addressing the research question, the study's findings also add knowledge to existing body of literature (Wijenaike, 2002; Dhaliwal and Kangis, 2006; Hussian et al., 2011; Huff, 2012) on how women in FOBs in the Asian context were perceived at large.

Having explained earlier that the need to provide children with a good education, especially in English, was one key reason for the parents of participants to have migrated to New Zealand, it is notable that 90% of the participants have a tertiary academic qualification. These were mostly qualifications related to business management/administration. Bearing this in mind, it can be assumed that the founders of the FOBs pushed their children to educate themselves well, while having the thought of handing-over the FOB to their children upon retirement at the back of their minds. Arguably, this assumption created a conflict of interest between two opinions. First, the business founders of the participants wanted their children to be well educated, which would enable them to become professionals and, secondly, because of ethnicity aspects such as *"persevering family pride"*, *"continuing with the family reputation"*, *"fulfilling family responsibilities"*, they also wanted them to take over the family business. For example, R1 mentioned:

"Of course my father is old now, and it is my duty to run the business. It is also in our Chinese tradition, that the son will take over whatever business run by dad. This business is doing well and

I also have a diploma in managing business, so I find it interesting. Having my own business is better than working for someone else. This is also my dad's wish. It gives me pride in two things; one is to be running a family business and two is to have my own business".

In spite of ethnicity playing a key role in passing on the family business, there were exceptions where research participants were compelled to take over the family business against their will and leave behind their profession. For example, R9 was a general physician who had to forego his career to take over the family business as means of fulfilling his family responsibility upon his father's ill health. R9 said:

"After completing high school, I had the options of studying medicine in New Zealand or in the Philippines. After giving much thought I decided to study in Philippines. I had a few friends who were thinking of flying to Philippines to study medicine as well. My parents at the beginning did not approve this idea. They wanted me to study in New Zealand. I had to explain them the need for going to Philippines to study medicine. This whole convincing thing went for some time. Finally they agreed to let me go. After four years of study I was qualified and became a GP. I came back to New Zealand to practise medicine and was able to do it only for around 3-4 years. Dad was diagnosed with cancer and he had to undergo medication. Mom was busy taking care of dad and I knew I had to take over the business immediately. I was not in a position to handle my profession and the business at the same time. So I decided to take this over".

R9 also mentioned that:

"I'm the only child in my family and I knew I had a responsibility. My dad put in a lot of effort to build this up. It was not easy. This business was the backbone of our family. When dad fell ill, I couldn't just let it die off. I had to convince dad that I would keep his pride going. Having a business to yourself was a big thing in

our culture and continuing a family business brought so much self-importance. At the beginning I was devastated. This was because I had put in so much effort into it (to become a doctor). *But later I realized that I had to be more mature and understanding. Taking over dad's business it-self was a cure for his sickness in some ways. I made dad happy in his last few years before he died. I am happy I was able to make him and our family proud. Now it's been almost 6 years since I have taken over this business. The business has done well and so have I, so I have nothing to regret".*

There was also a participant who had the ambition to become a *"businessman"* like his father, and he did not feel compelled to take over the family business. R10 said:

"I always wanted to become a businessman just like my father. I used to help him in the shop as a kid. I have knowledge on business. I always knew that I would be running this business one day".

There were two participants, one Vietnamese and one Japanese, who felt that it was unfair and/or not right to force their children to take over the FOB upon their retirement irrespective of ethnic enforcements. For example:

R46, a Vietnamese respondent from a restaurant business said:

"I am thinking maybe it is a practice where the father's business is passed down to the son from one generation to another, but it would be wrong to force a person to take it unless the person has a genuine interest to do it", and

R51, a Japanese respondent from a restaurant business said:

"The Japanese culture says this; a father's business must go to son and it will continue likewise but in the modern days I don't think it's very practical because many youngsters will have different ambitions and it's not fair to force them into something they will not want to do".

This was an interesting finding because participants now holding business qualifications did not want to force their children to take over the FOB. Instead, they wanted their

children to utilise their education and knowledge outside the business in other sectors (to become doctors, lawyers, teachers). Although not revealed during the interviews, these participants, along with certain others in the sample may have had other career ambitions, yet because of high ethnic intensity they may have been compelled to take over the family business against their dreams and ambitions. This creates space for future research on this topic. Future longitudinal research is necessary to confirm such cultural views and societal changes.

It is also noteworthy that in spite of much literature on family business succession (Reva and Coverley, 1999; Perricone et al., 2001; Goudy, 2002; Janjuha-Jivraj and Woods, 2002; Goodchild et al., 2003; Le-Breton Miller, 2004; Venter et al., 2005; Siciliano, 2009; van der Merwe, 2009; Whatley, 2011; Saxena, 2013; Ye et al., 2013; Jing et al., 2013; Shepherd, 2015; Ghee et al., 2015; Myers, 2016; van Skiver, 2016; Phikiso and Tengeh, 2017; Mokhber et al., 2017), none of these studies discussed the importance of passing on the FOB from the ethnicity perspective. Hence this adds new knowledge to BSP in ethnic FOBs.

Why was it important to pass on the FOB?

As explained, the study sample comprised second generation migrants who had migrated to New Zealand with their families during their childhood, therefore the original owners/founders of the existing family businesses were mostly the fathers of the participants. During the interview responses it was evident that labour market disadvantages, the lack of language skills and the inability to find suitable employment in New Zealand had forced the migrants to come up with entrepreneurial ventures upon migration. This supports reports by Vries (2010), Emerson et al . (2011), Khosa and Kalitanyi (2014), Hughes et al. (2011) and Collins and Fakoussa (2015). The discussions with non-Asian migrants who were operating convenience stores and restaurants did not divulge anything on this point, so there is potential future research on this subject if this study were replicated using a sample of non-Asian migrants to discover if their reasons for starting their own business were the same or otherwise.

Among the various ethnicity-related reasons for participants to take over the family business were the need to continue the family inheritance, the need to fulfil family duties/responsibilities, the need to follow culture and tradition, and the desire to be their own boss (because their respective cultures disapproved of working for someone else).

The opening stories of most participants explained how their fathers had initiated the businesses on facing numerous glitches such as rejection in labour markets and the inability to find employment to feed the family, racial discrimination and/or language barriers in finding suitable employment. Therefore, there was tremendous "*effort*" and "*blood and sweat*" put into starting the ventures, for example, R3, a Chinese participant who owned a convenience store, mentioned:

> "*....this business was originally started by my dad. He started this at a very small scale. Gradually he improved it. He put in a lot of effort, I'd say blood and sweat to it. He is old and unwell now, so it is my responsibility and duty as his only son, to continue with his business*".

Accordingly, a large proportion (41%) of the participants considered taking over the family business as something 'personal' and/or as something 'morally obliged' to do. This is why they considered taking-over the FOB as a need to "*continue with family inheritance*", a need for "*fulfilling family duties/responsibilities*" and as a need to "*follow culture and tradition*". For example, R1 mentioned:

> "*Of course my father is old now, and it is my duty to run the business. It is also in our Chinese tradition, that the son will take over whatever business run by dad….*"

while R5 mentioned:

> "*So this business was started by my dad few years after we moved here. He started this very small and gradually built it. I joined the business when I was 24 and worked for a while with dad and later on took over the entire responsibility as the only child in the family and now I run the store*"

and R21 mentioned:

> "*My dad and grandfather started this whole restaurant business and my dad continued with it after his dad now I am continuing with it after my dad. This is what makes it a family business*".

As a result, generally the ethnic backgrounds of Chinese, Indian, Thai, Vietnamese, Koreans and Japanese put forward that FOBs had to be taken-over by the next generation

on the retirement/expiration of its founders, including the Vietnamese (R46) and Japanese (R51) participants who felt it was iniquitous to force their children to take over the FOB on their retirement in spite of ethnic enforcements. For example, R46 mentioned:

> *"I am thinking maybe it is a practice where the father's business is passed down to the son from one generation to another, but it would be wrong to force a person to take it unless the person has a genuine interest to do it",*

and R51 mentioned:

> *"The Japanese culture says this; a father's business must go to son and it will continue likewise but in the modern days I don't think it's very practical because many youngsters will have different ambitions and it's not fair to force them into something they will not want to do".*

Although the notion of passing down the business and/or family business succession is discussed in the (Alcorn, 1982; Bachkaniwala et al., 2001; Bagwell, 2008; Danes et al., 2008; Collins and Fakoussa, 2015; Reva and Coverley, 1999; Perricone et al., 2001; Goudy, 2002; Janjuha-Jivraj and Woods, 2002; Goodchild et al., 2003; Le-Breton Miller, 2004; Venter et al., 2005; Siciliano, 2009; van der Merwe, 2009; Whatley, 2011; Saxena, 2013; Ye et al., 2013; Jing et al., 2013; Shepherd, 2015; Ghee et al., 2015; Myers, 2016; van Skiver, 2016; Phikiso and Tengeh, 2017 and Mokhber et al., 2017), how ethnicity impacted on the decision for BSP was not discussed or highlighted. This was the aim of this study so it adds new knowledge to the literature on BSP in FOBs.

Structuring the FOB

The Ministry of Business Innovation and Employment New Zealand (MBIE) (2017), advises that businesses in New Zealand can be structured in four different ways: sole trader, partnership, company or a trading trust. The majority of the study sample (70%) were trading trusts, so followed a business structure that is appropriate for running an FOB (MBIE, 2017). The most significant advantage of setting up an FOB under a trading trust is that it is relatively flexible compared with other types of business structure (FindLaw, 2017). Trading trusts also provide the opportunity for income splitting and utilizing lower beneficiary marginal tax rates and provides protection for personal assets from creditors. This business structure also provides for the easy transfer of assets and succession to

family members (RSM Law, 2017). This, however, is what is found in the New Zealand context and there is space for future research to find out if it is the same or different elsewhere in the world.

As explained earlier, Asian cultures, in general, are collectivistic, hence Asian families are inter-dependent and malleable by nature (Bennett et al., 1988; Cole, 1994; Edirisingha et al., 2015) and, as can be assumed, the participants displayed features of collectivism and shared similar views and opinions on business as well as family practices. As a result of being collectivistic, 'family' was key in the Asian cultures, thus, 16% of the sample businesses were structured as partnerships and these partnerships were with immediate family members (father and/or mother, spouse, siblings). Discussions the participants revealed that they felt secure and *'homely'* to be partnering in the business with family members. For example, R16 mentioned:

> *"My brother and I are partners in this business and we have nothing to worry because we know it is ours and it's easy to work together because we are family and we are doing everything we can to make this business do well".*

The closest available literature on having family members as partners in the FOB is on decision making styles in family firms versus non-family firms as reported by Alwuhaibi (2009), Smith (2007) and Duarte et al. (2018). There is an absence in the literature on how the ethnicity factor directly influenced partnering in the FOB with family members. Hence, this finding adds new knowledge to the literature on FOBs.

It is important to note that the distinction between the legal structure of FOBs is not discussed in the literature concerning BSP in FOBs. Although not discussed or mentioned in the literature, the findings of this study made it clear that migrant FOBs were mostly considered as a being a part of the family; it was considered more than just a business. Therefore, the study's findings expand the knowledge BSP in FOBs and creates the need for future research to find out if this is unique to Asian migrant FOBs or if it was the same or different for non-Asian cultures.

Involvement of family in FOBs

Scabini and Manzi (2011) and Mokhber et al. (2017) report that family is a convoluted social body that indicates and actively interacts with its socio-cultural setting, hence, the level of involvement of family members in FOB operations as well as in business decision

making are pivotal. Although the concept of 'women's invisibility' (Znaimer, 2002; Danes and Olson, 2003; Lee et al., 2006; Philbrick and Fitzgerald, 2007; Sonfield and Lussier, 2009; Lee et al., 2010; Zachary, 2011; Sonfield and Lussier, 2012; Kubícek and Stamfestová, 2016) in FOBs and the effect of the 'glass ceiling' (Bible and Hill 2007; Meroño-Cerdán and López-Nicolás, 2017) were not anticipated in the study, the findings reveal that 63% of the sample disapproved of women in the family getting involved in the FOB; this notion supports the concept of 'women's invisibility' (Philbrick and Fitzgerald, 2007) in FOBs as well as the effect of the 'glass ceiling' (Bible and Hill, 2007), which have been explained in the literature. As reported by Bashir (2014) and Oh and Lee (2014), the Asian culture, in general, expected women in the family to stay indoors and take care of family and household activities over business activities. Similar views and opinions were expressed by participants, for example, R34 mentioned:

> "In our Sikh culture even back home, women are usually not involved in the business. Women are kept busy at home with kids and household stuff. I personally don't see anything wrong in this".

and R25 mentioned:

> "Chinese family businesses are usually done by the sons in the family. If the child in the family is a daughter, some parents may want to gift the business to the daughters at their wedding ceremonies as a gift for the newly wedded couple so that they could continue with the business. We usually don't get our wives involved in the business. Doing business and earning a living for the family is a man's job and the wife is expected to take care of the family".

This gender-divided position could be expected given the male population in the study sample was greater (88%) than the female population (12%). It supports studies by Cai and Kleiner (1999), Sonfield and Lussier (2009) and Lewis and Massey (2011) that noted that, in most cases, business and management of business in the Asian culture was considered as a male occupation hence, was considered not appropriate for a woman. The finding confirms that ethnicity, including ethnic-related elements such as culture, traditions, and beliefs influence business practices and arguably BSP of the participants.

However, it is important to know that Thai and Japanese ethnicities in the study sample did not approve of this practice because their culture encourages women's participation and involvement in FOBs. This supports studies by Punturaumporn (2001), Welsh et al. (2014) and Bruton (2018). For example, R40, a Thai respondent said:

> *"I think there's nothing wrong in having women involved in the business. If you look at from where I come from, a majority of the workforce is made up of women. I think that women are capable of doing everything that men do",*

and R51 a Japanese respondent mentioned:

> *"I don't see anything wrong in having women involved in the business. In Japan we have many women doing business".*

Therefore it is inappropriate to consider 'Asians' as having the same views/ethnic beliefs and the literature needs to acknowledge this. Gender issues are impromptu findings from this study and these findings are based on Asian ethnic backgrounds. The situation may differ for non-Asian ethnicities hence opens way for future research.

Recap: the discussion so far

The above discussion presents the findings from fifty-one Asian participants from small and medium scale ethnic family-owned convenience stores and restaurants located within a five kilometre radius of Christchurch city centre along with the reasons for their families to have started and developed the ventures. A large proportion (49%) of the sample were second generation migrants, tertiary qualified, middle aged (35-44) male participants who believed that passing on the family business was important given their respective ethnic backgrounds. The discussion also emphasised the legal structuring of migrant FOBs in New Zealand and the reluctance of most research participants (63%) to have women in the family involved in the FOB and though the sample comprised Asians, not all Asians approved of this view. The next part of the discussion considers how ethnicity impacted the decision for a BSP among the 39 who had a plan for business succession, as well as how it impacted the 12 participants who had no BSP.

5.2.2.2 Planning for and Achieving Business Succession

This section is the core of this study; the discussion continues with those who had planned for business succession and those who had no plan for business succession and on how ethnicity impacted their decision.

Planning for business succession

As cited earlier, ethnicity impacts the decision to plan for business succession and those who had planned for business succession (76%) affirmed that their offspring (immediate heirs) were interested in taking over the business one day. The participants were ready to hand over the FOBs to their offspring upon completion of their studies and when they were ready to take over the business.

While this is the view of the present owners, interest and actions may differ, that is, the heirs may not want to take over the business when the time comes. Most immediate heirs of the FOBs in the sample were still in schooling and/or were too young to be interviewed on this topic hence triangulation was not possible (Flick et al., 2004; Howe, 2012). As the heirs were brought up and nurtured in a New Zealand background with many career options and had gained qualifications, (arguably the present owners had the same options), which could potentially shift them from their family's ethnic thinking and result in them not wanting to take over the family business. This is a subject that those with a BSP need to consider.

The literature (O'Connell and Brennan, 2012; Saxena, 2013; Madigan, 2013 and Kelner, 2018) suggests that most FOBs failed when it came to the third generation. However, Graft and Woodfield (2013) and Shepherd (2015) say otherwise about New Zealand FOBs. There is a lack of literature about migrant family businesses in New Zealand, hence the findings of this study add new knowledge to this research area, but also signals more research is needed.

On the bright side, securing their children's future was among the few overwhelming reasons behind the decision to plan for business succession. The other main reasons for planning for business succession, based on the respective ethnic backgrounds of the research participants, included the need to *"preserve their family reputation"*, *"keep the FOB running even after they were dead"*, *"fulfil family responsibility by continuing with the FOB"* and *"continue with cultural/community/family practices"*. For example, R12 mentioned:

> *"....This business like family to me. After my time, my son have to do this. This way help to keep family good name",*

and R24 mentioned:

> *"…mostly the reputation of the family and my dad's advice. In our*
> *culture having a family business brings pride and fame to a family*
> *and dad always valued this".*

It is clear that the decision to plan for business succession is supported by the ethnic background of the participants yet, in time, how strong the ethnicity factor is if the heirs are not willing to take over the business has yet to be seen. There is potential for a longitudinal study in this area.

Formalising BSP

This study also set out to understand how formally participants held their BSP because the literature on BSP in FOBs does not expose this. As explained, the collectivistic nature of Asian cultures supports the thought of the family (Bennett et al., 1988; Cole, 1994; Edirisingha et al., 2015) and the overall findings gathered in this study are evidence that the participants considered the FOB as being a part of the family. As a result, only one respondent (2%) of those who had planned for business succession had their BSPs formally documented. All other participants had it in various informal methods such as, *"at the back of their minds"*, *"discussed within their families"*, *"just as a thought"*, this, in turn, affirms that these participants of Asian ethnicities preferred to have their BSP in informal means over formal methods. For example, R34 mentioned:

> *"Nothing is documented and it doesn't need to be put into*
> *documents as well. We know what we are supposed to do".*

This informal approach has not been reported in the literature and further research is needed to see if this is common among Asian ethnicities and/or non-Asian ethnicities. Having discussed formalising business succession planning for those who had planned for business succession, this discussion continues onto businesses without a BSP.

Businesses without a BSP

The core of this study was to assess if and how ethnicity gave rise to a BSP in ethnic FOBs therefore it was also important to understand why the others (24%) did not have a BSP, that is, the reasons for not having a BSP and the potential risks of not having a BSP. Most of the literature related to continuity/succession of family businesses focuses greatly on the succession process and/or the governance structures in the family firm (Botero et al., 2015; Miller et al., 2006; Long and Chrisman, 2014). However, this did not fit with respondents'

need for to have or not have a BSP. Those who did not have a BSP either never thought about it, or were too busy operating the business that they did not find time to think about developing a BSP for their FOB. For example, R2 mentioned:

> *"Honestly speaking this has not occurred to me before. I've been busy with my work and never had the time to think about this",*

and R47 mentioned:

> *"Never thought about it because I am too busy….".*

Given the absence of literature on this area, a key finding is that ethnic background has no effect on the respondents who do not have a BSP. Rather it was because of pure negligence and/or work stress. This view is concerned with Asian migrants and it is unknown if it is any different for other ethnicities, which creates potential for future research.

Three participants had not thought about having a BSP because they were unsure about what their children would want to do in future (take over the family business or follow a different career interest). As explained earlier, being nurtured and brought-up in a Kiwi cultural background may change the interests of the third generation and there was high possibility of the third generation getting out of the FOB mentality and into other professions. For example, R47 mentioned:

> *"Never thought about it because I am too busy. My children are still too young and we don't know what they would want to do when they grow up".*

R3 mentioned:

> *"Never thought about it. In my case I wanted to continue with my dad's business and I had to because he fell sick and stuff. But in my son's case, I don't know if he'll want to do this or if he will want to become a doctor or pilot or something like that. It all depends what he wants to do once he grows up".*

Summary of discussion

Ethnicity plays a significant role and has impacted the business practices including the decision to plan for business succession in small and medium scale ethnic family-owned convenience stores and restaurants in New Zealand. A large proportion (99%) of the thirty-nine participants who had planned for business succession held their BSP in informal methods because they considered the FOB as being a part of the family rather than a

separate business entity; they felt an emotional attachment towards the FOB. In spite of the significant amount of literature on BSP in FOBs (Reva and Coverley, 1999; Perricone et al., 2001; Goodchild et al., 2003; Le-Breton-Miller, 2004; Venter et al., 2005; Sicilino, 2009; Whatley, 2011; Saxena, 2013; Myers, 2016; Mokhber et al., 2017), formalising a BSP is not mentioned in the literature.

Arguably, with a large number (38) of those who had planned for business succession having their BSP in informal methods and having considered the FOB as a part of the family may presumably be linked with features of collectivism in Asian ethnicities (Bennett et al., 1988; Cole, 1994; Edirisingha et al., 2015). However, the overall findings show that there is a possible change in generational thinking patterns concerning heirs. Therefore, having the BSP in an informal method and/or not having it formally documented could make it appear less significant to the heirs and they may not feel the importance of continuing/taking-over the FOB. Further, having the BSP *"at the back of their minds"*, *"discussed within their families"*, *"just as a thought"*, may create the possibility among the heirs to think of it as simple, undemanding and/or trivial, resulting the FOB winding down after the incumbent dies.

Considering the twelve participants who did not have a BSP, their decision for not having a plan for business succession was not in any way affected by their ethnic background and/or the ethnicity factor. Therefore, it is clear that the ethnicity factor impacted only those who had planned for business succession.

5.3 Returning to the Overall Findings

This study was undertaken using a sample of fifty-one participants from the small and medium scale retail trade and the restaurant sectors. The sample comprised twenty family-owned convenience store owners and thirty-one family-owned restaurant owners who operated their business within a five kilometre radius of Christchurch city centre. The discussion above is based on the findings that have been presented and analysed in Chapter 4 under the three main profiles: 'General Profile', 'Ethnic Family Business Succession Planning Profile' and 'Business Succession Planning Profile'. The core of the discussion above suggests that 'ethnicity' was considered imperative when it came to planning for business succession in ethnic family-owned businesses.

The essence of the overall findings makes it clear that ethnicity, as an independent variable, undoubtedly contributed to culture because individuals of the same or diverse

ethnicities interacted as families, communities and societies. As interpreted in the findings, this is the main reason why migrants of the same ethnicity involved themselves in similar types of business and, in the context of this study, it was Asians engaging themselves in the retail trade and restaurant sector. According to Danes et al. (2008), the 'family' with its own relational dynamics acted as the repository that created the culture and thereby served as the 'mediating locale' for the entrepreneurial experience and, in the context of this study, passing down the family business was considered as *"fulfilling family responsibility"*, *"preserving family pride and reputation"*. Culture, as an element of ethnicity, is more complex and was a result of interpersonal interactions (Danes et al., 2008). Ballard (2002), Watt and Norton (2004) and Skrentny (2008) identify culture as a set of ideas, values and understandings that people deploy within a specific network of social relationships as a means of ordering their inter-personal interactions and hence generating ties of reciprocity between themselves. In so doing, it also provides the principal basis on which human beings give meaning and purpose to their lives. On the other hand, Hills et al. (2005) report that ethnicity was clearly more of common beliefs and various practices based on common ancestry, nationality and immigration experiences whereas Watt and Norton (2004) identify ethnicity as a concept that refers to cultural practices and attitudes that characterise a given group of people and distinguish it from other groups. This was supported by Danes et al. (2008) who identify ethnicity as people within a group having a certain background with language, religion, ancestry and other shared cultural practices that provide them with a distinctive identity. In this study, ethnicity played a key role among the participants in different ways such as the reasons for migrating to New Zealand, to initiating a FOB in New Zealand, the importance of passing on the FOB, the level of family involvement in the FOB and, most importantly, in the decision to plan for business succession.

The success of a FOB was based on several integrated factors including the founder's skills to manage the FOB and the formation of a strong foundation for successors to the successor transition process (Mokhber et al., 2017). Succession planning in larger businesses differs from that in small FOBs. The selection of successors is much wider in larger firms than that in small FOBs because the successors in a FOB are limited merely to family members (Tatoglu et al., 2008). FOBs were formed around a set of emotionally charged interpersonal relationships that resulted in positive and/or negative outcomes, thus it needed the business practices and philosophy simultaneously while balancing the relationship between family and business to succeed (Wee and Ibrahim, 2012). It is evident

that the participants considered taking over the FOB as something *"personal"* and/or as something *"morally obliged"* to do and this is why they considered taking over the FOB as *"a need for continuing with family inheritance"*, *"a need for fulfilling family duties/responsibilities"* and as *"a need to follow culture and tradition"*. It remains to be seen if this does happen.

This notion was also supported in Table 2.4 – *'A Model of Resistance to Succession in the Family Business'* (Whatley, 2011), which explains on factors promoting succession and factors reducing resistance under three levels, that is, the individual level, the interpersonal level and the organizational level. Here, Whatley (2011) listed out *'identity with business'* under individual level of factors promoting succession, which explains the personal attachment FOB owners had with the business and their moral obligation towards it which made them plan for business succession. Whatley also listed out *'fear of aging, retirement an death'* under individual level of factors promoting succession, which explains the need FOB owners had for continuing with the business even after their expiration and/or retirement.

Chapter 2 presented various models used in business succession planning namely, the *'Preliminary Model for Successful FOB Succession'* (Figure 2.2) and the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller et al. (2004); the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008); the *'Integrated Dialectic Knowledge Accumulation Model for FOB Succession'* (Figure 2.5) developed by Whatley (2011), and the *'Eclectic Framework for FOB Succession'* (Figure 2.6) by Saxena (2013). As explained earlier in this chapter, these models only illustrate the casual links between the incumbents, successors and business succession process therefore fail to highlight and/or illustrate the impact of ethnicity on the decision to plan for business succession.

Le Breton-Miller et al. (2004) report that unsuccessful FOB generational transfer was always because of poor succession planning. Therefore, the context of the *'Preliminary Model for Successful FOB Succession'* (Figure 2.2) developed by them included the principal factors such as successor and incumbent, FOB and the family framework. From this study, these principal factors relate to the founder of the FOBs, the current owners of the businesses, the heirs, the FOB itself and the level of involvement of the family in the business and, according to this model, the combination of these elements, helped plan for business succession. The model portrays all components, processes and actors, the

framework in which they operate, and their interaction within that framework that could influence the succession plan. Hence, this model did not mention or highlight the ethnicity factor and/or how it impacted on business succession planning in migrant FOBs.

In their second attempt, Le Breton-Miller et al. (2004) expand their horizon and develop the *'Integrative Model of Effective FOB Succession'* (Figure 2.3), which was an improvement on their first model, the *'Preliminary Model for Successful FOB Succession'* (Figure 2.2). In this model, Le Breton-Miller et al. (2004) not only look at the key components as in the previous model (Figure 2.2) such as the successor and incumbent, FOB and family framework, but also incorporate a list of unexplored variables (Table 2.5) which impact on the success of FOB succession. This was the first model integrating the social and industry related factors and their influence on the family context and FOB context. However, this model illustrated a four stage succession process leading to the transfer of capital and ownership, complete with performance/evaluation and feedback through the four stages. Hence, this model does not necessarily examine the impact of ethnicity on BSP in migrant FOBs.

The *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008) suggests that knowledge accumulation was the enabler of longevity in FOBs. This model proposes that knowledge accumulation begins within the family and continues within and outside the FOB. The model highlights two types of factors, openness factors and emotional factors. The openness factors are those that aid a successful transition such as academic courses and practical training courses outside the FOB; working outside the FOB; and employing/using non-family members. The openness factors speak about the extent to which the FOB and the family are ready to be influenced by the external environment, either via outside work experience or more formal education by the successor. The emotional factors, on the other hand, include those that aid in a successful transition such as family relationships, and working within the FOB, encouraged by trust between family members and commitment to and the psychological ownership of the family business. Therefore, the knowledge accumulation model is link between the internal capabilities and ensuring external influences that qualify the successor to accomplish as much tacit knowledge from both the incumbent and others to boost the probability of a successful succession transfer. However, given the nature and application of this model, it could not be applied to this study because it does not address the core of the study; if and how ethnicity impacts BSP in migrant FOBs.

The fourth BSP model, is the *'Integrated Dialectic Knowledge Accumulation Model for FOB Succession'* (Figure 2.5) developed by Whatley (2011). In developing this model, Whatley takes into account the strengths of the *'Preliminary Model for Successful FOB Succession'* (Figure 2.2) and the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller et al. (2004) and the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008). This model is 'integrative' because it incorporates both the social background that outlines the family dynamics and the industry background that outlines and influences the FOB. The model illustrates a 'dialectic' process consisting of four key areas: ground rules consisting of values, vision, guidelines, communication of the possible transfer; development, which includes of identifying gaps in skills/knowledge and training; a hands-off transition where the incumbent is phased out and the successor is positioned within a specific position; and the transfer of capital where the decisions of ownership structure, control and the legal and tax considerations are focused.

The four areas representing the 'dialectic' process contextually depend on various family members and their abilities and experience, thus is a more open systems perspective on the nature of change. As a result, this model anticipates that each succession transfer may take a different path. The strength of this model is that no single pathway has to be followed; instead, there are multiple ways to achieve a successful transfer, depending on the context. Although the *'Integrated Dialectic Knowledge Accumulation Model for FOB Succession'* (Figure 2.5) is an improvised model compared with the *'Preliminary Model for Successful FOB Succession'* (Figure 2.2) and the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller et al. (2004) and the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008), this model still could not be applied to this study because it did not examine if and how ethnicity impacted the decision to plan for business succession in migrant FOBs.

The final BSP model the, *'Eclectic Framework'* (Figure 2.6) developed by Saxena (2013) is more focused on the emergence and continuation of business groups in the wider context of historical, economic, political and sociological circumstances of their respective settings. Although the framework examined external elements that affected succession such as sociocultural, political and legal, international, ethical, and economy, it did not necessarily emphasise how the ethnicity factor impacted BSP in migrant FOBs. An advantage of this model is that it took Hofstede's (2004, 2007) findings on beliefs,

attitudes, motives and values, and attempted to link them with the succession process along with other external elements that could influence business succession planning. Most external elements explained in this model, such as the political, ethical, and economic, have an impact on succession that was considered as PESTLE elements (Free Management Ebooks, 2013; United Nations Children's Fund, 2016) affecting the general business succession process. Hence, it did not specifically highlight and/or emphasize how ethnicity impacted the decision for business succession.

The overall findings reveal that, although the participants tended to produce a static comprehension of their respective ethnic background, for example, all family members were assigned to restore ethnic identities and the relations between their family members; the importance of passing down the family business from one generation to another; maintaining family pride and family reputation; fulfilling family responsibilities; not wanting to work under supervision, and spoke in favour as well as in support of being framed by their respective ethnic backgrounds, participation observation, background research and the findings show that they were unconsciously driven and/or caught-up in the New Zealand culture in many ways. This is considered inevitable as 96% of the participants were second generation migrants; they had migrated to New Zealand during their childhood with their parents/families, mostly during the late 1970s and the early 1980s. Thus, they had adapted and blended into the culture and background of the migrant country. As a result, they were a blend of their native ethnicity and the culture to which they had adapted; this was visible in all their day-to-day activities as well as in their business practices.

Having closely studied the above models and their relevance to this study together with the key findings of this research as well as the themes developed via NVivo using the responses received from the research participants; this study introduces the *'Ethnified Model of Family Business Succession'* (Figure 5.1). The *'Ethnified Model for Family Business Succession'* (Figure 5.1), is developed especially to examine the impact of the ethnicity factor on BSP in migrant FOBs. Returning to the various models in the literature, it is clear that these models have been developed to examine BSP in FOBs, taking into consideration the most obvious factors such as incumbent, industry context, successor, external environment, etc., in general, therefore do not specifically focus on BSP in migrant FOBs. Arguably, this could be the possible reason why these models do not take the ethnicity factor into consideration and/or no attention is given to how ethnicity could

affect the decision for planning for business succession in FOBs. However, given the findings of the study it is clear that ethnicity although not taken into consideration when talking of BSP in FOBs, is an important factor directly making an impact on the decision to plan for business succession in FOBs. Therefore, it is something worth paying attention to and this is the focal point of developing the '*Ethnified Model for Family Business Succession'.* It is also important to note that this model has been developed purely taking into account the findings gathered during the interviews held with the research respondents. The difference between this model and the models reviewed in literature is that although this model too has taken the general elements effecting BSP in FOBs such as level of the heirs' interest, level of family involvement and the decision for planning for business succession as main elements around which the model has been developed, the main focus here is to examine how ethnicity makes an impact on these three elements which will result in either the continuation or the discontinuation of the FOB. The application of the model has been explained in the paragraph below.

As illustrated in Figure 5.1, the ethnicity factor impact the three main elements, namely: the level of the heirs' interest (theme 'K' in Appendix 5), the level of family involvement (theme 'F' in Appendix 5) and the decision for business succession (theme 'G' in Appendix 5), the decision for business succession was directly influenced by the level of heirs' interest and the level of family involvement in the FOB. The level of education of the heirs could indirectly affect the level of heirs' interest which could help create interest in taking over the FOB or not take over the FOB, and this was also listed under interpersonal level factors promoting succession developed by Whatley (2011) exhibited in Table 2.4 – '*A Model of Resistance to Succession in the Family Business'.* Additionally, the level of education of heirs could have an indirect impact on the continuity/discontinuity of the FOB. Lastly, the decision for business succession leads to either the continuity of the FOB or the discontinuity of the FOB.

This model could be used as a new model to examine how ethnicity impacts the decision for business succession in migrant FOBs. It could also be added as an extension to the *'Integrative Model of Effective FOB Succession'* (Figure 2.3) developed by Le Breton-Miller et al. (2004), and the *'FOB Knowledge Accumulation Model'* (Figure 2.4) developed by Chirico and Salvato (2008), which could add value and expand the existing BSP models. Illustrated below are possible examples for the expanded models, the *'Integrative Model of Effective FOB Succession'* (Figure 5.2) and the *'FOB Knowledge*

Accumulation Model' (Figure 5.3), using the *'Ethnified Model of Family Business Succession'* (Figure 5.1) as an extension.

As illustrated in Figure 5.2, the 'Social Context' comprising culture, social norms, ethics, religion, laws, exhibited in the *'Integrative Model of Effective FOB Succession'*, has been replaced and extended with the *'Ethnified Model of Family Business Succession'*, which adds value and expands the clarity of the existing model.

Figure 5.1 – The Ethnified Model of Family Business Succession
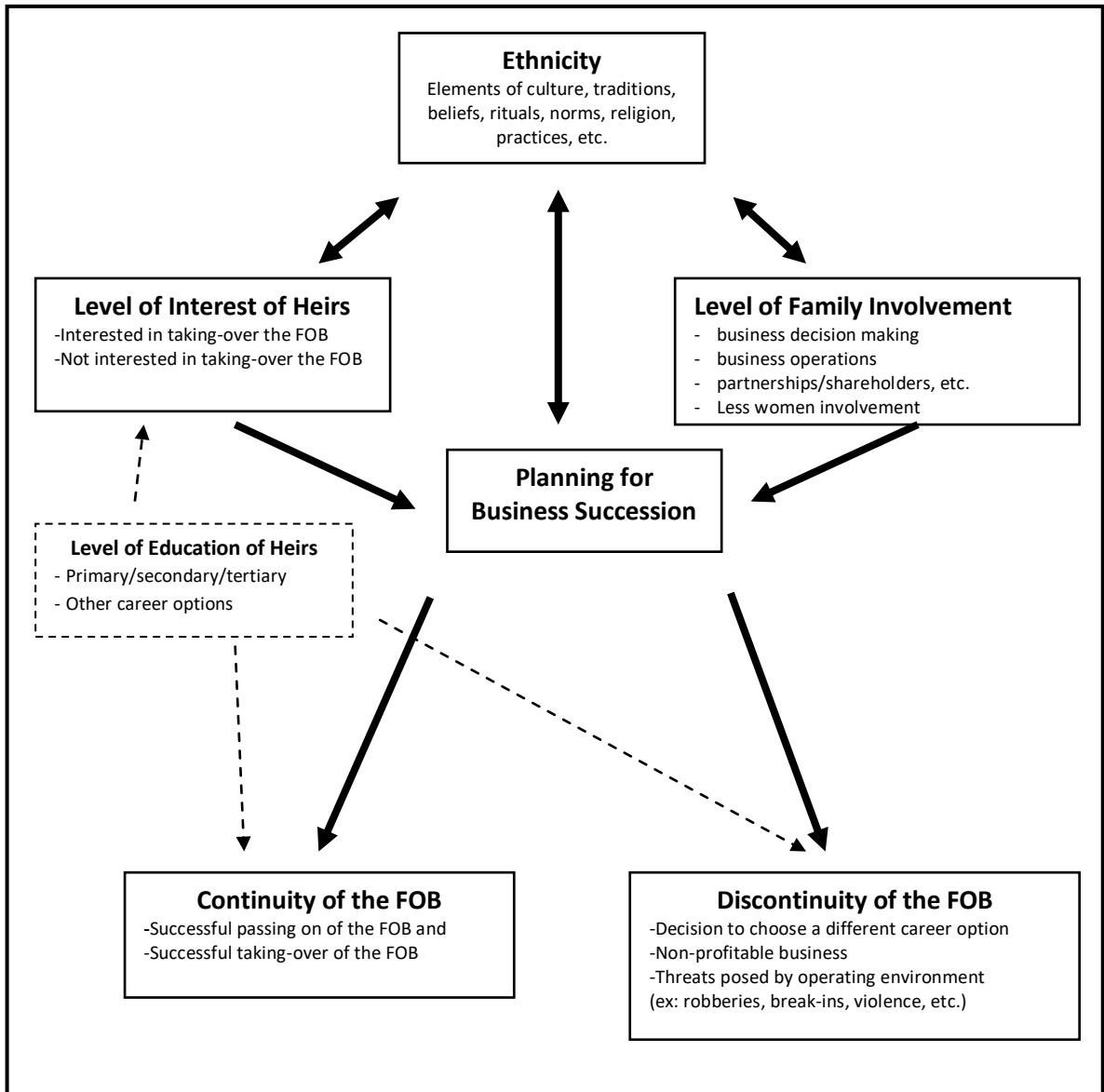
Similarly, Figure 5.3 illustrates an expanded version of the *'FOB Knowledge Accumulation Model'* and how the *'Ethnified Model of Family Business Succession'* could affect the openness factors as well as the emotional factors affecting the BSP process explained in the *'FOB Knowledge Accumulation Model'*. As a result it adds value and expands the clarity of the existing model.

Figure 5.2 – The Integrative Model of Effective FOB Succession using the Ethnified Model of Family Business Succession as an Extension
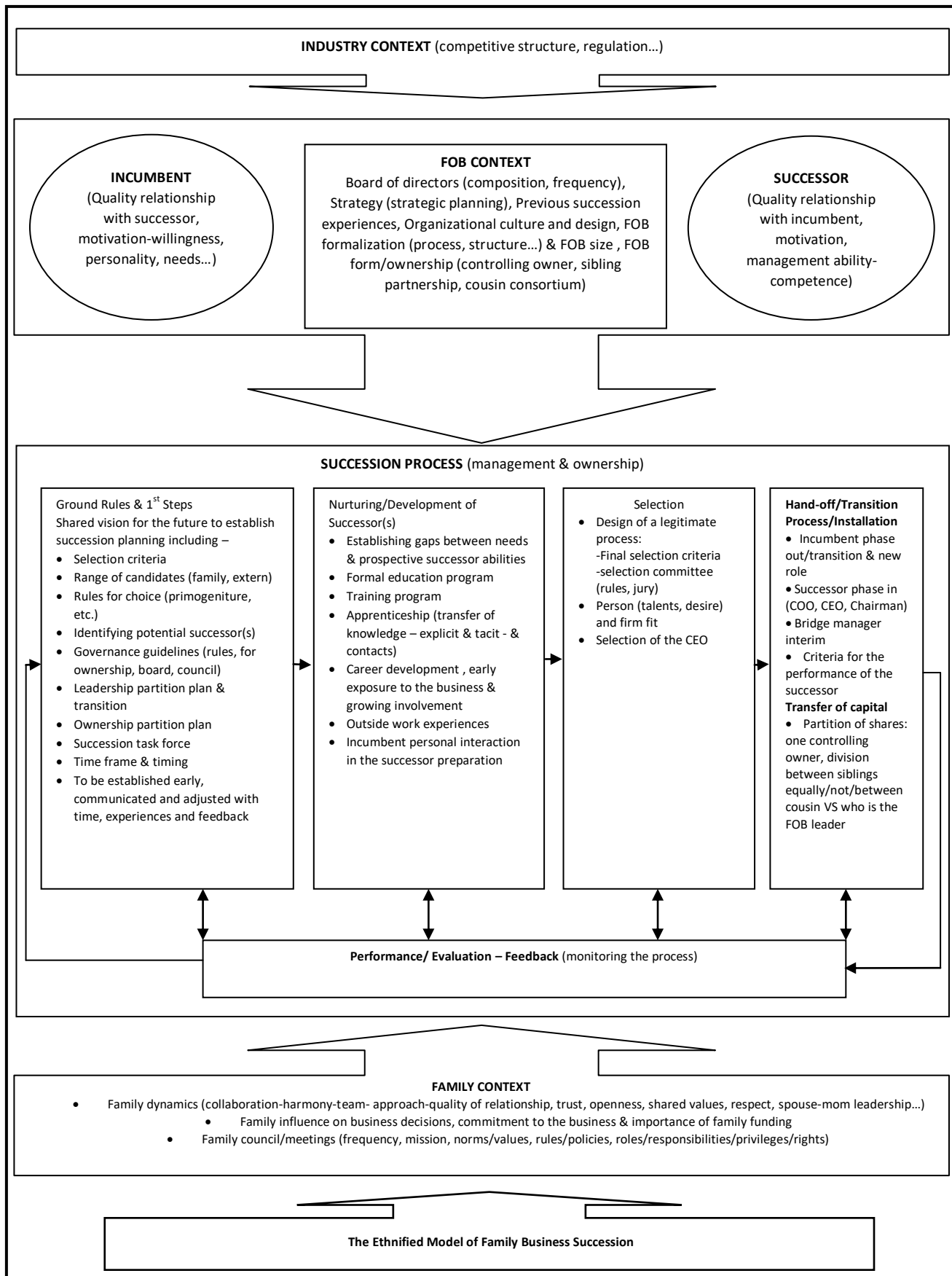
Figure 5.3 – FOB Knowledge Accumulation Model using the Ethnified Model of Family Business Succession as an Extension
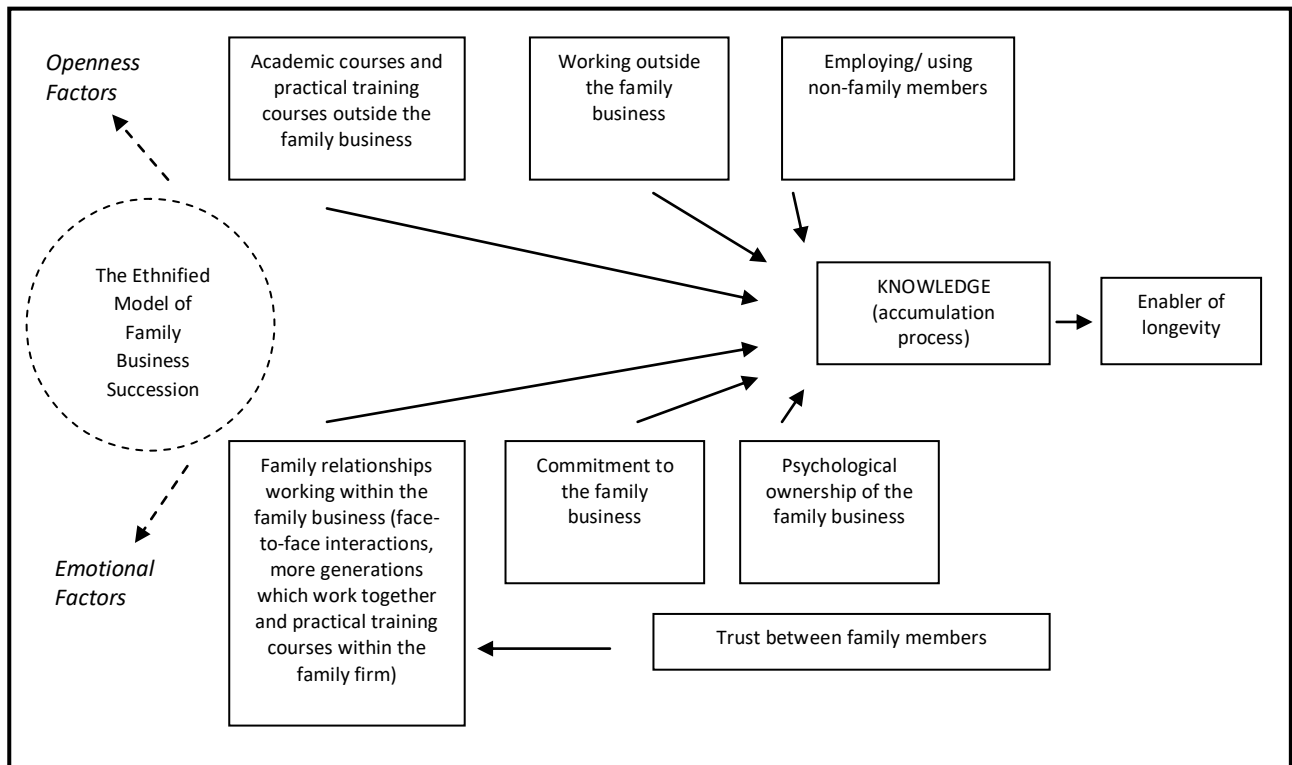
Furthermore, as a new model, the key advantage of the *'Ethnified Model of Family Business Succession'* (Figure 5.1), is that it is less complicated than the other BSP models in the literature. These models were constructed within the parameters of a psychoanalytic framework that focused on the psychology of the incumbent and the successor and their relationships with the other members of the family and stakeholders of the business, whereas the *'Ethnified Model of Family Business Succession'* (Figure 5.1) extension was developed having the ethnicity factor as the core and the two most bordering elements (level of interest of heirs and level of involvement of family members) that help determine the impact of ethnicity on BSP in migrant FOBs. This addresses the research question of this study.

The elaboration and discussion above should help the reader reflect on the findings of this study, on the literature, and on the highlights of the new knowledge this study has constructed on BSP in migrant FOBs. The next section is dedicated to identifying the limitations recognised while undertaking this study.

5.4 Limitations of the Study

Because of time constraints (of PhDs) and the need to maintain the quality of the results, this study focused on a specific geographical area, small and medium scale migrant family-owned convenience stores and restaurants operating within a five kilometre radius of Christchurch city centre. However, the study could be replicated on a larger scale in future.

The preliminary observations and background research undertaken before selecting a research group for this study revealed that there were a number of convenience stores and restaurants within a five kilometre radius of Christchurch city centre that were owned and operated by Filipino, German, Italian, American, Polish and Brazilian ethnicities. However, the business entities operated by the Filipinos, Germans, Italians, Americans, Poles and Brazilians did not meet the criterion of FOBs therefore were discounted. The ethnic groups that did fulfil the criterion of small and medium scale ethnic family-owned convenience stores and restaurants comprised six Asian ethnicities namely: Chinese, Indian, Thai, Vietnamese, Korean and Japanese. Therefore, using a sample of Asian participants was not by design, it was a result of this ethnic base appearing to have a different approach to FOBs. However, the study could be replicated using a different group of migrants and different trades operated by migrants.

Furthermore, as explained in subsection 3.3.3, this study executed a pilot study before approaching the target sample. The pilot study was carried out using a randomly selected sample of eight participants, four from the convenience store sector and four from the restaurant sector. Although not encountered during the pilot study, with the study sample there were instances where some participants needed de-briefing and further explanation of the term 'Business Succession Planning'. This showed that even respondents of the same ethnicity (pilot study sample vs. study sample) had different levels of understanding of BSP.

Having explained the limitations of this study, the next section highlights the opportunities derived from this study for future research.

5.5 Areas for Future Research

The study sample of fifty-one participants used in this research comprised twenty-four Chinese, ten Indian, seven Thai, five Korean, three Vietnamese and two Japanese respondents. Therefore the data gathered and analysed is specific to Asian ethnicities. However, this study using a sample of Asian migrants creates future research opportunities

on how ethnicity impacts BSP in small and medium scale FOBs owned by non-Asian migrants in New Zealand. Also, this study could be replicated in any part of the world using Asian or non-Asian migrants.

Notes taken in addition to the semi-structured interviews, combined with literature (McCollum, 2016; Kashuk, 2016) showed that most FOBs ended after the second generation, very few made it to the third generation. The general view is that the first generation starts the business and earns the money, the second generation utilizes and spends the money and, by the time you reach the third generation, the FOB is left with no money (Cruz and Nordqvist, 2012; Hasselback, 2014; Plesset, 2015). Thus, this study could be replicated and new knowledge could be gained by expanding the study to interview the third generation to find out how strong the ethnicity factor was among them. Participation observation during the interviews and the unspoken views of participants made it clear that most are New Zealand nurtured and therefore acclimatised to the New Zealand cultural background in spite of their mentality of being ethnically different. It was obvious that there is high possibility that their children (the third generation) were highly acquainted with the New Zealand culture since they were born and brought up in New Zealand. This paves way for future research on finding out how strong is the ethnic factor when it comes to third generation family business succession concerning migrants in New Zealand. The same approach could be applied to any other country in the world.

This study was narrowly focused. However, the study could be replicated on a larger scale in future.

Of particular interest here and for future research, is to propose a follow up piece of research that (in time) returns to these businesses to see if they have actually passed the business on to the next generation. There is, therefore, a need for longitudinal research on this topic. The *'Ethnified Model of Family Business Succession'* (Figure 5.1), can be replicated to learn if and how the ethnicity factor affected the FOB succession decision.

5.6 Conclusions of the Study

This chapter provides the reader with a detailed understanding of the reasons for undertaking this study, the significance of the study and its contribution to the literature on BSP in FOBs, in general, as well as on BSPs in migrant FOBs. The chapter also provides a comprehensive explanation on how the aims of this study have been met and how the research question of this study has been addressed. The findings have been discussed

carefully to ensure that the study's research question has been addressed and the research objectives have been met. The following conclusions have been drawn based on the findings of the study.

Factors affecting the continuation of migrant FOBs – convenience stores

During the interviews, it was found that, irrespective of owning and operating a convenience store, most convenience store owners preferred doing their weekly grocery shopping at supermarkets where they had access to a variety of products and were able to shop for all household items under one roof. Given an up-bringing in a Kiwi background and modernisation, it is apparent that the third generation approved this view even more than their families. Therefore, the continuity of convenience stores seems to be at stake.

Further, the recent increase in robberies facing convenience stores in New Zealand has posed a threat to the continuity and survival of the trade (Gillespie and Hall, 2017; Redmond and Gates, 2018; Winter, 2018). Redmond and Gates (2018) report that a Christchurch convenience store owned and operated by an Indian was robbed for the second time in just over a week in June 2018. The store owner said:

> *"They came with a crowbar, pushed my guy around and took cigarettes and whatever else they could get and left in two minutes."*

The first time the store was attacked, the victim was an attendant who was alone in the store when a man in his early 20s had entered the shop with a steel rod. The victim said:

> *"He slammed it (the rod) down on the counter and said 'this is a robbery'".*

This incident was then the latest in a spate of armed robberies at convenience stores across Christchurch and has store owners and staff fearing for their safety.

Redmond and Gates (2018) also report a similar robbery where another Christchurch based convenience store was robbed during the day. The store owner store mentioned:

> *"Before it was just break-ins at night. Now it's robbery with pistols. My wife doesn't want to work anymore; my mother doesn't want to work anymore. It's scary for me. What can I do? Police say 'you can't arm yourself'- no pepper spray, nothing- and the robbers are having a field day".*

Winter (2018) reports a convenience store robbery in Hamilton in March, 2018, where three teenagers armed with hammers entered a convenience store and one of the trio held the lone shopkeeper down while the other two stole the cash and tobacco. Winter further reports that an Auckland convenience store owner had died in 2014 following a robbery attack.

Having mentioned that there is a possibility that heirs may not want to take over the family-owned convenience store over a professional career, the diminishing demand for shopping at convenience stores and the reduced popularity of convenience stores at present because of threats (robberies, theft, violence) facing convenience stores, makes it clear that the future of convenience stores in New Zealand is at a risk. This may result in the closure of convenience stores which could possibly lead to the end of that trading opportunity.

Also, with a majority of respondents not having formally planned for business succession owing to various reasons, it is clear that the ethnicity factor is becoming somewhat ordinary and not so important in-spite of the responses given by the research participants. Especially, given that the heirs may not wanting to take over the family-owned convenience store over a professional career, it could result in the ethnicity factor becoming very 'vanilla' over time. The responses received from the research participants also suggest that irrespective of how deep they thought about the ethnicity factor, their actions somewhat failed to keep up with their thoughts about living up to their ethnicities.

Moreover, as explained in the discussion, owning a convenience store was a popular trade among migrants because it has a low entry-barrier that requires little or no skills. This helped migrants overcome the difficulties in finding employment in New Zealand and helped them make a living, establish themselves in New Zealand, and obtain permanent residency and citizenship over time. As a result, a large number of convenience stores in New Zealand have been owned and operated by migrants and it is still true. However, the various challenges facing convenience stores may result in the convenience store sector coming to an end. This could be a disadvantage for future intending migrants who hope to start in a convenience store business.

Factors affecting the continuation of migrant FOBs – restaurants

Recent changes in the immigration rules have imposed a threat to ethnic restaurants operated by migrants because the migrants need to earn at least $49,000 to be eligible for a

skilled worker visa (Tan, 2017; Otago Daily Times, 2017). Although this rule may not directly affect restaurant owners, it definitely affects the restaurant operations that depend on migrant workers as a part of the FOB. For example, the owner of a Thai restaurant (a Thai migrant) in Auckland where all the key staff, including the head chef and two sous chefs, were recruited from Thailand on work visas mentioned:

> *"My head chef has been with me for 12 years, and sous chef for 10, but both of them are not earning more than $49,000. If they have to go, then I don't know what will happen to my business."*

Additionally, the Thai restaurant owner believes that if he raised their wages, then any added cost would have to be passed on to the customers, and he said:

> *"But this is also not a solution, because with so much competition these days, they may stop coming. Any which way, it looks like we are fighting a losing battle".*

As with the convenience store sector, given that a majority of the research participants even from the restaurant sector had not formally planned for business succession, there was a possibility of the ethnicity factor becoming ordinary over time. Also, with the heirs may not wanting to choose taking over the family-owned restaurant over a professional career, no matter how intense the incumbents' idea about ethnicity was, it could still be considered as something normal and/or ordinary by the successors and this could result in these kind of businesses coming to an end.

The overall findings reveal that with other external factors affecting the decision for planning for business succession in migrant family-owned convenience stores and restaurants over powering the ethnicity factor and its impact on the same, the impact of ethnicity may not have any effect on the decision for planning for business succession at all in the future. Also, with modernisation and changing thinking patterns of the third generation/heirs of the current businesses, they may not adhere to and/or consider ethnicity as important therefore may not base their decisions on their ethnicity let alone the decision to plan for business succession. Nevertheless, ethnicity may become something ordinary and just another aspect which was once spoken of and not anymore. Thus, the overall findings reveal that potentially this study may be the penultimate study because of external factors that may see the low entry barrier to an FOB in a new country not being available in the future.

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APPENDICES

Appendix 1 – Semi Structured Questions

Semi Structured Questions Asked at the Interview

Note to all respondents:

I'm a PhD Student completing research at the Lincoln University, Christchurch. To progress my study, it is important that I have a clear understanding of a few details about your background and about your business in New Zealand and I'm hoping you are happy to help me by answering the following questions. Please note that you will be identified only by an anonymous code throughout the entire study and all information will be treated with utmost confidentiality throughout the entire process; your personal details will not be divulged to anyone under any circumstances. However, please feel free to let me know if you feel uncomfortable with any question(s); we can pass over them. Thank you for your kind cooperation!

Respondent No: _____

A. General Profile

1. What is your name?

2. What is the name of your business?

3. Please circle the age category to which you belong:

   a) 25-34   b) 35-44   c) 45-54   d) 55-64   e) 65 and above

4. To which ethnic group do you identify with?

(I wish to define what ethnicity is so that it will be easier for you to identify yourself; ethnicity is – *the ethnic group or groups a person identifies with or has a sense of belonging to.*)

- Chinese
- Indian
- Japanese
- Korean
- Thai
- Vietnamese
- Italian
- Other (Please specify)

5. Please circle your highest qualification:

a) Primary education

b) Secondary education

c) Tertiary education (underline appropriate qualification)

- Certificate or Diploma Level

- Bachelor Degree

- Honours Degree

- Master's Degree

- Postgraduate Certificate or Diploma Level

- Graduate Certificate or Diploma Level

- PhD

- Other (please specify)

6. In which country did you gain your qualifications?

B. Family-Owned Business Profile

7. Why did you/your parents decide to migrate to NZ?

8. Why did you decide to start/buy this business?

9. Are any of your family members involved in the business in the capacity of shareholders, employees, etc.?

10. If you are in a PARTERNSHIP; with whom are you in a partnership? (Spouse, any other family member, non-family member)

11. If you have SHAREHOLDERS; who are the shareholders? (Family members, non-family members, both)

12. Who are the employees working with you? (Family members, non-family members, both)

13. How important do you think it is to have family involved in the business?

14. To what extent do you have your family involved with you when making business decisions?

C. Business Succession Planning Profile

Now I wish to ask some questions about business succession planning. However, before I do that, I wish to explain the definition of business succession planning. – It is: *'an attempt to plan for the right number and quality of managers and key-skilled employees to cover retirements, death, serious illness or promotion, and any new positions which may be created in future organisation plans'*.

15. Do you have a succession plan for your business?

Q16-21 will be asked <u>ONLY</u> if the respondent <u>HAS</u> a business succession plan; Q22-24 will be asked <u>ONLY</u> if the respondent <u>DOES NOT HAVE</u> a business succession plan.

16. Is your BSP in anyway developed with your ethnic background in mind? If so, can you please explain?

17. Have you have done it differently if you were in your home country? If YES, please explain. If NO, please explain.

18. What made you think of having a business succession plan for your business?

19. Do your family members (children or heirs) show a genuine interest in taking over the business?

20. In what form is your succession plan currently held; is it formally documented, orally informed to the respective parties, discussed and decided among family, just kept in mind?

21. Approximately when are you looking forward to putting your succession plan into practice?

22. Would you mind sharing with me some of the reasons why you haven't developed a business succession plan?

23. What makes you think that your business does not need a succession plan?

24. In the case of your business, do you see any potential risks concerning the business in not having a succession plan? If YES, please explain. If NO, please explain.

D. Ethnicity Profile

25. How do you think your ethnic background influences the way you do business?

26. Why do you think that people from your ethnic background establish themselves in certain types of businesses?

27. Given your ethnic background, is it considered very important that you pass on your business to family members after your retirement? If YES, please explain. If NO, please explain.

Research Information Sheet

Date :

Dear Business Owner,

Research into the Impact of Ethnicity on Business Succession Planning in Small and Medium Scale Family-Owned Convenience Stores in Christchurch, New Zealand

My name is Hasni Atapattu, I am a PhD candidate from the Faculty of Agribusiness and Commerce at Lincoln University, Christchurch. I am studying the ethnic factors that give rise to business succession planning in family-owned convenience stores in Christchurch and I am seeking your voluntary participation in this study.

- What is the aim of this research? - a) To understand whether there is succession planning among various ethnic groups operating small and medium scale family-owned convenience stores in Christchurch, New Zealand; b) To determine the ethnicity factors that give rise to different styles/types of business succession planning in small and medium scale family-owned convenience stores in Christchurch, New Zealand.

- Is this study funded by any sources?- No. This study is for a thesis in partial fulfilment of the PhD requirements of Lincoln University; there are no outside sources involved in funding this study.

- Who has approved this study? – The study has been reviewed and approved by the Lincoln University Human Ethics Committee.

- Why have you asked me to participate? – Your business is one of many convenience stores within a five kilometre radius of the centre of Christchurch (known as the sample zone) that has been identified as possibly being an ethnic-owned business.

- What is involved? – One 45 minute interview with you covering the areas of your background, your family-owned business, your plan for business succession and your ethnicity. No information about business finances will be asked.

Appendix 2 – Research Information Sheet (cover letter) to Convenience Stores (continued)

- Do I have to participate? - No. Participation is voluntary; but I would appreciate your participation since I believe you will make a valuable contribution to the study's results. If you participate, you can, if you wish, stop the interview at any time. You may also withdraw (including any information you have provided) at any time until data analysis takes place (31 July 2016) by contacting me and requesting withdrawal.

- What if I don't want to answer some questions? – That is absolutely fine. You may ignore or pass-over any questions that you do not wish to answer.

- What about confidentiality? – Confidentiality and anonymity are guaranteed. To preserve anonymity, your responses will be identified only by a code that will be held securely and separately from your personal details. Your personal details and responses will not be made available to anyone other than the researchers, except for the Lincoln University Human Ethics Committee in the event of an audit of its processes. Also, please note that if responses from participants are quoted or used as examples in any publication of the study's results, it will be done in such a way that preserves anonymity.

- Will I get to see the results? - Yes you may if you request it on the day of the interview.

- How do I get involved – What happens next? – I will phone you within the next 5 days to ask if you have read and understood the contents on the study information sheet and if you would like to participate in the study. If you do, we will arrange a time when we can meet, either at your business premises or elsewhere based what is convenient to you to conduct an interview.

- What if I don't want to be involved? – That's OK; I will call within the next 5 days to hear your decision.

- Whom do I contact if I want to talk to them about the research? – If you are not happy with the interview and/or how it was conducted or if you have any other issue related to the research, kindly contact:

    a) Hasni Atapattu (researcher) on 022 0235 288 and/or
       Hasni.Atapattu@lincolnuni.ac.nz; and/or

Appendix 2 – Research Information Sheet (cover letter) to Convenience Stores (continued)

     b) Dr Anthony Brien on 03 325 3847/Anthony.Brien@lincoln.ac.nz, and/or

     c) Dr Neil Ritson on 021 0244 4684/Neil.Ritson@lincoln.ac.nz

Thank you for taking the time to assist me in my academic endeavours. The data collected will provide useful information regarding the effects of different ethnicities on business succession planning in small and medium scale family-owned businesses in general.

Thank you
Sincerely,

Hasni Atapattu

Research Information Sheet

Date :

Dear Business Owner,

Research into the Impact of Ethnicity on Business Succession Planning in Small and Medium Scale Family-Owned Restaurants in Christchurch New Zealand

My name is Hasni Atapattu, I am a PhD candidate from the Faculty of Agribusiness and Commerce at Lincoln University, Christchurch. I am researching the ethnic factors giving rise to business succession planning in family-owned restaurants in Christchurch New Zealand and I am seeking your voluntary participation in this research.

- What is the aim of this research? - a) To understand whether there is succession planning among various ethnic groups operating small and medium scale family-owned restaurants in Christchurch New Zealand; b) To determine the factors pertaining to ethnicity which give rise to different styles/types of business succession planning in small and medium scale family-owned restaurants in Christchurch New Zealand.

- Is this research been funded by any sources?- No. This study is for a thesis in partial fulfilment of a PhD as required by the Lincoln University and there are no sources involved in funding this research.

- Who has approved this research? – The research has been reviewed and approved by the Lincoln University Human Ethics Committee.

- Why have you asked me to participate? – Your business is one of many restaurants within a 5km radius of the centre of Christchurch (known as the sample zone) which has been identified as possibly being an ethnic owned business.

- What is involved? – One 45 minute interview with you covering the areas of your background, your family-owned business, your plan for business succession and your ethnicity. No information about business finances will be asked.

Appendix 3 – Research Information Sheet (cover letter) to Restaurants (continued)

- Do I have to participate? - No. Participation is voluntary; but I would appreciate your participation as I believe you make a valuable contribution to the research results. If you do participate, you can, if you wish, stop the interview at any time. You can also withdraw (including any information you have provided) at any time until data analysis takes place (31st July 2016) by contacting the researcher requesting withdrawal.

- What if I don't want to answer some questions? – That is absolutely fine. You may ignore or pass-over any questions which you wish not to answer.

- What about confidentiality? – Confidentiality and anonymity is guaranteed. To preserve anonymity your responses will be identified by a code, which will be held securely and separately from your personal details. Your personal details and responses will not be made available to anyone other than the researchers, except for the Lincoln University Human Ethics Committee in the event of an audit. Also note that if responses from participants are quoted or used as examples in any publication of the research results, this will be done in a way that preserves anonymity.

- Will I get to see the results? - Yes you may; upon making a request on the day of the interview.

- How do I get involved – What happens next? – I will phone you within the next 5 days to ask if you have read and understood the contents on the research information sheet and if you would like to participate in the research. If you do, we will arrange a time when we can meet either at your business premises or elsewhere based on your convenience to conduct an interview.

- What if I don't want to be involved? – That's OK; I will call within the next 5 days to hear your decision.

- Who do I contact if I want to talk to them about the research? – if you are not happy with the interview and/or how it was conducted or if you have any other issue related to the research please contact;

    d) Hasni Atapattu (researcher) on 0220235288 and/or
       Hasni.Atapattu@lincolnuni.ac.nz; and/or

    e) Dr. Anthony Brien on 033253847/Anthony.Brien@lincoln.ac.nz and/or

    f) Dr. Neil Ritson on 02102444684/Neil.Ritson@lincoln.ac.nz

Appendix 3 – Research Information Sheet (cover letter) to Restaurants (Continued)

Thank you for taking the time to assist me in my academic endeavours. The data collected will provide useful information regarding the effects of different ethnicities on business succession planning in small and medium scale family-owned businesses in general.

Thank you
Sincerely,

Hasni Atapattu

Appendix 4 - Consent Form for Research Participants

<div align="center">

Consent Form

</div>

Name of Project: Assessing the Factors Giving Rise to Business Succession Planning in Small and Medium Scale Family-Owned Convenience Stores and Restaurants in New Zealand

I have read and understood the description of the above-named project. On this basis I agree to participate in the project, and I consent to publication of the results of the project with the understanding that anonymity will be preserved. I understand also that I may withdraw from the project, including withdrawal of any information I have provided, up to the time of data analysis (31 July 2016).

☐ I consent to having an audio or video recording made of my interview.

☐ I do not consent to having an audio or video recording made of my interview, but agree to notes being made.

Name:

Signed: Date:

Appendix 5 – Data Analysis: Open Coding

Presented below is the list of codes (for example - A, B, C, etc.) and descriptions on each node (for example, – A1, A2, A3, etc.) representing those codes, that has been developed via NVivo 11 using the responses received by the research participants.

The codes have been developed by gathering material by topic, theme and/or case (for example – selecting the answers received from all research participants for the question *'how do you think your ethnic background influences the way you do business?'* and coding it at the theme 'influences of ethnic backgrounds on business practices').

The nodes act as containers for the coding that represent themes, topics and/or other concepts that allows gathering of related material in one place which helps look for emerging patterns and ideas.

Examples of actual quotes received from research participants which helped create codes (A, B. C., etc.) and the respective nodes (for example- A1, A2, A3, etc.) are presented in Appendix 6.

	Nodes	Description
A	**Influence of ethnic backgrounds on business practices**	
A1	Culture had made them what they were at present	Culture came first in everything the research participants' did.
A2	Tried to incorporate culture, traditions and customs in everything they did	Culture was a part of the research participants' identities.
A3	Ethnic background came first in everything they did	Ethnicity was considered as priority in everything the research participants' did.
A4	Ethnic background had a high influence on their business practices	Ethnicity directly affected the business practices of the research participants.
A5	Practiced religion before starting the day	Refers to religious practices/rituals observed and practiced prior to starting the day.
A6	Celebrated cultural and religious functions	Refers to celebrating and following cultural festivities.
A7	Practiced Thai Buddhist culture	These research participants were Thai Buddhists.
A8	Very traditional and conservative	Refers to being very strict and conventional about their respective ethnic backgrounds.
A9	Displayed symbolic cultural elements in the business place	Refers to the visible statues, slogans, prayers, ornaments displayed around the store.

A10	Living within their Vietnamese culture	Refers to the Vietnamese culture, traditions, beliefs, etc.
A11	Living exactly like in China	Living in New Zealand, the same way they would have lived in China.
A12	Have a responsibility to take forward	Refers to taking forward family responsibility as part of their ethnic practices.
A13	Following traditional trends followed by dad	Refers to following the footsteps of their fathers' in practicing traditions and culture.
A14	Loyal customers' from dad's time shop here	Refers to customer loyalty they receive from customers over the years.
A15	Living according to ethnicity	Centering their lives on their respective ethnic backgrounds.
A16	Living according to Brahmin culture	Refers to Brahmin culture, traditions, beliefs, etc.
A17	Family oriented and collective culture	Research participants who emphasized on family and collectivism rising from family.
A18	Responsible for family name and reputation	The research participants felt they were in charge of taking forward their family name and family reputation.
A19	Limited influence of the Vietnamese culture	Refers to not having their Vietnamese ethnicity affect their business practices.
A20	Strong Korean culture	Refers to how strong and conventional their Korean culture is.
A21	Brought up in a mixed environment	Research participants who were acclimatised in their respective ethnic backgrounds as well as in the New Zealand cultural background.
A22	Does not follow culture or traditions	Refers to not having their respective ethnic backgrounds interfere with any of their business practices.
B	**Reasons for people in the same ethnicity to get into similar types of Business**	
B1	Because they are always good at what they do	Research participants were confident about their ability to perform at their job.
B2	Chinese are always good at doing business	A perception held by Chinese research participants about their exceptional ability in doing business.
B3	Because it is a passion	Refers to engaging in business because it was their passion.

B4	Because they did not like to work for anyone	The research participants did not like to work under supervision.
B5	Because migrants had difficulty in finding jobs in NZ	Refers to labour market disadvantages facing migrants in New Zealand.
B6	Sikhs are always good at doing business	A perception held by Sikh research participants about their exceptional ability in doing business.
B7	Because having their own business brought pride to their families	Given their respective ethnic backgrounds, the research participants believed that having their own business brought in added pride to their families.
B8	Because Thai people were always good at restaurant business	A view held by Thai research participants that they excelled in the food services sector.
B9	Because it was good to be your own boss	Refers to not wanting to be bossed around by anyone else rather preferred to be their own boss.
B10	Because having their own business was always good	The research participants felt more self-content and/self-satisfied by having their own business.
B11	Indians were always good at doing business	A perception held by Indian research participants about their exceptional ability in doing business.
B12	Because migrants found it hard to find jobs in NZ due lack of English proficiency	Refers to the lack of English speaking skills which hindered the research participants from finding employment in New Zealand.
B13	Because they tried to follow others in the same community	Research participants followed community trends and patterns as a result engaged in similar types of business.
B14	Many Chinese in the community run a retail business	Providing evidence that most Chinese in the same community were engaged in the retail trade.
B15	Because many people found it attractive	Research participants found engaging in convenience store sector and restaurants as attractive businesses.
B16	Because Chinese disliked doing small jobs in NZ	A perception held by some Chinese respondents that they did not like engaging in casual work.
B17	Because dark skin prevented them from finding good jobs in NZ	Refers to labour market disadvantages facing migrants in New Zealand due to their skin colour.
B18	Because having a family business is a big achievement in the Chinese culture	A perception held by some Chinese research participants that having their own business was considered as an achievement.
B19	Because they tried to do something different from others and tried to do it best	Refers to those research participants who made an attempt to outstand the rest and tried to do their best.
B20	Because they wanted to continue with the family business	Refers to the need of wanting to continue with their family business.

B21	Because they had the need for fulfilling family responsibilities by taking over the family business	Thinking of continuing with the family business as fulfilling a family responsibility.
B22	Because they were comfortable with what they did	Research participants engaged in convenience store and/or restaurant business because they were comfortable with those sectors.
B23	Because they tried to work hard in the Japanese culture	A perception held by Japanese research participants that they were known for their hard work.
C	**The Importance of Passing the Business to Family Members upon Owner Reaching Retirement**	
C1	It's a Chinese cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Chinese.
C2	It's a Sikh cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Sikhs.
C3	It's a Thai cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Thai.
C4	It's a Korean cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Koreans.
C5	Not compulsory	Refers to those research participants who thought that passing on the FOB upon reaching retirement was not a compulsory practice.
C6	It's a Vietnamese cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Vietnamese.
C7	It's a Japanese cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Japanese.
C8	It was unfair/not practical to force a family member to take over the business	Some research participants were of the view that it was unfair to force a family member to take over the FOB again his/her will.
C9	It's a Malayali cultural practice	Passing on the FOB upon reaching retirement was an accepted practice in Malayali culture.
C10	It's a Punjabi Hindu cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Punjabi Hindus.
C11	It's a Brahmin cultural practice	Passing on the FOB upon reaching retirement was an accepted practice among the Brahmins.

D	Reasons for Migrating to New Zealand	
D1	For better education	Refers to migrating to New Zealand to provide kids with better education.
D2	To earn good money	Refers to migrating to New Zealand to make a better living and earn good money.
D3	For an improved life	Refers to migrating to New Zealand with the intention of improvising the quality of living.
D4	Migrating to New Zealand had been a trend in the late 1970s	Migrating to new Zealand after having followed a trend/pattern where many people in the community/neighborhood were migrating to New Zealand during the late 1970s.
D5	To reunite with families	Having migrated to New Zealand with the intention of reuniting with extended family members who were already living in New Zealand.
D6	To settle down in New Zealand	Having migrated to New Zealand with the intention of settling down.
D7	Political instability in the home country	Having migrated to New Zealand due to political issues in home country.
D8	Cannot remember and/or unaware of the reason	Having migrated to New Zealand during early childhood. Therefore unable to remember the reasons for migrating.
D9	Housing problems in the home country	Having migrated to New Zealand due to housing problems in home country.
D10	Wanting to have a quality life	Having migrated to New Zealand with the intention of having a quality life.
D11	Decision to migrate was dad's wish	Having migrated to New Zealand as it was as decision made by the father.
D12	Environmental pollution in the home country	Having migrated to New Zealand due to environmental pollution in the home country.
D13	For a good life	Having migrated to New Zealand for a good life.
D14	In search of a peaceful life and safe future	Having migrated to New Zealand for a peaceful and safe living.
D15	To start a new life with family	Having migrated to New Zealand to turn a new leaf in life.
D16	To live with relatives who were willing to support	Having migrated to New Zealand because extended family members were willing to support.

D17	Always dreamt of coming to New Zealand	Having migrated to New Zealand as means of fulfilling a dream.
D18	Immigration rule were not so strict	Migrating to New Zealand during a time when as the New Zealand Immigration policy was lenient and less.
D19	For a better opportunity	Having migrated to New Zealand for better living opportunities.
D20	Received an invitation from a customer to move to New Zealand	Having migrated to New Zealand upon receiving an invitation from a loyal customer, who mentioned of better living opportunities.
E	**Reasons for Starting/Buying/Taking-Over a Business**	
E1	Originally started by dad and now operated by the second generation	Father was the founder of the current business and it was operated by the second generation at present.
E2	Continuing with an inheritance from the family	Inherited the FOB from family and currently continuing with that inheritance.
E3	Duty of taking care of dad's business because dad is too old now	Continuing with the FOB as father has reached age of retirement.
E4	Took over dad's business after dad passed away	Continuing with the FOB upon the passing-away of the father.
E5	Took over dad's business in order to fulfil dad's dream	Continuing with the FOB as means of fulfilling father's dream.
E6	Compelled to take over dad's business due to ill health of dad	Forced to take-over the family business upon father falling ill.
E7	Took over the business as a duty of taking over family responsibility	Continuing with the FOB as means of fulfilling family responsibility.
E8	It is a Chinese tradition	Because taking over the FOB was a Chinese cultural practice.
E9	I find it interesting	Continuing with the FOB as it was found to be interesting.
E10	Having my own business is better than working for someone else	Continuing with the FOB as it was beneficial and self-satisfying than working under supervision.
E11	Gives me pride	Continuing with the FOB as it helped gain self-pride.
E12	Self-importance	Continuing with the FOB as helped gain self-importance.
E13	Did not like to work under anyone	Continuing with the FOB as means of not wanting to work under any supervision.

E14	Put an idea into practice	Having started a FOB as means of putting an idea into practice.
E15	Dad started the business with me	Having started the FOB along with father.
E16	Because I didn't want to go to University after high school	Having taken-over the FOB because the research participant had no desire to continue with tertiary education and/or pursue a different career.
F	**Involvement of Family in the Business**	
F1	Did not want women in the family getting involved in the business	Refers to research participants' who did not approve of involving women in the family in the FOB.
F2	Just myself in the business at present	Not having anyone involved in the FOB expect for themselves.
F3	Having dad involved in the business	Having father involved in the business.
F4	Having husband involved in the business	Having husband involved in the business.
F5	Having dad's help occasionally	Receiving occasional support from father.
F6	Retired parents	Self-involvement in the business and having retired parents.
F7	Having other non-family employees	Having non-family employees in the business.
F8	Having brother involved in the business	Having a sibling involved in the business.
F9	Having wife involved in the business	Wife was involved in the business.
F10	Mostly it's me	Received occasional support from family, but mostly it was self-involvement.
F11	Get help from son occasionally	Received occasional support from son.
F12	Me and my son	The business operated with the involvement of the research participant and their son.
F13	Me, my brother and my dad	The business operated with the involvement of the research participant, their father and their sibling.
F14	Me and my sister	The business operated with the involvement of the research participant and their sibling.

G	**Family Involvement in Business Decision Making**	
G1	All decisions were made by the respondents themselves	No-one else were involved in the business decision making process other than the research participant.
G2	Received dad's support occasionally when making decisions	The research participant's father supported occasionally in the business decision making process.
G3	Made joint decisions with family	All business decisions were made jointly with the family.
G4	Made decisions with business partners	All business decisions were made along with the business partners.
G5	Occasionally got help from son when making decisions	Business decisions were made with the occasional support received from the research participants' sons.
G6	Son makes the decisions	All business decisions were made by the son.
H	**The Impact of Ethnicity on Planning for Business Succession**	
H1	Having their culture/ethnic background in mind	Refers to having their ethnic background in mind in planning for business succession.
H2	No involvement of their ethnic background	Refers to not having their ethnic background in mind and/or not having their ethnic background involved when planning for business succession.
H3	Not willing to force their children into taking over the family business	Did not prefer pushing and/or forcing their children into taking-over the FOB.
I	**Location Impact on the BSP Decision**	
I1	No difference	Living in New Zealand did not affect their decision for planning for business succession rather their BSP decision was made in accordance with their respective ethnicities in mind.
I2	Unsure about the circumstances	The research participants were unsure if their decision for planning for business succession would differ if they were in their home countries.
J	**The Reasons behind the Decision for a Business Succession Plan**	
J1	To preserve family reputation	BSP was done with the intention of maintaining their family reputation.
J2	Concerned about child's future	BSP was done having their child's future in mind.
J3	To keep the business going even after they were dead and gone	BSP was don because they wanted the business to continue even after their expiration.

J4	To continue with dad's efforts	BSP was done with the intention of continuing with their fathers' efforts.
J5	To fulfil family responsibilities	BSP was done with the intention of fulfilling family responsibility.
J6	Following culture and traditions	BSP was done as a measure of following culture and tradition pertaining to the respective ethnicity.
J7	Concerned about the success of the business	BSP was done because the research participants were concerned about the success of the business.
J8	Considered the business as a part of the family	BSP was done because the research participants had an emotional attachment with the FOB therefore considered the FOB as a part of the family.
J9	Inspired by father	BSP was done because the research participants were inspired by their fathers' who had done the same.
J10	No particular reason	There was no particular reason for planning for business succession.
J11	Certainty about giving the business to son	BSP was done as the research participants were sure of passing on the business to their sons.
J12	Considered it as an honour to own a business in a foreign country	BSP was done as owning a business in a migrant country was considered as an honour.
J13	A community practice	BSP was a practice in their respective communities.
J14	Afraid to see the business shut down	BSP was done as the research participants were afraid of the business being shut down instead worked towards its sustainability.
J15	Not everyone is lucky to have a business like this	BSP was done thinking of the continuity of the FOB as not everyone was lucky to own a FOB.
K	**Heirs Interest in Taking-Over the Business**	
K1	Children were very interested in taking over the business one day	The heirs were very interested and willing to take-over the FOB.
K2	Usually the family business belongs to the son and not the daughter in the family	Referred to a common belief among many Asians in the research sample where women in the family were discouraged in getting involved in the FOB.
K3	Unsure about son's future interests	The research participants were not sure if the heirs were willing to take-over the business.
K4	Too soon to decide on it	Heirs were still too young to decide on if the FOB would be passed on or not.
K5	Newly married and no kids as yet	A BSP could not be developed as yet as there were no heirs.

K6	Children were not very interested or had different ambitions	The heirs were least interested in taking-over the FOB as they chose to follow different career options.
L	**The Nature of the Business Succession Plan**	
L1	Discussed with the family	Refers to having discussed the BSP within the family which is an informal way of having the BSP:
L2	Had it in the back of the mind	Refers to having the BSP as an idea at the back of the mind which is an informal way of having the BSP.
L3	No need to document family traditions	Did not find the need to document the BSP as passing on and taking-over the FOB was a tradition in their ethnic background.
L4	Still had discussions going on in the family	Refers to having the BSP still being discussed among the family and not having arrived at a decision as yet.
L5	Had it documented	The BSP was formally documented.
L6	Children were aware of their responsibilities – no need for documenting	Did not find the need to formalize the BSP as the heirs were thorough with their responsibilities of taking-over the FOB and the incumbent was clear when to pass on the FOB.
L7	Discussed already and looking forward to documenting soon	The BSP was discussed among family and decided on, and was yet to be documented.
L8	Just a thought	The BSP was only a thought which had occurred.
M	**The Time to Fulfil a BSP**	
M1	Upon completion of son's education and when he is ready to take over the business	The BSP was to be put into practice after the heirs (sons) had completed their education and was ready to take over the FOB.
M2	Upon completion of daughter's education	The BSP was to be put into practice after the heirs (daughter) had completed their education and was ready to take over the FOB.
M3	When we are old and not capable of doing business anymore	The BSP was to be put into practice upon the retirement of the incumbent.
M4	Not decided because child is too young	The time for executing the BSP was not decided as the heirs were still too young.
M5	When the time is right	The BSP was to be executed when the incumbent was sure it was the right time.
M6	Before the end of 2016	The BSP was to be put into practice by the end of year 2016.

M7	Already put into practice	The BSP was currently practiced.
N	**Reasons for not having a Business Succession Plan**	
N1	Not given a thought as yet	The need for having a BSP had never occurred.
N2	Unsure about child's future ambition and interests	Did not have a BSP has the research participants were unsure about the heirs interests in taking-over the FOB.
N3	Still too early to think about retirement	The incumbents had not planned for business succession as it was too early to think of retirement rather they preferred to be working harder.
N4	Too busy to think	The incumbents were too busy with business operations and had no time to think of BSP.
N5	Focused more on the present	The incumbents were mostly focused on the present and not on the future of the business.
O	**The Potential Risks of not having a BSP**	
O1	No risks	Not having seen any potential risks of not having a BSP.
O2	No risks at the moment but unsure about the future	Did not know what risks lie ahead in the future.
O3	See potential risks coming their way	Being aware of potential risks that could occur by not having planned for business succession.
O4	Waiting for something good to happen for the business in the long-run	Being irrational and mythological and hoping that something good will happen for the business in time to come.

Appendix 6 – Data Analysis: Examples of Reference to Nodes

The following are examples of actual quotes received from research participants with reference to developing codes (for example- A, B, C, until O) and creating nodes (for example- A1, A2, A3, until O4.). Presented below is a demonstration of quotes from research participants for the first five nodes for codes A, B, C, D, E, F and J (as these had more than ten nodes) and all nodes for codes G, H, I, K, L, M, N and O.

A complete version of quotes for all codes (for example - A, B, C until O) and all relevant nodes (for example – A1, A2, A3 until O4) is available should be request.

A. Influence of ethnic backgrounds on business practices
A1.   Culture had made them what they were at present

- What we are is because of our strong culture.

- Even we live outside China, we always live in our won background. We eat our food, we speak our language, we move with our community. Even in business, it is the same.

- There isn't one thing in particular. I think our ethnicity and our culture are put into everything we do.

- Although we are far away from our country we always live according to our religion and culture. We do business also the same way.

- I think it influences us in everything we do and not only business. The always live according to our culture.

- Like I said before, it is not only in business but everything we do comes from our background.

- In what I think, our ethnic background influences us in everything we do and this is the same with business as well.

- We always live with our Korean culture and tradition in mind. So it is the same when we do business. We are always very hard working.

- I think its in everything we do.

- We live by our culture and traditions every day.

- I think our ethnic background comes first in everything we do, not only in business.

- I think we live with our culture and traditions.

- It's not only business but everything we do comes from our culture and it comes from our ethnic background.

- Well, from the day I was born I have lived with my culture and traditions. Our culture has always been a part of us and it applies to doing business as well. We do not have to make an effort

A. **Influence of ethnic backgrounds on business practices**
A2. *Tried to incorporate culture, traditions and customs in everything they did*

- We do business according to our Sikh culture and traditions. Not only business, everything we do is done with our culture and background in mind.

- Our Malayalam culture and tradition is there in everything we do and not only in business.

- We try to incorporate our culture, our traditions and our customs more-or-less in everything we do. So this applies in the language we use at home, the food we eat and the people we associate with. So it applies the same in doing business as well. For example this laughing Buddha lying on my table – this is expected to bring wealth and prosperity. So yes, my ethnic background does influence on how I do business.

- Even if we live away from China, we always try to live according to our culture and traditions. So I think our ethnic background influence us in everything we do.

- Yes because we live in our culture always. We follow our traditions.

- Ethnicity is something we live by every day. It influences us in everything we do and not just business.

- We do business in our traditional way. We have tradition and culture in everything.

- If we the take the Chinese culture, we as Chinese always live with our traditions. So this applies to how we do business as well.

- If you are referring to from where I come from and the culture from my origin, I'd say we do practice our culture and traditions in the best way we can. Whether it be the food we eat, the language we speak or the way we do certain things, culture, tradition, customs, rituals comes first always. This also applied to the way my dad did business and to a great extent to how I do business.

- I think our ethnic background including our culture and traditions influences us not only in business but also in our day-to-day lives. Especially because my parents live with us, our home is very traditional and so is our business.

- We have rituals and customs we follow every day in everything we do

- We are very close to our community living here so ethnic background matters to us in everything we do. It is the same when it comes to business as well.

- This is how we were raised by our parents. We always have a very close connection with our community here in Christchurch and we try to follow most of traditions and live within our culture as much as we could and this is how we raise our kids as well. So it applies to the business in the same way.

A. Influence of ethnic backgrounds on business practices
A3. Ethnic background came first in everything they did

- Yes, our ethnic background always comes first in everything we do.

- My ethnic background comes first in everything I do

- So basically our ethnicity matters to us in everything we do.

- I think our ethnic background plays an important role in everything we do.

- Our ethnicity matters to us in almost everything we do

- Our ethnic background always comes first in everything we do. So I think it's the same with business.

- think it influences us in everything we do not just business.

- Although we live in a foreign country, an English speaking country we have always lived according to our traditions.

- I think our ethnic background is number one to us in everything we do.

- I think my ethnic background always comes first in everything I do whether it be family life or business.

A. Influence of ethnic backgrounds on business practices

A4. Ethnic background had a high influence on their business practices

- It always comes first in everything I…we do.

- May be yes. This is an Asian food store. This is why I have two Asian boys working for me. Many of our customers are from Korean community or Asian community.

- Our ethnicity plays a major role in basically everything we do. So it is the same when it comes to doing business.

- It's not only in business, but in everything we do. We should never forget our roots.

- I suppose yes.

- Well, from the day I was born I have lived with my culture and traditions. Our culture has always been a part of us and it applies to doing business as well. We do not have to make an effort to do business according to our culture or traditions, it just happens naturally.

- Our ethnicity influences us in everything we do. It's just not one particular thing, but it matters to everything.

A. Influence of ethnic backgrounds on business practices
A5. Practiced religion before starting the day

- Before we start our day we practice our religion with Pooja and offerings. We recite our religious sutras.

- Before we start our business every morning we follow our religion. We have certain customs like Pooja and offerings, bajans and recitals.

- Like for example, before we start our day we have our poojas and offerings and religious recitals,

- Our belief is in Guru Nanak Dev and we ask for his blessings in everything we do. We take his blessings before start our day and before we go to bed. We praise him with bajans and have our poojas for him.

- We are hindus and we are strong believers of our religion. We believe in thirty three million gods. We start our day with our religion and make sure that the blessings of these Gods are with us throughout the day.

B. Reasons for people in the same ethnicity to get into similar types of businesses
B1. Because they are always good at what they do

- Because we are good in doing business.

- I suppose it's because they are good at it. I know of many people in our community who is in the restaurant business.

- I don't know the correct reason. But I think it's because they are good in doing business.

- I think it's because they are good at doing business

- they are good in what they do.

- Because they have good knowledge to do business.

- It also may be their preference and what their good at doing.

- Because they are good in what they like to do.

- We also like to get into business we like to do and which we are good at doing as well.

- Because they are good in what they do.

- Probably because they are good at doing it. They also find it comfortable.

- I think it's because they try to do what they like to do and what they are good at doing the most.

- I think it's because its makes them feel comfortable and they are really good at doing what they are doing.

- People in our community our generally good in doing business.

B. Reasons for people in the same ethnicity to get into similar types of businesses
B2. Chinese are always good at doing business

- Chinese have always been great businessmen throughout history.

- Probably because we Chinese are good at doing business.

- Chinese people always good in doing business.

- Chinese are known for their business skills, I'm sure you have heard about it as well

- Chinese always good in business.

- Chinese are always good at doing business.

- I think this is mainly because Chinese are always good in business

- Chinese are always good at doing business.

- Chinese are always good in doing business and they always work hard.

- Doing business is what we do best.

- Because we are good in doing business and making money.

B. Reasons for people in the same ethnicity to get into similar types of businesses
B3. Because it is a passion

- I think its because they try to do what they like to do.

- they are good at doing what they like to do.

- Because they like what they do

- I think its nothing surprising, anyone could start up on something they like to do.

- they have a passion in what they do.

- May be because they like to do what they do and also they do what they like to do the most.

- I think this is because they start doing what they like to do

- Probably because they enjoy what they do.

- Because they always try to get in to businesses which they like to do and which they are good at doing.

- When something becomes your passion, it is way easier to succeed.

- May be because they are comfortable doing what they like.

B. Reasons for people in the same ethnicity to get into similar types of businesses
B4. Because they did not like to work for anyone

- I think its mainly because we don't want to work for someone.

- most Sikhs don't like to work for anyone

- I think as Sikhs we like to have our own business more than working for anyone else.

- Brahmins will never want to work for anyone because we the highest in the Indian society and because of this they will always have their own business.

- I suppose it's because many from our community like to have their own business rather than to work for someone else and they always perform well in what they do.

- Many people I know form our community does not like to be working for anyone so they prefer to have their own business.

- Also could be that having your business and not having to work for anyone makes you feel good about yourself, it surely helps me.

B. Reasons for people in the same ethnicity to get into similar types of businesses
B5. Because migrants had difficulty in finding jobs in NZ

- There is also a problem for many of the migrants like us to find good jobs in other countries so this is also one reason why people from our community start their own business.

- When we come to countries like this, most of the time it is difficult to find a good job in the market because of dark skin. So this really push us to start our own business even in small scale.

- I also think that Indians because of their skin colour find it hard to find good jobs in countries like this and because of this reason many Indians try to start their own business even at a small scale.

- When we come to foreign countries like this it is difficult for us to find good jobs because no one like to give us jobs. We don't speak good English and we cannot communicate like them. So this is why many Thai try to start own business.

- I think it is because they don't get to find good jobs in this environment is why they try to start something on their own.

- From what I know, we Koreans find it very difficult to find good jobs in countries like this. This is exactly what had happened to dad as well. He couldn't find a good job here and this is why he decided to start something of his own. So I think this is the main reason why many people start similar businesses.

C. The Importance of Passing the Business to Family Members upon Owner Reaching Retirement

C1. It's a Chinese cultural practice

- In the Chinese culture, usually the dad's business is continued by the son; this would not apply in the same way for daughters. Back in those days many people wished to have sons and not daughters; but now times have changed. A business that has been passed over to many generations is usually considered as a significant business in our culture.

- In our culture yes. The whole Chinese culture it is like this. Business is always passed down from father to son in most generations. This helps to continue with the family name and pride.

- In our culture, yes it is important.

- In Chinese tradition, father will always give his business to son or daughter. Many Chinese families only have one child and the business belong to that child. When father retire like me, he will give the business to child.

- In our Chinese culture, usually the dad's business is continued by the son. It has been the practice for a very long time.

- Yes, so as I explained before this is a part of a culture and tradition and this is how a family business will operate from one generation to the next.

- Yes, this is a normal practice in our culture.

- Yes yes because this is normal things. Father business always belong to son one day.

- In our culture yes. Its all about family pride.

- Our Chinese culture is very family oriented. In this cultural a father's business is normally done by the son. This is how we continue with our family pride and family name. Having a family business adds value to us in our community.

- Yes we have to give our business to our son and he will give the business to his son and so on.

- This normally happens in our culture and this our tradition.

- In our culture this is very important.

- In our Chinese culture, usually the dad's business is continued by the son. It has been the practice for a very long time.

- The Chinese culture yes! Its once again a pride and respect to the family.

- Yes.

- Our Chinese culture is always family first culture. For us, it is always better to have our own business and not work for anyone else. So this is why family business is very famous in our culture.

- Yes, it is true. Passing down the business to family members especially, father to son is something important in our culture.

- yes it does. It is a tradition in our culture.

- I suppose it is tradition.

- Yes, it is sort of a tradition in our culture.

- In our culture and tradition, we always have pride in doing our own business. Running a family business is big value to us.

- Yes, it is important that we pass down the business to our family members. This a part of our tradition and brings so much pride to the family.

C. The Importance of Passing the Business to Family Members upon Owner Reaching Retirement
C2. It's a Sikh cultural practice

- In our Sikh culture yes it is very important. This is like a symbol of our culture and tradition.

- I think it is very important because puts the family on top and increase the reputation of the family.

- Yes. By doing this, we add value to our family and social status.

- Like I said before it is a part of our Sikh culture and tradition.

- it is a practice in our Sikh culture and it is duty to continue with this tradition.

- Yes, it is very important that we do it because this is about family reputation and social status.

- Passing down the family business into the next generation is a general practice in our culture and it is important.

C. The Importance of Passing the Business to Family Members upon Owner Reaching Retirement
C3. It's a Thai cultural practice

- In Thai culture, family business is important. We have many family business in Thailand and these happen for many years. These families are very respectable and have very good name in the country. Always father's business go to children and this is how family business happen for many years.

- think yes it is important. A family business is a valued thing in our community. So the family must make sure that it will continue from generation to generation.

- As I said before, this is said in our culture and usually this is how it should happen.

- Yes, this is a tradition in our culture. A family business is always considered very high. This brings pride to the family and its always good for the family name that we continue the business from generation to generation.

- In our culture yes. As I said before, a family name is taken forward by doing this.

- Yes, usually a family business in our culture is passed down from one generation to another.

- In the Thai culture, a family business is normally passed down from father to son and this keeps happening from one generation to the next. By doing this there is pride and respect for the family and such businesses are respected in our society.

C. The Importance of Passing the Business to Family Members upon Owner Reaching Retirement
C4. It's a Korean cultural practice

- Generally in our culture, the father's business is given to the son.

- in our Korean culture this is the normal way it happens.

- This has been tradition in our culture for a long time, and yes, it is a good thing because this is how a family name continue with respect in our culture.

- Yes, there is something like that as well. They believe that this brings pride to the family. But in our case our kids are too small and we have not actually discussed about this.

C. The Importance of Passing the Business to Family Members upon Owner Reaching Retirement
C5. Not compulsory

- Some follow this and some don't. If the son is interested then it is okay but if the son is not, the father cannot force the son into the business.

- In our culture yes, but I wouldn't agree with it.

- it is somewhat important but not if the next generation is not interested in taking over.

- It is not compulsory.

D. Reasons for Migrating to New Zealand
D1. For better education

- They wanted to give me a good education

- We also think about our son's education.

- good education

- and educate us well and this is why they have moved to New Zealand.

- to give me good English education

- My father wanted me to study in good English and that is why he came here.

- my dad wanted to educate me in English because China didn't provide good English education and this is probably why he moved to NZ.

- he wanted me to have the very best in education and this I suppose is why he moved here.

- dad always wanted to educate me in English and this was probably why he brought me here.

- my parents wanted to educate me well

- wanted us to be educated well and live in a English speaking country.

- good education for me

- good English education,

- but from what I think its because dad wanted us to study well

- My dad wanted to provide me with proper English education, which was not available in China.

- My dad had wanted to give us a good life with a good education and this has been why he had decided to move out of Thailand.

- My parents moved here with me because they wanted to educate me in English

- good education

- They also wanted to educate me well.

- better education and things like that.

- My parents wanted to educate me well; give me a proper English education which was not available in China.

- Especially in terms of educating children

- My education was one reason

D. Reasons for Migrating to New Zealand
D2. To earn good money

- to earn good money

- The word around has been that New Zealand was good to make money

- and to make a better living

- easy to make good money.

- able to make good money

- to make good money

- to earn some good money

- good money

- able to earn more money;

- to earn money

- making a better living.

- earn good money

D. Reasons for Migrating to New Zealand
D3. For an improved life

- to have a better life here.

- I suppose my parents wanted to migrate to New Zealand for an improved life

- my father wanted to make sure that we had a good life

- Perhaps he wanted a better life for our family,

- I suppose my dad wanted us to have a better life

- He also wanted to buy a house in Christchurch, make more money, have his own business and live a happy life.

- But from what I have heard I think my parents moved here for a better life

- I suppose they thought that New Zealand could provide our family a better living;

- to buy a house and build life here.

- wanted to make a good living

D. Reasons for Migrating to New Zealand
D4. Migrating to New Zealand had been a trend in the late 1970s

- Many people in our area and community were migrating at that time.

- China at that time had been having many problems so many people had moved out of the country and this had been sort of a trend.

- Many people in our village were moving to New Zealand because China had many political problems and it was not good for business.

- My family come to Christchurch in 1998 because many friends of my father from Chengdu come here to start business.

- There have been many from our city who had actually migrated to New Zealand.

- Many people from our community had migrated to New Zealand and to Australia so this why my family also decided to migrate.

- at that time many people form my village in Thailand were moving out of the country.

- So many people from my village have migrated to different countries.

- We had a few families in our village that moved to New Zealand and during that time migrating to New Zealand was becoming very popular among villagers.

D. Reasons for Migrating to New Zealand
D5. To reunite with families

- Dad's older brother and parents were in Christchurch so he wanted to join them

- My dad had his relatives staying in Wellington and Christchurch.

- I came to New Zealand in 1997 to join with my husband.

- My father had his family living here, so he wanted to join them.

- My dad also had his relatives here so we had family in New Zealand.

- My dad had his relatives in the North Island and he had wanted to reunite with his family.

E. Reasons for Starting/Buying/Taking-Over a Business
E1. Originally started by dad and now operated by the second generation

- This business was started by my father a few years after we moved to New Zealand.

- I suppose he saw potential in Christchurch for the exact sort of business which he wanted to start. So we moved to Christchurch in 1990 and this business was started by my dad.

- This business was originally started by my father,

- This store was originally started by dad

- This business started by my father in Cashmere before.

- Dad started this a few years after we moved here.

- The restaurant was started by my father and now I do it.

- This restaurant was my dad's idea which he put into practice. He had good knowledge and experience about running a restaurant because he had one back home as well.

- This restaurant was started by dad in Wellington a few years after we moved in.

- So as I said before, this business was originally started by my dad.

- My dad started this restaurant many years back and now I run it.

- This restaurant was started by my dad in a very small place.

- The restaurant was Abu's idea and his dream come true. Just as we moved in Abu worked in many jobs and with the money he saved is how he started this

- This is not what I started, this was founded by my father in 2001

- My father started this restaurant because he know how to do restaurant business

- The founder of this business is my dad.

- This was actually started by my father many years ago

- This restaurant was started by dad

- My dad started this restaurant fist as a take away joint

- I did not start this, my dad did.

- This was started by dad

E. Reasons for Starting/Buying/Taking-Over a Business
E2. Continuing with an inheritance from the family

- I came into this business in 2000 when I was 26 after my father gifted his business to me.

- Dad developed this business to during his time and made sure the business did well. This was gifted to me by him after de decided to retire.

- This is Papa's gift to me. Papa gave this to me on my 26th birthday.

- My dad insisted that I joined the business soon after I completed my studies at UC in 2006.

- However, he had his grand uncle living in Christchurch, and he had his own business. The business was doing well, and my grand uncle wanted my dad to take over the business as he was old and was unable to continue with it. So we all moved to Christchurch in 1994. This store was a present to my dad and now I'm taking care of it because my dad has retired.

- My dad and grandfather started this whole restaurant business and my dad continued with it after his dad now I am continuing with it after my dad. This is what makes it a family business.

- My parents started this and now I do it.

- So after he decided to retire from the business, I took over his business.

- My parents started this business many years back and now after my parents retirement I take care of it.

- My dad started this restaurant many years back and now I run it.

- I joined the business after I left college. I worked with dad for a short time and now he has given me the responsibility of running this place.

- This is my dad's restaurant and after his retirement he gave this to me.

- I had a responsibility as the only son in my family to take over my father's business.

- Dad and mom started this restaurant together and now I have taken it over from dad.

- I came into the business a few years back after I completed my studies.

- Now he is no more and before he leave the business he gave business to me as present.

- I came into the business after he decided to retire.

- I run this place after them.

- This restaurant was started by dad and later he gave it to me.

- This was dad's concept and this is how he made a living and now I am running this place

- later it was given to me.

E. Reasons for Starting/Buying/Taking-Over a Business
E3. Duty of taking care of dad's business because dad is too old now

- Of course my father is old now, and it is my duty to run the business.

- as the eldest in the family it is my duty and responsibility to take over Pita's business.

- My parents are old now and they are relaxing at home. They have done their part and now it is our time to take this over. Me and my brother Arvind are doing this now.

- he is retired now and I'm the only boy in the family who could take up his responsibilities so I take care of it.

- My grandfather is no more now, and my uncle and my dad our old and not able to work like how they used to, so I run this business now with my uncle's son Indrajot.

- So after he decided to retire from the business, I took over his business.

- He is old and unwell now, so it is my responsibility and duty as his only son, to continue with his business.

- I did not start this business; I'm just running my dad's business. He actually gifted it to me because he thought he was too old to run it

- So this business was started by my dad few years after we moved here. He started this very small and gradually built it. I joined the business when I was 24 and worked for a while with dad and later on took over the entire responsibility as the only child in the family and now I run the store.

- This was my dad's business and eventually was given to me after he retired. This is what I do for a living.

- This was started by dad, a few years after we came here. So now he is too old to take care of it, this is why I am doing it. This is my job.

- So now he is too old to continue with this and I took over a few years ago.

E. Reasons for Starting/Buying/Taking-Over a Business
E4. Took over dad's business after dad passed away

- After my father died in 2013, I moved the restaurant to this place and opened it here.

- Once I completed my studies dad got me involved in the business and branched it out to Christchurch. Dad is no more now and I run the business now.

- He passed away a few years back and soon after I completed high school I joined his business. I was never a good student at school and probably studying was not what I wanted to do. So I joined this business at the age of 17.

- Now he is no more with us and as soon as I completed my higher studies, I joined the business with him.

E. Reasons for Starting/Buying/Taking-Over a Business
E5. Took over dad's business in order to fulfil dad's dream

- This is also my dad's wish.

- Dad trusted in me always. He had this untold faith kind of thing and he knew I wouldn't let him down. He never told me this, but I was well aware of it. Soon after I graduated from college, he asked me if I would like to take over the business. This is how I got myself into this business.

- When dad fell ill, I couldn't just let it die off. I had to convince dad that I would keep his pride going.

F. Involvement of Family in the Business
F1. Did not want women in the family getting involved in the business

- My wife and I run this business now.

- In our Sikh culture we do not have women in business. But now times have changed and there many women doing business. But in our family tradition we don't take women into business. Our women take care of the house and family.

- Women in our culture always help us with all the household work and taking care of the family. My wife Jita does the same. She take care of our family. Many people say that Sikhs don't get women involved in business. I don't agree with that. It is not that we don't get them involved, their involvement in the business is to help the men in the family to run the business without any trouble.

- Women in our culture generally don't involve in the business. This is the usual practice. But I don't see anything wrong in having women involved in the business.

- Chinese family businesses are usually done by the sons in the family. If the child in the family is a daughter, some parents may want to gift the business to the daughters at their wedding ceremonies as a gift for the newly wedded couple so that they could continue with the business. We usually don't get our wives involved in the business. Doing business and earning a living for the family is a man's job and the wife is expected to take care of the family.

- No women in the business.

- My wife is not full time in this because she has her own cleaning business. But she drops by once in a while. In our Chinese culture we usually don't have women involved in the business. Its more like where women take care of the house and the family. But in my case, my wife has her own business which she likes to do and I support her with what I can. I guess I have made minor adjustments to the usual Chinese way of doing things.

- Mom helped dad and they had started this together and now I do the same with my wife.

- My mom lives with us. My wife takes care of my family. We have two children.

- In our culture a woman's duty is to take care of her family and this is the best support she could give her husband.

- I wouldn't want to be negative on having women in the business yet in our Chinese culture women usually don't get involved in the business and its always the men. My mom never got involved and so is my wife.

- In our Taiwanese culture women are not involved in the business. This is the same in the Chinese culture as well.

- Our culture says no women in the business. But now many women are involved in business. Some people follow the traditions and some don't.

- My personal opinion is that women should be based at home because their duty is to take care of family and children and look into household matters. If women also start doing business who will take care of the family? Who will look after the children?

- In our Sikh culture even back home, women are usually not involved in the business. Women are kept busy at home with kids and household stuff. I personally don't see anything wrong in this.

- From what I know in our Indian culture we hardly see women getting involve in the business but times have changed now. I personally think there is nothing wrong in getting women involved in the business. My dad started this restaurant with my mom and look he has become a successful entrepreneur. My wife is a lecturer by profession so it's different in my case that I don't get her into the business. But in general, I don't have a negative opinion about this matter.

- Too much of trouble. Women are always good in taking care of family and household so I think its best they stick into that and let the men in the family do the business.

- In Thai culture, women always good in doing business. Women more faster and able to do more work even man's work. If you go to Thailand you can see that always women do business. Women can work hard for the family just like man.

- In our culture women are generally more workaholic than men. If you go to Thailand you will see what I mean. It's always women who work really hard whether it be restaurants, groceries, street shops, markets anything. Unlike most Asian countries where women are not involved in business our Thai culture is different.

- I am sure you are asking me this because most Asian cultures don't encourage women to get into business. Fortunately the Thai culture holds a different opinion on this matter. In Thailand a majority of the workforce are women. Women work in practically all sectors and industries across Thailand. So we have no barriers in getting women involved in the business and its always good to have man's opinion and a woman's opinion about a matter because women see thigs differently from men.

- I think there's nothing wrong in having women involved in the business. If you look at from where I come from, a majority of the workforce is made up of women. I think that women are capable of doing everything that men do.

- There is nothing wrong in it. It's just that our wives have decided to become housewives by choice and there is nothing wrong with that either.

- In Thailand women do most of the work. So there is nothing wrong with women getting involved in business.

- I think it's a good thing to have women involved in the business and this is a normal thing in our Thai culture.

- I don't see anything wrong in having women involved in the business; in my case its just that my wife stays at home to take care of the family.

- I think it's a good thing to have women involved in the business. Unlike back then, today there are so many women around the world involved in business and I think it's a good thing.

- I think it's something very important and useful.

- My wife stay at home and take care of the family because we have two kids. I think it is much better when women stay at home and support by taking care of the family.

- I think it depends on the situation and on the person.

- I think it's something very important in the modern world. Women can work just as men and there is no difference in their ability.

- I think it's a good move.

- I don't see anything wrong in having women involved in the business. In Japan we have many women doing business.

- I have my wife involved in the business, but not as a partner or a shareholder. This is our business and we work together to develop it.

F. Involvement of Family in the Business
F2. Just myself in the business at present

- No, nothing like that, it was initially under the name of dad and now it is under my name. My dad insisted that the business was under my name once I took over.

- I run this by myself. I work on this almost 24 hours a day. I manage the inventory, stock the shelves, purchase goods, handle accounts and everything else myself and I enjoy doing this.

- No; previously the owner was papa and now I own this.

- No.

- No we don't have any family members in the business.

- My dad was in the business until 2011 if I remember right. He always advised me and this was even after he had legally passed down the business to me. Sometimes I found his advices helpful specially at the beginning when I joined the business his advice and guidance was helpful. But later on when I got used to running this, I suppose I had my own way of doing things and I think its quiet natural, anyone would have their own way of doing certain things. Then I felt that his presence in the business was driving me crazy. I mean my dad he is from a different generation and how he looked at things were very different from mine. So I think, family involvement in the business in my case was not a very good thing.

- No because dad have transferred the business in my name and now he is relaxing travelling around the world.

- I do it myself.

- No.

- No one except for me.

- I don't have any family members involved.

- No one except me.

- No, I am the only child in my family.

- No.

- No.

- No, I have a sister and she is a teacher.

- No one except for me.

- I manage this myself.

- Not at the moment.

- No, I am the only person in the business.

- I run this place myself and my wife takes care of the family at home.

- It's just me.

- Before it was me and dad and now just me. Dad gifted his business to me.

- No.

- No one except me.

- No one except for me.

F. Involvement of Family in the Business
F3. Having dad involved in the business

- Yes yes we both work like partners.

- I run this restaurant with dad and dad is the proprietor. Once he decides to retire, the ownership will be passed over to me.

- My mom is not involved in the business anymore; it's just myself and dad now. We are directors of this business.

- Yes, dad is in the business as a director and I am an assistant director.

F. Involvement of Family in the Business
F4. Having husband involved in the business

- My husband and myself, we do this at the moment. This is ours so we haven't made any partnerships or anything like that.

- Me and my husband work together. No partnership we work together.

- I learn this business from my father because I help him in his restaurant when I was little. Then I learn many things from him. I try to do business like him always because he was a good businessman. Now I have my husband in the business and because of that I have help and support from him. We work together.

- No partners me and my husband do this restaurant.

F. Involvement of Family in the Business
F5. Having dad's help occasionally

- Not exactly. My dad helps me out occasionally.

- My dad helps me on and off.

G. Family Involvement in Business Decision Making
G1. All decisions were made by the respondents themselves

- As I said before, at the beginning I went to Pita for advice and opinions. But now I can manage it by myself.

- I will say, I don't have my family involved in this business at all. I can make all decisions myself.

- Not at all. I make all decisions myself.

- I make all decisions myself.

- I don't have any family in the business.

- No family in the business.

- As I said no family is involved in this business.

- I do all the decision making.

- At the beginning I had dad's help with making decisions but now I do everything myself.

- I don't have any family member in the business so I make all decisions alone.

- I take all decisions myself.

- I make decisions myself.

- I make all decisions myself.

- Because I don't have family in the business, I make decisions myself.

- So it's just me making all the decisions.

- I do everything by myself.

- No one in my family is in this business.

- When dad was around I occasionally went for his opinion. But now that he is no more, I just make my own decisions.

- I make my own decisions.

G. Family Involvement in Business Decision Making
G2. Received dad's support occasionally when making decisions

- My dad helps me with making some decisions

- We ask for help from our dads if we need their opinion.

- dad helps me with decision making and various other things in the store. Especially when I'm away from the store on family matters, he looks into it.

- I ask for my dad's opinion occasionally.

- Always it's me and my dad making the decisions after discussing.

- I make all decisions myself and if I really need a different opinion I go to my father.

- Occasionally I seek for my dad's opinion, that's it.

- Its just that I get my dad's opinion sometimes; but it doesn't happen always.

- I think it's just what I said before.

G. Family Involvement in Business Decision Making
G3. Made joint decisions with family

- I make all decisions myself after discussing with my wife and son.

G. Family Involvement in Business Decision Making
G4. Made decisions with business partners

- All decisions are made by Arivind and myself.

- We always discuss well before making any decisions. Dad is always the best person to help us make good decisions.

- I make decisions with father.

- I make all decisions with Hyun.

G. Family Involvement in Business Decision Making
G5. Occasionally got help from son when making decisions

- So as I said before, I don't have family involved in the business. But what I do is, my son Edward is very much interested in doing business. He comes here during his free time and travels with me to Auckland during his school holidays. Sometimes I get him involved in making decisions and this is just to get him used to doing this because he will be next in line to take this over.

- I think it's just what I said before.

G. Family Involvement in Business Decision Making
G6. Son makes the decisions

- This business now belong to my son because after my time, I give it to him. So he make the decisions and I give him advice.

H. The Impact of Ethnicity on Planning for Business Succession
H1. Having their culture/ethnic background in mind

- although we live away from our country, we always follow our culture and tradition

- This business gave us a living for a long time. My father developed this with lot of effort. I also put in a lot of effort to develop this. We live a good life because of this. So I will like if my daughters take this over one day and continue the business and bring a good name to our family.

- In our culture, father's business always going to son. This is tradition.

- My dad's teachings, our culture, traditions and also the continuity of the business. I think all of it.

- Yes I think so because this is how we do it back home as well.

- This is normal, after father business will own by son.

- Ethnicity does matter to me to a great extent. I cannot forget my country and my culture; mainly because that was how I was brought up. We always lived with those in mind even we were away from our country. So this was one reason why I followed my dad's footsteps.

- To some extend yes. It is a practice in our culture where the father's business is passed down to the son. In my case, it is also that my son is very interested in this business so I know that he will take good care of it.

- Our culture and traditions, our beliefs and customs were always practiced and maintained. Being brought up in an environment like that is what made me realize about my responsibilities and duties even though I had chosen a different profession. As I said before, a family business is a great symbol to a family in our culture.

- Continuing with a family business is considered great always. So I would like to continue with it as well.

H. The Impact of Ethnicity on Planning for Business Succession
H2. No involvement of their ethnic background

- Not exactly it just that we want to make sure that his future is safe and after all this is a good opportunity

H. The Impact of Ethnicity on Planning for Business Succession
H3. Not willing to force their children into taking over the family business

- We only have one son and everything belonging to us will be his one day. But we will not force him.

I. Location Impact on the BSP Decision
I1.   No difference

- There is not much of a difference in the way how I run my business now. So even if we were back home, it would be the same.

- It would be the same even if I stayed back in China.

- I don't think I would have done it any differently.

- No difference. Same thing practice in China as well.

- This would have been the same if we were in India as well.

- No; because this how it will happen even if I was in India. Traditions remain the same where ever we are.

- No. The same traditions are followed anywhere in the world.

- It would be the same.

- I don't think so.

- It would be the same.

- I don't think so.

- This is will be the same.

- No.

- I don't think so.

- No, same way.

- I don't think so.

- No.

- No, it will be the same.

- I have no reason to do it differently.

- Not really. Anywhere in the world culture and tradition would be the same.

- No I don't think so.

- May be not because I have no reason to do it any differently.

- We do it same same in Thailand.

- May be not, because cultures and traditions would be the same or more if we were back in Thailand.

- No.

- I don't think so.

- No.

- I don't think so.

- Following our culture would be the same in any country.

- No I think traditions will be same even in Japan.

- It would be the same.

- Our culture, our traditions, and things like that remain the same where ever we are.

- I don't think so; it would have been the same.

I.   Location Impact on the BSP Decision
I2. Unsure about the circumstances

- I don't know what the circumstances would have been if we lived in Thailand. I mean things could have been different. But either way, I'm sure at least one of us would have been doing dad's business and then it would be passed down to our children thereafter.

- I think it would depend on the circumstances.

- May be I don't know.

J. The Reasons behind the Decision for a Business Succession Plan
J1. To preserve family reputation

- After my time, my son have to do this. This way help to keep family good name.

- We are Sikhs and in our culture having a family business to run adds value to our social status. This brings in a lot of pride to our family.

- In Sikhism, having a family business adds value to the pride and reputation of the family. This business must continue even after I'm gone and Palakdeep will make sure it will happen.

- Our family name and reputation matters to us a lot. In Sikhism we are taught to respect our family.

- This bring good name to family.

- and mostly the reputation of the family and my dad's advice. In our culture having a family business brings pride and fame to a family and dad always valued this.

- Family name,

- It's respect and pride we bring to the family.

- our family reputation

- I expect my sons to be like me and make our family proud.

- Our family,

- our family reputation

- the status of the family.

- make our family proud as well.

J. **The Reasons behind the Decision for a Business Succession Plan**
J2. Concerned about child's future

- we want to make our son's future risk-free and hassle free. We want him to live a good life.

- A safe future for Luke. He is so precious to us.

- We want a safe future for our son

- and also the future of my son

- my son's future

- I think this way I could secure my daughter's future.

- I have to think about my son and it is my responsibility to make his future safe

- also have concerns about our son's future.

- I want to make sure I create a safe future for my son.

- So I want the same for my son as well. He surely needs to study hard and go to college, graduate and make us proud. But I want him to become a man on his own. This would give me assurance of the continuity of the business as well as make my son a good businessman.

- This is also one way that I could make sure that Ryoma's future is in safe hands.

- So it is my responsibility to make sure that there is a future for this business as well as a future for my son.

J. **The Reasons behind the Decision for a Business Succession Plan**
J3. To keep the business going even after they were dead and gone

- I want to keep the business going even after we are dead and gone.

- This business has been doing well for many years and it has become a part of our lives now. So we don't want it to fade away.

- The continuation of the business even after my time.

- Me and Arvind also do our best to keep this going well. So after our time, we should pass this over to our sons and they should also contribute to the business.

- we want to see the business to do well.

- We want business to go.

- The success of the business

- Family business is important in our culture. We must work hard to protect it and make sure that business will not finish.

- I want to see it continue even after my time.

- it is my duty to make sure that this will continue even after my time.

J. **The Reasons behind the Decision for a Business Succession Plan**
   J4. To continue with dad's efforts

- Next is my son's turn to take this business to another level. May be even a supermarket.

- My father's restaurant and his efforts to build it,

- Abu's hard work,

- As I said before we have to make dad proud

- This business is quiet profitable. It was built with a lot of effort and this has given us a living, a good one.

- As I said before I like to follow my dad because dad is my role model. I have learned a lot from him.

- The love and respect I have for it. I mean it's a gift from my dad, so it means a great deal to me. I need to make sure that it has a future.

- My family migrated to New Zealand with the idea of having a better life. A better life for all of us. My dad built this business with a lot of effort.

- The need for continuing the legacy of our family.

J. The Reasons behind the Decision for a Business Succession Plan
J5. To fulfil family responsibilities

- Because of this business we have been able to make a living without having to work for anyone. So it is our duty and responsibility to make sure that the business will not stop even after we are dead and gone. This is why we pass down the business to the next generation.

- Our culture our traditions and our duties and responsibilities.

- Our duties and responsibilities towards our family.

- It is my responsibility to make sure that my father's business is taken care of.

- Because this is my responsibility as a good Sikh.

- I haven't decided on it as yet but I know that I will follow what my father did. I have just gotten married and we still don't have any children so this is what I have at the back of my mind and the reason for having this is because, I want my father's business to keep going. This is my duty and responsibility as a son.

- Surely this is my responsibility.

- This is my responsibility and I know dad will want me to do the same.

K. Heirs Interest in Taking-Over the Business
K1. Children were very interested in taking over the business one day

- I think my eldest is interested in this. I suppose this is why she helps me out and shows lot of interest in it.

- Yes, he does.

- My son study business and he know how to do business.

- Yes, Akal is very much interested because he already knows how things work in the family and he knows that this business belongs to him. These things we don't have to teach our children separately, they learn these when they grow up.

- Palakdeep is 10 and he already like working with me.

- Yes my son is very interested in this business.

- Yes, our sons are very interested in this because they know that it is theirs. Ruvindar is 13 and he is big enough to understand now.

- Yes. Keerath is still 9 but he likes to help me here when he has time. He always tells me "Papa I will make this like Pack N Save one day". With the blessings of Guru Nanak I'm sure he will do that one day.

- Yes they will have to follow our footsteps. Our sons are already interested in doing this business because they know that.

- Yes. Edward always had an interest in this.

- I think our son likes to do this. He always says this.

- Qui is just turned 11 but he likes to help me in the restaurant. He tells me that he will make this a big restaurant one day.

- My son already interested.

- Chad is still in middle school but he shows interest.

- Yes, both my sons are very interested in the family business

- My son Alak is still 11 and for his age he is very interested in the business. he has the touch of business probably coming from his family.

- Yes, my son he's 10 but he shows some interest because he knows that this will be his one day.

- Our children like it and they will be happy when they know that we have done something for their future.

- Yes, Arthit likes it already.

- Lucas studies hotel management and yes, he is very much interested and excited in taking over this.

- My sons are 14 and 12 and Somsak's son is 9. So yes, they would like to follow their fathers' as well.

- My daughter Karla is very interested in this.

- Of course, my son has been interested in this business since he was a little boy.

- As I said before, it seems that Mao is interested in this. He is ambitious and keen on taking over. He is learning his duties and responsibilities as a son.

- Yes, Ryoma is just like me very keen and with a lot of energy.

- As I said before, my eldest is not so keen, but my youngest shows some interest.

- My son of course is very interested.

K. Heirs Interest in Taking-Over the Business
K2. Usually the family business belongs to the son and not the daughter in the family

- My son is 14 and he is very much interested in this. My daughter is 10 and she too is interested. But usually the family business always goes to the son in the family.

K. Heirs Interest in Taking-Over the Business
K3. Unsure about son's future interests

- Qi is still 9 but he likes to help us around during school holidays , so we don't know what exactly he wants to do when he grows up.

K. Heirs Interest in Taking-Over the Business
K4. Too soon to decide on it

- My son only 9 and have more time to come to business.

- My son is still too small.

- My son is too small to decide upon anything.

- My son is too young to even discuss about it, so this is just something which I have in mind.

- It is too soon to decide on that.

K. Heirs Interest in Taking-Over the Business
K5. Newly married and no kids as yet

- No children as yet.

L. The Nature of the Business Succession Plan
L1. Discussed with the family

- It is not documented; we have just discussed it.

- Discussed within family and decided already.

- Just discussed within family.

- Just discussed within family.

- Me and Arvind have discussed and decided between us.

- I would say discussed and decided. But this is something we already know and when it is time, I will gift this to Keerath.

- I have discussed this with Indrajot and we have made this decision. This is a normal procedure and we don't need to keep this in any document.

- We have discussed this a few times during dinner at home. But we have still not made a decision.

- Just discussed in the family.

- No document, just decide.

- Just discussed and decided.

- we have discussed in the family.

- Its just that we have decided it among us.

- Well you exactly can't call it a succession plan because we don't have anything finalized. But for the time being, its just between me and my wife.

- Our sons our still too young and we want them to study fist. So this is something between me and my brother.

- I have discussed this with my son and he knows what he has to do.

- Its just discussed between me and my wife.

- Its just discussed within the family.

- Ryoma is still young but I have told him about his duties and responsibilities. I raise him like a true Japanese even though he was born here so that by the time he grows up he will know what we expect from him.

- At the moment it is in my mind and I have discussed this with my wife.

L. The Nature of the Business Succession Plan
L2. Had it in the back of the mind

- it's in my mind; more like in the back of my mind.

- We don't have any documents now, we just discuss and keep in our minds.

- It's in our mind because we know that this is what will happen.

- No document or legal form, I have only decided in my head.

- In my mind.

- Back of my mind.

- Just in my mind at the moment.

- it's in my mind.

L. The Nature of the Business Succession Plan
L4. Still had discussions going on in the family

- We discuss still.

L. The Nature of the Business Succession Plan
L5. Had it documented

- I change registration name of business to my son's name already.

L. The Nature of the Business Succession Plan
L6. Children were aware of their responsibilities – no need for documenting

- I don't have to document anything because my sons already their responsibility and I as a father know mine.

L. The Nature of the Business Succession Plan
L7. Discussed already and looking forward to documenting soon

- The plan has always been discussed between me and my wife and now we are preparing the transferring documents.

L. The Nature of the Business Succession Plan
L8. Just a thought

- Just a thought.

M. The Time to Fulfil a BSP
M1. Upon completion of son's education and when he is ready to take over the business

- Soon after my son is done with his higher studies and when he is ready to take over responsibility.

- When Akal is ready to take it and when it is time for me to retire.

- Palakdeep is too young now and he needs to finish his studies. After he completes his studies and when he is ready to come into the business fulltime I will hand it over to him.

- Soon after my son is done with his studies.

- Our plan is to get Ruvindar into the business after he completes his studies and later to get Dharmesh involved as well.

- I want Keerath to first finish his studies and be well educated. Then when it is the correct time, I will take him in.

- We want our sons to first finish with their studies and when they are ready to take up business we will hand this over to them.

- When Luke is ready to do it

- I Edward to finish his studies first, I want him to graduate from UC and may be after that.

- One day after my son finish with his studies.

- After my son grown big and finish study.

- I want Qui to study well and then when he is ready I will get him into this.

- After my son finish studying and he is ready to do business.

- Soon after my son is done with his studies

- When Chad is ready to come in.

- When my sons are ready to come in.

- After my son completes his studies.

- One day when Alak is ready to take over.
- After my son finish with his studies and he's ready to come into the business. I want him to be well educated first.
- May be after our sons graduate from university.

- We want Arthit to finish his studies first and may be after that.

- Soon after my son graduates this year.

- After our children have completed their studies and when they are ready to take over the responsibilities.
- If the plan goes well, maybe once my son completes his studies.

- May be once our son completes his studies and if he is ready to take over.

- If things go well, it would be after he finishes with his studies and when he is ready for it.

- Once my son is ready for it. That'll be after he has completed his studies and when he is ready to move on on his own.

- May be soon after he completes his studies.

- After my sons have finished their studies and when they are ready to take over.

- Soon after my son is done with his studies I plan to gift the business to him and start relaxing at home.

M. The Time to Fulfil a BSP
M2. Upon completion of daughter's education

- Soon after my daughter completes her studies.

- May be after my daughter finish with her higher studies.

M. The Time to Fulfil a BSP
M3. When we are old and not capable of doing business anymore

- When I get old and cannot run about anymore and when my daughters are prepared for it.

M. The Time to Fulfil a BSP
M4. Not decided because child is too young

- It has a very long way to go. My son is only 1 ½ yet.

M. The Time to Fulfil a BSP
M5. When the time is right

- When it is the right time.

M. The Time to Fulfil a BSP
M6. Before the end of 2016

- Before the end of this year because now it is time for me and wife to start relaxing.

N. Reasons for not having a Business Succession Plan
N1. Not given a thought as yet

- Honestly speaking this has not occurred to me before.

- We never thought about it.

- Never thought about it.

- Not given it a thought as yet.

- I haven't thought of it as yet.

- I have not thought if it as yet.

N. Reasons for not having a Business Succession Plan
N2. Unsure about child's future ambition and interests

- In my case I wanted to continue with my dad's business and I had to because he fell sick and stuff. But in my son's case, I don't know if he'll want to do this or if he will want to become a doctor or pilot or something like that. It all depends what he wants to do once he grows up.

- My dad wants my son to take over the business one day but my problem is that I don't know if my son will have an interest on this. He is still too young for us to make a decision and I also feel wrong if I have to force him into this. Dad has many hopes that his efforts will continue with pride and I don't want to explain this to him. They come from a different generation and their way of thinking and looking at things can be very different, more culture oriented.

N. Reasons for not having a Business Succession Plan
N3. Still too early to think about retirement

- I think it is still too early for us to think of a retirement plan.

N. Reasons for not having a Business Succession Plan
N4. Too busy to think

- I've been busy with my work and never had the time to think about this.

- Never thought about it because I have been too busy working.

- Never thought about it because I am too busy.

- Too busy and no time to think of anything else.

- I have been too busy with work and my kids are still too young so I haven't given it a thought.

N. Reasons for not having a Business Succession Plan
N5. Focused more on the present

- I believe in the present. I want to make sure I keep up to my responsibilities during my time and focus on what has to be done.

O. The Potential Risks of not having a BSP
O1. No risks

- I don't see any risk. The business is doing well and we still able to manage the business so why should we think about a retirement plan so soon.

- I don't see any risk right now.

- Not at the moment because business is good and I am more focused on that.

- Not at the moment.

- I don't see any risks in the near future.

O. The Potential Risks of not having a BSP
O2. No risks at the moment but unsure about the future

- At the moment the business is doing well and I am too busy working on it that I don't see any risks coming. But as you say, there could be a risk in the future for which I need to prepare. In that case if none of my children wants to continue with this business, I might look at selling it off to someone at a good price.

O. The Potential Risks of not having a BSP
O3. See potential risks coming their way

- Of course, just having this conversation I have realized that there is no future for this business once I come to the age of my dad, unless I know what I'm going to do with it. So maybe I should start thinking about it now.

- Yes. Now I feel that there is a risk because we are prepared. I got this business from my dad and after me I haven't decided what I want to do with it. Our son is still young and we don't know if he will want to do this. So we need to think about this.

- Of course, just having this conversation I have realized that there is no future for this business once I come to the age of my dad, unless I know what I'm going to do with it. So maybe I should start thinking about it now.

- Yes of course. I don't want this business to just die off. I would love to see it continue and unless I come up with a solid plan it will be at risk.

- Yes, biggest risk involved is that my dad's going to be shocked when I tell him that the business has no future (laugh). Then of course I know how hard my dad worked for this business, he probably loved the business as much as he loved me. So it is my responsibility to make sure that it has a future.

O. The Potential Risks of not having a BSP
O4. Waiting for something good to happen for the business in the long-run

- I believe that what's best for the business will happen to it with time. I just only have to work for it.

- I hope that something good will happen in the future.

Appendix 7- Linkage between the New Codes

The following table exhibits the key answers received during interviews in response to the research questions. These enable to create a flow from one to another, while providing the reader with an understanding on how ethnicity impacts the decision for planning for business succession in migrant FOBs. These codes have been filtered and used appropriately in developing the 'Ethnified Model of Family Business Succession' illustrated in Figure 5.1.

Fig 4.2 – Repackaging the Data: Influences of Ethnic Background on Doing Business	Fig 4.3- Repackaging the Data: Reasons for People in the Same Ethnicity to Engage in Similar Types of Businesses	Fig 4.4- Repackaging the Data: Reasons to Migrate to New Zealand	Fig 4.5- Repackaging the Data: Reasons to Starting/Buying/Ta king-Over the Business	Fig 4.6- Repackaging the Data: Involvement of Family in the Business	Fig 4.7- Repackaging the Data: Decision for Planning for Business Succession	Fig 4.8- Repackaging the Data: Formalization of a Business Succession Plan
Consider culture/traditions as an element within	Indian ethnicity oriented	New home	Taking after father	Level of involvement of women in the family	Concerned about the continuation of the business	Not verbally announced or formally documented
Follow religion as an element of ethnicity	Personal choice	Improved life	Be my own boss	Manage by myself	Concerned about reputation and good name of the family in the society/community	The BSP was made purely based on discussion
Concerned about family as an element of ethnicity	Self-willingness	To be together with family	Taking over family inheritance	Son's involvement	A duly responsibility of the family	The BSP has been/will be put into a document
Ethnicity impact on living life/doing business	Mainly focused on family	Easy migration	Keeping up with traditions	Dad's involvement	Following dad – the founder of the business	Did not require documenting the BSP
	Limitations faced by migrants	Potential for a better life			Concerned about the future of children	