

Factors Influencing Ethnic Minority Business
Participation in National Business Support
Initiatives: A Study of the Hospitality Industry

by

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Abstract

This study identifies and explores factors that influence the level and nature of ethnic minority business participation in business support initiatives, an area that has only recently attracted sustained academic attention. This research addresses why some ethnic minority businesses participate in these initiatives whilst others do not. It supports the 'mixed embeddedness' approach to explaining ethnic minority enterprise, as the factors identified relate to the individual decision-maker, their business, social networks and the wider socio-economic and politico-institutional environment.

The study was sponsored by the Hospitality Training Foundation and focussed on Asian and Oriental restaurants in London and participation in five training and recruitment initiatives: National Vocational Qualifications, National Traineeships (now Foundation Modern Apprenticeships), Modern Apprenticeships, Investors in People and the New Deal. The approach was both descriptive and exploratory, involving a comparative study of these two ethnic restaurant types plus a control group of non-minority restaurants, with 80 initial quantitative interviews being followed by 24 qualitative interviews. The sampling approaches were a two-stage proportional stratified sample by type of restaurant (Asian, Oriental and 'other') and geographical area (London borough) for the quantitative stage and purposive sampling for the qualitative stage. Three specialist providers and the regulatory body were also interviewed in semi-structured qualitative interviews.

The findings indicate that participation can be affected by a complex mix of 49 factors. A three stage participation model was developed to display the different combinations of factors that affect awareness, knowledge and involvement. Participation was found to differ according to the decision-maker's general attitude to external influence and four types were labelled and defined: *resistant*, *oblivious*, *considered* and *embracing*. The outcomes of this study suggest that providers need to be enabled to proactively engage ethnic minority businesses in support services.

List of Contents

Abstract	ii
List of Contents	iii
List of Tables	viii
List of Charts	ix
List of Figures	ix
List of Abbreviations	x
Acknowledgements	xi
Chapter One: Introduction	1
1.1 Background to the study.....	1
1.2 Wider context.....	2
1.2.1 Ethnic minority businesses	3
1.2.2 Business support	5
1.2.3 Participation	5
1.2.4 The significance of the problem.....	7
1.3 The empirical site.....	7
1.3.1 Restaurants	8
1.3.2 Training and recruitment initiatives	9
1.3.3 London.....	11
1.4 The focus: a comparative study	12
1.5 The approach: a multi-methodological study	14
1.6 The structure of this thesis.....	15
1.7 Conclusion.....	16
Chapter Two: Literature Review and Emergent Model of Participation	17
2.1 Introduction.....	17
2.2 Ethnic minority businesses.....	18
2.2.1 The 'Culturalist' perspective.....	19
2.2.2 The 'Structural Materialist' perspective.....	19
2.2.3 The 'Interactionist' perspective	20
2.2.4 Mixed Embeddedness and Biographical Embeddedness	21
2.2.5 Diversity	27
2.2.6 Development and evolution	28
2.3 Owner-managers in small firms	29
2.3.1 Rational decision-making models.....	29
2.3.2 Factors disrupting rational decision-making	30
2.3.3 Decision-making in small businesses.....	31
2.3.4 Information used in decision-making	35
2.3.5 Cross-cultural differences in approaches to decision-making	35
2.3.6 Networking and the 'Fortress Enterprise' concept.....	37
2.4 Ethnic minority participation in mainstream initiatives and institutions: studies that informed the preliminary model.....	41
2.4.1 Social initiatives and institutions	44
2.4.2 Economic initiatives and institutions	51
2.4.3 Political initiatives and institutions.....	52
2.5 Developing a model of ethnic minority participation in mainstream initiatives	55
2.5.1 Stages of participation	55

2.5.2	Preliminary Participation Model	56
2.6	More recent literature on EMB participation in business support initiatives	62
2.7	Omissions from existing literature.....	69
2.8	Conclusion.....	71
Chapter Three: Epistemology and Methodology		73
3.1	Introduction.....	73
3.2	Aims and objectives	73
3.3	Research question	74
3.4	Methodological approach: the theory	74
3.4.1	Philosophies of method	74
3.4.2	Quantitative and qualitative paradigms.....	79
3.4.3	Epistemology versus technical	82
3.5	Methodological approach: in practice.....	84
3.5.1	Applying methodological philosophies	84
3.5.2	Combining quantitative and qualitative approaches	85
3.6	Data requirements.....	86
3.6.1	Measuring participation.....	87
3.6.2	Determining the effect of each variable on participation.....	89
3.6.3	Exploring why restaurants were at this stage of participation.....	89
3.6.4	Quantitative and qualitative data.....	90
3.7	Sources of data	90
3.7.1	Respondents.....	90
3.7.2	Sampling frameworks	90
3.7.3	Sampling method.....	93
3.8	Data collection methods.....	93
3.8.1	Excluded approaches	94
3.8.2	Methods selected for data collection	95
3.8.3	Quantitative survey	96
3.8.4	Qualitative interviews with employers and organisations.....	98
3.9	Testing the research methods and instruments.....	100
3.9.1	Exploratory study with restaurateurs.....	100
3.9.2	Exploratory study with initiative providers	101
3.9.3	Pilot study with restaurateurs.....	101
3.9.4	Pilot outcomes	102
3.10	Preparing for fieldwork	103
3.10.1	Timing of the research.....	103
3.10.2	Drawing the sample	103
3.10.3	Research Assistant.....	105
3.10.4	Initiating contact.....	107
3.11	Conducting fieldwork.....	108
3.11.1	Quantitative survey delivered by face-to-face interview.....	108
3.11.2	Qualitative interviews with employers	109
3.11.3	Qualitative interviews with organisations	110
3.11.4	Confidentiality	110
3.11.5	Response rates.....	111
3.12	Data analysis.....	114
3.12.1	Quantitative analysis.....	114

3.12.2	Qualitative analysis	118
3.13	Limitations of the methodology	119
3.14	Conclusion.....	121
Chapter Four: Levels of Participation and Narratives: Findings Part One		123
4.1	Introduction.....	123
4.2	Participation statistics.....	123
4.2.1	Levels of participation	123
4.2.2	Awareness	124
4.2.3	Knowledge	125
4.2.4	Progression through different stages of participation	126
4.2.5	Participation scores	127
4.3	Participation narratives.....	128
4.3.1	Respondents who were unaware of the initiatives.....	129
4.3.2	Respondents who were aware but had not participated further	131
4.3.3	Respondents who were knowledgeable but had not participated further	134
4.3.4	Respondents who had become involved	140
4.3.5	Attitude to external influence	145
4.3.6	Comparison of common characteristics and themes	146
4.4	Conclusion.....	149
Chapter Five: Variables Relating to the Decision-Maker: Findings Part Two		150
5.1	Introduction.....	150
5.2	Variables relating to the decision-maker's profile.....	151
5.2.1	Age (I15a)	151
5.2.2	Gender (I23)	153
5.2.3	Education level (I19)	155
5.2.4	English language ability (I1ai)	156
5.2.5	Decision-maker's first language (I1aii)	159
5.2.6	Length of time in the UK / Generation (I10)	160
5.2.7	Motive for migration (I6).....	161
5.2.8	Country of birth / Nationality / Ethnic group (I9)	162
5.2.9	Social class (I16)	163
5.2.10	Skills required for participation (I18)	163
5.2.11	Career history	163
5.2.12	Summary of relationships between decision-maker's profile and participation.....	164
5.3	Variables relating to the decision-makers' attitudes / opinions / behaviour.....	165
5.3.1	Awareness of initiative (I4).....	166
5.3.2	Knowledge of initiative (I5).....	167
5.3.3	Belief that initiatives are necessary / required (I33).....	168
5.3.4	Acceptability of initiative (I11)	168
5.3.5	Previous participation in related initiative (I25)	169
5.3.6	Attitude towards cost (I7)	169
5.3.7	Time available for participation (I22).....	170
5.3.8	Particular motivation (I3).....	172
5.3.9	Politically active (I24)	175

5.3.10	Attitude to external influence (I17)	176
5.3.11	Involvement with external groups / associations (I27).....	176
5.3.12	Knowing how to access organisations that provide business support services (I2)	177
5.3.13	Extent of assimilation (I8a)	178
5.3.14	Feeling only in the UK temporarily (I13).....	178
5.3.15	Summary of relationships between decision-maker's attitudes / opinions / behaviour and participation	179
5.4	Conclusion.....	181
Chapter Six: Variables Relating to the Business and its Staff: Findings Part Three		182
6.1	Introduction.....	182
6.2	Variables relating to the business profile	182
6.2.1	Size of business (I26)	182
6.2.2	Age of business (I28).....	184
6.2.3	Approach to training (I30)	185
6.2.4	Financial position (I7a).....	188
6.2.5	Breakout (I8b)	190
6.2.6	Location (I12).....	195
6.2.7	Future plans (I26)	196
6.2.8	Owner / Head Office support (S8)	197
6.2.9	Ownership and management (I32)	198
6.2.10	Summary of relationships between the business profile and participation.....	199
6.3	Variables relating to staff profile and attitudes	200
6.3.1	Age of staff (I15b)	201
6.3.2	Education level of staff (I19b)	202
6.3.3	English language ability of staff (I1b).....	203
6.3.4	Staff views on participation (I23).....	208
6.3.5	Summary of relationships between staff profile / attitudes and participation.....	210
6.4	Conclusion.....	210
Chapter Seven: Variables Relating to Social Networks and the Wider Environment: Findings Part Four		211
7.1	Introduction.....	211
7.2	Variables relating to social networks.....	211
7.2.1	Co-operation / competition between different ethnic groups (E9)	211
7.2.2	Peer and community support networks (S4)	212
7.2.3	Sense of ownership (I14).....	213
7.2.4	Family support (S9)	214
7.2.5	Cultural mediators (S5).....	215
7.2.6	Summary of relationships between social networks and participation.....	216
7.3	Variables relating to the wider environment	217
7.3.1	Public policy (E4)	217
7.3.2	Government support (S6).....	218
7.3.3	Information / communication methods (E6).....	220
7.3.4	Opportunity presented (E13).....	225

7.3.5	Trigger (E1).....	225
7.3.6	Availability of initiative (E5)	226
7.3.7	Suitability of initiative (E2).....	226
7.3.8	Accessibility of delivery system (E10).....	227
7.3.9	Suitability of delivery system (E7)	228
7.3.10	Language support (S3).....	229
7.3.11	Understanding of ethnic minority needs (E11).....	230
7.3.12	Willingness to accommodate ethnic minority needs (E12).....	230
7.3.13	Special provision for ethnic minorities (E15).....	231
7.3.14	Cultural compatibility between provider and restaurateur (E14).....	233
7.3.15	Cultural barriers (E3)	233
7.3.16	Ethnic minority staff delivering the initiative (S2)	234
7.3.17	Accessibility of available resources (I20).....	235
7.3.18	Racism / Discrimination (E8)	235
7.3.19	Mentors (S1).....	235
7.3.20	Local Authority support (S7)	236
7.3.21	Summary of relationships between wider environment and participation.....	237
7.4	Conclusion.....	240
Chapter Eight: Discussion of Findings and Presentation of Outputs		241
8.1	Introduction.....	241
8.2	Summary and discussion of findings.....	241
8.2.1	Levels of participation	242
8.2.2	Participation narratives	245
8.2.3	Factors affecting participation.....	250
8.3	Outputs.....	264
8.3.1	Revised Participation Model	264
8.3.2	Attitudes to external influence.....	269
8.4	Additional contributions to existing literature	271
8.5	Review of methodology	272
8.6	Conclusion.....	274
Chapter Nine: Conclusions and Recommendations		276
9.1	Summary of main conclusions	276
9.2	Implications for and contribution to theory	279
9.3	Contribution to methodology	287
9.4	Recommendations for further work.....	290
9.5	Recommendations for policy makers and practitioners	293
9.6	Contribution to the work of specific organisations.....	295
9.7	Epilogue	300
Appendices		
2A:	Variables by literature review area	301
2B:	Description of variables identified through the literature review.....	304
2C:	Variables and hypotheses.....	310
3A:	Participation measures	320
3B:	Information requirements for each variable	326
3C:	Information requirements for the participation narratives	334
3D:	Questionnaire for quantitative interviews	337

3E: Qualitative interview crib sheet	370
3F: Interview schedule for organisations.....	371
3G: Telephone selection script.....	377
3H: Questions for non-respondents	378
8A: Factors identified in existing literature.....	379

Bibliography.....	381
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List of Tables

2.01: How features of the restaurant sector may affect participation	25
3.01: The main characteristics of quantitative and qualitative research	80
3.02: Differences between quantitative and qualitative research	80
3.03: Research methods associated with the two paradigms	81
3.04: Arguments against quant. and qual. approaches as dichotomies	82
3.05: Ways of combining quantitative and qualitative approaches	86
3.06: Points awarded for each stage of participation in each initiative	89
3.07: Disadvantages of postal questionnaires	97
3.08: Pilot findings and changes made to research design and instruments	103
3.09: Timetable for research preparation and fieldwork	103
3.10: Comparison of first and second interviewees	109
3.11: Conversion to interview rate by type of restaurant	111
3.12: Refusal rate by type of restaurant	111
3.13: Respondents unwilling to answer sensitive questions	112
3.14: Main findings from analysis of non-respondents	113
3.15: Example of SPSS variables linking to a single participation variable	118
4.01: Self-declared and measured knowledge levels	126
4.02: % of respondents at each stage of participation by initiative	126
4.03: How participation scores varied by type of restaurant	128
4.04: Number of qualitative interviewees at each stage of participation	129
4.05: Comparison of stage and type by attitude to external influence	146
4.06: Shared characteristics by attitude to external influence	146
4.07: Shared characteristics by stage of participation	147
4.08: Shared characteristics by type of restaurant	147
4.09: Common themes by type of restaurant	148
4.10: Common themes by attitude to external influence	148
4.11: Likelihood of future involvement by stage of participation	148
4.12: Likelihood of future involvement in initiatives by type of restaurant	149
4.13: Likelihood of future involvement by attitude to external influence	149
5.01: Decision-maker's profile: summary of each variable's effect	165
5.02: Conversion rates from awareness to higher levels of participation	166
5.03: Conversion rates from knowledge to higher levels of participation	167
5.04: Decision-maker's attitudes: summary of each variable's effect	181
6.01: Business profile: summary of each variable's effect	200
6.02: Staff profile / attitudes: summary of each variable's effect	210
7.01: Social networks: summary of each variable's effect	216
7.02: Information sources that led to awareness	220
7.03: Wider environment: summary of each variable's effect	240
8.01: Decision-maker profile - factors judged to affect participation	251
8.02: Decision-maker profile - variables judged not to affect participation	252
8.03: Decision-maker attitude - factors judged to affect participation	253
8.04: Decision-maker attitude - variables judged not to affect participation	253
8.05: Business profile - factors judged to affect participation	255
8.06: Business profile - variables judged not to affect participation	255

8.07: Staff profile - factors judged to affect participation	255
8.08: Social networks - factors judged to affect participation	256
8.09: Social networks - variables judged not to affect participation	256
8.10: Wider environment - factors judged to affect participation	258
8.11: Wider environment - variables judged not to affect participation	259
9.01: Options for future studies to test the participation model	291
9.02: Contribution to EMBF recommendations	297

List of Charts

4.1: % of respondents at each level of participation	124
4.2: % of respondents aware of each initiative	125
5.1: Age of restaurant owners and managers	152
5.2: Gender of decision-maker	154
5.3: Decision-maker's level of spoken English	156
5.4: Decision-maker's English reading level	157
5.5: Decision-maker's level of written English	158
5.6: Decision-maker's first language	159
5.7: Length of time living in the UK	160
6.1: Age of the restaurant	184
6.2: Correlation between on-job and off-job training	187
6.3: Restaurant turnover	189
6.4: Correlation between distance of customers & participation score	192
6.5: Average spend	193
6.6: Ethnic mix of customers	194
6.7: Qualification level of most staff	203
6.8: Level of spoken English for most staff	204
6.9: Level of written English for most staff	206
6.10: English reading level for most staff	207
7.1: % of respondents obtaining information from personal contacts	221
7.2: % of respondents obtaining information from organisations	223
7.3: % of respondents obtaining information from media sources	224

List of Figures

2.1: Olson's Decision-Making Process Phases	30
2.2: A contextual model of micro-business decision-making	32
2.3: Stages of participation	56
2.4: Preliminary Participation Model	61
3.1: Theory construction by induction	75
3.2: Theory use by deduction	76
3.3: The logical structure of the quantitative research process	76
8.1: Revised Participation Model	
8.1a: Factors found to influence awareness	266
8.1b: Factors found to influence knowledge	267
8.1c: Factors found to influence involvement	268

List of Abbreviations

BCA	Bangladeshi Caterers Association
BMEB	Black and Minority Ethnic Business
CEOs	Chief Executive Officers
CfE	Centre for Enterprise
DfEE	Department for Education and Employment
DfES	Department for Education and Skills
DTI	Department for Trade and Industry
EMB	Ethnic Minority Business
EMBF	Ethnic Minority Business Forum
EMBI	Ethnic Minority Business Initiative
ES	Employment Service
FEFC	Further Education Funding Council
HtF	Hospitality Training Foundation
IIP	Investors in People
LSC	Learning and Skills Council
LSDF	London Skills Development Fund
LSFU	London Skills Forecasting Unit
MAs	Modern Apprenticeships
ND	New Deal
NTs	National Traineeships
NTOs	National Training Organisations
NVQs	National Vocational Qualifications
QCA	Qualifications Curriculum Authority
RA	Restaurant Association
SBS	Small Business Service
SMEs	Small and Medium-sized Enterprises
SSC	Sector Skills Council
SSDA	Sector Skills Development Agency
TECs	Training and Enterprise Councils

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1 Introduction

This study is concerned with ethnic minority businesses and the factors that influence their participation in national business support initiatives. However, the starting point in determining the research subject was the empirical site as this was influenced by the sponsoring body, with which the Researcher was employed at the time the study was initiated. This context was then widened to ensure the research could draw upon and contribute to academic knowledge as well as informing policy makers and practitioners.

1.1 Background to the study

The sponsoring body was the Hospitality Training Foundation (HtF) which is a government-recognised organisation that represents hospitality employers in all aspects of education, training, skills and qualifications. In the mid to late 1990s anecdotal evidence emerged from education providers and from a small number of employers which suggested that Asian and Oriental restaurants had particularly low levels of involvement in government initiatives. The initiatives in which HtF was most directly involved were National Vocational Qualifications (NVQs), Modern Apprenticeships (MAs), National Traineeships¹ (NTs), Investors in People (IIP) and the New Deal (ND). These were significant Government devised training or recruitment schemes designed for the workplace which had all been either established for a number of years or heavily promoted in the period immediately preceding this study.

HtF was concerned that all sectors of the hospitality industry should be in a position to benefit from government initiatives and wanted to ensure that Asian and Oriental restaurants were not being excluded. However, data was needed to confirm whether or not these businesses had lower take-up than other types of restaurant and, if they did, the nature and extent of any difference and the reasons behind it. The problem was difficult to quantify as

¹ Since the fieldwork was conducted National Traineeships and Modern Apprenticeships have been revised and are now respectively known as Foundation and Advanced Modern Apprenticeships.

official records rarely included information on employer involvement. Records held by government agencies and awarding bodies that related to training initiatives were candidate, rather than employer, focussed and did not contain profile information on businesses that had staff who were involved. In addition records that did relate to employers, such as those held by Investors in People UK and the Employment Service (ES) (for the New Deal initiative) were not detailed enough to enable Asian and Oriental restaurants to be distinguished from other businesses. HtF regularly conducted a number of nationwide surveys of its employers, but the size of the industry and limited resources meant that the samples were not large enough to be representative at such a focussed level.

In addition to identifying the level at which Asian and Oriental restaurants were participating and how this compared with other restaurants, HtF wanted to develop an understanding of participation. The key questions were therefore: to what extent are Asian and Oriental restaurants participating in these initiatives? How do these levels of participation differ from comparable non-minority restaurants? What factors are at play in determining these levels of participation? Why are some Asian and Oriental restaurateurs involved in these initiatives whilst others are not? The initial empirical research question was therefore phrased as:

What are the factors that influence whether or not Asian and Oriental restaurants participate in training and recruitment initiatives?

1.2 Wider context

It was recognised however that the empirical research had to be located within a broader theoretical framework which would enable the study to draw upon and contribute to academic knowledge. *Asian and Oriental restaurants* were recognised as particular types of *ethnic minority business (EMB)* and government *training and recruitment initiatives* were identified as examples of *business support initiatives* more generally.

The overarching research question thus posed by this study was:

What are the factors that influence the level and nature of ethnic minority business participation in national business support initiatives?

This overarching research question clearly located the study within social science and the academic disciplines of Management Studies, particularly Organisational Behaviour, and Sociology, contributing to the literature on mainstream participation by ethnic minorities.

1.2.1 Ethnic minority businesses

Ethnic minority businesses (EMBs) have been the subject of academic attention since the late 1970s, following the realisation in a number of Western countries that some immigrant minority groups had higher rates of self-employment than those found in the white population. Academic interest was stimulated by the apparent contradiction between the disadvantages of belonging to a racial minority and success within entrepreneurship (Barrett et al., 1996).

In Britain further academic and government interest in EMBs was prompted by social unrest in the early 1980s, particularly within African Caribbean and African communities. This led to the Scarman report which identified the underlying causes as being 'economic dispossession and its attendant grievances' (Barrett et al., 1996, p.784). This was in visible contrast to the popular image of successful Asian business owners. Promoting and facilitating self-employment within minority groups was identified as a means of helping to overcome racial and social disadvantage. Specialist business support provision for EMBs was established in the form of five black-led enterprise agencies (Ram and Smallbone, 2003) and the Ethnic Minority Business Initiative (EMBI) was established in 1989 'to monitor the quality and type of advice available to minority-owned small businesses' (Marlow, 1992).

The popular image of commercial success for Asian entrepreneurs was soon questioned however, and a picture was created of a few high-flyers masking a proliferation of firms concentrated in sectors with low barriers to entry, struggling to survive, dependent on working long hours and utilising unpaid

or lowly paid family labour and with an over-reliance on co-ethnic customers (Barrett et al., 1996). One of the aims of academic work in this field became the development of a concept of ethnic minority enterprise, with much of the literature aiming to define and explain the differences between small ethnic minority run enterprises and the general small firm population (Ram and Smallbone, 2001). Three main perspectives emerged:

- The *Culturalist* perspective emphasised differences between EMBs and non-minority businesses by viewing EMBs within cultural networks, emphasising their dependence on family and co-ethnic resources. However, this was criticised for neglecting other areas including the socio-economic context in which the firms operated (see Chapter Two for a more detailed description).
- The *Structural Materialist* perspective stressed the role of external influences restricting opportunities for individual members of an ethnic minority group. It cited influences such as racial discrimination preventing success in the labour market and leading, through necessity, to high levels of self-employment and enterprise (see Chapter Two for a more detailed description).
- The *Interactionist* perspective focussed on the link between internal resources and the external business environment. The number of features of the external environment thought important broadened over time (see Chapter Two for a more detailed description) until in the late 1990s, whilst this study was already underway, further work in this field led to the emergence of the comprehensive *Mixed Embeddedness* perspective which called for assessments of the distinctiveness of ethnic minority firms from white-owned firms to take account of the wider structures in which the companies operate (including sector, location, markets and institutional support) as well as cultural influences (Kloosterman et al., 1999, Ram and Smallbone, 2001).

At the same time it was determined that ethnic minority run firms could not be defined or characterised as a single entity and there were calls for their diversity to be reflected in future work. Sources of potential diversity were

identified including specific ethnic group, size and generational differences (Dhaliwal, 2001; Ram and Smallbone, 2001).

1.2.2 Business support

It has been the policy of successive Governments to provide business support services with the aim of encouraging business start-ups, increasing survival rates and maximising opportunities for growth. However the business support needs of ethnic minority enterprises have received a new wave of attention from government in recent years, due to their potential to help achieve 'social inclusion' for disadvantaged groups and a recognition that their economic importance gives them a role within the 'competitiveness agenda' (Ram and Smallbone, 2003). Prior to the emergence of these policies, government agencies had been asked to focus on growth firms:

In Britain the role of the Business Links and the TECs and LECs appears to be to offer most support to firms with the motivation to grow (and to target companies with between ten and 200 employees)

Bridge et al., 1998, p. 248 in Greenbank, 2000, p. 403

This has been recognised as having resulted in many EMBs being outside the main target group of these agencies. Coupled with the existence of specialist agencies in areas with high concentrations of ethnic minority firms this resulted in some mainstream agencies not prioritising support for EMBs in their areas (Ram and Smallbone, 2001).

The emphasis has recently shifted with the formation of the Small Business Service (SBS), which has taken over responsibility for the Business Link network with a wider remit of promoting enterprise to all sectors of society, particularly those that are under-represented or disadvantaged (Ram and Smallbone, 2003). TECs and LECs have also been replaced by the Learning and Skills Council (LSC). However these developments came after the main period of fieldwork for this research.

1.2.3 Participation

Previous studies have described low levels of involvement in Government initiatives and institutions by ethnic minority run enterprises both as a

proportion of total numbers of ethnic minority businesses and in comparison to white owned firms (Marlow, 1992; Ram and Smallbone, 2001). However there was no substantial body of knowledge on EMB participation in business support initiatives at the time this study was conceived and little in the way of explanation for low levels of involvement. What did exist was an array of academic work within the UK and internationally in the fields of sociology, psychology and management which reported low levels of ethnic minority participation in mainstream initiatives and institutions and which had suggested the kinds of factors that gave rise to this (see Chapter Two). However, the overall picture was piecemeal and fragmented as the studies were often specific and small scale with little reference to comparable work in other fields.

The literature specifically concerned with participation by ethnic minority businesses was sparse and offered few insights into business interaction with mainstream institutions. The few studies that did exist (see Chapter Two) attempted to explain low levels of ethnic minority participation by focussing almost exclusively on supply-side barriers. They did not seek to identify the factors that led some ethnic minority businesses to participate whilst the majority did not. Nor did they enable similarities and differences to be explored between different ethnic minority groups and with white owned businesses.

The study reported here can be set alongside more recent literature on small business participation in business support initiatives, which has gone some way to creating a body of knowledge on the use of business support services. The emergence of 'Mixed Embeddedness' has provided a theoretical framework in which this work has begun to be located. However, in contrast to this study, the emphasis has remained on supply-side issues, such as the nature of the initiatives being designed by government and problems associated with the structures and systems that exist to deliver them. Factors specific to owners/managers or to the businesses have been identified, but no study has set out to comprehensively identify the full range of factors that affect participation.

1.2.4 The significance of the problem

Despite the government and its agencies having a desire to increase levels of participation in business support initiatives by ethnic minority businesses, little attention has been given to identifying the broad range of factors that influence participation from the perspective of the person who makes the participation decisions. The *Mixed Embeddedness* perspective suggests that ethnic minority businesses can only be explained by comprehensively examining them in the context of their multi-faceted external environment. It is therefore reasonable to suggest that it is also necessary to examine these elements in order to understand their behaviour in relation to business support initiatives, a connection that has been made in previous studies (Ram and Smallbone 2001; Ram and Smallbone, 2003).

This study contributes to existing knowledge of ethnic minority enterprises by identifying and exploring a full range of factors that affect their participation in mainstream business support initiatives and by assessing the extent to which these differ from those affecting non-minority businesses.

It also contributes to literature on participation by ethnic minorities in mainstream initiatives and institutions through the development of a comprehensive and potentially transferable Participation Model. A review of literature in a variety of academic disciplines revealed no connections had been made to enable reliable comparisons of participation to be made across different ethnic groups, initiatives, institutions, sectors, sizes of business and over time, despite the potential transferability of the factors identified.

1.3 The empirical site

The empirical site used within this study was Asian and Oriental restaurants and their participation in training and recruitment initiatives. A further narrowing of the empirical site was introduced by restricting the geographical area to London. This decision was partly made because this would ensure regional differences in business support services would be to some extent controlled. However the decision was also made in response to the selected

methodology. Each element of the empirical site is discussed in the following sections.

1.3.1 Restaurants

Catering is recognised as a sector of the economy where ethnic minority businesses are found in concentration (Metcalf et al., 1996; Ram et al., 2000). As Britain became more multi-cultural in the second half of the last century, ethnic inspired cuisine made a considerable impact across the country. Restaurants had relatively few barriers to entry for potential entrepreneurs and many were established to cater for local immigrant communities before gaining popularity with the wider population. There was a period of particularly rapid growth in the number of 'Indian'² and 'Chinese' restaurants in the UK in the 1970s and 1980s (Marketpower, 1997), as more 'exotic' cuisines were increasingly well-liked by the British public. They were predominantly take-aways or popular dining restaurants that were either single outlets or part of small family-run chains. In 1997 it was estimated that there were 17,000 ethnic restaurants and take-aways in the UK, 43% of which were Asian, 48% Oriental and 9% 'other' including Mexican, South American and Caribbean (Marketpower, 1997).

However a number of recent trends have been noted which potentially impact on ethnic restaurateurs' use of business support services. The economic recession of the early 1990s had a marked effect on this sector and the pace of growth slowed dramatically (Marketpower, 1997). Between 1995 and 1999 the ethnic restaurant share of the total restaurant market fell from 41% to 37%, although total turnover continued to increase slightly. This decline in market share was particularly attributable to Indian restaurants rather than Chinese or other ethnic restaurants (Intel, 2000). Reasons that have been suggested for the decline include market saturation leading to price competition, demographic changes leading to a higher proportion of

² The term 'Indian' is used here as this is how these restaurants are popularly known, although 75% of Indian restaurants are thought to be run by Bangladeshis (Marketpower, 1997).

younger customers with lower levels of personal disposable income, increased competition from other food outlets and from supermarkets, shortages of labour which particularly affected chefs and customers demanding higher levels of food quality and service (Marketpower, 1997; Mintel, 2000; Ram et al., 2000; Ram et al., 2001).

A trend has been noted towards ethnic restaurants polarising into price-conscious popular dining outlets on the one hand and more up-market, quality-focussed restaurants on the other (Marketpower, 1997). Variations within the 'ethnic' sub-sector have also become more apparent with other 'Asian' and 'Oriental' cuisines such as Thai, Japanese and Korean foods growing in popularity and larger ethnic restaurant groups emerging as major players in the market.

These pressures and trends ensure that many ethnic restaurateurs could potentially benefit from business support services to help them cope with the challenges posed by increasing competition, introducing change, addressing chef shortages and the need for highly skilled chefs to work within upmarket restaurants.

As ethnic minority run restaurants have become a mature market and increasingly diverse, comparisons with 'mainstream' restaurants can be made on a variety of levels. This enabled a broader range of variables to be included in the study such as size of operation, length of time in business and the personal background of business owner.

1.3.2 Training and recruitment initiatives

The choice of training and recruitment initiatives was determined by the role of the sponsoring body, HtF, and the initiatives that it was involved in designing or promoting. HtF monitors the extent to which hospitality employers and those employed in the industry become involved with each of the initiatives focussed on in this research. However it is dependent to a large extent on secondary data sources, information provided by external organisations and government surveys, and is not in a position to provide specific information on Asian and Oriental restaurants. This was one of its

motives for sponsoring this study. This section is therefore confined to providing a brief introduction to each of the initiatives, although some statistics on up-take are also provided where they relate to restaurants or to ethnic minorities.

National Vocational Qualifications (NVQs) are awarded following an assessment of competence in a given field. They are based on national occupational standards and are available at five levels ranging from level 1 (designed for people working in basic operative positions) to level 5 (senior management). NVQs for the hospitality industry were introduced in 1992 since which time Food Preparation and Cooking NVQs have attracted the highest number of registrations and awards, followed by Food and Drink Service (HtF, 2000a). According to figures sourced from the Labour Force Survey, 4.2% of waiters and waitresses had NVQs as their highest level of qualification, predominantly at level 2, whilst the equivalent proportion for restaurant and catering managers was 3.2%, exclusively at levels 2 and 3 (HtF, 2000a).

National Traineeships (NTs - since renamed Foundation Modern Apprenticeships) are a broad work based training programme designed to provide a route into the industry for people aged 16 and 17. They are linked to level 1 and 2 NVQs. *Modern Apprenticeships (MAs)* are the equivalent programme for people up to the age of 25. They are aimed at those interested in working at a supervisory level as they enable Apprentices to reach a level 3 NVQ. In 1999 people from ethnic minorities were found to be better represented in hospitality Modern Apprenticeships when compared with all industries (HtF, 2000a), although this related to the ethnicity of the candidate and cannot be used as any indication of participation in this initiative by ethnic minority owned hospitality businesses.

Investors in People (IIP) recognises businesses that have introduced effective training and development for their staff which meet the requirements of the IIP standard. In September 1999 1,070 hospitality organisations were committed to (working towards) the standard and 856

had been recognised (HtF, 2000a). This represents 0.67% of the 288,000 hospitality establishments in Great Britain (HtF, 2000a).

The *New Deal* (ND) programme was introduced by the government in 1998 to help provide a route out of unemployment. The main ND programme is for 16 to 24 year olds and provides jobs and / or training for those who have been unemployed for more than six months. Employers who offer jobs under the ND receive a subsidy to help towards training costs. Variations to the programme include the ND for those 25 and over and the ND for people with disabilities.

1.3.3 London

London provides an interesting setting for this study. Figures from the London Skills Forecasting Unit in 1999 showed that there were 62,000 firms in London run by people from ethnic minorities, accounting for 19% of all London businesses. People from ethnic minorities represented a quarter of London's population and almost one half of Britain's ethnic minority population lived in London (LSFU, 1999).

To a limited extent London can be said to be a microcosm of Asian and Oriental restaurants elsewhere as there are independent, chain, family run, corporate-managed, first generation, second generation, fine dining, popular dining and budget restaurants in London as there are in other cities.

However the results of this study are not intended to be representative of Asian and Oriental restaurants in other parts of the country for the reasons outlined below.

There are differences in the country and area of origin of Asian business owners in London, compared with other parts of the country. Ethnic restaurants tend to be grouped in areas of high ethnic population and particular ethnic groups have chosen to settle in different areas.

Marketpower (1997) showed how this has particularly affected Asian restaurants. Within London, Tower Hamlets has a concentration of Bangladeshi owned restaurants whilst Southall and Wembley have a concentration of restaurants owned by immigrants from India and East

Africa. Pakistani owned restaurants are more often found in other cities including Birmingham, Bradford and Greater Manchester. In 1996 21% of all Indian restaurants were in London and a further 24.9% in the South East compared with the next highest concentration of 11.9% in the West Midlands (Marketpower, 1997).

In addition, the scale and importance of ethnic minority businesses has been recognised in London and investment has been made available to promote involvement in business support initiatives to ethnic minority businesses, particularly through the London Skills Development Fund (LSDF). In particular, three specialist schools were established in the late 1990s which were aimed at providing training in Asian and Oriental cuisine, linked to national training initiatives, to help address labour shortages in the sector. These developments make the business support services available to Asian and Oriental restaurants different from those available elsewhere in the country which may directly affect participation levels.

Marketpower (1997) predicted that London would be particularly affected by the trends described in section 1.3.1 and at the time of the research upmarket high quality restaurants were visible alongside traditional 'Indian' and 'Chinese' popular dining restaurants, those offering other forms of Asian and Oriental cuisine and outlets that belong to restaurant groups in a mix that is not likely to be reflected elsewhere in the country.

Overall, London was selected as the location for the study due to the size and diversity of the Asian and Oriental restaurant sector. It is also the location of many of the organisations involved in developing, promoting and implementing the initiatives nationally as well as locally. In addition it could be reached with relatively low transport costs for the Researcher, compared with other areas of the country that have high concentrations of Asian and Oriental businesses.

1.4 The focus: a comparative study

The research consisted of a comparative study of two different groups of ethnic restaurants and a control group of 'other' restaurants. Because the

starting point for the research was the empirical site, the study was firmly located within a particular economic sector: restaurants. This was advantageous as it ensured that the influence of the sector was not confused with the influence of ethnicity (Ram and Smallbone, 2001). It has also been noted that this approach has been relatively rare within this field:

The emphasis upon multi-ethnic involvement in a specific sector is rare within the extant literature, yet it is crucial if the pitfall of identifying supposedly 'ethnic' features, which are often more accurate expressions of sectoral processes, is to be avoided

Ram et al., 2000, p. 496

The inclusion of two broad ethnic groups (Asian and Oriental) enabled inter-ethnic differences and similarities to be explored, although the research was not conducted on sufficient scale to allow comparisons to be made at a finer level, for example between Chinese and Thai or Bangladeshi and Indian. This is regrettable given other research has found intra-ethnic differences (Metcalf et al., 1996).

The use of a control group of 'other' restaurants helped to make sure that differences in participation were not attributed to ethnicity if they were instead a feature of the wider restaurant population:

...the tendency to focus on a single ethnic group in isolation from the wider small business population can accentuate perceived differences.

Ram et al., 2000, p. 497

However a number of points need to be made about the 'control group'. Technically many restaurants can be described as 'ethnic' as they offer cuisine that is inspired by a particular country or region, including for example French, Italian, Spanish and Mexican. Traditionally, although by no means exclusively, ethnic restaurants are those run by people from the same ethnic group as the cuisine they are serving as it reflects their personal experiences, cultural identity and traditions and gives them credibility with customers. However, it is generally accepted in academic studies in Britain that ethnic minority enterprises are those that are owned and / or run particularly by non-white immigrants and their descendents who are of 'Asian', 'Oriental' and 'African-Caribbean' origin.

Ethnic minority groups are communities who settle in a host nation, differentiated from the indigenous population by skin colour and/or subscription to noticeably different cultural, religious or value norms

Marlow, 1992, p. 37

In this study the term 'ethnic' was thus defined as relating to restaurants which offer Asian and Oriental cuisine as opposed to western or 'other' cuisine. This study did not include 'African-Caribbean' restaurants as a separate group as they are relatively few in number within the sector. The international nature of the hospitality workforce meant there was quite a high likelihood of restaurants in the control group being run by or employing people from ethnic groups that make up a minority of the British population or foreign nationals with varying levels of English. This was problematic when one of the aims of the study was to compare ethnic minority run businesses with non-minority businesses. However, it is a true reflection of the diversity of the restaurant sector of the hospitality industry. In addition one advantage of this is that where differences in the variables affecting participation were found between the Asian and/or Oriental restaurants and the control group, they could confidently be attributed specifically to Asian and/or Oriental restaurants.

1.5 The approach: a multi-methodological study

As will be described in detail in Chapter Three, the study combined quantitative and qualitative methods, the choice being determined by the data requirements. Levels of participation were measured by quantitative research which was also used to collect data on the characteristics of each business and each respondent. Qualitative research was used to explore the restaurateurs' experiences and views on participation. The variables identified from the literature were developed into a preliminary model which was tested during the fieldwork stage of the research and refined in the light of its findings to form a revised participation model. At all stages there was a dual emphasis on examining and exploring the extent to which each variable influenced participation within this empirical site and on enabling new variables to be identified by respondents.

The methodology utilised in the study was:

- a quantitative survey of a representative sample of managers and owners of Asian, Oriental and 'other' restaurants in London
- qualitative interviews with a selection of restaurateurs who had been involved in the quantitative survey
- qualitative interviews with organisations involved in developing, promoting and implementing the initiatives in London

This study uses mixed methodologies in order to generate a fuller understanding of the factors that influence EMB participation in business support initiatives.

1.6 The structure of this thesis

The thesis is structured as follows:

Chapter Two – provides a review of three areas of literature which describe what was already known and theorised about ethnic minority businesses (i.e. *what* the research was focussing on), *how* participation decisions may be made and *when* and *why* people from ethnic minorities participate in mainstream socio-economic initiatives. This chapter contains the preliminary participation model that was developed to display the variables that had been identified from the literature as potentially affecting participation. It also includes a discussion of omissions within the literature and identifies the gap that this study set out to fill.

Chapter Three – discusses the epistemological issues that were considered in determining the methodological approach, summarises the data requirements and describes and justifies the research design. It also provides a detailed description of the application and consequences of the approach taken, including its limitations.

Chapter Four – presents the quantitative findings which identify the extent to which respondents were participating in the five initiatives covered by the study and develops an explanation for these levels of participation by examining the narratives that emerged from the qualitative interviews with restaurateurs. The narratives describe the restaurateurs' participation

experiences and provide their perspective on the reasons why they had or had not become involved.

Chapters Five, Six and Seven – present and evaluate the findings that constitute evidence for or against there being a relationship between each variable and participation. The findings from the qualitative interviews with providers are shown alongside those from the quantitative and qualitative interviews with restaurateurs as they provide different perspectives on the nature and extent of each variable's influence. Chapter Five relates to the decision-maker, Chapter Six to the business and its staff and Chapter Seven to social networks and the wider environment.

Chapter Eight –provides a summary and discussion of the findings and shows how they led to the development of a revised participation model. The contribution the study makes to the three areas of literature outlined in Chapter Two is comprehensively discussed.

Chapter Nine – presents the conclusions reached as a result of the study focussing in particular on the potential uses of the participation model and the directions which might be taken in future research.

1.7 Conclusion

This chapter has introduced the study, set it within its wider context and explained the reasons for the empirical site that was used. In essence the study is concerned with generating an understanding of the levels and forms of ethnic minority business participation in business support initiatives, utilising the empirical site of Asian and Oriental restaurants in London and their participation in five national training and recruitment initiatives.

The purpose of the next chapter is to show how the study was informed by existing knowledge and theories and to detail the gap in knowledge that it addresses.

2 Literature Review and Emergent Model of Participation

2.1 Introduction

The starting point in seeking to understand levels and forms of ethnic minority business participation in business support initiatives was a review of existing knowledge and theories within three main areas of literature. In reviewing these areas of literature, the strategy was to funnel down from the general to the specific by first interrogating any body of literature that might have something germane to say about the phenomenon of participation and then to focus on those aspects and determinants of participation that were especially relevant to ethnic minority business participation in business support initiatives.

The first body of literature related to the origins, development and nature of ethnic minority businesses. This helped to provide an understanding of *what* the research was focussing on.

The second body of literature focused on the role of the individual owner-manager in small firms, particularly in relation to decision-making, and provided an insight into *how* decisions on participation may be made.

The third body of literature related to participation, both ethnic minority participation in a wide variety of mainstream socio-economic institutions and small-firm participation in business support initiatives. This provided a broad perspective on the phenomenon of participation and the range of variables that might impact upon it. Within this chapter the literature is divided into studies that preceded this one, and thus informed it, and more recent literature that emerged after this study was framed. The variables that were identified from studies that preceded this one were structured to form a preliminary Participation Model which is also presented within this section. Collectively this body of literature provides an understanding of the factors that have previously been found to influence participation, often suggesting *when* and *why* subjects have or have not participated.

2.2 Ethnic minority businesses

Ethnic minority businesses (EMBs) are highly visible in the British economy, with South Asian and Chinese businesses in particular being a common sight in urban and suburban areas across the country. The growth in the number of EMBs in the last twenty-five years of the twentieth century (Marlow, 1992) followed high levels of immigration in the 1950s and 60s (Iganski and Payne, 1996). Economic restructuring in the 1980s and 1990s reduced the proportion of the British workforce employed in large firms in favour of small firms and self-employment and this shift particularly affected people from ethnic minorities. Figures from the 1991 census show that 14.9% of economically active people of Chinese ethnicity were self-employed compared with 11.4% of Indians, 8.3% of Pakistanis, 7% of whites and 5.9% of Bangladeshis (OPCS, 1993). A Bank of England report (1999) used figures from 1997 to demonstrate a higher than proportionate rate of EMB start-ups, with 9% of all new businesses being classed as EMB, compared with 5% of the overall population belonging to ethnic minority groups (Ram and Smallbone, 2001).

This phenomenon is evident across many Western countries including mainland Europe and North America as well as Britain and academic and political interest in EMBs developed as a consequence of this 'over-representation' of people of Asian and Oriental origin in self-employment.

The literature on ethnic enterprise began with the question of why some visibly identifiable and stigmatized groups make it through business and others do not (Light, 1972).

Waldinger, 1995

In particular academic attention has focussed on developing an understanding of EMBs, explaining the relatively high proportion of self-employment and, more recently, identifying how EMBs differ from 'mainstream' businesses. Barrett et al. (1996), in their overview of the theoretical discourse that has been conducted on ethnic minority business in Britain and North America, explain how this has led to debate and controversy due to the emergence of various schools of thought (see also Ram and Jones, 1998 and Ram and Smallbone, 2001).

2.2.1 The 'Culturalist' perspective

The 'Culturalist' perspective emphasised differences between EMBs and non-minority businesses by viewing EMBs within cultural networks. It placed particular emphasis on the contribution made by family, in-group solidarity, cultural values and qualities, resource networks and shared identity and trust on business success (Barrett et al., 1996; Ram and Smallbone, 2001) and was influenced by Werbner (1984 and 1990), following her studies of the Pakistani garment trade in Manchester. One of the attractions of this approach was that it appeared to provide an explanation of why people of Asian (and Oriental) origin were 'successfully' establishing businesses in contrast to people of African-Caribbean origin, given that they faced similar levels of racial discrimination. However, the Culturalist perspective is widely viewed as having over-emphasized ethnicity at the expense of other elements, such as the impact of class, the role of women in family businesses and the wider socio-economic context (Mulholland, 1997; Phizacklea, 1990; Ram and Jones, 1998; Ram and Smallbone, 2001). In addition, family support and the use of informal contacts and personal networks have been found to be a feature common to many small businesses which weakens the argument that they alone can distinguish and explain EMBs (Mulholland, 1997; Jones et al., 1992).

2.2.2 The 'Structural Materialist' perspective

This explanation for high levels of ethnic minority self-employment stressed the material constraints, including racial discrimination, which restrict opportunities in the wider labour market and 'push' people to self-employment as a means of economic survival (see Barrett et al., 1996). First generation migrant workers were often recruited into the least desirable jobs and whilst this represented a similar pattern to earlier migrations by white minority ethnic groups, the racial dimension was seen as a key factor in perpetuating the limited employment opportunities of ethnic minority immigrants (Iganski and Payne, 1996).

When this explanation for high levels of ethnic minority self-employment emerged, the popular media portrayal was of economically successful Asian entrepreneurs. However this was contrary to the many problems already identified by academic research which revealed that although there were large numbers of individual EMBs, there was little evidence that they were expanding, diversifying, innovating or providing rich rewards for their owners (Aldrich et al., 1984). Failure levels were high and many EMBs were struggling to survive despite their owners working long hours and taking advantage of unpaid or lowly paid family labour. One of the conclusions was that there were too many firms (market saturation) relying heavily on co-ethnic customers, often in deprived areas. This view of struggling ethnic businesses operating outside the mainstream economy has also been termed the 'economic dead-end' thesis (Metcalf et al., 1996).

Structural materialism has however been criticised for its emphasis on structural influences at the expense of the social and cultural influences. In addition, Barrett et al. (1996) cite a variety of empirical studies that contested its central premise, and revealed it to be inadequate to explain all ethnic minority enterprise, by identifying Asian-owned firms that had successfully diversified (Bose, 1982; Clark and Rughani, 1983; Soni et al., 1987).

2.2.3 The 'Interactionist' perspective

Stemming from the work of American academics, particularly Waldinger in the early 1990s (Metcalf et al., 1996), this more integrative approach stresses the relationships between group characteristics and resources utilised by EMBs and the external 'opportunity structure' within which they operate (Rath, 2000). The 'opportunity structure' relates to the external commercial environment (Jones et al., 2000) and includes market conditions and access to business ownership, determined by business vacancies, competition for these vacancies and government policies (Rath, 2000). In the case of immigrants looking to become self-employed, the opportunity structure is often seen as being restricted to business sectors with low barriers to entry, particularly those that require small capital outlay and few educational qualifications. However, Waldinger's 'interactionist' model has

been criticised for not being comprehensive enough. Rath (2000) and Rath (2002) list several criticisms based on the approach undervaluing the political and economic context (Bonacich, 1993), giving too little attention to gender (Morokvasic, 1993) and being too focussed on ethnicity in its coverage of economic and institutional frameworks.

Other academics, principally Light, Bonacich and Ward, provided broader definitions of 'Interactionalism', arguing that the positive and negative aspects of ethnic networks should be investigated and that the 'opportunity structure' should include all aspects of the external business environment: including 'customers, suppliers, financial, commercial and state institutions' (Barrett et al., 1996).

2.2.4 Mixed Embeddedness and Biographical Embeddedness

Mixed Embeddedness

Whilst 'culturalism', 'structural materialism' and even 'interactionalism', as described by Waldinger, were being criticised for being too simplistic in their attempt to explain ethnic entrepreneurship, a more holistic approach developed. As this study was already underway, the concept of 'mixed embeddedness' was developed by Kloosterman et al (1999), on the premise that EMBs can only be properly understood by taking account of the way they are embedded in socio-economic and politico-institutional environments as well as within social networks (Rath, 2002). The key strength of this approach has been described as its 'comprehensive perspective' (Ram and Smallbone, 2001)

Kloosterman et al. (1999) acknowledge that 'mixed embeddedness' has its roots in the more established concept of 'embeddedness', which can be used to explain the success of entrepreneurs in general as well as immigrant entrepreneurs in particular (Granovetter, 1985; Waldinger, 1995). However, they criticise the way 'embeddedness' has moved away from the original meaning intended by Polanyi (1957) which encompassed social, economic and institutional contexts, and argue that it has been used 'in a rather one-

sided way' (p. 257) to refer to the social and cultural characteristics of groups.

As well as being sensitive to the importance of social networks, 'mixed embeddedness' defines the operating environment by its constituent parts to enable the impact of each element to be assessed.

...the particular forms that ethnic minority enterprises take will be influenced by a range of factors, such as sector, locality, labour markets and institutional support. The complex interplay of these processes, rather than the simple mobilisation of ethnic ties, is likely to account for the manner in which ethnic minority firms 'differ' from the wider small firm population.

Ram and Smallbone, 2001

However, 'mixed embeddedness' is a relatively new concept and there is no consensus on which elements of the external environment should be considered when researching EMBs. Also, by encompassing a wide range of 'influencing factors', mixed embeddedness runs the risk of losing explanatory potency as a theory and becoming simply a replication or mirror of complexities in the environment. The elements most prominent in the model described by Kloosterman et al (1999) are market conditions, spatial settings (including location and sector) and institutional (especially state) policies as well as social networks. It is suggested that EMBs are found in concentration in particular sectors that require relatively small capital outlay and low qualification levels and thus have low barriers to entry for immigrants. The shape of the opportunity structure that surrounds an individual business owner/manager is determined by market conditions and economic trends which, the authors suggest, are 'embedded and enmeshed in institutions...(which) significantly affect opportunity structures at national, sector and local levels' (p. 258). However, low entry barriers, coupled with discrimination in the wider labour market mean these economic sectors are often saturated and survival can be dependent on long working hours, low wages, reducing labour costs through utilising social networks and/or adopting illegitimate working practices.

Ram and Smallbone (2001) reflect these multiple elements of 'mixed embeddedness' when they talk in terms of sector, size, location, access to

finance, social networks, generational differences and regulatory institutions influencing the way in which EMBs develop and operate. They particularly stress that 'an appreciation of sectoral dynamics is central to the mixed embeddedness perspective' (p. 12), and highlight the risk of over-emphasizing the impact of the owners' ethnicity on the way in which a business operates, compared to the impact of the economic activity in which it is engaged. Ram and Smallbone argue that businesses in the same sector face common processes that influence their viability and support needs as they face comparable levels of competition and regulation.

Ram et al. (2000) studied a variety of ethnic minority and white-run restaurants and highlighted how features of the sector affected the way in which the businesses operated. Whilst a number of important differences were found between different ethnic minority groups, 'important areas of convergence' (p. 506) were also revealed. In particular the authors showed how economic trends of growth, recession and increasing vulnerability to competition, use of family support and co-ethnic labour applied, albeit in slightly different ways, across all ethnic groups. They concluded that 'it is no longer tenable to understand the entrepreneurial trajectory of any ethnic community from an ascribed set of static and arbitrary cultural traits' and described their study as 'a step towards a more dynamic understanding of culture and the way this interacts with the structural context in which ethnic minority enterprise is inescapably embedded' (p. 507).

The Mixed Embeddedness literature, therefore, shows the importance of examining sector influences on EMB owners-managers when seeking to understand the way in which they operate and the decisions they make. For the study reported here this suggested the need to review the extent to which the structure of the restaurant sector, the trends it was experiencing and its key characteristics influenced whether or not restaurateurs participated in the selected training and recruitment initiatives. Table 2.01 lists some central features of the restaurant sector that have been pointed up in the literature (HtF, 2000a, Marketpower, 1997; Ram et al, 2000; Ram et al, 2001) and

suggests the positive and negative impact they may have on participation decisions.

Relatively low skill levels

Owner-managers may not participate in training initiatives if they think the skills involved in working in a restaurant are 'low grade skills' as they may conclude that these members of staff do not need to receive formal training and qualifications

Seasonal peaks and troughs

The sector is often subject to seasonal peaks and troughs. Restaurateurs may not be prepared to participate in initiatives that are not designed to fit around their busiest times, particularly if they believe the provider is not sensitive to this aspect of their business

High levels of staff turnover

Restaurateurs who employ a high proportion of temporary staff (including those who are technically 'permanent' employees but who are in the job as a 'stop-gap' and do not see it as a career) may not be willing to become involved with initiatives. They may believe that it is not worth investing in training if the staff are likely to leave either before completing an initiative or shortly afterwards.

Alternatively, some restaurateurs may view training initiatives as a tool to help them retain staff for longer by giving them an opportunity to gain a qualification and encouraging them to view their job as part of a wider career. In addition high labour turnover may prompt some restaurateurs to become involved with recruitment initiatives to help solve staff shortages.

Restaurant sector is subject to changing fashions and trends, has low entry barriers and subsequently there are high levels of competition in a rapidly changing market

Some restaurateurs may feel they are too busy struggling to survive in a rapidly changing market place to consider participating in anything that is not immediately, tangibly and directly beneficial to the business. High levels of competition (from other restaurants and from supermarkets) can force businesses to compete on price and owner-managers who are operating on low margins may be deterred from participating due to the cost.

However, other restaurateurs may view the initiatives as tools that could help them to gain a competitive advantage by enabling them to offer better customer service or by helping them to make operational changes that improve the business.

Restaurant sector is affected very quickly by changing economic conditions

Many restaurants operate on low margins and are highly dependent on individuals spending their disposable income and on business customers having corporate entertainment budgets. Eating-out is not an essential area of expenditure at a time of recession or slowing growth so the sector is hard hit at these times.

Owner-managers may be less likely to become involved in hard economic times as their focus will be on survival.

Some restaurateurs may take a long term view, however, and become involved in training initiatives if they see them as a means of preparing their business so it is in good shape and has a better chance of surviving slow-downs and recessions.

Poor personnel practices

Restaurants with poor personnel practices are unlikely to be attracted to structured initiatives for training and recruitment, as they will not have an existing training culture or infrastructure. They may view the initiatives as being of more benefit to individuals than to the business. If the owners-managers view personnel issues as a burden or a necessary inconvenience they are unlikely to participate in training initiatives.

Providers may not promote initiatives to restaurateurs in the same way or to the same extent as they do in other sectors if they perceive them to have poor personnel practices. They may devote fewer resources if they think that it will be more difficult to secure involvement from this sector, compared to others. Providers may become disillusioned with the sector if they encounter restaurateurs with poor personnel practices.

Some owner-managers may become involved in initiatives because they want to show that their business does have good personnel practices, either because this is an area that interests them or to enhance their personal reputation and to help change the industry's image in this regard.

Restaurant sector is a classic niche for EMBs

As a classic niche market the sector combines long established restaurants with newer ones. The age of the business may affect the likelihood of a restaurateur participating with businesses having different needs according to their stage of development.

Some restaurateurs may be following established systems and approaches that have been in place for many years and may no longer be innovating. These owner-managers may not see any value in making changes and may not consider that they will learn anything new by becoming involved in external initiatives.

Being a long established niche for EMBs can raise generational issues as many restaurants are facing the challenge of ownership succeeding from one generation to another. Owners-managers from different generations may have different levels of assimilation and integration, varying levels of English and diverse attitudes to government, which could affect the likelihood of them participating in external initiatives.

Restaurant sector is made up of a large number of small independent businesses

Chains of ethnic restaurants are growing in significance within the sector, but there are still a very high proportion of small independent businesses. Small businesses may see structured training and recruitment initiatives as less relevant or beneficial to them than to larger businesses as they will tend to rely more on personal and informal management practices and have more direct contact with their staff. In particular, training may be seen more in terms of informal, personal coaching than formal structured training programmes.

Having a large number of small establishments in the sector makes promotional activities very labour intensive as providers need to reach a larger number of individual restaurateurs to secure the same number of candidates as would be obtained from a much smaller number of large businesses.

Participation in government initiatives can often be 'kick-started' by getting large businesses in a sector involved first to act as 'champions' and increase overall awareness, but this can be difficult in a sector dominated by small businesses.

The restaurant sector is part of a larger hospitality industry which is also dominated by small businesses and which suffers from a lack of coherence in sector representation. Many different, sometimes competing, trade associations, restaurant associations and professional bodies exist at local and national level. This makes it more difficult for policy makers and providers to reach business owners-managers through these channels.

Table 2.01: How features of the restaurant sector may affect participation. (Sources: HtF, 2000a, Marketpower, 1997; Ram et al, 2000; Ram et al, 2001)

The 'mixed embeddedness' perspective therefore highlights the need to view EMBs in relation to the political, institutional, social and economic context

that surrounds them, with a particular focus on the need to appreciate how the sector within which they are located influences their behaviour.

Biographical Embeddedness

Even more recently the concept of 'biographical embeddedness' has been suggested by Apitzsch (2003). 'Mixed embeddedness', whilst being fundamentally accepted as an approach, is criticised by Apitzsch for being male dominated and failing to take account of the individual business owner and their biographical history.

Through the biographical method, we can analyse how individuals acting within the complexity of structural-objective factors and social policies are socialized in specific directions which, in turn, directly affect their occupational development and the strategies they adopt to combat exclusion and achieve integration.'

Apitzsch, 2003

Within this approach personal histories and experiences in childhood and youth as well as immediately prior to business formation are highlighted as impacting on the nature of the business and the way in which it develops. It is suggested that 'a more micro-orientated and biographical approach to entrepreneurial behaviour is necessary to account for the variety of different strategies within the same group' (Apitzsch, 2003, p.168).

There is evidence to suggest that mixed embeddedness is intended to include 'individual characteristics' (Kloosterman, 2003, p. 169), but no evidence to suggest it includes personal histories and childhood experiences.

Prior to the emergence of 'mixed embeddedness' and 'biographical embeddedness', the research undertaken in this study was informed by all three approaches described above, but had not found a comfortable home with any one in particular. It was not anticipated that EMB participation levels in business support initiatives could be explained by cultural or structural materialist perspectives alone. The Interactionist approach seemed most relevant as it acknowledged that a complex mix of factors may affect participation. Consequently the approach taken within this study was

to gather information on as wide a range of potential factors as possible, including those relating to the individual decision-maker, their internal business environment, social networks and the wider socio-economic and politico-institutional environment. The emergence of 'mixed embeddedness' was therefore welcomed as providing a school of thought to which it could contribute, especially as it had already been linked to ethnic minority businesses and their use of business support services (Ram and Smallbone, 2001; Ram and Smallbone, 2003).

2.2.5 Diversity

The widespread use of the term 'Ethnic Minority Business' (EMB) is potentially misleading in that it encompasses a diverse range of businesses that, to be understood, must be considered in separate groups and not collectively. It is now recognised that there are differences between businesses run by people from the same ethnic minority group, as well as between businesses run by different ethnic groups including the white population. A particular EMB may behave in a way that is common to businesses of a similar size operating in the same sector and may behave differently from businesses run by people from the same ethnic group (Barrett et al., 1996; Blackburn, 1994; Jones et al., 1992; Ram et al., 2000).

'Internal ethnicity' and 'intra-ethnic diversity' are concepts that must be accounted for in research on EMBs if their true diversity is to be recognised. According to Light et al. (1993), 'internal ethnicity' arises either when the immigrant's country of origin has more than one ethnic group, when ethnic categories are aggregated from initially distinctive sub-groups or when members of a particular ethnic group successively emigrate from one new country to another. 'Intra-ethnic diversity' includes differences within a single ethnic group. Applied to ethnic enterprises this includes differences in sector, size or entrepreneur background such as class, age, generation or gender, within businesses run by people of a single ethnic group.

There have been calls for studies to explore similarities between different ethnic groups and between particular ethnic groups and the white population,

as well as differences. This approach is necessary to help militate against behaviour being attributed to ethnicity when it is instead common to many organisations of a particular size or operating in, for example, a particular sector or spatial context (Mulholland, 1997; Ram et al., 2000). As an example of areas where similarities have been found Barrett et al. (1996) describe the 'widespread use...of informal non-market non-bureaucratic methods of recruitment, marketing and funding, and the general avoidance of official enterprise-assistance packages and agencies' (p. 799), common to White, South Asian and African-Caribbean employers.

2.2.6 Development and evolution

Ethnic minority enterprises established by the immigrants of the 1950s and 60s have now left their 'pioneer' stage (Barrett et al., 1996) during which time large numbers of EMBs were established in concentrated inner-city areas in a relatively small range of economic sectors including retail, wholesale, catering and textiles. Some of these traditional sectors have seen rapid growth and have reached the point of market saturation (Barrett et al., 1996; Ram et al., 2000). This brings new challenges for EMBs in these sectors particularly focussing on whether to remain in the market and compete, develop a specialist niche within the market, take the product or service to a new location or diversify into another sector. Whilst the vast majority of EMBs are still small owner-manager run operations concentrated in a relatively small number of economic sectors, there is evidence that some EMBs are diversifying, spreading from the inner-city to suburban areas and growing into larger firms (Ward, 1986). Inter-generational issues have become increasingly important in recent years as long-established businesses are facing the challenge of succession and new businesses are being established by second and third generation British nationals brought up and educated in the UK (Dhaliwal, 2001).

Ethnic enterprises have partially been defined in the literature by the markets within which they operate. '*Ethnic niche markets*' are those where entrepreneurs are heavily dependent on co-ethnic custom in a particular geographic area. The term '*middleman*' market has been used to describe

ethnic businesses that sell goods and services to the wider population (Ward, 1985). In contrast, Jones et al. (1992) suggests four markets within which EMBs can operate. The '*local ethnic*' market and the '*local non-ethnic*' market are the equivalent of the '*ethnic niche*' and '*middleman*' described above where firms supply products or services to local customers. The remaining two markets described by Jones et al. (1992) are the '*ethnic non-local*', supplying ethnic markets over a broad geographic area and the '*non-ethnic, non-local*' which is unlimited by geographic area or ethnic group. Businesses that have successfully moved away from niche ethnic markets have been described as achieving '*breakout*', which refers to geographical and market diversification often into more profitable arenas (Barrett et al., 1996).

2.3 Owner-managers in small firms

The second body of literature reviewed involved the nature of owner-managers in small firms, specifically in relation to decision-making. This was of particular relevance to this study as it was anticipated, given the empirical site being used, that there would be a large proportion of small firms run by owner-managers or by managers working for companies with a relatively small number of outlets. This literature therefore provided an insight into how these individuals might approach participation decisions.

2.3.1 Rational decision-making models

There is a substantial body of literature on decision-making within organisations, which has particularly developed within the field of strategic management. Early models of decision-making suggested rational approaches based on an assumption that a person's behaviour is reasonable and logical. Mintzberg et al. (1976) suggested that strategic decision-making consisted of three phases; the identification phase, the development phase and the selection phase. In the identification phase managers recognise a potential problem or opportunity and then collect relevant information. The development phase involves searching for potential solutions (either from within or outside the organisation) and

designing or refining them to suit the issue being considered. The selection phase then involves screening the potential solutions to produce a smaller number of viable alternatives, which are evaluated before a final decision is made.

Mintzberg et al.'s model is similar to others that present a rational approach to decision-making. Olson (1986) describes a process with four phases, based upon the work of H. A. Simon, R. M. Hogarth and B. M. Bass.

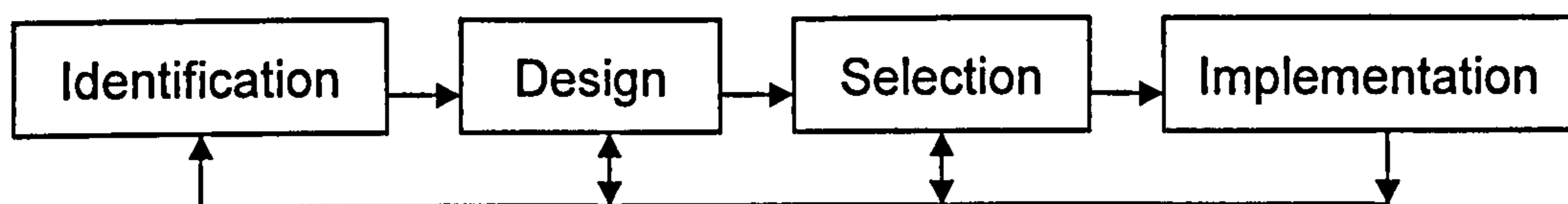


Figure 2.1: Olson's Decision-Making Process Phases

The first three phases are each comparable to Mintzberg et al.'s, whilst the fourth involves the 'Implementation' of the decision. This is a period when Olson suggests the decision-making process will 'recycle many times as the entrepreneur discovers other gaps that need to be evaluated and acted upon' (p. 30).

2.3.2 Factors disrupting rational decision-making

However, the rationality of decisions made in practice within both large and small organisations was soon questioned by the researchers who had developed the original models as well as by others (see Brouters et al, 1998; Byers and Slack, 2001; Rice and Hamilton, 1979) and factors that hamper the rational process were identified.

Brouters et al (1998) discussed three 'well accepted' (p. 131) sets of influencing factors. The first they termed 'Power and Politics' whereby individuals or groups within the organisation attempt to influence a decision to produce the outcome they want. This was thought to be less applicable in small firms where power tends to be more centralised with the owner-manager and there are fewer departments and organisational layers than in larger businesses. The second type of influence was termed 'External

Control' whereby decisions are affected by people from outside the organisation, such as customers, suppliers and government agencies. The third set of factors involves the personal characteristics of the decision-maker. This, they suggest, can include the individual's economic and social background, level of education and previous work experience as well as demographic factors such as their age. They give the example of older managers having been found to make more conservative decisions than younger managers who have been found to be more prepared to take risks. McCarthy (2003), who found that entrepreneurs' attitudes to risk-taking changed over time, supports this view. Entrepreneurs who had been prepared to take risks when they were younger become more cautious after having experienced business crises.

The effect of personal characteristics on rational decision-making is also a feature of Simon's Nobel-prize winning 'theory of bounded rationality' (Dean and Sharfman, 1993; March, 1982). Within this theory, managerial decisions are constrained 'by the manager's personal characteristics, emotions, limited cognitive capacities, time constraints and imperfect information' (Simon, 1945 in Byers and Slack, 2001, p. 126). Simon is reported to have seen decision-making as a stochastic process whereby decision-makers search for a satisfactory solution selected from the range available at the time, rather than searching for an unknown optimal solution (Rice and Hamilton, 1979).

2.3.3 Decision-making in small businesses

Research into how managers make decisions in small companies is at a comparatively early stage (Brouthers et al, 1998). Small firms differ from large firms in some important respects that are thought to affect the way in which decisions are made. Decision-making in small firms is usually controlled by one or two owner-managers (Greenbank, 2000; Berry, 2002; Charan et al., 1980) and Matlay (1999) found that this was the case for human resource decision-making. This is likely to increase the impact of personality on the decision-making process (Brouthers et al, 1998, Matlay, 1999, Culkin and Smith, 2000). In addition the decision-maker is likely to be

responsible for a wide variety of areas within the organisation which can prevent them from being able to fully evaluate all the alternative solutions due to a lack of skills, experience, time or opportunity (Rice and Hamilton, 1979, Culkin and Smith, 2000).

Byers and Slack (2001) studied small firms within the leisure industry and found that many owners viewed strategic decision-making as 'non-essential or irrelevant' (p. 124) due to a turbulent external environment, instead preferring to emphasise operational decision-making. They found the decision-making process adopted by small firms in their study to be 'adaptive' (p. 124), as the owners were making quick decisions in response to changing circumstances. In addition they identified factors peculiar to small businesses which constrained strategic decision-making, including time, lack of managerial education, personal business objectives being given precedence over 'rational profit maximisation' (p. 125) and a desire to maintain close control over the day to day running of the business.

Greenbank (2000) presents a contextual model of decision-making in micro businesses, defined as those that employ fewer than ten people (DTI, 1995, p.11), which emphasises the interaction between the decision-maker's social, individual and economic contexts.

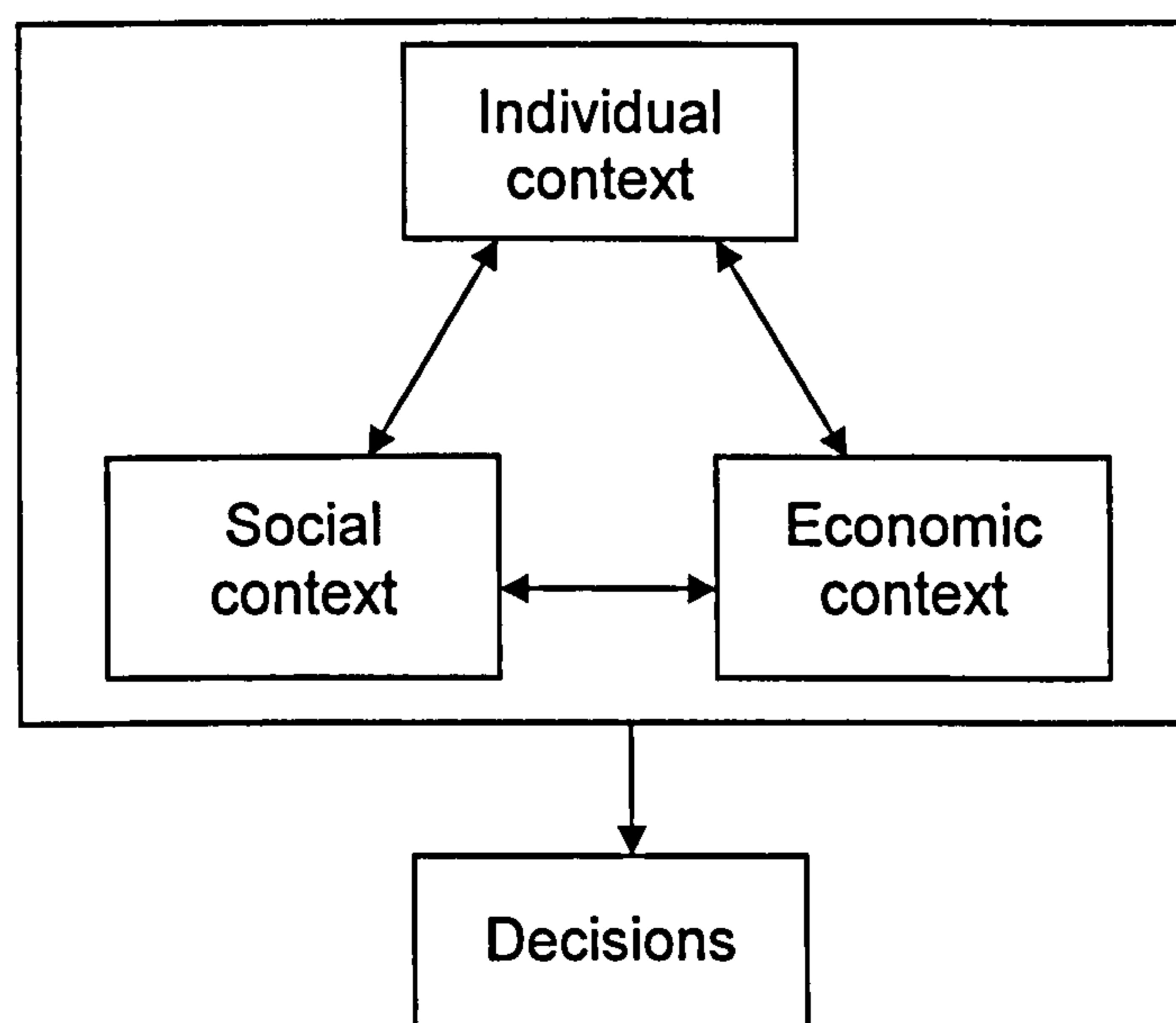


Figure 2.2: A contextual model of micro-business decision-making (adapted from Greenbank, 2000)

The *individual context* includes the abilities, perceptions and beliefs that the decision-maker has inherited and learnt. The *social context* relates to the social structures that have influenced them. This includes their education, employment experiences, the organisations of which they are members and their networks of friends and associates. The *economic context* relates to their economic position in relation to both their business and personal finances. It is suggested that whilst many micro business owners want to maximise their profits in the same way as other business owners do, a proportion of them are less driven by profit and are instead motivated by the desire to satisfy other aspirations. Greenbank (2000) suggests decisions made by micro business owner-managers are influenced by their personal combination of contexts.

This was also a conclusion reached by Rice and Hamilton (1979) who found that the decision-makers in their study of small businesses used three or four factors when making their decisions, with each choosing to select a slightly different combination of factors depending upon their individual situation. Byers and Slack (2001) also support this view in their study of decision-making in small firms within the leisure industry, where the majority of the business owners had started their business in order to pursue their personal hobby. They argue that some small firm owners may have been seeking independence and autonomy (Gore et al., 1992) and may resist business growth if they wish to retain personal control (Gray, 1992, see also Marlow, 1992).

Greenbank (2000) describes an intuitive style of decision-making in micro firms where decisions are based on information that has been 'subconsciously and informally absorbed' (p. 405). He argues that this approach 'may be the most appropriate given the individual, social and economic contexts within which micro-business owner-managers operate' (p. 406) but is not compatible with formal business planning, which is often only undertaken by micro businesses when required by external organisations, such as banks and enterprise agencies. Of particular relevance to this study is his claim that existing small business training and advice often reflects

rational decision-making approaches which are seen by micro businesses as being irrelevant and inappropriate.

Olson (1986) argued that entrepreneurs have been found to think both intuitively and rationally, using intuitive skills for creative tasks and rational skills for logical sequential tasks. He argues that these two approaches are complementary as intuitive skills can help generate or recognise a new market opportunity whilst rational skills can be used to develop plans that will make it a marketable product or service (Olson and Bosserman, 1984).

The impact of an entrepreneur's personality on decision-making in small and medium sized enterprises was the subject of research undertaken by McCarthy (2003). Two entrepreneur personality types were identified; the *Charismatic Entrepreneur* who was 'visionary, intuitive and creative' (p. 158) in decision-making and the *Pragmatist Entrepreneur* who was 'planned, rational and reactive' (p. 160). McCarthy suggested that the Pragmatic Entrepreneur was the one most likely to be responsive to state incentives and state training schemes. Previous research by Miller and Toulouse (1986) compared the decision-making approaches of Chief Executive Officers (CEOs) with different personality types. 'Flexible' CEOs were those who were able to adapt their thinking and social behaviour in response to their environment and their decision-making was found to be reactive rather than proactive. CEOs with a 'high need for achievement' were those who set themselves challenges. They were found to take decisions that enabled them to act upon their environment rather than react to it. These studies suggest that the decision-making style of an owner-manager can be affected by their personality-type.

This study did not adopt a psychological approach by looking at personality types as the research was positioned within the fields of sociology and management studies. However, the importance attributed to the individual in these studies was reflected in the decision to investigate the effect of personal characteristics on participation decisions as well as variables relating to the organisation and its external environment.

To understand the small firm, government interventions must place significantly more emphasis on understanding the context, and the individual person who is the decision-maker

Culkin and Smith, 2000

2.3.4 Information used in decision-making

Information sources used in decision-making have been found to differ between large and small businesses and between businesses that have recently been established ('start-up') compared with those that are established and stable. Fann and Smeltzer (1989) found that owner-managers in small firms used 'rich' sources of information, such as face to face discussions with family, friends, customers and employees, both at 'start-up' and when stable. By contrast, respondents in stable established businesses were more likely to use less rich information sources, such as 'trade and professional meetings' and 'newspapers and magazines' (Fann and Smeltzer, 1989). The authors suggested that this could be due to owner-managers in these businesses being able to devote more time to information gathering. Decision-makers were also found to select information sources that were easily accessible to them, as opposed to the selection being made on the basis of the quality of the information.

Greenbank (2000) argues that as owner-managers in micro businesses work at the operational level as well as the managerial level they absorb information informally, which can negate the need for formal information collection. However he also acknowledges that this has limitations:

...because micro-business owner-managers appear to be heavily reliant on personal experience, they are dependent on the quality of the experience they have undergone, the appropriateness of their experience to running the micro-business, and their willingness and ability to reflect and analyse critically the information they have absorbed.

Greenbank, 2000, p. 407

2.3.5 Cross-cultural differences in approaches to decision-making

A number of studies have sought to identify cross-cultural differences in approaches to decision-making, focussing either on cultural differences

between nations or cultural differences between groups of individuals and organisations in the same country. As already established, decision-making in small firms is usually controlled by one or two owner-managers, and the literature relating to individuals was therefore examined alongside that relating to organisations.

Mann et al. (1998) studied students in three Western countries and three East Asian countries. Students in the Western countries were found to be more confident about the decisions they had made, whilst students in the East Asian countries were more likely to avoid taking decisions. Overall however the researchers concluded that the decision-making styles of the two groups were more alike than different.

Differences in the level of confidence declared in a decision between Western and South East Asian respondents were also found in a study by Wright, Phillips and Wisudha (1983). Both groups of respondents tended to be overconfident, but in direct contrast with Mann et al's findings the Asian respondents were more overconfident than the Western respondents. They were also more likely to give absolute 'yes' or 'no' responses, whilst the Western respondents gave more qualified intermediate judgements. The researchers concluded that the extent of cross-cultural difference varied between tasks and the differences between the two cultural groups were thought to be limited to specific situations (Berry, 2002).

Vincent (1996) studied the decision-making policies of Mexican-American entrepreneurs and compared them with Anglo-American entrepreneurs. Mexican-Americans were less likely to have formulated a decision-making policy but both groups were found to have applied the same variables to the decision-making process, namely an assessment of economic outlook, the availability of finance and potential profitability. They were least concerned about personal time commitment and issues relating to product and service management. The only difference between the two groups was that Anglo-American entrepreneurs were more likely to consider family support to be vital to a business venture than the Mexican-American entrepreneurs, a reversal of the expected position.

Wright (1985) summarised early decision-making research within organisations and found cultural differences had emerged in some descriptive studies but that other studies, which involved more systematic data collection, suggested similarities in approach. Weber and Hsee (2000) reviewed more recent research and again found that cultural differences in decision-making were limited to particular situations.

Whilst there is some evidence that decision-making approaches differ between cultures this has been found to be restricted to particular situations and cannot be generalised. There is even less evidence of differences in decision-making between minority and non-minority businesses within the same country. In addition, the extent to which these differences can be attributable to variations in overall profile such as sector, size, economic and social context or the personal characteristics of the decision-makers, is not known. There have been calls for theory-based research that uses multiple methods and situations to further explore cross-cultural decision-making (Weber and Hsee, 2000).

2.3.6 Networking and the 'Fortress Enterprise' concept

Literature on small business participation in networking initiatives has been reviewed because it includes discussions of involvement in formal networks facilitated by the same enterprise agencies that promote involvement in business support initiatives. Curran and Blackburn (1994) reported on a study they had conducted with owner-managers of 410 small firms in seven locations and nine sectors across England. The research included interviews with 350 service sector respondents in five locations and utilised critical incident analysis with a smaller number of interviewees. Sector differences were found in the extent to which businesses used government agencies, with electronics, computer service and knowledge based businesses demonstrating relatively high use of these services, compared to garages, vehicle repairers, video and leisure, free houses, wine bars and, of most relevance to this study, restaurants. The authors suggested a variety of reasons for owner-managers being reluctant to approach government agencies, including their close association with government taxation,

regulation and bureaucracy and the emphasis agencies place on locality rather than economic sector.

The research also explored the extent to which owner-managers had links and utilised networks outside the business and found respondents had 'relatively small and non-extensive networks with little resort to external contacts' (Curran and Blackburn, 1994, p. 112). The authors suggested a number of reasons that they believed explained the low-level of external contacts found, including time and cost. Professional sources of advice were viewed as expensive and could only be used sparsely, if at all, whilst enterprise agencies were not viewed as offering services that would help the business (Curran and Blackburn, 1994). However, more controversially, they also drew on literature which suggests that owner-managers display a dominant psychological characteristic of valuing independence and autonomy.

'Running a business is an exemplification of these values and any resort to external advice or discussion may be interpreted by owner-managers as showing an over-dependence on others. This produces a 'fortress enterprise' mentality in articulating with the wider environment which suggests that levels of linkages with external economic contacts, as well as any embeddedness in the locality which has implications for their business activities, will be limited.'

Curran and Blackburn, 1994, p. 113

In a similar vein, Scase and Goffee (1982 and 1987) suggest that some business owners are attracted to self-employment because they are driven by a quest for personal autonomy and are attracted by the opportunity of independence. This is 'linked to notions of self-reliance, personal responsibility and success through one's own efforts' (Scase and Goffee, 1982, p. 71). However, they also recognise that others become self-employed because they are unable to find employment due to factors such as discrimination, prejudice or a lack of education and qualifications. They describe these owner-managers as 'reluctant entrepreneurs working for themselves because it represents the only means of earning a living' (Scase and Goffee, 1987, p. 14). Overall they contrast those who are searching for independence and self-fulfilment with those who 'simply wish to escape the

frustrations of employment (p. 14) or whose self-employment was triggered by 'redundancy, unemployment or industrial injury (p. 35). In a later publication the same authors recognise that personal motivations for entering business are influenced by psychological factors and make a connection between the motivations that lead an owner-manager into self-employment and 'the nature of business growth, their marketing strategies and their general style of management' (Scase and Goffee, 1995, p. 8).

Taken together, this literature supports the view that some owner-managers have psychological characteristics that drive them to seek independence through self-employment, and that this, in turn, affects the way in which they choose to run their business. Those who start a business through a desire for independence and autonomy may tend also to want to be independent in the way that they run that business. They may resist becoming involved in anything they perceive will make them dependent on others or involves relinquishing any degree of control over the way in which they operate. For example, these owner-managers would be very unlikely to allow an external company to train their staff as they would be anxious to retain full control over what their employees were taught and the practices they followed whilst at work.

Owner-managers with a 'fortress enterprise' mentality have a negative attitude to external organisations influencing their business and a strong commitment to autonomy and independence, even if their business is in crisis (Curran and Blackburn, 2000). It is therefore rational for these individuals to avoid participation in external networks because they are motivated by the need to run their business independently. However, it is apparent from the extant literature on networking by small enterprise owner-managers that there is some controversy about the extent to which this way of thinking is widespread within the small business owner/manager population. Curran and Blackburn (1994) acknowledge that not all business owners have this mentality 'in an extreme form', but argue that its presence even in weaker forms in the psychological make-up of owner-managers is common' (p. 172). However, Johannisson (1995) has described Curran and

Blackburn's conclusion as 'hasty'. He suggested alternative explanations for owner-managers reporting low use of networks, including respondents exhibiting a 'generic dependence/independence paradox' which means that networks that are created by the entrepreneur are 'taken for granted' (p. 216). Johannisson also suggested that some owner-managers may appear more independent than they actually are as social ties could be so taken for granted that they may not consciously articulate them in an interview setting or so close-knit that owner-managers may maintain secrecy to keep their personal networks private. He also asserted that prospective networking that has not yet resulted in any tangible benefits may not be acknowledged. However, these criticisms of the 'fortress enterprise' concept appear to relate more to social relationships than to the more formal networks run by enterprise agencies. Bryson (1997) studied business service firms and reported low levels of Business Link use whilst also stressing that networks were essential to the success of enterprises which depend on individual contacts, reputation and personal recommendation. His findings suggest that small enterprises operating in professional business service sectors would be unable to survive if run by an owner-manager with a 'fortress enterprise' mentality.

More recently, literature that comments on 'fortress enterprises' has explicitly accepted the existence of this phenomenon and instead concentrated on identifying the extent to which it is a common feature of the small business population. For example Ram (1999) has argued that 'small business owners tend to work long hours, have a 'fortress enterprise' mentality, and are often reluctant to avail themselves of external support, in the form of enterprise agencies or training'. In contrast, Huggins (2000) examined four different types of network and concluded that 'at least a small number of SMEs in the UK are not cocooned within the 'fortress enterprise' mentality and Chell (2000) found only a small proportion of owner-managers in her research exhibited the 'fortress enterprise' mentality in relation to formal economic and business development agencies, although they did participate in informal networks. Chell concluded that Curran and Blackburn's findings may apply to 'non-knowledge' business sectors but not to owner-managers

who run business that provide 'specialist expert services', which, she claimed, may account for the differences apparent in Bryson and Johannisson's findings when compared to those of Curran and Blackburn.

This literature collectively suggests that some, but not all, small business owner-managers exhibit a 'fortress enterprise' mentality in relation to participation in networking and that this may be a particular influence in 'non-knowledge' sectors, a classification which would encompass restaurants. As already noted the sector is characterised by low turnover and has a reputation for poor personnel practices, high staff turnover and low margins. This could interact with some owners/managers having a 'fortress enterprise' mentality and lead to particularly low participation levels when compared to other sectors. Given that this mentality has been found to influence participation in networks, including those run by enterprise agencies, it is possible that it may also influence participation in business support initiatives. This, in turn, reinforces the need to explore whether an owner-manager's attitude to external bodies influencing their business is a factor that affects the likelihood of them participating in agency-led initiatives.

2.4 Ethnic minority participation in mainstream initiatives and institutions: studies that informed the preliminary model

One of the objectives of the study was to include an inter-disciplinary element as the research was concerned with *ethnic minorities*, *small businesses* and issues surrounding *participation*, all areas that transcend the boundaries of different academic disciplines. This approach is supported in relation to EMBs by Kloosterman et al (1999):

...the rise of immigrant entrepreneurship is, theoretically, primarily located at the intersection of changes in socio-cultural frameworks on the one side and transformation processes in (urban) economies on the other. The interplay between these two different sets of changes takes place within a larger, dynamic framework of institutions on neighbourhood, city, national or economic sector level. As such relevant research into immigrant entrepreneurship (and its relationship to informal economic activities) has to be located at the crossroads of several disciplines.

Kloosterman et al., 1999

An inter-disciplinary approach became particularly important when the initial literature review found only a small number of existing studies that focussed specifically on EMB participation in business support services and even fewer that identified the factors affecting participation levels. There was therefore very little prior work that could be drawn upon to identify factors that affected EMB participation in business support services. This study was concerned with revealing as broad a range of influencing factors as possible and it was considered desirable to identify at least a basic range of potential influences from secondary sources at an early stage which could then be explored and added to through primary research. The initial literature review had revealed studies that identified factors influencing the extent to which ethnic minority individuals as well as businesses participated in initiatives and institutions, through the use of search words such as 'ethnic minority' and 'participation' in both sociological and business orientated research databases. These studies were reviewed initially to identify the approaches they had adopted, in order to inform the methodological decisions in this research. However, it became apparent whilst reading these articles that many of the factors they had identified could potentially apply also to EMBs and to participation in business support services. This was because many of the factors identified and the terminology used to describe them, such as the importance of initiatives being 'accessible' or participants being concerned about 'time' and 'cost', were not context-specific. Additionally, where studies identified participation factors that were only relevant to one particular setting, this only helped to highlight the more generic, less context-specific factors with their wider potential transferability.

The literature on participation by ethnic minority individuals as well as EMBs in mainstream social institutions was therefore comprehensively reviewed. This revealed that a wide variety of factors had previously been found to influence this kind of participation. To be sure, this literature was, perforce, somewhat disparate, with each study concentrated within a particular academic field and rarely linked to the development of more universal participation theories. However a review of this collection of studies was able to reveal a wide range of generic variables that potentially influenced ethnic

minority business participation in business support initiatives. The approach ensured that participation was explored in its widest sense and avoided the risk of ruling out potential influences 'a priori' at an early stage in the research process. The relevance of each variable could then be examined during the study. This approach also ensured that the study could make a contribution to wider academic knowledge and understanding of the processes that lead to participation in general, as well as making a more specific contribution to knowledge about EMBs and business support initiatives

The approach taken in interrogating this literature was as follows. As potential factors were identified, they were coded and grouped together through a process of iteration. Three main groups of variables were identified. Variables that related to the characteristics of the businesses and the people who would make the participation decision were coded as 'internal' ('I'). Those relating to the formal external environment were coded as 'external' ('E'). Finally, the variables that were concerned with individuals and organisations that may support participation were as 'support' ('S'). Within these codes each variable was assigned a number in the sequential order in which they were identified. A full listing of the variable codes used and their titles can be found at Appendix 2A, cross-referenced to show which area(s) of the literature led to their identification. Appendix 2B provides a brief description of each variable and states how it may apply to this study. Throughout the summary review of the literature that follows, the variables are individually identified and coded (codes are shown in brackets next to the findings that led to their identification).

Whilst the empirical sites utilised by these studies were very wide-ranging they could be grouped together according to the type of initiative or institution to which they related. This was done to aid the presentation of the findings of the literature review and resulted in eight categories which were all either 'social', 'economic' or 'political' initiatives and institutions. The 'social' initiatives encompassed healthcare services, social services, community development and education and vocational training. The 'economic' ones

subsumed banking and employment, whilst the 'political' ones were 'politics' and 'public institutions', including initiatives run by local councils to encourage people from ethnic minorities to influence public policies. The variables identified from each of the studies are presented below in these groupings.

2.4.1 Social initiatives and institutions

Health Care

A study by Hayes (1996) called on relationship therapists to assess personal biases, areas of inexperience and privilege to ensure they met the needs of their ethnic minority clients (E11, E12).

In relation to mental health services, Neighbors et al (1992) linked high treatment drop-out rates to low socio-economic status (I7, I16) and a lack of cultural compatibility with service providers (E14). The report recommended that non-minority practitioners should increase their knowledge of minority cultural values (E11), and suggested community intervention (S4).

Also in relation to mental health Snowden & Hu (1997) conducted a comparative study between two areas with specialised programmes for ethnic minorities. The results showed that in one area the three minority groups studied all made more use of outpatient and community support services than whites, but less use of inpatient care, whilst in the second area the situation was reversed (I12). The researchers concluded that greater attention needed to be given to how mental health care services were organised (E7) to ensure the socio-cultural needs of ethnic minority clients were met (E11, E12).

Boneham et al (1997) reviewed barriers to the use of psycho-geriatric and welfare services by ethnic minorities in Liverpool. The biggest barriers were found to be that people did not know about the services (I4, I5) or perceived them as culturally inappropriate (I11, E2, E3). In addition, many of the research subjects had language difficulties (I1, S3) and, in the case of the 'meals on wheels' service found the food unsuitable (E11). The study concluded that to ensure improved access (E10) it would be necessary for

service providers to invest more in general medical services (E12), and work in partnership with ethnic minority groups (S4, S5).

A study of midwifery care for Asian women in Birmingham described the services as inappropriate (E2), inaccessible (I2, E10) and inadequate (E2), particularly for women trying to overcome a language barrier (I1, S3) (Hayes, 1995). Similarly, Hart et al (1996) focused on different strategies for increasing the participation of ethnic minorities in Alzheimer's disease diagnostic centres, including the success of a state wide effort (E4) to increase outreach activities to ethnic minority families with a relative(s) suffering from dementia (E12).

Mokuau & Fong in 1994 suggested that services provided for minority groups were not always 'available' (E5), 'accessible' (I2, E10) or 'acceptable' (I11, E2). Bowes & Domokos (1993) in a study of Asian women in Glasgow concluded that the women were not receiving their full health care entitlement due more to features of the health care system (E7), including racism (E8), than to Asian culture. Hawthorne (1994) identified that past health education programmes aimed at Asians had not focussed on access to services (E10), had not taken account of the widely differing needs of specific Asian groups (I9) and did not address the issues Asian people had themselves identified (E11), which included improved communication (E6), easier access (E10) and more information (E6). An international study by Bridges et al (1996) amongst health service users found urban residents, non-minority ethnic group members and non-minority religious groups showed greater response to print and electronic media, whilst rural dwellers and members of minority ethnic and religious groups responded more to personal promotions, such as educational meetings (E6, E7).

Gerrish (1997) reviewed existing literature to consider how nurse education could most effectively prepare future practitioners for working with ethnic minority patients. The case was made for educators to consider how they recruit and support student nurses from ethnic minority groups (E12, E14 and S2).

An article by Bahl in 1993 reported the development of a 'Black and Ethnic Minority Health Policy' at the Department of Health (E4) and described several initiatives to develop appropriate policies to improve access (I2, E10) to health services and to understand the health and disease patterns of people from ethnic minorities (E11).

Social Services

Kim-Raynor & Nakasone (1981) found that social workers attempting to help Asian families applied mainstream techniques and strategies that did not meet cultural needs (E2, E3, E7 and E11). Language barriers (I1), problems associated with cultural transitions for immigrants and the children of immigrants (I8) and cultural barriers between therapists and clients (E3) were also highlighted.

McFarland et al (1989) investigated the extent to which welfare provision was meeting the needs of Asian women. The main difficulties were reported to be language ability (I1) and the need for language support (S3), racism and discrimination (E8), awareness (I4), knowledge (I2, I5), difficulties accessing help (E10) and communication (E6). Bowes et al (1990) suggested that low application rates by people in minority groups were attributable to a lack of knowledge about Council housing (I5). In addition, the allocations policy was found to be discriminatory (E8).

A study by Shah (1997) recommended that Manchester Council needed to improve communication (E6) and work with interpreters to support Asian families (S3) with children with disabilities. Monitoring of service uptake was also suggested (E12) as was the need to improve access (E10).

Community Development

A study of multi-racial communities by Harrison et al in 1995 found that different ethnic minority groups had collaborated with each other (E9) when co-operation had increased the overall level of scarce resources (I20).

Two models of ethnic minority adjustment to 'dominant' societies were considered by Peach (1997). The 'Assimilationist' model portrayed complete diffusion of residence over time with high levels of intermarriage or co-

habitation. The length of time since immigration for first generation individuals was found to influence patterns of mainstream interaction and participation (I10). By contrast, the 'Pluralist' model portrayed high levels of segregation and high degrees of social closure. Overall the study found that different models applied to different ethnic groups, with the Bangladeshi population being 'Pluralist' and the Indian population having elements of both models. This suggested that country of origin (I9) and the individual's degree of assimilation and integration (I8) could be variables affecting participation.

An article by Dahya, 1988, pointed to the need to look at the effect of different motives for migration (I6). It was argued that economic migrants aspired towards permanent status rather than short term benefits. Their success was thought to depend on the transferability of their skills (I18) and on strong motivations (I3) rooted in discontent with conditions in their home countries.

Education and Vocational Training

An article by Wright (1994) considered access and equity for students from ethnic minorities entering higher education. It was suggested that whilst access had increased greatly, this was mainly within less prestigious educational institutions (E10), although all institutions were open to those who could afford to pay (I7).

Tomlinson (1997) argued that educational policy (E4) and practice between the 1960s and the 1980s had begun to accommodate ethnic minority students successfully but the market framework for education that followed (E7) allowed parents to openly choose schools with few minority students (E8).

The availability of teachers for the deaf who were able to speak the child's first language (S3) was seen as a key variable in helping young ethnic minority children with hearing loss (Turner, 1996).

Ram and Jones (1998) acknowledge that 'published accounts of the scope and effectiveness of ...mainstream support agencies in relation to minority enterprise are extremely rare' (p. 55). However, they refer to a small number

of studies that have reported low levels of EMB use of support agencies (Mitra et al., 1991; Marlow, 1992; Ram, 1992). The authors concluded that although agencies seemed to have increased commitment to EMBs and a desire to engage them (E12), there were weaknesses in the system of support that were hampering them (E7), including 'the absence of a coherent strategy (which) often resulted in fragmentation, duplication, and inappropriate use of resources' (p. 60). They called for ethnic entrepreneurship to become a mainstream issue and argued against isolated provision for EMBs (E15). The Marlow (1992) study was reviewed separately and suggested that small firms would use only professional services that were relevant (E2), inexpensive or cost effective (I7), contained an incentive (I3), did not undermine the owner's control (I17) and were initiated by the provider making a personal approach (E6). Marlow also reported the establishment of enterprise agencies specifically for EMBs (E15) and supported calls from the Ethnic Minority Business Initiative (EMBI) for more information on advice services and funding to be made available (E6) to raise levels of awareness (I4). The author also suggested more professionals from minority groups should be recruited to deliver support services (S2). In addition, a study by Ram and Sparrow (1993) was reviewed which examined the training and enterprise support needs of Asian firms. The authors found that skill development was not a priority as many employers were 'too busy managing to survive' (Ram and Sparrow, 1993, p. 16) (I22). Participation in support initiatives was thought to be affected by attitude towards cost (I7), perceived relevance of training available to them (E2), general willingness to support training, insularity (I17) and family involvement (S9).

An article on issues affecting multi-cultural training suggested that accepted training techniques had been developed for a largely homogeneous clientele, and may not be suitable (E3, E7) for delivering training to a culturally diverse workforce (Industrial and Commercial Training, 1995). The advantages of having trainers from the same ethnic group as trainees (E14, S2), was highlighted by Mullen (1995). A study of people from ethnic minorities on employment training schemes found no barriers to initial involvement as

ethnic minorities were joining the schemes in representative proportions. However people from ethnic minorities were not experiencing the same proportion of positive outcomes as their white counterparts. The author concluded that individuals were joining the scheme because government training was perceived as worthwhile (I3), but that discrimination and prejudice (E8) created inequalities which led to lower success rates (Ogbonna & Noon, 1995).

A government report produced by the then Department for Education and Employment (DfEE, 1997) suggested reasons why ethnic minorities were under-represented in Modern Apprenticeship programmes. The reasons identified were social conditioning including parental (S9) and peer pressure (S4), poor schooling or inadequate qualifications (I19), language difficulties (I1), discrimination (E8) and a lack of employer awareness (I4, S8). The extent to which each of these barriers applied to different groups of existing or potential candidates varied, with qualification levels being a particular barrier for young black males (I15) and language problems being more of an issue for the children of recent immigrants (I10). In addition the report concluded that the poor image of previous vocational programmes left potential candidates with the perception that they were not suitable for them (E2). The lack of explicit links with other programmes (E7) and the need for earlier careers guidance (E6) were also highlighted as hindering involvement.

Bassra et al (1995) found that 91% of the Asian retailers and wholesalers surveyed had no awareness or knowledge of training and development opportunities (I4, I5). The authors concluded that this was the main factor restricting people of ethnic origin from participating in training courses. However, they also identified other factors including 'inconvenient timing of courses' (E7), 'unsuitability of courses' (E2) and 'expense' (I7). The authors recommended that agencies should work together to ensure 'suitable' courses were developed specifically for Asian businesses (E2, E15) and stressed the importance of bi-lingual information (I1, E6, S3) being distributed through community groups (S4). Their final recommendation was that Asian business 'forums' should be established (E9).

In 1997 the sponsors of this research study, the Hospitality Training Foundation (HtF), conducted a preliminary investigation into the reasons behind Asian restaurants having low levels of involvement in National and Scottish Vocational Qualifications (NVQs/SVQs). Many restaurateurs thought the qualifications did not cover Asian cuisine, and indeed some of the content was later found to be inappropriate (E2). The system was considered complicated and bureaucratic (E10) and Government funding was viewed as hard to access (S6). Colleges and training providers were not perceived as having specialists able to train staff from Asian restaurants (E15, S2) and external agencies were criticised for lacking knowledge of Asian culture (E14, E11 and E3). The study found that many restaurateurs saw no benefit to training and NVQs/SVQs (I3), thought courses would not suit their working hours (E10, E7, E12) and saw language as a barrier (I1, S3).

In addition to the literature on ethnic minority participation in mainstream education and vocational training, studies that looked at small businesses in general were also reviewed with the aim of identifying factors affecting participation.

Curran et al. (1997) identified barriers to training and participation in government training initiatives following a large-scale national survey of small businesses. The barriers identified were cost (I7), owner-managers not seeing the need for training (I3), time (I22), the suitability of the initiative (E2), the suitability of the system (E7), the size of the business (I21) and the sector. The authors also called for research to look at employee's training experiences and attitudes.

North et al. (1997) considered the appropriateness of delivering small firm business support through trade associations. They gave examples of a number of factors affecting the relationship between small firms and their external environment including sector, location (I12), size (I21) and the owner-manager's educational background (I19). They summarised some previous studies that reviewed small business participation in government initiatives and highlighted the suitability of the system (E7), small business

antipathy to government and government bodies (I17), sector and size (I21). They also highlighted the role of informal contacts in the provision of business support (S4). The authors also reported reasons given by employers for not joining a trade association, including a belief that it would be ineffective or irrelevant (I3), cost and value for money (I7), time (I22), lack of awareness (I4) and an unwillingness to share information.

2.4.2 Economic initiatives and institutions

Banks and Building Societies

An American study on home purchasing found that cultural gaps (E3) had led to misunderstandings and biases from mortgage institutions (Pitkin and Simmons, 1996). Ethnic minority applicants often did not know how to access the system (I2) and said they found it inaccessible (E10). Potential applicants were found to lack knowledge (I5) and to believe that existing products did not meet their needs (E2, E7). In addition a shortage of appropriate affordable houses was found to have excluded many people (E5). Hotchkiss (1996) in an article on the marketing of banks and their services highlighted the need for banks to understand the 'cultural diversity and needs of ethnic markets' (E11). In November 1996 the Economist reported the launch a new commercial bank targeting Britons of South Asian origin (E12, E15). The article stated that the new bank had been established because many Asian people did not feel comfortable dealing with traditional British institutions (Economist, 1996a) (E3, E14).

A previous article in the Economist in 1992 stated that Asian entrepreneurs did not know how to present their businesses to predominantly white bankers (I2). The article suggested that larger Asian businesses only participated in mainstream banking when they become too large to rely on traditional networks (I21, E1). It cited examples of clearing banks making business loans accessible by recognising Asian networks and by managing a scheme of references and formal guarantees from community leaders (E10, E11, E12, S4) (Economist, 1992).

Employment

Crofts (1995) reported on firms that had established mentoring schemes (S1) to increase the number of ethnic minority employees and to help them progress professionally.

The Economist (1994) suggested that the police service was perceived by people from ethnic minorities as being white-only and riddled with discrimination (E2, E8). The article mentioned the launch of the Black Police Association, backed by senior police officers, to represent serving ethnic minority officers and encourage more non-whites to join the force (E12, E15).

2.4.3 Political initiatives and institutions

Politics

Anwar (1994) identified a large number of variables influencing Asian participation in British politics. Language difficulties (I1) and familiarity with political rights (I5) were found to be common issues affecting registration levels. In addition some respondents said they did not register as they thought they would only be in Britain temporarily (I13). Improvements to the number of registrations in local areas were thought to have resulted from the efforts of the Community Relations Commission, Local Authorities and Community Relations Councils, Political Parties, Ethnic Minority Community Groups and electoral registration officers (I12, S4, S5 and S7).

The reasons given for non-registration were low levels of awareness (I4), lack of motivation (I3), not knowing how to register (I2), making a conscious decision not to register (I3) and doubting eligibility due to residence (I13), age (I15) or nationality (I9). Difficulties were attributed to newness (I10), a sense of alienation (I8), racial harassment and / or racial attacks (E8) and the policies of electoral registration officers not meeting the needs of ethnic groups (E11).

It was found that Asians were more likely to vote in areas where, as a group, they had a significant impact on the outcome, which provided a particular motivation (I3). The presence of Asian candidates (E14) was found to attract

other Asian people to vote, as was the work of political and community leaders (S4). Second generation individuals were found to be taking increasing interest in politics (I10) and the Salman Rushdie affair in 1989 was cited as having triggered the politicisation of many Muslims in Britain (E1).

Participation in politics was also found to be directly affected by political parties making special arrangements to attract ethnic minority support (E15), targeted manifesto commitments (E2) and increasing the number of ethnic minority candidates (E14). These findings were supported by research from the US conducted by Uhlaner et al (1989). Their study concluded that political parties had a major role in recruiting ethnic minority members (E12) through ethnic minority canvassers and party activists (E14). It was suggested that this could make the party more relevant to ethnic minority needs (E11).

Anwar (1994) found that political candidates did not support the creation of separate 'ethnic' parties (E15), unsurprising given that the respondents were active within existing political parties. Only 10% of the candidates questioned expressed the view that political parties should be sensitive to the needs of people from ethnic minority groups (E11) and should talk to ethnic minority leaders (S4). Personal contact between candidates and ethnic minority groups was however seen as necessary for increasing ethnic minority involvement in politics (E15). Fears of rejection and discrimination were thought to limit the active involvement of ethnic minorities (E8). Providing opportunities for people from ethnic minority groups to become active within politics (E13) was also suggested.

An article by Geddes (1995) focused on candidate selection procedures to explain the under-representation of ethnic minorities. The Labour Party's policy of positive action to increase the number of women candidates was seen as having direct implications for other under-represented groups (E12).

A study from the United States suggested that the political involvement of Asian Americans had three phases, namely 'alien', 'civil rights' and 'institutionalised' (Wilke & Mohan, 1984). The research indicated that the

degree to which immigrants were actively involved in politics changed over time (I10) and that the length of each phase was influenced by social status (I16) and other assimilation forces (I8).

A further US study (Jo and Roskin, 1990) looked at the participation of Asian and Jewish Americans in politics and suggested that their styles of participation could be explained by the degree of discrimination they had experienced (E8). Respondents who had been either lightly or strongly discriminated against had an incentive for demonstrative political behaviour, whilst those in the middle had passive political behaviour. Alternative variables were presented in an article by Uhlaner et al in 1989. Differences in education level (I19) and age profiles (I15) were given as reasons for why blacks and non-Hispanic whites participated at approximately equal rates, whilst Latinos and Asian Americans were much less active.

The importance of a strong trigger (E1) to stimulate participation was suggested in articles relating to the formation of two political parties in New Zealand established to meet the needs of ethnic minorities (James, 1996 and The Economist, 1996b).

Public Institutions

Vertovec (1996) described the actions of a local council to involve Islamic organisations and individuals in the determination of public policies (E4). He described past actions taken to improve the general place of people from minority ethnic groups (E12), including establishing equality programmes (E15), making changes to the structure of institutions (E7) and assigning additional resources (I20, E15). However he argued that these actions were ill-defined and had actually separated and distanced minorities (E3, E15). Competition between different ethnic groups to access funding assigned to a diverse community had led to division and conflict (E9). In contrast the use of representatives (S5) selected by communities was reported as having proved successful in giving the community a sense of ownership (I14).

Brownill et al (1996) examined the impact of changing patterns of local government on the extent to which ethnic minority groups were able to

influence urban policy. The study found that the pattern of influence was variable and contradictory across different Urban Development Agencies (I12) and recommended that a 'racialisation' of policy and policy processes should be introduced at all levels of governance (E4).

2.5 Developing a model of ethnic minority participation in mainstream initiatives

The purpose of developing a preliminary model of the factors that influence ethnic minority business participation in national business support initiatives was to structure the findings of the disparate empirical studies described above, into a form that could be tested and refined within the empirical site being utilised in this study. However the model was also intended to be potentially transferable so it could be applied to different types of ethnic business, in different locations and concerning participation in a variety of initiatives in future studies.

The variables identified during the initial literature review were all included in the preliminary model, regardless of the quality or volume of evidence that suggested their influence.

2.5.1 Stages of participation

At the outset it was important to define 'participation', as it was recognised that people could be involved in an initiative to differing degrees. Stages of participation were identified and used in the preliminary model to reflect the possibility that the mix of influencing variables would change depending upon the extent of involvement. The stages were derived from an analysis of the types of participation described in the literature and were defined in generic terms to allow them to be universally applicable. The stages identified were as follows:

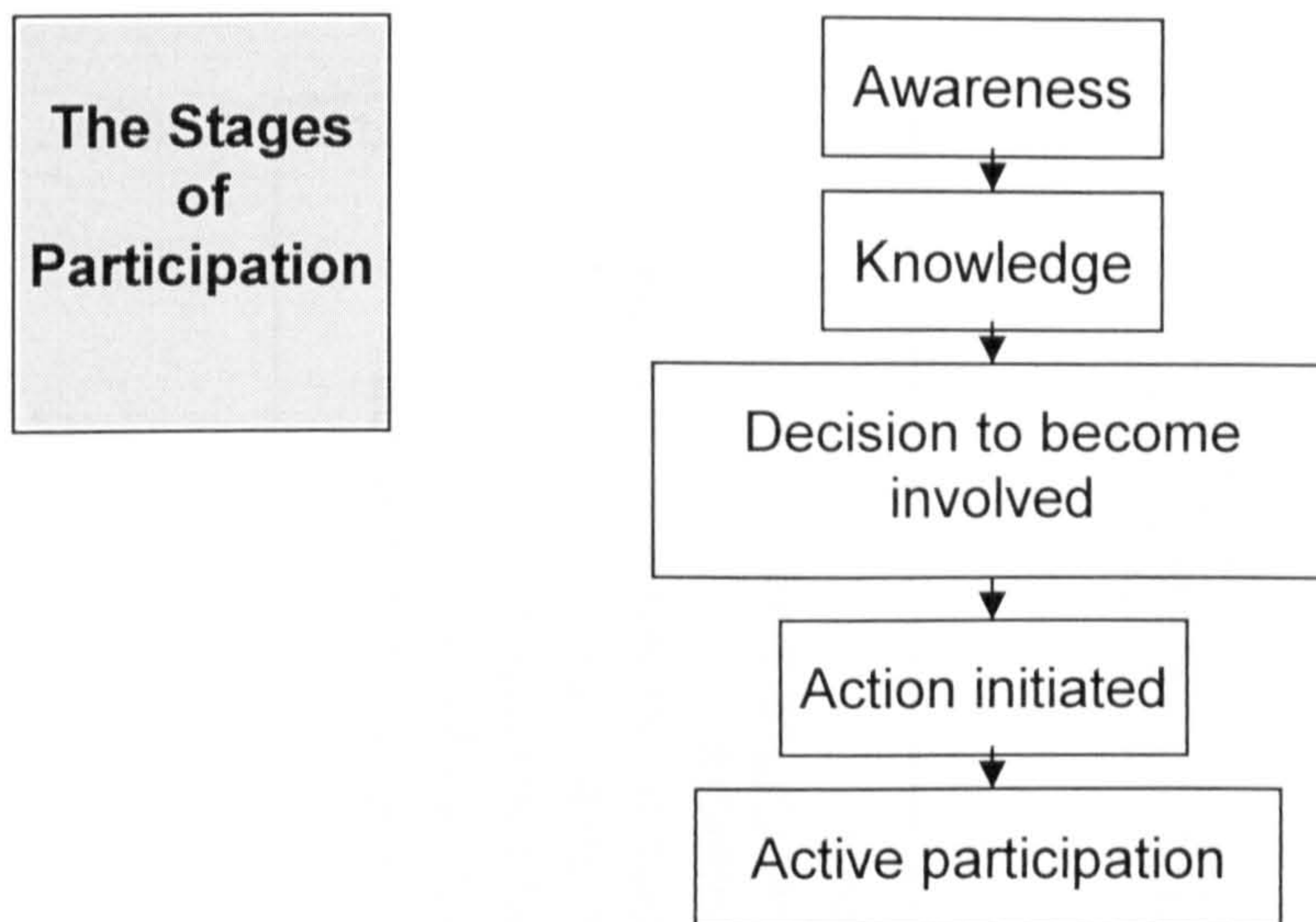


Figure 2.3: Stages of participation

Whilst the stages were presented in a sequential order it was recognised that actual participation may not follow such a logical process. For example, it was recognised that an individual may decide to become involved in an initiative that they are aware of without having any further knowledge of it.

2.5.2 Preliminary Participation Model

A review of the variables revealed that a few could only apply at particular stages of participation whilst the majority potentially applied throughout the process. It was anticipated that a variety of factors would act in combination to influence whether or not each stage of participation was reached.

The variables were assigned to each stage of participation where the literature had suggested that they might have an influence or where logical deduction led to the identification of a hypothesis. Appendix 2C lists the variables that were attributed to each stage of participation and states the relevant hypotheses.

Relationships and inter-dependencies between variables had been apparent in the literature and this was therefore reflected in the Model. At each stage variables were grouped with others that were thought to have a similar effect on the decision-maker. The following five charts display the variables for each stage of participation and collectively constitute the preliminary participation model (Figure 2.4).

AWARENESS

E6 INFORMATION IS COMMUNICATED

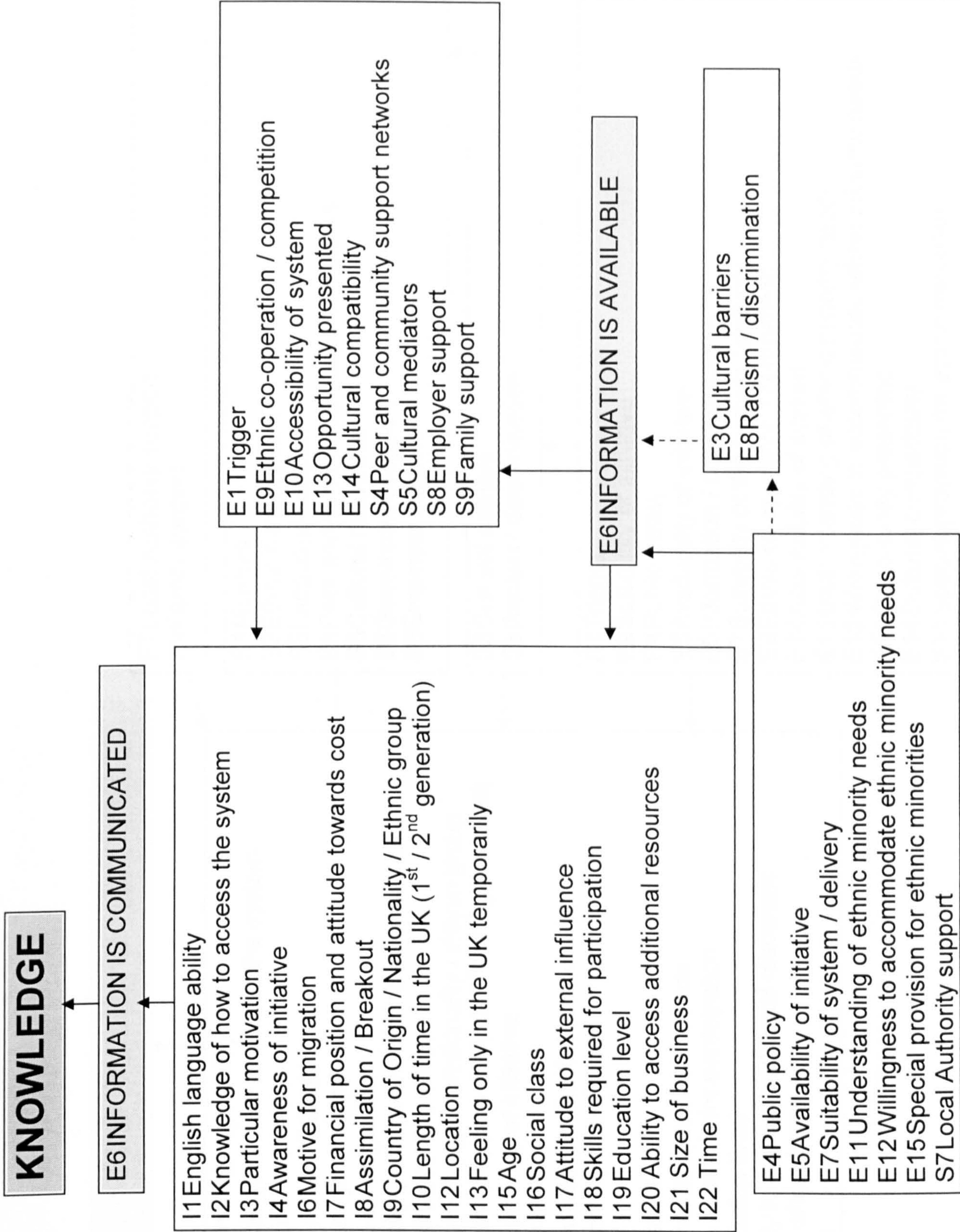
- I1 English language ability / First language
- I3 Particular motivation
- I6 Motive for migration
- I7 Financial position and attitude towards cost
- I8 Assimilation / Breakout
- I9 Country of Origin / Nationality / Ethnic group
- I10 Length of time in the UK (1st / 2nd generation)
- I12 Location
- I13 Feeling only in the UK temporarily
- I15 Age
- I16 Social class
- I17 Attitude to external influence
- I18 Skills required for participation
- I19 Education level
- I20 Ability to access additional resources
- I21 Size of business
- I22 Time

- E1 Trigger
- E9 Ethnic co-operation / competition
- E10 Accessibility of system
- E13 Opportunity presented
- E14 Cultural compatibility
- S4 Peer and community support networks
- S5 Cultural mediators
- S8 Owner / Head Office support
- S9 Family support

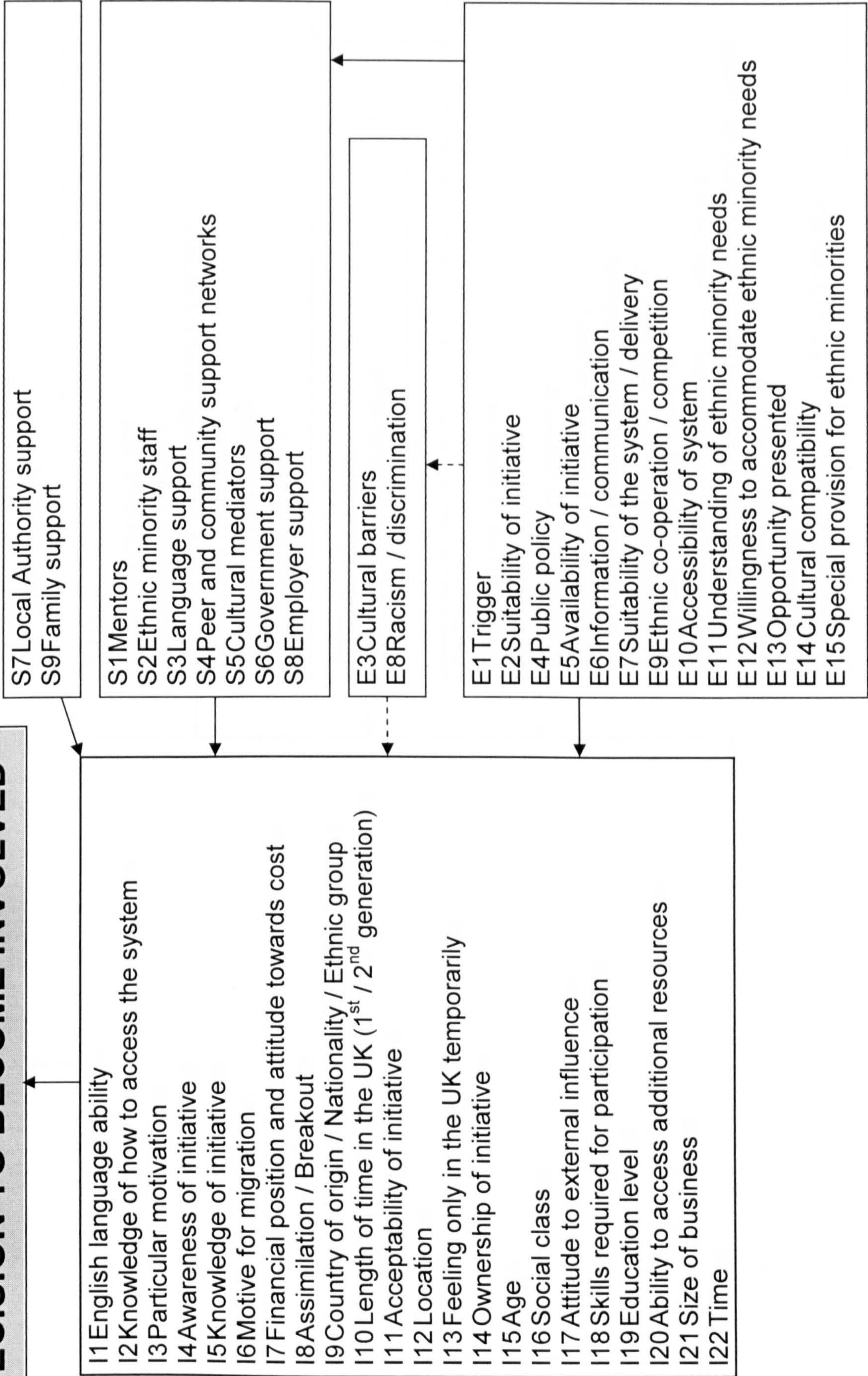
E6 INFORMATION IS AVAILABLE

- E3 Cultural barriers
- E8 Racism / discrimination

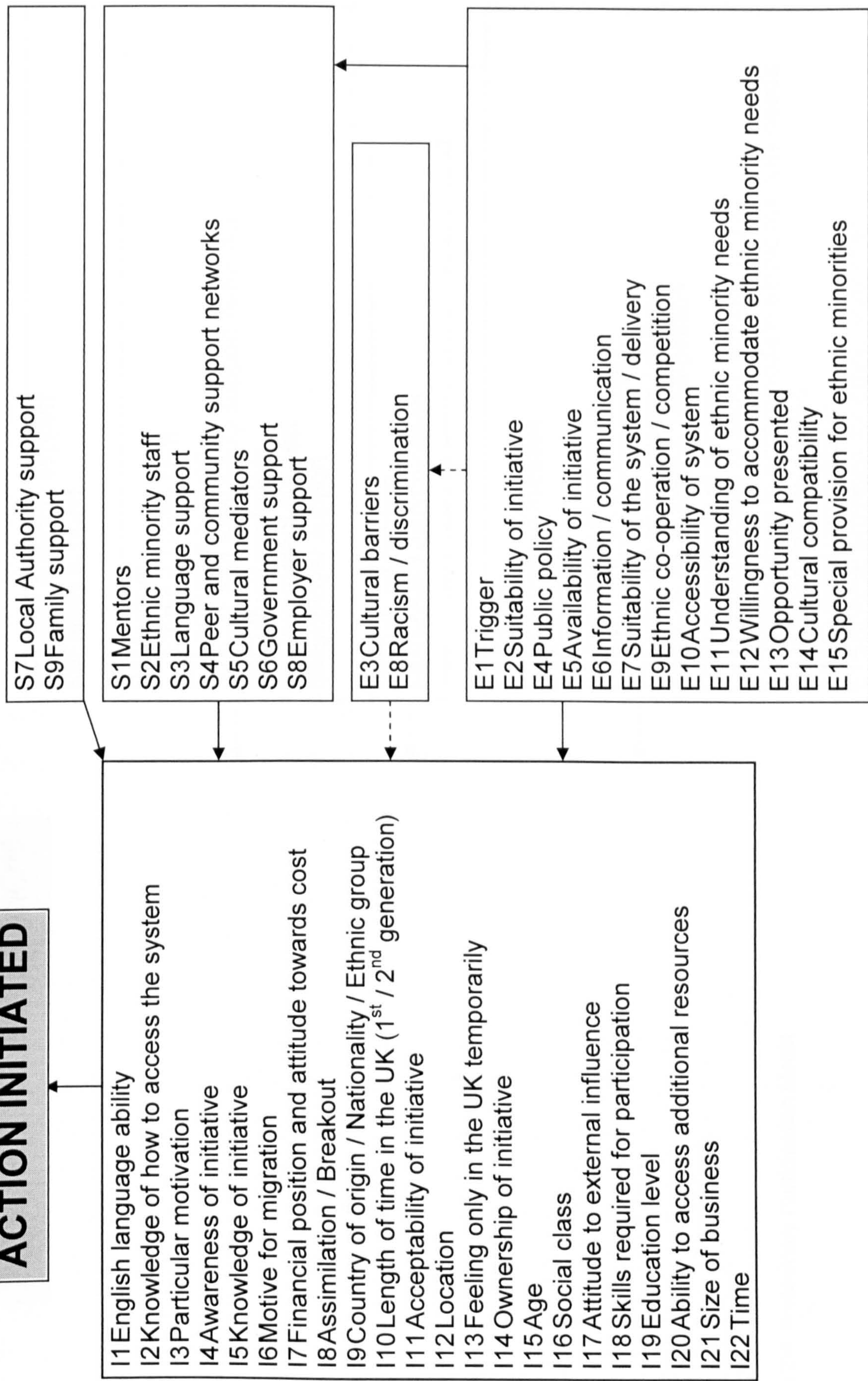
- E4 Public policy
- E5 Availability of initiative
- E7 Suitability of system / delivery
- E11 Understanding of ethnic minority needs
- E12 Willingness to accommodate ethnic minorities
- E15 Special provision for ethnic minorities
- S7 Local Authority support



DECISION TO BECOME INVOLVED



ACTION INITIATED



ACTIVE PARTICIPATION

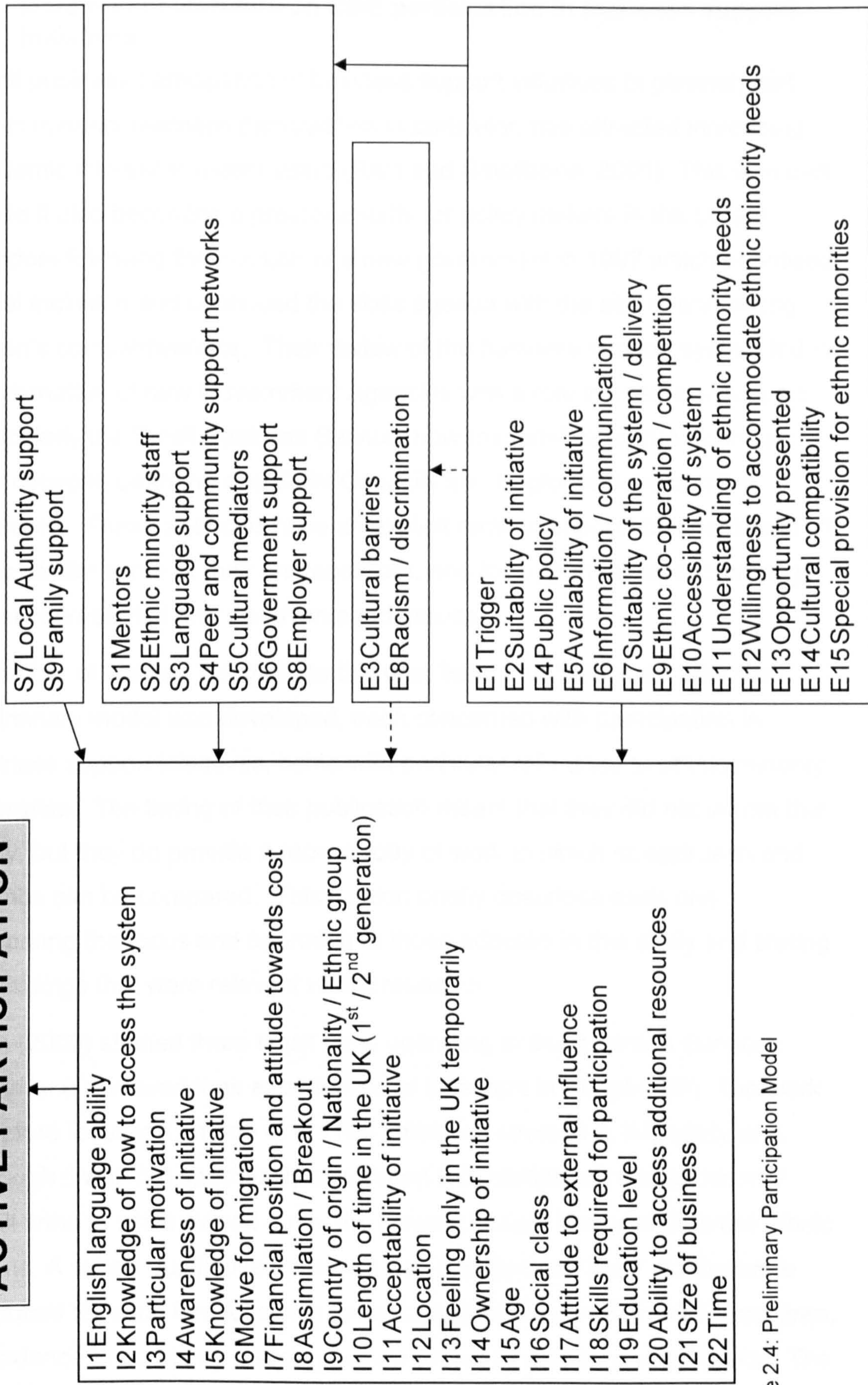


Figure 2.4: Preliminary Participation Model

2.6 More recent literature on EMB participation in business support initiatives

Small business participation in business support initiatives in general, and ethnic minority business participation in particular, has attracted increasing academic interest in recent years (Ram and Smallbone, 2001). This is in part due to it also becoming a greater priority for policy makers in the United Kingdom following the election of a new government in 1997 which prioritised social inclusion and continued the skills agenda with the aim of enhancing Britain's competitiveness. Their review of the business support system led to the formation of new Government Agencies with a role in business support, particularly the Small Business Service, now responsible for the Business Link network, Learning and Skills Councils and Regional Development Agencies. These agencies have an explicit remit to support businesses of all sizes, unlike some of their predecessors, and to support enterprise amongst under-represented and disadvantaged groups.

A number of studies, pertinent to this one, were thus published after the preliminary model was developed, each concerned with participation in business support initiatives, some with particular reference to ethnic minority enterprise. The timing of their publication meant that they did not inform this study, but they do provide a recent body of work to which its approach and findings can be compared. This section briefly describes each one, comparing the focus and approach to those adopted in this study and stating the findings that were relevant to this research.

Ram (2000) studied three small firms operating in the Business Services sector and reviewed their experiences of Investors in People (IIP). The work therefore focussed on one of the five initiatives covered in this study and, although it was not specifically concerned with comparing ethnic minority small firms to white owned firms, the owners of each firm had different ethnic origins. A purely qualitative approach was adopted and case studies were produced for each firm following unstructured and semi-structured interviews, attendance at company meetings and a review of company documents. The main focus was on reviewing each company's experiences with IIP and so it

differed from this study as it did not aim to identify a broad range of factors that affect participation. However the case studies do reveal some factors that the companies considered prior to participating in IIP and that affected their participation. The firms had become involved because some of their 'key customers' were government agencies that required them to work towards achieving the IIP standard. This was seen as 'the most important 'trigger' for serious engagement' (p. 84). The importance of a 'trigger' (E1) was also highlighted when one of the firms became more committed to obtaining the standard following a financial crisis. Another key finding was that 'IIP may simply be irrelevant or inappropriate in such settings' (p. 85) due to its formality (E2). Additional factors that were considered within or emerged from the study were sector, size of business (I21), bureaucracy (E7), the views of employees, time (I22), financial cost (I7) and motivation (I3).

A number of other studies have also reviewed IIP and small firms. Hill and Stewart (1999) investigated why so few small firms had adopted IIP, particularly concentrating on the barriers they faced. The study therefore focussed on one of the five initiatives covered by this one, but differed by not reviewing factors that may have a positive affect on participation. The approach taken was a survey followed by semi-structured interviews and the development of a model depicting 'the sequence of hurdles' that promoters of the initiative have to overcome if they are to persuade a small firm to adopt the standard. The main barriers identified were time (I22), money (I7) and resources, formality and bureaucracy (E7), lack of clarity over the nature of the initiative (E6) and uncertainty over its value to the business (E2).

A very recent study was completed by the Centre for Enterprise (CfE) (2003), on behalf of Investors in People UK (IIPUK). Again this focussed on all small firms, rather than ethnic minority firms in particular. It did however review factors that enabled participation as well as reviewing 'barriers'. However, the focus differed from this study as it concentrated on the initiative, its suitability for the business and the system that surrounds it, rather than directly on the decision-maker in the small firm. In addition the study

provided 'new understanding of the fundamental reasons why small businesses do or don't engage in the IIP standard' (p. 9), and thus concentrated on the main reasons rather than attempting to map all the factors that affect participation. There were some parallels with this study as the work explored why some small firms engage with the standard whilst the majority do not, and also looked at factors that affect different stages of participation. The approach taken was a survey of small and medium sized firms, interviews with firms who had IIP and with practitioners who deliver the initiative, a policy workshop and focus groups with practitioners and firms not involved with IIP. The main factors identified as affecting involvement were awareness (I4), knowledge (I5), perceived suitability for small businesses (E2, I21), particularly given its formal approach, bureaucracy (E7), cost (I7), time (I22), the language used in materials (I1), sector and the lack of an obvious benefit to motivate people (I3). The main reason given by businesses that were not involved was that it is not relevant, applicable or required in small businesses (I21).

Another set of studies focussed on government training initiatives, namely NVQs, MAs and NTs (now Foundation MAs). Smith et al (1999) reviewed competence based management development, particularly NVQs, from the perspective of the colleges and training organisations that deliver them. The study therefore focussed on one of the five initiatives covered in this study, although it covered only management level NVQs rather than all levels and, in further contrast to this study, their fieldwork concentrated on providers rather than employers and there was no ethnic focus. NVQ providers were found to doubt the value of NVQs to the owners and managers of small and medium-sized firms. In particular they did not see them as relevant (E2) and highlighted that employers in this size of firm (I21) had difficulty making time (I22) to study.

Sims et al. (2000) investigated the barriers to take-up of MAs and NTs by small and medium-sized enterprises in specific sectors, although not including the hospitality industry, in a study conducted for the then Department for Education and Employment (DfEE). The focus therefore

differed from this study as it concentrated on barriers rather than all influencing factors. Face-to-face and telephone interviews were conducted with employers in eight industry sectors, and representatives of ten National Training Organisations (NTOs) were interviewed. One of the main conclusions was that 'employers were uninformed or indifferent rather than negative to the MA and NT concept' (p. 4). The barriers identified were knowledge (I5), relevance (E2), lack of financial support (I7, S6), lack of external training support (E7), the age of employees (I15) with many being too old to be eligible, cost (I7) and bureaucracy (E7). Some employers were reported to have said they had no need for the initiatives, preferring their existing training arrangements, whilst others believed their internal structure or capacity to support training was inadequate or said they were preoccupied with fighting for survival (I3). Some employers did express the view that they might become involved if the business were to grow (E1). The authors suggested that employers needed more information (E6) and that face-to-face and sector-specific promotions would be beneficial. They also suggested that the best approach to encourage involvement was for providers to examine each business's needs and to identify how the initiatives could help to meet them.

Kitching and Blackburn (2002) conducted a major study into the nature of training and motivation to train in small firms for the Department for Education and Skills (DfES). This comprehensive study covered a wide range of initiatives, including the ones focussed on in this study, and also looked at training more generally. However, the report concerned all small firms and did not separate findings for ethnic minority firms. It did however provide some sector breakdowns including 'Distribution, hotels and catering'. The aim of the study was to provide an understanding of the issues faced by small firms when making training decisions, to examine the training provision available to them, to judge the relative importance of formal and informal training, their motives for training and the potential for assessing informal training. The findings were based on a quantitative telephone survey and face-to-face qualitative interviews. The researchers produced a typology of small employers' orientations towards training (p. 43). *Strategic trainers* had

a 'written training policy or a positive and systematic approach to training and a specific training budget' (p. 43). *Tactical trainers* were those who declared that staff training was undertaken 'when necessary' but had no training policy or budget. *Low trainers* had not undertaken any training in the previous few years, or had trained staff only as a 'last resort', and also had no training budget. 13.4% of all the employers surveyed were involved with NVQs at the time of the interview and 10.7% had an employee who had achieved an NVQ in the previous year. 6.4% of employers in the distribution, hotels and catering sector were involved with MAs, 1.5% were involved with NTs, 1.8% were involved with the New Deal (ND) and 0.3% with IIP. *Strategic trainers* were more likely to participate in government training initiatives than other respondents; 21.1% of employers in the study who ran businesses in distribution, hotels and catering were *strategic trainers*, 62.4% were *tactical trainers* and 16.5% were *low trainers*.

...employer involvement in government initiatives was a minority pursuit. Most were indifferent to government training initiatives, either because they were unaware of their specific character and purpose or because they felt them to be irrelevant to their particular training needs

Kitching and Blackburn, 2002, p. 73

However, whilst low levels of awareness (I4) were found to affect participation, overcoming this was not thought likely to increase levels of involvement:

Interview data suggests that many small employers are unaware of government training initiatives but that even if awareness levels could be increased the lack of any desire to increase their training effort would limit their take-up of any new initiatives

Kitching and Blackburn, 2002, p. 82

Strategic trainers were most likely to cite lack of information (E6) as the main reason for not undertaking (further) government training. They were thought to be most likely to participate if more information could be made available to them. *Low trainers* were most likely to say they saw no need for further training. They were thought to be unlikely to participate unless the business experienced change that led to the identification of additional training needs.

The other factors identified as affecting participation were initiatives being irrelevant to the business (E2), lack of awareness of their purpose or content (I5), bureaucracy (E7), perceived poor quality and lack of government funding (S6). Employers also mentioned financial cost (I7) and concerns over lost working time (I22), but these were mentioned less often than many of the other factors. The authors concluded that 'policy makers may need to adopt a range of strategies to encourage higher take-up of initiatives' depending upon the reasons why an individual business had not participated to date (Kitching and Blackburn, 2002, p. xiv).

One study that focussed on EMBs was a review of the 'City Challenge' urban regeneration initiative conducted by Oc and Tiesdell (1999). The study reviewed how the initiative was delivered and the experiences of employers who had participated. It differed from this study, not only in its coverage of a regeneration initiative rather than training and recruitment initiatives, but also in its approach. Interviews were conducted with EMBs and with providers, but no white-owned businesses were involved and only employers who had participated in the initiative were included. The extent to which the initiative was accessible was affected by levels of employer *awareness*, the *sensitivity* with which providers delivered the initiative to EMBs and employers' views of the *credibility* of the initiative. The age of the business, its size (I21), location (I12) and the markets it operated within ('breakout' I8) were found to affect participation. Other factors identified were awareness (I4), knowledge (I5), time (I22), discrimination (E8), language (I1), bureaucracy (E7), concerns over confidentiality (E7), confusion over a vast array of initiatives (E6) and the availability of a trigger (E1), such as struggling to survive. The merits of integrating EMB support services with mainstream provision were also presented, in contrast to having specialist providers.

Dhaliwal (2000) assessed the support needs of EMBs by interviewing 50 business owners in South-West London, six of whom ran restaurants. The research explored the owners' views of business support and their particular needs in the light of the fact they were under-represented in their take-up of services provided by the local Training and Enterprise Council, AZTEC. It

made particular mention of MAs. The study therefore covered one of the initiatives covered by this study, was located in London and was specifically concerned with business support for EMBs. However it differed as it focussed on a broad range of industry sectors in a particular (TEC) area of London, adopted a purely qualitative approach and no comparisons were made to white-owned businesses. The influencing factors identified were not having heard of the services (I4), reluctance to access outside advice or support (I17), employees being outside the guaranteed funding group for MAs (I15), time (I22), attitudes towards training, size of the business (I21), frustration in dealing with outside agencies (E5, E7, E10) and the cost of participating (I7). Generational issues (I10), family roles (S9) and education levels (I19), breakout (I8) and language issues (I1) were also highlighted. However, some of the EMB owners suggested that they would be interested in particular short courses (I3). Differences between different ethnic groups were noted (I9). In addition to these factors, the author concluded that EMBs were not finding support agencies helpful (E2, E7, E10) and suggested that long-term relationships with the communities involved (S4) and with individual businesses should be cultivated. Having ethnic minority business advisors was suggested for dealing with traditional EMBs (E14, S2) and support providers were urged to recognise the specific needs of EMBs (E11, E12).

Ram and Smallbone (2001) produced a report for the Small Business Service, reviewing recent research on EMBs and its policy implications. The research also involved interviews with Business Link staff. The literature included a number of studies that were aimed at explaining low levels of EMB involvement in government training initiatives, many conducted by the then Training and Enterprise Councils (TECs). The studies focussed on explaining low take-up and concentrated on identifying barriers to participation and, unlike this study, did not aim to also identify factors that could have positive effects. In addition, these studies often treated EMBs as a single group, did not compare EMBs with white-owned firms and did not assess the effect of business size or sector. However, they did reveal a number of factors thought to have affected EMB participation, including the

alternative use of advice from personal contacts (S4, S9), often co-ethnic, a lack of understanding of the support available (I5) and doubts over its relevance (E2), lack of confidence and trust in those delivering support (I11, E7), confusion over which providers could best meet their needs (E10), not being willing or able to pay (I7), language (I1) and the appropriateness of forms of communication used (E6). Low levels of awareness (I4) were found but this alone was not thought to be enough to explain low take-up.

Obstacles affecting support agencies were also identified, including the inadequacy of the information held on EMBs and inappropriate product-orientated approaches (E7). It was suggested that some differences in participation between EMBs and other firms could be attributed to sector or size of business. A number of culturally specific differences (E3), relating to language (I1), religion and gender, were acknowledged by Ram and Smallbone, and it was suggested that they might affect the delivery of initiatives.

Ram and Smallbone (2003) assessed the extent to which policies to support EMBs had been successful, based upon a survey of Business Links in 2001 and examination of 'good practice' approaches to black and minority ethnic business (BMEB) support. Business Link staff identified some support needs that they considered to be particularly important to BMEBs, specifically access to finance (I7), lack of confidence, cultural issues that affect access and delivery (E3), language barriers (I1), the effects of bureaucracy (E7) and racial prejudice (E8). The authors also identified the importance of business support services being sensitive to the needs of a heterogeneous business population, including BMEBs (E11, E12), recognising diversity between BMEB groups and designing a system to meet differing needs (E7). They also called for 'greater engagement with those communities that have been under-represented...and who, in some cases, appear alienated from the mainstream support system (p. 163) (E7, E15).

2.7 Omissions from existing literature

At the time of the initial review the literature on ethnic minority businesses was predominantly focussed on explaining relatively high levels of small

business ownership and self-employment and on identifying how ethnic minority businesses differed from those run by the white population.

'Culturalism' and 'Material Structuralism' had been recognised as limited in their ability to explain all ethnic minority enterprise and 'Interactionalism' was developing a broader focus. However, Barrett et al. noted in 1996 that 'much theorisation needs to be done' and that 'fully contexted and theorised analyses are as yet relatively rare' although more recent work was demonstrating 'a clearer awareness of the articulation between the social relations of the ethnic minority firm and the economic, political and social processes surrounding it' (Barrett et al., 1996, p. 798). Low use of business support services by EMBs and indeed by small businesses in general had been noted, however a lack of data made this difficult to quantify and its causes had not been comprehensively investigated.

A large number of disparate empirical studies had reviewed low levels of ethnic minority participation in social, economic and political institutions, and had attempted to identify barriers to participation. However, these studies were each identified with their specific subject area, such as health or politics, and did not constitute a collective body of knowledge on ethnic minority participation. Differences in focus, methodology and terminology made it difficult to compare factors affecting participation across different ethnic minority groups or between different initiatives and institutions.

The literature specifically on participation by ethnic minority businesses was sparse and offered few insights into business interaction with mainstream institutions. The few studies that did exist attempted to explain low levels of ethnic minority participation by focussing almost exclusively on supply-side barriers. They did not seek to identify the factors that led some ethnic minority businesses to participate whilst the majority did not. Nor did they enable similarities and differences to be explored between different ethnic minority groups and with white owned businesses.

More recent literature on small business participation in business support initiatives has gone some way to creating a body of knowledge on the use of business support services, and some studies have focussed on EMBs. The

emergence of 'Mixed Embeddedness' has provided a theoretical framework in which this work has begun to be located. However, the emphasis has remained on supply-side issues, such as the nature of the initiatives being designed by government and problems associated with the structures and systems that exist to deliver them. As there is no doubt that deficiencies and barriers do exist, and as the initiatives, structures and systems have changed at frequent intervals, there has been good reason for academic research to continue to focus on this area. However, low levels of participation in business support amongst small businesses, businesses in particular industry sectors and EMBs, can not be explained by supply side issues alone. The three bodies of literature presented above indicate that a wide range of factors are likely to affect participation, including those relating to the individual decision-maker, the characteristics of the business and the broad context within which the business is operating. Knowledge of the factors that influence business participation in support initiatives and understanding how they act in combination has been shown to be incomplete.

2.8 Conclusion

The literature on ethnic minority businesses (EMBs) showed that they can only be fully understood through research that acknowledges the effect of the multi-faceted external environments in which they are located as well as their origins and diversity. 'Mixed Embeddedness' provides a theoretical basis for ensuring that internal and external environments are examined.

The literature on decision-making within small firms suggested that owner-managers use intuitive and adaptive decision-making processes, rather than rational ones. They are influenced by their personal characteristics and goals as well as by their organisation, the specific situation the decision relates to and the wider social and economic context. Small business owner-managers prefer rich information sources, such as face-to-face contact, and rely on sources that are most accessible to them. There is mixed evidence on the extent to which cultural differences directly affect the way in which decisions are made.

The review of existing literature on ethnic minority participation in mainstream initiatives and institutions revealed a large number of disparate studies focussing on participation by selected ethnic groups in particular initiatives, schemes and institutions. There was a distinct lack of work that brought this together to form a body of knowledge and few of the empirical studies were grounded in existing theory. This emphasised the need for this study to be both exploratory and descriptive with the aim of providing a foundation of knowledge on the factors that affect ethnic minority business participation in mainstream initiatives. The disparate studies did however suggest a wide variety of variables (46 in total) that were thought to affect ethnic minority participation in initiatives and institutions. These variables were developed into a preliminary Participation Model which could be tested and refined during the fieldwork stage of the research.

There has been increasing attention on the use of business support services by small firms, including some work on EMBs whilst this study has been underway. This provides a welcome collection of studies to which its findings can be compared. However, this does not yet constitute a body of knowledge and the focus to date has been predominantly on identifying supply-side barriers. Whilst some factors relating to the individual decision-maker and their business have been identified, this area has not been addressed comprehensively. This study therefore contributes to filling an extensive gap in knowledge of the factors that influence ethnic minority business participation in mainstream business support initiatives and how they compare to the factors that influence non-minority businesses.

3 Epistemology and Methodology

3.1 Introduction

This chapter discusses aspects of methodology and explains how they were applied in the context of this study. The aims and objectives of the research and the research questions being addressed are restated followed by a discussion of the epistemological issues that were considered in determining the methodological approach taken to address these questions. The data requirements are then summarised and the research design that was adopted is described and justified. A detailed description of the application and consequences of the methodological approach taken is provided and the limitations of the methodology are discussed.

3.2 Aims and objectives

The aim of the research was to identify and explore factors affecting participation by ethnic minority businesses in mainstream institutions and initiatives.

The objectives were to:

- review existing literature to identify variables found to be affecting ethnic minority participation in a variety of socio-economic initiatives and institutions
- assess the transferability of the identified variables between different initiatives and institutions
- develop a preliminary Participation Model to display the identified variables, taking account of different levels of participation
- review the preliminary Participation Model within the empirical site of Asian and Oriental restaurant participation in a selection of national business support initiatives within London
- identify participation narratives that explain how Asian and Oriental restaurants in London participate in national business support initiatives
- identify which aspects of participation are specific to being an Asian or Oriental restaurant by comparing their experiences to a control group of non-minority restaurants within London
- explore the experiences of organisations that have a role in providing business support services for Asian and Oriental restaurants in London
- refine and present a potentially transferable Participation Model, containing variables found to influence participation

3.3 Research question

The study was concerned with the issue of 'participation', namely how, why and in what ways do businesses run by people from ethnic minorities participate in mainstream business support initiatives and institutions and how does this contrast with comparable non-minority businesses. Why do some ethnic minority businesses participate in these initiatives whilst others do not? Can specific patterns of participation be identified? Do particular factors affect participation and what is the nature of the relationship between participation and these factors?

The overarching research question posed by this study was:

What are the factors that influence the level and nature of ethnic minority business participation in national business support initiatives?

The involvement of the Hospitality Training Foundation (HtF) as sponsoring body for this research was critical in determining the empirical site used and therefore the specific research question that the fieldwork was intended to address was:

What are the factors that influence whether or not Asian and Oriental restaurants in London participate in training and recruitment initiatives?

3.4 Methodological approach: the theory

This research is situated within social science and the academic disciplines of Management Studies, particularly Organisational Behaviour, and Sociology, contributing to the literature on mainstream social participation by ethnic minorities. Therefore approaches to, and philosophies of, research in Social Science were reviewed in the light of the research questions being addressed by the study to determine the appropriate methodological approach.

3.4.1 Philosophies of method

It is commonly accepted that there are two central, competing philosophies pertaining to the study of social life. A variety of terms have been used to describe these philosophies, each with slightly differing meanings; however within this account they are described as 'positivism' and 'interpretivism'.

Positivism

Positivism dominated Social Science from the late 19th century until the 1960s. O'Brien (1993, p. 7) explains that the 'positive' tradition begun by Auguste Comte and Emile Durkheim is based on the belief that 'society can be explained 'scientifically', according to laws and rational logics'. Bryman (1988, p. 7) argues however that there are different versions of positivism and that even when writers agree on the basic meaning of the term, they rarely agree on all its components, although he suggests five main ones.

'Methodological monism or methodological naturalism' is defined as a 'belief that the methods and procedures of the natural sciences are appropriate to the social sciences'. Positivism is strongly, although not exclusively, associated with the quantitative research methods that originated in natural sciences.

'Phenomenalism' is described as 'a belief that only those phenomena which are observable...can validly be warranted as knowledge'. Unobservable 'feelings' or 'subjective experiences' cannot contribute to social scientific knowledge.

'Inductivism' involves scientific knowledge being based on theories that are determined by verifiable facts generated by empirical research. Gilbert (1993) describes 'induction' as the process undertaken to construct a theory, whereby a researcher takes a single case, observes a relationship, observes the same relationship in other cases and develops a theory.

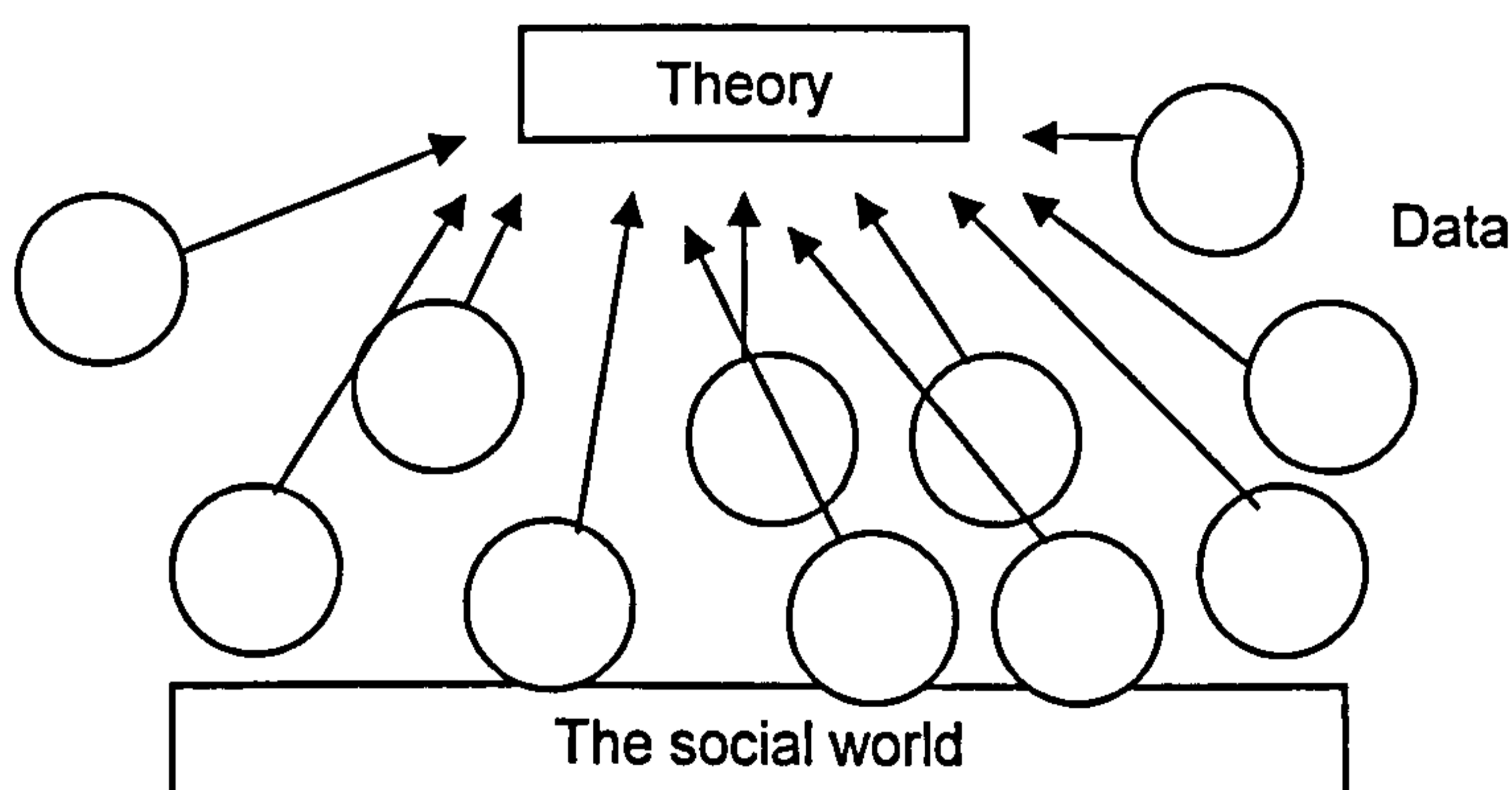


Figure 3.1: Theory construction by induction (Gilbert, 1993, p23)

Theories are then used to deduce explanations for particular observations. '*Deduction*' is the technique used to derive empirical predictions from theoretical prepositions:

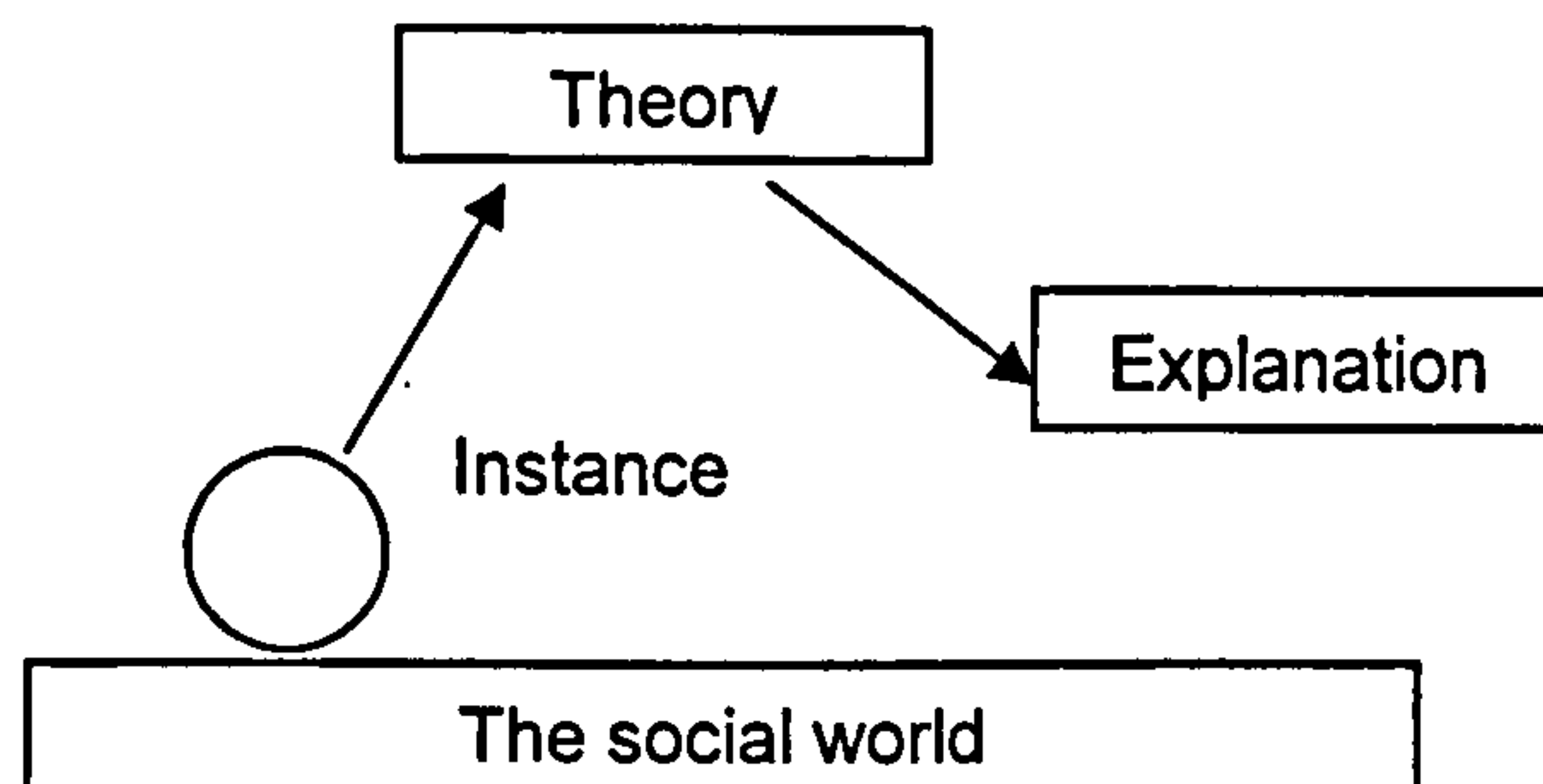


Figure 3.2: Theory use by deduction (Gilbert, 1993, p23)

Theories that have been tested in a wide variety of empirical settings are sometimes called 'laws'. However the focus of researchers working within theory construction is, according to philosophers such as Popper, 'falsification', rather than 'verification' (Guba and Lincoln, 1998), which is the strategy of looking for cases that do not follow a particular theory to enable it to be disproved or refined. In this approach researchers derive specific hypotheses from theories and use these to guide data collection, which focuses on testing relationships between particular concepts. Theory is thus refined, inductively, from the resulting data and the way it is interpreted. Thus, induction and deduction are not distinct activities but are used within an ongoing process of defining, testing and refining theories:

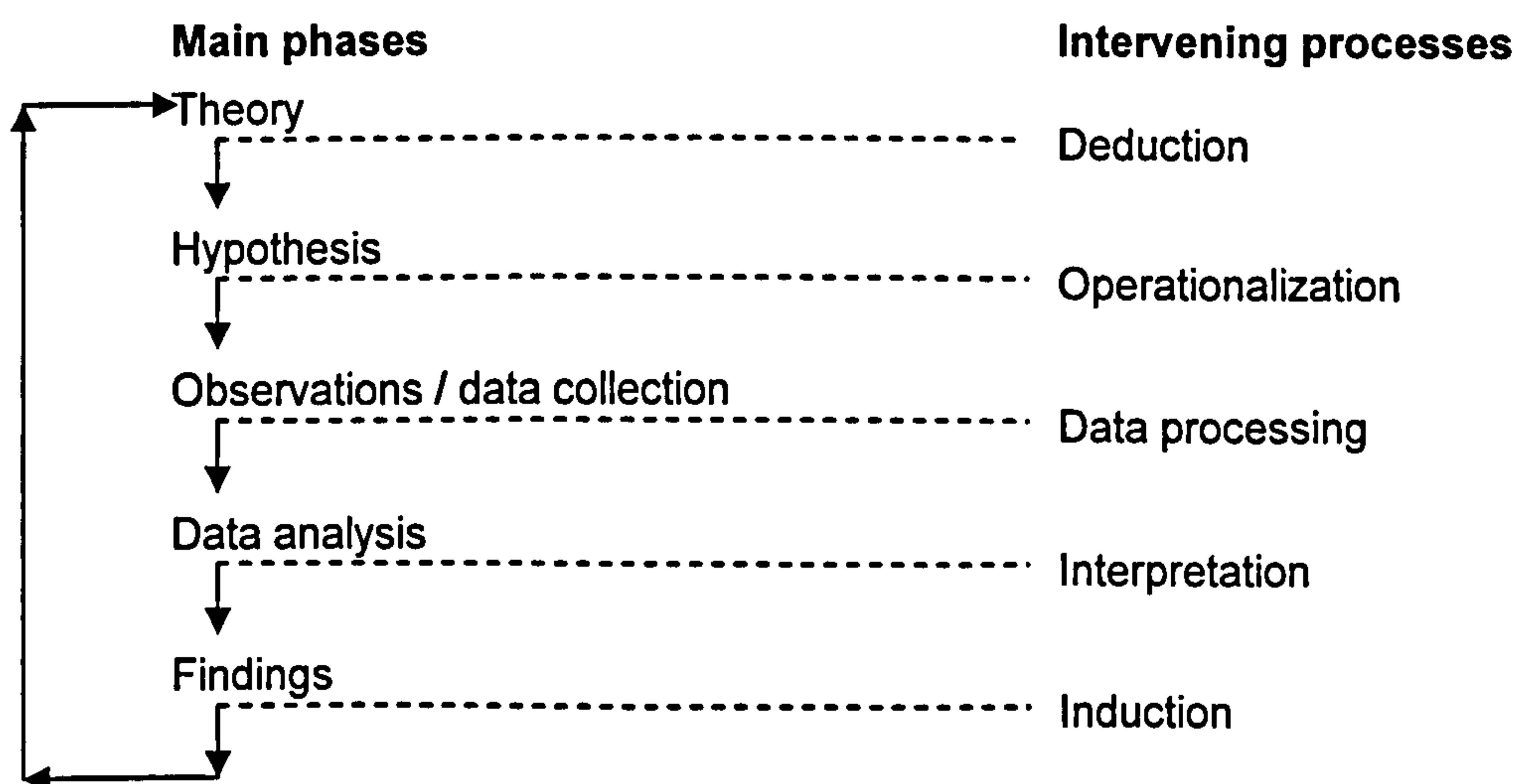


Figure 3.3: The logical structure of the quantitative research process (adapted from Bryman, 1988)

Within positivism this process of developing and testing theories is the means by which social behaviour is described and explained. Although all research is fundamentally theory dependent, the emphasis on testing relationships between concepts using observable data is specific to the positivist tradition.

A further aspect of positivism relates to *values*. On one level this involves researchers minimising their personal impact on the research setting in order to ensure that the knowledge they gain from their research is valid. On another level it involves the rejection of normative theories 'that are directed towards establishing norms of behaviour or belief' (O'Brien, 1993, p. 12).

Positivism has been greatly criticised in recent decades. One such criticism is its separation of theory from observation. Within positivism the aim is to make observations that are 'uncontaminated by the scientist's theoretical or personal predilections' (Bryman, 1988, p. 16). However, many scientific philosophers argue that observations are inevitably 'theory-dependent' as scientists select *what* to observe and interpret observations within the context of known theories. As theories change with new discoveries, scientists interpret past observations differently (Kuhn, 1970). Positivism has also been criticised for giving observation precedence above theoretical reasoning and failing to consider phenomena that may not be directly observable (Harré, 1972). It has also been acknowledged that positivism does not reflect the full variety of procedures used in the natural sciences, some of which make use of exploratory speculative methods (Guba, 1985). Positivism also does not allow previously undiscovered issues to come to light during the research process as the conceptual framework is imposed on the process and standardised approaches are used that do not allow additional ideas or concerns to be raised (Fielding, 1993). However, a substantial part of positivism's downfall from being the dominant philosophy in social research has been disillusionment with quantitative methods as being the only way of describing and explaining the social world (Bryman, 1988).

Interpretivism

'Interpretivism' stems from the work of Max Weber in the first half of the last century. It came to prominence in the 1960s and 1970s during which time there was growing interest in qualitative research and a philosophical rationale was developed to rival that of positivism. Interpretivists maintain that Social Science is not comparable to the natural world and that methods associated with the natural sciences are inappropriate for studying people (Schwandt, 1998). Individuals bestow meaning on their experiences and the social world and research methods have to get to these meanings through interaction and interpretation. Followers of this tradition seek to generate data that gives an authentic insight into people's experiences. In contrast to the positivist tradition, 'the interpretivist tradition seeks not so much explanations and predictions of social events as understanding what meaning and what significance the social world has for the people who live in it' (O'Brien, 1993, p. 7).

Researchers who follow the interpretive tradition believe there is no independent objective social world to discover, only the meanings that human beings give to their experience of the world. They criticise Positivists for not understanding the real meaning of their data, because of their emphasis on observations and measurement. They in turn though are criticised for neglecting the importance of reliability and for not conducting research that is replicable. Another criticism often made is that Interpretivists fail to contribute to a cumulative body of knowledge.

In a similar way to his definition of positivism, Bryman (1988) identifies five 'intellectual undercurrents' to interpretivist epistemology. The first, '*phenomenology*', is a view of human behaviour that recognised that people interpret their world and attempts to understand these interpretations.

'*Symbolic interactionism*' is based on the belief that individuals interpret their environment before acting on those interpretations. This requires researchers 'to catch the process of interpretation through which [actors] construct their actions' (Blumer, 1962, p. 188 in Bryman, 1988, p. 55) through the medium of language and the process of linguistic selection.

Denzin (1978a) suggests *symbolic interactionism* rests on three assumptions. Social reality becomes known and understood through interacting individuals, humans are capable of engaging in self-reflection and can shape their own behaviour as well as that of others, and interaction is an 'emergent, negotiated, often unpredictable concern' (Denzin, 1978a, p. 7).

The third 'intellectual undercurrent' is '*verstehen*' or understanding. This concept was recognised by Max Weber as having two forms: 'direct observational understanding' and 'explanatory or motivational understanding'. The first relates to understanding what is meant by a particular act (interpretation) and the second to understanding the reason for the act (intention).

'*Naturalism*' pertains to researchers minimising their effect on the research setting. 'Naturalists' dislike artificial means of research that, in their view, distort social realities. They are concerned with portraying the social world in terms of the interpretations of its participants.

'*Ethogenics*' involves the researcher attempting to understand sequences of related events, or 'episodes', involving a single individual by identifying the 'belief systems' that reveal the structures behind the events. In this way they can reveal the subject's view of social rules and conventions.

3.4.2 Quantitative and qualitative paradigms

Kuhn (1970) used the term 'paradigm' to refer to an interlocking net of beliefs and assumptions that influence scientists within a particular discipline, determining what should be studied, how research is conducted and how findings are interpreted. Following this, some researchers refer to quantitative and qualitative paradigms. This emphasizes their association with positivism and interpretivism respectively and focuses on the differences between them to the extent that they are sometimes seen as mutually exclusive:

Quantitative and qualitative methods are more than just differences between research strategies and data collection procedures. These approaches represent fundamentally different epistemological frameworks for conceptualising the nature of knowing, social reality, and procedures for comprehending these phenomena.

Filstead, 1979, p.45 quoted in Bryman, 1988, p. 105

The main characteristics of each approach are presented in Table 3.01, followed by a summary of the differences between the two 'paradigms' in Table 3.02.

Main features of quantitative research	Main features of qualitative research
Relates to the measurement of concepts through observations	Rejects the formation of theories and concepts in advance of fieldwork
Seeks to establish the causal relationship between concepts	Provides a detailed description of the social settings they investigate
Concerned with establishing whether the results of a particular study can be generalized to a wider population	Seeks to understand events and behaviour in their wider social and historical context
Uses techniques that treat the individual as a discrete object of inquiry and society as an aggregation of disparate individuals	Views social life as a process of interlocking events
Places an emphasis on whether research findings can be replicated by other researchers or in different settings	Favours open and unstructured research strategies that increase the likelihood of revealing unexpected issues
	Views events, actions, norms and values from the perspective of the person being studied

Table 3.01: The main characteristics of quantitative and qualitative research: (adapted from Bryman, 1988, p. 21-40 and 61-69)

	Quantitative	Qualitative
(1) Role of qualitative research	Preparatory	Means to exploration of actors' interpretations
(2) Relationship between researcher and subject	Distant	Close
(3) Researcher's stance in relation to subject	Outsider	Insider
(4) Relationship between theory / concepts and research	Confirmation	Emergent
(5) Research strategy	Structured	Unstructured
(6) Scope of findings	Nomothetic	Ideographic
(7) Image of social reality	Static and external to actor	Processual and socially constructed by actor
(8) Nature of data	Hard, reliable	Rich, deep

Table 3.02: Differences between quantitative and qualitative research (adapted from Bryman, 1988, p. 94)

The two paradigms are generally associated with different research methods:

Quantitative Paradigm	Qualitative Paradigm
Social surveys, structured interviewing, self administered questionnaires, experiments, structured observation, content analysis, analysis of official statistics	Participant observation, semi- and unstructured interviewing, focus groups, qualitative analysis of texts, conversation or discourse analysis

Table 3.03: Research methods associated with the two paradigms (Bryman, 1992)

Punch, K, (1998) discusses a number of ways in which quantitative and qualitative methods differ. Quantitative methods emphasize variables and the relationships between them, taking measurements and relying on pre-structured conceptual frameworks, designs and data. Samples are usually larger than in qualitative research, generalisations about a population can often be made and methods can be replicated. By contrast, qualitative methods deal more with individual cases and the context in which the data is collected, to help the researcher obtain a detailed and holistic understanding of the subject(s). Pre-structuring of design and data is less common so methods can be modified as a study progresses and qualitative methods are more flexible and multi-dimensional. Quantitative techniques tend to enable aspects of the social world to be measured with numerical data, whilst qualitative techniques help researchers to understand the social world through words (Punch, K, 1998). However, although this distinction is clear it is also seen as overly simplistic (Hammersley, 1992).

Whilst the differences between the two paradigms and the methods associated with them are considerable, overlaps have also been identified (Brannen, 1992; Hammersley, 1992). Table 3.04 details seven areas that are given as examples of fundamental differences between quantitative and qualitative research and summarises Hammersley's argument for why they are less distinctive than often thought.

Qualitative versus quantitative data

Qualitative researchers often make quantitative claims using words such as 'frequently', 'often' or 'sometimes'. Qualitative and quantitative researchers are both seeking to describe their findings accurately and in precise terms that are appropriate to the claim that is being made.

'Natural' versus 'artificial' settings

All settings in the social world are to some degree artificial and social research is itself part of the social world. The key issue is the variation in the degree to which the researcher influences the data, and even ethnographic research in a naturally occurring setting is not immune to the respondent reacting to the researcher.

Meaning versus behaviour

Qualitative approaches that restrict the research focus to respondents' perspectives also analyse them in a way that is likely to be alien to the people studied. Quantitative research can be used to explore attitudes as well as behaviour.

Natural science as a model

Despite quantitative approaches being widely criticised for taking the natural sciences as a model, some leading qualitative researchers have also done this (such as Thomas, Znaniecki, Boas, Malinowski and Radcliffe-Brown). There are also further complications to determining whether a natural science model is appropriate to social research, such as needing to identify which natural science to follow and at which period in its development. It is also necessary to select a particular interpretation and to identify which elements of the method are generic and hence transferable to social research.

Inductive versus deductive approaches

Quantitative research is not always concerned with hypothesis testing and can be concerned with theory generation. Not all ethnographers reject the hypothetico-deductive method.

Identifying cultural patterns versus pursuing scientific laws

It is traditional to view quantitative research as a commitment to discovering scientific laws and qualitative research as being concerned with identifying cultural patterns. In practice, however, quantitative research is often concerned with description rather than theory development and testing. Qualitative researchers often claim their goal is theory rather than mere description of cultural patterns.

Idealism versus realism

Quantitative research is often judged in terms of whether the procedures adopted ensure an accurate representation of reality. The qualitative position is that there is no single reality and there are as many realities as there are people. However, not all quantitative researchers are realists and some qualitative researchers have based their research on a notion of explicit realism (Harré).

Table 3.04: Arguments against viewing quantitative and qualitative approaches as dichotomies

Hammersley (1992) argues that it is reasonable for researchers to adopt different positions for each of these seven components and that it is overly simplistic to view the paradigms as two opposing standpoints.

3.4.3 Epistemology versus technical

The epistemological position is that positivism and interpretivism are irreconcilable paradigms, 'competing views about the ways in which social reality ought to be studied' (Bryman, 1988). According to this position researchers must identify which of the two philosophies they subscribe to and must follow the principles and techniques associated with each approach. Those who take this position believe 'we are dealing with an either –or proposition, in which one must pledge allegiance to one paradigm or the other' (Guba, 1985 p. 80 in Bryman, 1988, p. 107-108). However, other researchers view the two philosophies as ends of a continuous scale

and would support the notion of an 'objectivist / constructivist continuum' (Miller and Glassner, 1997) in which a researcher does not need to either adopt or reject dominant philosophies. Within this approach it is acceptable for facts to be measured to provide a knowable surface reality and for qualitative approaches to be used to seek to understand behaviour and attribute meanings to it.

The technical position on the other hand is that quantitative and qualitative research are different ways of conducting social investigation which may be appropriate to different questions or may be used in conjunction. Brannen (1992) describes how some researchers accept the *complementarity* of the two approaches, and use them to answer different research questions or to address distinct aspects of the same research question, whilst others see them as capable of being *integrated* to address the same research question (Denzin, 1970).

The combination of multiple research strategies within one study is known as '*triangulation*' (Denzin, 1978b). This approach is often viewed as a means of enhancing validity and Denzin (1970) as described by Macdonald and Tipton (1993, p. 199) suggests four triangulation types. '*Data triangulation*' involves data being collected at a variety of times, in different locations and from a range of people. '*Investigator triangulation*' uses more than one researcher to observe the same object or event. '*Theory triangulation*' uses more than one approach to generate categories of analysis. '*Methodological triangulation*' involves either combining quantitative and qualitative approaches within a single research method (such as utilising open ended questions within an otherwise structured survey questionnaire) or combining quantitative and qualitative methods within a single study.

However, despite the acceptance of '*methodological triangulation*' as a valid approach to research design, there are acknowledged difficulties to combining quantitative and qualitative methods in a single study. There are both the problems associated with working with theoretically competing methodological philosophies and also practical considerations such as those specified by Brannen (1992):

- funding agents may expect the research to be based within one paradigm
- researchers may not have the practical skills to work with both quantitative and qualitative methods
- a project involved in two different approaches is likely to be very costly in terms of time and money

3.5 Methodological approach: in practice

The pure epistemological position of having to choose between the two philosophies was rejected in favour of a position on the 'objectivist / constructivist continuum' leaning more towards interpretivism than to positivism. On the basis of the 'technical' position the research design was determined following consideration of both quantitative and qualitative research methods to meet the data requirements.

3.5.1 Applying methodological philosophies

Although the underlying philosophical differences between quantitative and qualitative research were acknowledged, both approaches were used in developing a research design that enabled participation to be measured and explained theoretically and explored from the perspective of different individuals and groups. The study combined theory development, aligned to the positivist tradition, with the development of explanatory participation narratives, aligned to the interpretive tradition. Theory development within the study utilised interpretive and qualitative approaches.

The Participation Model that was developed during the study was in effect a 'theory' seeking to explain EMB participation in mainstream initiatives and institutions. The theory was developed by induction based on the concepts (and the variables used to measure them) that were described in the existing literature as having a relationship with ethnic minority participation in mainstream initiatives and institutions. By amalgamating the findings of these disparate studies a preliminary Participation Model was produced which was explored within the empirical site of Asian and Oriental restaurants in London. The Model was then refined in the light of the findings to enable it to have the potential (through deduction) to explain EMB participation in a variety of mainstream initiatives and institutions. At face value these

elements of the study sit comfortably within the positivist tradition. However, some important elements of the research process aligned it more closely to the interpretive tradition. The theory (as depicted by the Model) was not determined prior to the research as the concepts were not closely defined in advance of the fieldwork and were refined as more data was collected and analysed. It instead developed inductively during the research process, and therefore followed the principles of *Grounded Theory* (Layder, 1993; Punch, K, 1998). In addition, only a proportion of the data used to measure the concepts was observable and collected using quantitative scientific methods. Qualitative findings were also used to identify and explore causal relationships:

We consider qualitative analysis to be a very powerful method for assessing causality...Qualitative analysis, with its close-up look, can identify mechanisms, going beyond sheer association'

Miles and Huberman, 1994, p.147

3.5.2 Combining quantitative and qualitative approaches

Buchanan et al (1988) state that combining these approaches is acceptable in organisational research, and even suggest that it is difficult to study organisations without both quantitative and qualitative methods. Bryman (1988) suggests ways in which quantitative and qualitative approaches can be combined. Some of these are listed in Table 3.05, with a brief description of how they have been used in this study.

In published research (Bryman, 1988)	Examples in this project
Triangulation enables quantitative and qualitative findings to be compared with one another	The evidence provided by the quantitative and qualitative data were reviewed in relation to each variable, which allowed causal relationships to be identified and evaluated using both paradigms
Qualitative research facilitates quantitative research	Informal pre-pilot interviews were conducted to explore the issues being addressed by the study and to test the questionnaire to be used in the quantitative survey
Quantitative research facilitates qualitative research	The quantitative interviews enabled the Researcher to measure levels of participation and to collect biographical data which was used in the selection of comparison groups for investigation in the qualitative interviews.

In published research (Bryman, 1988)	Examples in this project
Quantitative and qualitative research are combined in order to present a general picture	Some of the data requirements were most appropriately met through quantitative methods and some through qualitative methods
Quantitative issues are normally more applicable to investigating structure whereas process issues are usually investigated through qualitative studies	Quantitative research was used to identify patterns of participation and non-participation linked to other variables whilst qualitative research was used to identify the processes that led to participation
Studies can cover both the researchers' and the subjects' perspectives	The quantitative approach ensured the areas the Researcher wanted to cover were addressed whilst the qualitative approach sought to explain participation or non-participation from the interviewee's perspective.
Combining quantitative evidence with qualitative findings means that generalizations can sometimes be made	The qualitative findings were interpreted alongside the quantitative findings when making judgements about whether particular variables affected all or some respondents and whether or not they could be said to affect the wider population
Qualitative research findings can offer interpretations of relationships identified through quantitative research	Statistically significant relationships between particular variables and participation were analysed alongside qualitative findings relating to the same variables to enable relationships to be interpreted.
Using approaches from both research traditions can help overcome the gap between macro and micro levels of research	The sampling approach adopted for the quantitative interviews meant that the findings could be said to be representative of the wider population of restaurants in London. This provided macro level background. The individual restaurants that were involved in the qualitative interviews provided the micro level detail

Table 3.05: Ways of combining quantitative and qualitative approaches

3.6 Data requirements

One of the objectives of the study was to identify which aspects of participation were specific to Asian or Oriental restaurants by comparing their behaviour to a control group of non-minority restaurants within London ('other'). The data requirements therefore applied as much to the control group as to the Asian and Oriental restaurants who became involved in the study.

The data that was required related to:

1. the stage of participation reached by decision makers in Asian, Oriental and 'other' restaurants in London in each of the five initiatives
2. the impact of each variable within the preliminary Model on the stage of participation reached and the impact of any additional variables not already identified
3. how the restaurants had come to be at this stage of participation

Information relating to many of the variables in the Model could be measured and assessed through the collection of factual data, but the picture would have been incomplete without also gathering diagnostic data to explore the effect of perceptions and personal opinion on individual participation decisions.

3.6.1 Measuring participation

Identifying each respondent's overall stage of participation

It was essential for each respondent's stage of participation to be measured in a consistent way. This was necessary in order to be able to determine if there was a difference in the highest stage of participation reached between the types of restaurant and to identify whether the mix of influencing variables changed at different stages. The five stages depicted in Figure 2.3, Chapter Two were *awareness*, *knowledge*, *decision to become involved*, *action initiated* and *active participation*.

Measures of *awareness* included the respondent stating that they had heard of the initiative, being able to give a brief description and being able to state where they had heard of it. Key words and phrases that would show awareness and might be included in a description were then identified for each of the five initiatives. In relation to measuring *knowledge* further key words were identified that if known and understood by the respondent would indicate minimum, good or very good knowledge. These words and phrases were chosen to reveal respondents' knowledge of the key features of each initiative and the steps involved in participating in them.

The measure for *deciding to get involved* in each initiative was based on whether or not the employer stated that they had made a decision to get

involved, had expressed that decision to someone promoting the initiative and had told others in their organisation. These stages were then defined further for each of the five initiatives. Employers who had *initiated action* were defined as those who had taken steps to get involved and had formally registered with a provider. Again these stages were defined further for each of the five initiatives. Finally, *active participants* were employers who had taken significant steps to implement the initiatives in their restaurants in a substantive and sustained manner, also defined specifically for each initiative.

These participation measures are presented in detail for each of the initiatives in Appendix 3A.

Generating an overall participation score

Determining the highest stage of participation reached by respondents only provided one measure and did not give any indication of breadth of participation across the five initiatives. It was therefore determined that a scoring system should be devised to overcome this limitation.

It was possible that some respondents would be participating at a high level without having progressed through each previous stage of the Participation Scale. This could occur if, for example, a business owner/manager had made a decision to become involved in an initiative that they had heard of, but were not knowledgeable about. A cumulative scoring system was therefore devised whereby points were awarded for each stage of participation achieved in each of the initiatives. In line with the measure for highest stage of participation, the knowledge category was sub-divided with different point values for 'minimum', 'good' and 'very good' knowledge.

A weighting system was introduced to ensure that low levels of participation across a number of initiatives did not result in a higher score than a high level of participation in one initiative. For example, it was believed that being aware of four or five initiatives should not result in a higher score than being involved in one. A number of attempts were made to devise an appropriate weighting system and were applied to ten 'test cases' to determine if they

produced participation scores that resulted in a logical rank order. The system adopted was as follows:

Participation stages	NVQs	NTs	MAAs	IIP	ND
Not aware	0	0	0	0	0
Aware	1	1	1	1	1
Minimum knowledge	6	6	6	6	6
Good knowledge	7	7	7	7	7
Very good knowledge	8	8	8	8	8
Decided to become involved	10	10	10	10	10
Initiated action	15	15	15	15	15
Active participation	20	20	20	20	20

Table 3.06: Points awarded for each stage of participation achieved in each initiative

The maximum score per initiative was 54, based on having awareness (1 point), very good knowledge (8 points), having decided to become involved (10 points), initiated action (15 points) and having become an active participant (20 points). The maximum overall score was therefore 270 (for respondents who scored 54 in each of the five initiatives).

3.6.2 Determining the effect of each variable on participation

The information requirements for each of the variables contained in the Participation Model were articulated in a series of statements tailored to each stage of participation. This was initially a desk-based activity, before specialists on each of the initiatives were consulted and minor edits made. The combined information requirements for each variable can be found in Appendix 3B. The biographical personal and business details that needed to be collected were also identified at this stage.

3.6.3 Exploring why restaurants were at this stage of participation

Diagnostic data was required to enable the effect of perceptions and personal opinion on individual participation decisions to be explored. The information needed related to developing an understanding of each respondent's business and how the owner's/manager's profile, attitudes, opinions and experiences influenced their participation. The information requirements for each of these areas can be found in Appendix 3C.

3.6.4 Quantitative and qualitative data

The data that enabled levels of participation to be measured, along with the data that described the characteristics of each business and each respondent, were quantitative. The diagnostic data was qualitative, as it involved respondents explaining the reasons behind their level of participation.

3.7 Sources of data

3.7.1 Respondents

Data were collected from two groups of respondents: restaurateurs and representatives of organisations involved in delivering the initiatives.

Restaurateurs were the source of data on stages of participation as they would be the individuals with knowledge of whether or not the restaurant was participating in any of the initiatives. They were also the source of data for exploring the effect of many of the variables being studied as they were the individuals who would make participation decisions.

Representatives of the organisations involved in designing, promoting and implementing each of the initiatives were a second source of data on each variable's effect on participation. It was determined that some of these respondents could be the actual providers working with restaurants involved in one or more of the initiatives. The only organisations that were mentioned by restaurateurs were the three providers in London specialising in ethnic catering. The individuals who ran these services all had experience of delivering initiatives to both minority and mainstream restaurants and were in a position to comment on the differences they had experienced between the groups covered by the study.

3.7.2 Sampling frameworks

A variety of sampling frames was considered, with a view to identifying the frame that would give the most comprehensive coverage of the London restaurant population. The focus was on *'restaurant establishments within the Greater London area'*, as opposed to restaurant companies which may

have more than one outlet. It was also necessary to use a sampling frame that allowed differentiation by Asian, Oriental and 'other' types of restaurant.

The potential sources of information considered included the membership lists of restaurant associations, Local Council listings used by Environmental Health Officers, Tourist Board databases, Restaurant Guides, the Training and Enterprise Council databases, Yellow Pages, Dunn & Bradstreet and the BT Business Database. They were reviewed for coverage and completeness, reliability and lack of duplication, accessibility, availability of characteristics for stratification, ease of manipulation, accuracy and cost.

There were considerable disadvantages to using membership lists from the Asian and Oriental restaurant associations. Utilising these sources would have required disparate listings to be combined, their accuracy would have been variable and potentially questionable, accessibility would have needed to be negotiated with each individual organisation and completeness would have been difficult to achieve. The resulting sampling frame would need to have been matched to a frame obtained from the mainstream Restaurant Association, again checking for the degree of fit and duplication, in order to draw the sample for the control group. Use of these lists would also have introduced a high possibility of bias into the research, as it was thought that restaurants who were members of such groups would be more likely to participate in government education and training initiatives than restaurants that were not members.

The Local Council listings used by Environmental Health Officers would have been relatively reliable, up to date and comprehensive but were not available for use.

Tourist Board lists were excluded as they did not have comprehensive coverage of all London restaurants, and tended to focus on tourist areas, at the expense of restaurants that serve local communities.

Restaurant Guides were also excluded as restaurants usually have to pay to be listed which would introduce potential bias towards financially stable restaurants. In addition it was thought that they would be biased towards

restaurants operating outside niche ethnic markets, possibly also in Central rather than Greater London. There was also an array of guides from which to choose, which would have required data sources to be combined to avoid duplication and their accuracy was not known.

The Yellow Pages was not thought to be suitable for a random sample (MacFarlane, 1996) and again, as restaurants must pay for inclusion, only those that participate in mainstream advertising would have been included in the study.

Training and Enterprise Councils (TECs) were the government agencies responsible for funding vocational qualifications, which also had a role in promoting involvement in NVQs, MAs and NTs. Their databases were considered as sampling frames but were rejected. The databases varied in their coverage of restaurants, particularly Asian and Oriental ones, and were likely to be biased towards businesses that were already participating in TEC initiatives. They were also not themselves based on a full sampling frame.

Dunn & Bradstreet had a marketing file that could be accessed, but it listed companies rather than establishments and was thought to be more reliable for reaching larger companies than for smaller ones (MacFarlane, 1996).

The BT Business Database has been described as 'the best general business establishment file available' (MacFarlane, 1996). Restaurant information was available that was stratified by Asian, Oriental and 'other', it was accessible, could be obtained in a computerised format for ease of manipulation and the cost was acceptable. The extent to which the database had complete coverage of restaurants in London was questionable as it was based on organisations that were business rate subscribers with BT, and therefore did not include companies who were subscribers with other telecommunications providers. The accuracy of the categorisation used in the database was also questionable, but it was determined that this could be overcome by manual checking. Obtaining an accurate estimate of the number of Asian and Oriental restaurants in London was problematic and it was therefore difficult to judge how close the BT Business Database came to the actual population. However, it was selected as the sampling frame for

the study as it was the most comprehensive list of Asian, Oriental and 'other' restaurants in London available to the Researcher.

3.7.3 Sampling method

The sampling method adopted for the quantitative study was a two-stage proportional stratified sample, stratified by type of restaurant (Asian, Oriental and 'other') and by geographical area (London borough). A random sample was required as it was desirable for the sample to be representative, in order for the outcomes to be potentially 'true' of all London restaurants.

Stratification by type was important to increase the likelihood of the sample being representative of each type of restaurant. This was an integral part of addressing the research question of whether or not participation and the variables that affect it are the same or different for restaurants run by different ethnic groups. Stratification by borough was sought to ensure that restaurants in all areas of London were covered in proportion to their presence. This enhanced the likelihood of the sample being representative.

Purposive sampling was used to select restaurateurs for the qualitative stage of the work. This was to ensure that the second stage of research included a range of people at different stages of participation to enable their opinions and experiences to be compared. The approach was to identify the levels of participation and non-participation revealed by the quantitative study and to classify respondents accordingly. Respondents for the qualitative stage were then selected on the basis of covering each participation level, each business type and a range of geographical areas within London.

3.8 Data collection methods

Decisions on the research design were based on the need to meet the information requirements, measure participation directly from restaurateurs and to involve the organisations who design, promote and implement each of the five initiatives.

Attention was given to the impact of being a young, female, white researcher given that many of the potential respondents were older, male and from ethnic minority groups. One way of minimising this would have been to

select a methodology that involved little or no face to face contact with respondents. However, it was thought that distant impersonal research approaches would result in low response rates and insufficient depth of information. In addition it was anticipated that the respondents would collectively cover a variety of ages, genders, races and class groups, which meant that any single researcher would be an 'outsider' to many of the respondents (Stanfield II, 1998). The issue of how to minimise the impact of researcher profile was therefore considered during the implementation of the research design, rather than in precluding any particular element from it. The approach adopted was to focus on being a young student and hence an unthreatening outsider, asking respondents to explain their world to someone unfamiliar with their experiences but interested in hearing their views and story (Punch, M, 1998).

3.8.1 Excluded approaches

Amongst the approaches considered but not adopted for this study were secondary analysis and meta-analysis of existing data, research based on administrative records and documentary evidence, regular sample surveys and longitudinal studies, case studies and experimental social research.

Hakim (1987) describes secondary and meta-analysis as going beyond the review of literature that is commonly part of preparatory work for empirical research and being a study in its own right to collect and combine data from a variety of secondary sources to produce substantive new findings. In the case of meta-analysis this data is subjected to additional statistical analysis. However, since there was little research in this specific area found during the initial literature review, secondary and meta-analysis were not viable research methods.

The sources of documentary evidence considered included records held by trade associations, Training and Enterprise Councils, Awarding Bodies, Investors in People UK, the Employment Service and individual companies. However, it was determined that documents from these sources would not generate the data required to address the research questions.

One of the aims of this study was to develop a foundation of knowledge in this area and for this an initial investigation was required, rather than a long term regular survey or a longitudinal study.

Hakim (1987) describes a strong overlap between qualitative interviews and case studies, but distinguishes between them by saying case studies 'focus on analytical social units and social processes rather than on individuals in the round'. This study focussed specifically on the decision-maker within each restaurant and the variables that influenced their participation decisions. It did not focus on restaurants as social units and only superficially explored the social processes occurring within each restaurant. Case Studies were adopted as a research approach as a means of ordering and analysing information generated through qualitative interviews, but were not used as a specific research method or outcome in their own right.

Experimental social research involves the study of causal links between different factors. This can range from an investigation of the existence of a link, through to assessing the importance of its effect compared with other factors. However, it involves determining the effect of particular factors by controlling for others, which made it unsuitable for this study.

Participant and non-participant observation were also rejected as approaches because observing participation in an initiative would not have helped to reveal levels of participation, reasons why businesses were participating or the factors that influence them.

3.8.2 Methods selected for data collection

Data to measure each research subject's level of participation was collected using standardised interviews. The standardised interviews were also utilised to collect factual information about the business and the decision-maker relating to each of the variables included in the Model. Open interviews were then used to explore respondents' views on the initiatives, their experiences regarding participation and their view of which variables had or might affect their participation decisions. Semi-structured interviews were selected as the most appropriate research method for obtaining

information from the organisations involved in developing, promoting or implementing the initiatives. The data collection methods selected for the study therefore were:

- a quantitative survey of a representative sample of managers and owners of Asian, Oriental and 'other' restaurants in London
- qualitative interviews with a selection of those involved in the quantitative survey
- qualitative interviews with organisations involved in developing, promoting and implementing the initiatives in London

3.8.3 Quantitative survey

Moser and Kalton (1993) highlight surveys as having two purposes, namely descriptive and explanatory. Descriptive surveys aim to collect facts about a subject whilst explanatory surveys seek to explain the relationship between variables. The approach taken in this research was primarily to design a descriptive survey that would collect data on respondents, their businesses and their participation in the selected initiatives. The survey itself did not ask respondents to give views on the relationship between the variables covered, although it was explanatory in the sense that cross-tabulations and correlations were used to identify relationships between particular variables and participation. A variety of means of administering the survey were considered, namely postal, telephone and face to face, with face to face delivery being the method chosen.

Postal delivery of the survey would have had advantages in terms of cost and time of delivery and collection, in relation to the number of respondents that could have been contacted. It would also have enabled a large national survey to be conducted at relatively low cost. However, as Moser and Kalton (1993) outline there are seven main disadvantages to mailing questionnaires, which influenced the decision not to use this method of distribution:

Disadvantage of postal questionnaires (adapted from Moser and Kalton, 1993)	Applicability to this study
High risk of non-response	Considerable given population in question
Questionnaires must contain simple questions that are readily understood without supplementary explanation	Supplementary explanation would be needed as the respondents in this study would have mixed levels of English and many would be unfamiliar with the topic

Disadvantage of postal questionnaires (adapted from Moser and Kalton, 1993)	Applicability to this study
Answers given to postal questionnaires cannot be probed, checked or clarified and there is no opportunity to assess <i>what</i> has been said by observing <i>how</i> it was said	The <i>how</i> was an important element of assessing confidence and certainty and being able to rephrase questions was important for respondents with English as a second language
Inappropriate where questions testing a person's knowledge are to be included	The questionnaire contained questions aimed at measuring respondent's knowledge
Respondents to a postal questionnaire can see all the questions before answering	Not a disadvantage that affected the choice for this study
The researcher can not be certain who completed the questionnaire	The survey responses needed to come from restaurant owners and managers as the people who would make decisions in relation to involvement in the initiatives
No opportunity for researchers to supplement the respondent's answers with observational data	Seeing the respondents 'in situ' enabled the type of restaurant and style of operation to be reviewed.

Table 3.07: Disadvantages of postal questionnaires

Administering the survey by telephone would have diminished some of the disadvantages outlined above. It would probably have resulted in a higher response rate than a postal survey and would also have provided a greater, although still limited, opportunity to probe or check responses. With a telephone survey however there still would have been only limited certainty of who answered the questions and no opportunity for observational data. In addition, the depth of the questions and the responses would have been restricted with no opportunity for visual aids to help with multiple response questions. A telephone survey would have presented limited opportunity to build rapport and trust with the respondent. Another consideration was the fact that telephone surveys previously conducted by HtF with Asian and Oriental restaurateurs had resulted in low response rates (HtF, 2000b).

Overall face to face delivery had disadvantages of time and cost, but advantages in other areas. Once arranged, the response rate was likely to be better than a postal survey (Moser and Kalton, 1993). The questions still needed to be kept as simple as possible, but could be more complex than for postal or telephone as standardised supplementary elaboration was provided. Responses could be probed and checked and there was an opportunity to assess *what* was being said by *how* it was said. Face to face delivery was appropriate for testing knowledge and the respondent was

clearly identified to the Researcher and there was an opportunity to collect observational data. These advantages led to this method being selected for the quantitative questionnaire with post and telephone being used to arrange the interviews.

The survey had two purposes: the first was to measure levels of participation and the second was to gather data relating to the profile of each business and each individual decision-maker. Statistical analysis could then be used to look for relationships between profile and participation, and to identify any differences between the three types of restaurant. In some cases a single question was sufficient to collect data relating to a particular variable, whilst in other cases a number of questions were used to collect data relating to different aspects of a variable. The qualitative interviews then provided an opportunity for these variables to be explored further as well as enabling additional variables to be identified.

The questionnaire was developed in eight sections. All respondents were expected to answer the questions in sections 'A', 'G' and 'H'. Section 'A' covered basic characteristics that helped categorise the type of restaurant and reveal levels and sources of awareness. Sections 'B' to 'F' each related to one of the initiatives covered by the study and included questions that would generate information to enable levels of knowledge and involvement to be measured. Each of these sections was only completed if the respondent had stated in section 'A' that they were aware of the initiative. Section 'G' contained questions relating to the profile of the business and its staff and section 'H' related to the respondent's profile and background. A copy of the questionnaire is presented in Appendix 3D.

3.8.4 Qualitative interviews with employers and organisations

In-depth qualitative interviews with restaurateurs and providers were selected as the second research method. This provided an opportunity to explore the areas covered in the quantitative survey in more depth. Fielding (1993) describes qualitative interviewing as 'a key method of attitude

research...(with) a central role in a diversity of research designs' (p. 135). This type of interview can be structured, semi-structured and unstructured.

An unstructured approach was chosen for the second interviews with restaurateurs. Unstructured interviews are described by Fielding as being useful when 'you want to establish the variety of opinion concerning a particular topic' (p. 137), and for the formation of 'tentative hypotheses about the motivation underlying behaviour and attitudes' (p. 137). He argued that such interviews could also be used for the examination of non-motivations.

This approach allowed the interview to be used to explore the respondent's individual experiences and opinions, building on particularly interesting and noteworthy responses in the first interviews. The purpose was to capture the nature of each business and the decision-maker within that business, their interaction with other businesses and external organisations and their use of business support services. The qualitative interviews were also aimed at gaining a fuller appreciation of the initiatives being studied from the perspective of the restaurateurs. The topics covered included:

- history of the business
- motivations for running the business
- concept of business success
- family involvement
- government role in business support
- interaction with other businesses and networks
- language issues
- style of management
- experiences with recruitment and training of staff
- involvement with external business support services
- view of government initiatives
- view of education and training initiatives they had participated in (if any)

Preparation for each interview took the form of reviewing the questionnaires from the first interview before developing a list of discussion areas specific to each respondent. An example of an interview guide used in the second employer interviews is provided in Appendix 3E.

One of the strengths of qualitative interviews is the validity of the data as individuals should be interviewed in 'sufficient detail for the results to be taken as true, correct, complete and believable reports of their views and experiences' (Hakim, 1987). However, one of the main weaknesses is that small numbers of respondents can not be taken as representative.

A semi-structured approach was selected for the interviews with provider organisations that developed, promoted or implemented the initiatives. As each provider had a specific role and approach to training and recruitment initiatives, different questions had to be asked each time, but they followed similar themes and were derived from the same basic interview schedule, an example of which can be found in Appendix 3F. The purpose of the interviews was to hear about each provider's experiences of delivering the initiatives to restaurateurs and their staff. In particular they were used to gain an understanding of how ethnic minority employers were involved in the development, promotion and implementation process and were used to gain an understanding of each provider's experiences of promoting the initiatives to restaurant owners and managers. Each interview explored similar themes. These included experiences of working with Asian, Oriental and 'other' restaurants, the representative's description of the type of business that became involved, their thoughts on how their clients view the initiatives and the impact of other organisations and bodies, including Central Government.

3.9 Testing the research methods and instruments

The research methods were tested in an exploratory study with two restaurants and two initiative providers, before the research instruments were piloted more formally with six restaurants.

3.9.1 Exploratory study with restaurateurs

Qualitative interviews were conducted in September 1999 with two restaurateurs who were interested in one of the initiatives. The purpose was to validate the research design with leaders within the Asian and Oriental restaurant community as well as to seek opinion on the draft questionnaire

that had been developed. One restaurateur was Chinese and the other Bangladeshi. In addition to these interviews, the research design was discussed with a second Asian restaurateur who was working with HtF and was prominent within the Asian restaurant community.

3.9.2 Exploratory study with initiative providers

Two interviews were also carried out with organisations with an interest in the initiatives. These were held in October 1999 immediately prior to the pilot study. One of these interviews was with the Qualifications Curriculum Authority (QCA) which is the regulatory body, whilst the other was with one of the specialist ethnic catering schools in London. The purpose was to test the approach of having semi-structured interviews with providers, to review the interview guide and to ascertain the type of information that could be generated. The Researcher also used these interviews as an opportunity to gather wider opinion on the questionnaire for restaurants.

3.9.3 Pilot study with restaurateurs

A formal pilot was conducted in October 1999 with six restaurants drawn from the random sample used for the main fieldwork, two from each of the three groups of Asian, Oriental and 'other'. The six restaurants represented 6.67% of the total number of restaurants planned for involvement in the study, and also covered a range of business types incorporating single and chain restaurants, fine dining and popular dining. The formal pilot was used to predict how long it would take to arrange the interviews, to gauge likely rates of response and non-response and to test the questionnaire length, question phrasing, structure and terminology used. It was also designed to ascertain the extent to which respondents would answer sensitive questions and agree to be interviewed for a second time.

Five of the six restaurants were then visited for a second time in March 2000 so the qualitative interviews could be piloted. The owner of the sixth was unavailable to take part in this section of the pilot but was involved in the main fieldwork conducted later that year. The pilot qualitative interviews presented an opportunity to assess the value of the interview guide and to

practice interview techniques and gave a useful indication of the depth of information likely to be obtained during the main fieldwork.

3.9.4 Pilot outcomes

The completed questionnaires from the formal employer pilot were checked and the data was entered onto SPSS. Manual analysis of the frequency of certain responses was undertaken and brief case study reports were written, which were used to define types of participation. The tapes recorded during the qualitative interviews were transcribed before being analysed. Table 3.08 lists the main findings and changes made as a result of the pilot.

Pilot findings and changes made following pilot

The method of sampling and approaches used to arrange the interviews were successfully tested with minimal changes made

The telephone script used when arranging the employer interviews was modified to help identify the best time to call back if the owner or manager was initially unavailable

A number of people asked for the interview request to be put in writing. Introductory letters were subsequently sent out to all potential respondents prior to the first telephone call

Likely rates of response and non-response were generated and used whilst planning the main fieldwork

No respondents refused to answer the personal or financial questions that had been identified as potentially 'sensitive'. This validated their phrasing and positioning

Some response bands were modified as pay levels and turnover rates were more wide ranging than anticipated

Questions on language ability and qualification levels were restructured to make them clearer and to aid delivery and analysis

All the employers involved in the first interviews readily agreed to be interviewed for a second time. The approach taken had been sufficient to generate interest in the research

The length of time it took to deliver the questionnaire was within acceptable limits (ranging from 15 to 30 minutes depending on the number of initiatives the respondent was aware of)

As the length of the questionnaire was within acceptable limits some additional questions were added to generate further information on the variables being studied

It was suspected that some employers were falsely claiming to be aware of all the initiatives because they did not want to reveal ignorance. A 'dummy' initiative (called the 'vocational certificate') was added to identify where this was occurring.

The Researcher found it difficult to get the conversation to flow when interviewing employers with relatively low levels of English. As a consequence interview techniques for encouraging natural conversation and helping to put respondents at ease were reviewed and practised prior to the main period of fieldwork

A review of the transcribed qualitative interviews revealed that the Researcher was being too technical and a more relaxed conversational style was practised prior to the main fieldwork.

It was decided that full transcription would not be necessary for the qualitative interviews in the main fieldwork as coding of notes was believed to be sufficient

The emphasis was switched away from questions on the history of the business and towards staff development through education and training

Pilot findings and changes made following pilot

Some opportunities to probe responses further had been missed during the pilot qualitative interviews and this was given greater priority in the main fieldwork

The interviews with providers lasted the anticipated hour and the interview guide approach was seen as successful in generating a natural conversation and good level of discussion

Table 3.08: Pilot findings and changes made to research design and instruments

3.10 Preparing for fieldwork

3.10.1 Timing of the research

The Researcher was registered on a part-time basis due to the initial need to balance academic progress with full-time employment. Research preparation and fieldwork was therefore conducted over a period of four years. Family commitments combined with self-employment resulted in it taking a further three years to analyse the data and complete this thesis. The timetable for the research preparation and fieldwork was as follows:

Initial literature review and development of potential Participation Model	April 1997 - June 1998
Development of research design, sampling, data requirements and research instruments	July 1998 - August 1999
Exploratory study	September - October 1999
Pilot – quantitative interviews	October - November 1999
Pilot – qualitative interviews	March 2000
Pilot analysis and refinement of research instruments	April - May 2000
Quantitative interviews	May-August 2000
Qualitative interviews	October - December 2000

Table 3.09: Timetable for research preparation and fieldwork

3.10.2 Drawing the sample

The BT Business Database was able to supply the sampling frame by Asian, Oriental and 'other', which greatly assisted the first stage of stratification. The whole sampling frame of Asian and Oriental restaurants was requested and supplied and a sample of the 'other' restaurants was supplied. The 'other' category included all the restaurants listed for London that were not either Asian or Oriental. Names, addresses, telephone numbers and contact names were obtained for 343 Asian restaurants, 340 Oriental restaurants and 871 'other' restaurants (out of a total available of 3,378). A 10% sample of the 'other' restaurant sampling frame had been requested, but a 26%

sample was provided. Initially the frames were checked, and based on restaurant name a relatively large number of restaurants (173) were found to be miscoded and were moved from the 'other' sampling frame to either the Asian (86) or Oriental (87) frames. The resulting totals for each of the three frames were 429 Asian restaurants, 427 Oriental restaurants and 698 'other' restaurants.

The three sampling frames were then sorted by borough based on postcode, using a Post Office Map. The total number of restaurants in each borough for each sampling frame was then calculated.

The original aim was to conduct at least 90 interviews in total, based on the desire for meaningful statistical analysis of cells of 30. Whilst for larger scale surveys 50 responses per cell is seen as desirable, that was not thought to be feasible or necessary for this scale of survey, particularly as the geographical area had already been limited to London. 30 interviews per group represented 6.83% of the Asian sampling frame, 7.02% of the Oriental sampling frame and 0.88% of the 'other' sampling frame. It was planned that approximately one third of the respondents would then be interviewed for a second time in the qualitative stage of the work. The figure of 30 restaurants per group was therefore used to draw the sample, with an assumed response rate of 1 in 5 (20%). This was based on response rates that had been achieved in previous research conducted by the sponsoring body. It also took account of the likelihood of encountering problems with conducting interviews that had been arranged, such as respondents missing appointments, cancelling the interview, illness or interviews being partially conducted but incomplete.

For each of the three sampling frames, the total number of restaurants in each borough was calculated as a percentage of the total number of restaurants in the frame. This percentage was then applied to the total target sample of 30 for the number of interviews required and then multiplied by 5 to allow for the 20% response rate. The resulting figure was then either rounded up or down to the nearest whole number. This gave the number of

restaurants that needed to be drawn from each sampling frame for each borough.

Example: If 4% of all the Asian restaurants in the sampling frame were in borough A, the target number of interviews was $(4 / 100) \times 30 = 1.2$. The number of restaurants to be drawn from sample was $1.2 \times 5 = 6$. In practice 6 restaurants would be drawn from the sampling frame and the target would be rounded down to 1 restaurant.

The restaurants in each sampling frame were then sorted randomly within their borough groupings, using random numbers generated in Excel and the three samples were drawn.

3.10.3 Research Assistant

In April 2000 the Hospitality Training Foundation (HtF), as the sponsoring organisation, offered to provide a research assistant to help conduct the fieldwork. It was agreed that the research assistant would be asked to cover the following activities:

- distributing a letter introducing the study to employers who would be invited to participate in the fieldwork
- arranging the quantitative interviews using the telephone selection script provided by the Researcher
- administering a short telephone questionnaire to employers who were unable or unwilling to participate to enable a profile of non-respondents to be developed
- conducting approximately 60% of the quantitative interviews, using the questionnaire provided and completing an observation sheet following each interview

The person approached to fulfil this role had previously been involved in HtF's work with Asian restaurants. She also had research experience and had recently successfully completed an MBA programme. In addition she was of Pakistani ethnic origin and had a strong interest in the research subject. The following considerations were covered when agreeing the work that would be undertaken. These were the need for:

- a full briefing on the purpose of the research, findings to date, methodology used, sample method used, the work to be undertaken, the interview process, techniques and practices to ensure consistency and standards of research practice

- dates for commencement and completion to be agreed and targets to be set covering the number of interviews to be arranged and conducted
- the regularity of contact between Researcher and Assistant to be agreed particularly in relation to reviewing progress

The person approached readily agreed to be involved and briefings were held in three sessions. The first session introduced the research, including the methodology and the sampling approach. The second session focussed on the processes to be followed when arranging and conducting the interviews. The third session was a discussion on best practice and techniques to use during the interview. It also provided an opportunity to reflect on the Research Assistant's experiences of having practised implementing the questionnaire on a colleague and to discuss the Assistant's working hours which were determined by the times when respondents were most likely to be contactable and available for interview.

Having a Research Assistant provided methodological advantages by reducing the time period required for both the quantitative and qualitative phases of the study to be completed. This helped to:

- ensure the seasonal peaks and troughs characteristic of the restaurant industry were used to advantage and minimised their adverse effects
- increase the response rate for the second interviews as there were only a few incidences where owners had sold the business or managers had left
- reduce the likelihood of respondents moving between stages of participation during the fieldwork period
- minimise the effect of frequent changes to the initiatives and the organisations involved in promoting and delivering them

As the Research Assistant was Asian and the Researcher was White it had been anticipated that each might have different experiences in the field. In other respects the Research Assistant and the Researcher were similarly matched in terms of age, gender, experience of interviewing and class. However, there were no indications of any differences. As anticipated the Assistant undertook the activities outlined at the beginning of this section. At every stage the work was managed closely to ensure it was proceeding as planned and to detect problems at an early stage, although the Assistant's

professionalism, detailed preparation and close monitoring resulted in few problems being encountered.

3.10.4 Initiating contact

The sampling frames from the BT Business Database contained contact names for approximately 20% of the restaurants. Initial phone calls were made to obtain contact names at the other restaurants to ensure introductory letters could be sent to a particular individual. The letters were despatched in batches and recipients were telephoned two days after postage and asked to be involved. The modified telephone selection script from the pilot (see Appendix 3G) was used to ensure consistency in the way in which restaurateurs were approached. A fax back form, as well as the information sheet mentioned above, accompanied the letters, which enabled recipients to agree to being involved prior to being telephoned. This was done to reduce the number of telephone calls necessary to arrange the required number of interviews, and to give respondents the opportunity to specify when it was most convenient for them to be contacted to arrange the interview.

Restaurant Owners or Managers who declined to participate in the research were asked if they would answer five questions over the phone (see Appendix 3H). This was to allow an analysis of non-respondents to be undertaken.

Owners and Managers who agreed to be interviewed were sent a letter confirming the date, time and location of the interview. The letter stated that the interview would be conducted in English, but was accompanied by a fax-back form that enabled respondents to request that the questions be translated to a language of their choice. Limited research funds meant that it was not possible to employ first language interviewers. One Japanese restaurant owner enquired about having the questions translated. However, he also requested an advance copy of the questionnaire in English and subsequently decided to proceed with the interview in English.

3.11 Conducting fieldwork

3.11.1 Quantitative survey delivered by face-to-face interview

The quantitative interviews were conducted at each restaurant in a one to one meeting with the owner or manager. The structured pre-coded questionnaire shown at Appendix 3D was delivered and flash cards were used to aid delivery. Standard definitions were developed for the technical words in the questionnaire, and these were marked so the interviewer knew there was a definition available if the respondent seemed uncertain of the term. Other codes for margin notes were also assigned to indicate if the interviewer had needed to repeat or re-word the question or if the interviewee had asked a follow-up question, offered additional elaboration, hesitated, or was unclear in their response. The purpose of this was to enable contextual information to be generated alongside the quantitative responses.

Observations and impressions were noted at the end of each interview to give a subjective analysis of the respondent and the interview. This covered a variety of areas including the style of restaurant, level of additional discussion, respondents' willingness to answer questions, value of having a second interview, interviewers' opinion of the respondent's honesty in answering the questions and the level of interest shown by the respondent.

In total 80 quantitative interviews were conducted, 27 with Asian restaurants, 27 with Oriental restaurants and 26 with the control group of 'other' restaurants. They were all completed between May and August 2000, with the majority being undertaken in a six week period covering June and July. This number of interviews was lower than the original target of 90 as the interviews took longer to complete than originally planned. This was partly due to the small number of interviews that could be conducted on any one day given the need to avoid busy lunchtime and evening periods within the restaurants and the logistical need to group the interviews geographically to help reduce travel costs. The majority of the interviews conducted by the Researcher had to be completed during a sabbatical period, as work commitments made it difficult for many interviews to be conducted at other times. At the end of the sabbatical period the number of completed

interviews was reviewed and the target was revised. The qualitative interview target was consequently reduced from 30 to 24, 8 with each type of restaurant.

3.11.2 Qualitative interviews with employers

A structured approach was taken to selecting restaurants for the second interviews to ensure a variety of respondents were involved. The responses provided in the quantitative interviews were used to determine each respondent's highest stage of participation and participation score, as described in section 3.6.1. The questionnaire used in the first interview ended with a question on whether or not they were willing to be interviewed for a second time and only respondents who answered this question positively were considered for selection.

The qualitative interviews were again conducted at each restaurant. The overall aim was to ensure each participation stage was represented across each of the three groups of restaurant. Where more than one restaurant of each type was identified at each stage of participation, the decision was made on the basis of covering all five initiatives, achieving geographical coverage and on an assessment of the likely background reasons for their level of participation. The interviewer observation sheets completed at the end of the first interviews were also used to ensure a variety of respondents were involved in the second interviews.

	Population of first interviews		Involved in second interviews	
	Number	%	Number	%
Not aware	23	28.75	3	12.5
Aware	21	26.25	4	16.67
Knowledge	23	28.75	10	41.67
Involved	13	16.25	7	29.16
TOTAL	80	100.00	24	100.00

Table 3.10: Comparison of first and second interviewees across each stage of participation

Table 3.10 shows how the spread of interviews across the different stages of participation differed between the first and second interviews. Restaurants at higher levels of participation were deliberately over-represented, as one of

the intentions was to explore their experiences of participation and to develop participation narratives.

The tailored interview guide was reviewed prior to each interview but was not referred to during the interview to ensure topics could be covered in a flexible order and to encourage respondents to influence the subjects discussed. This helped to achieve a natural conversation style and the sheet was only referred to at the end of each interview as a final check to ensure all key areas had been covered.

Each interview was tape-recorded and brief notes were taken. Detailed notes were then produced from the tapes shortly afterwards. The notes were used to generate participation narratives and to identify variables that had affected participation. On one occasion permission to use a Dictaphone was withheld so detailed notes were taken during the interview and written up afterwards.

3.11.3 Qualitative interviews with organisations

Four interviews were conducted with organisations with an interest in the initiatives covered by the study. One was with Westminster Kingsway College's Chinese Chef School, another with Thames Valley University and the third with a private training provider that specialised in Asian and Oriental programmes, the Asian and Oriental School of Catering. All three received government funding for their facilities and programmes. The fourth interview was with the Qualifications Curriculum Authority (QCA), the body that accredits and monitors qualifications in colleges and the workplace. The interviews were recorded and written up in the form of detailed notes, rather than verbatim transcription, prior to analysis.

3.11.4 Confidentiality

Respondents were assured of confidentiality at various stages throughout the fieldwork period, including the introductory letter and by telephone whilst arranging interviews. Confidentiality was assured at the beginning of each quantitative interview and was re-confirmed immediately before the sections

relating to business and personal details. It was also assured at the beginning of the qualitative interviews.

The providers were told that their comments may be attributed to their organisation, although not to them personally. They were encouraged to state if a section of the interview should be treated as being 'off the record'.

3.11.5 Response rates

Conversion to interview rate

Restaurant type	Number of calls made	Number of interviews conducted	Conversion to interview rate	Pilot conversion to interview rate
Asian	103	27	26.21%	33.33%
Oriental	133	27	20.30%	11.77%
Other	74	26	35.14%	28.57%
Combined	310	80	25.81%	20.00%

Table 3.11: Conversion to interview rate by type of restaurant

As shown in Table 3.11, 103 calls were made to Asian restaurants to obtain the 27 interviews that were conducted. This represented a conversion rate of 26.21%, which was lower than the conversion rate that had been achieved during the pilot. However, the conversion rates for Oriental and 'other' restaurants were higher than those achieved in the pilot. The overall conversion rate of 25.81% was higher than that achieved in the pilot and validated the changes made post pilot, as described in section 3.9.4.

Refusal rate

Restaurant type	Number of calls made	Number of refusals	Refusal rate	Pilot refusal rate
Asian	103	13	12.62%	33.33%
Oriental	133	22	16.54%	23.53%
Other	74	7	9.46%	0.00%
Combined	310	42	13.55%	20.00%

Table 3.12: Refusal rate by type of restaurant

Of the 310 restaurants approached, 80 (25.80%) agreed to be interviewed and 42 (13.55%) declined to participate. In the remaining 188 (60.65%) cases the owner or manager was unavailable at the time(s) of calling and the target number of interviews was achieved before they could be contacted.

Oriental restaurants were most likely to have declined involvement with a refusal rate of 16.54%, whilst 'other' restaurants were least likely to do so (refusal rate of 9.46%). The refusal rates were lower than those experienced in the pilot, which again validated the changes described in section 3.9.4.

Sensitive questions

As some of the questions asked during the quantitative interviews related to business and personal finance it was expected that some interviewees would be unwilling to respond. The number and percentage of interviewees in this category are shown in Table 3.13 for each of the 'sensitive' questions.

Question topic	Number of interviewees unwilling to respond	% of interviewees unwilling to respond
Sources of finance used to start the business	1	1.25%
Sources of finance used to support the business	0	0.00%
Restaurant turnover	4	5.00%
Profit levels	4	5.00%
Personal earnings	6	7.50%

Table 3.13: Respondents unwilling to answer sensitive financial questions

Respondents were most unwilling to identify the band that reflected their personal earnings, with 7.5% (6) of respondents declining to answer this question. These refusals were lower than expected and helped to validate the decisions made in wording and positioning the questions. They are also a reflection of the level of trust built between the interviewers and respondents.

Second interview rate

91.25% of all those involved in the first interviews stated that they were willing to be interviewed for a second time. All the respondents in 'other' restaurants agreed to a second interview, compared with 85.18% of Oriental restaurateurs and 88.89% of Asian restaurateurs. These results were higher than expected at the outset and reflected the degree of interest shown in the research. They also demonstrated the success of the research approach from the perspective of those participating in the study.

Non-response

Restaurateurs who were unwilling or unable to be involved in the interviews were asked five questions to enable a profile of non-respondents to be developed. In addition the Researcher or Assistant made a subjective judgement on the non-respondent's level of spoken English. A copy of the 'non-response' questionnaire is presented at Appendix 3H.

Of the 42 respondents who declined to be involved in the research, 26 (61.90%) were prepared to answer the non-response questions. The main findings from an analysis of responses to these questions are shown below.

Non-response findings

Non-respondents were most likely to be located in Greater London. They were least likely to be located in Central London boroughs.

31% of non-respondents ran Asian restaurants (33.8% of respondents). 52.4% of non-respondents ran Oriental restaurants (33.8% of respondents). 16.7% of non-respondents ran 'other' restaurants compared with 32.5% of respondents. Oriental restaurants were most likely to be non-respondents. 'Other' restaurants were least likely to be non-respondents.

71.4% of non-respondents cited lack of time as their reason for not becoming involved compared with 7.1% who said they had no interest in the study. Other reasons included the recent death of the owner and imminent restaurant closure.

80.8% of non-respondents were in single restaurants, compared with 68.4% of respondents. Chain restaurants were more likely to participate than single restaurants.

45.5% of non-respondents worked in family-run businesses, compared with 68.4% of respondents. Those in family run restaurants were more likely to participate.

100% of non-respondents worked in restaurants employing fewer than 25 staff, compared with 25% of respondents. Those in larger restaurants were more likely to participate.

55.2% of non-respondents spoke English very well, compared with 63.3% of respondents. 44.8% of non-respondents spoke English quite well, compared with 30.4% of respondents. No non-respondents spoke English in a way that could be described as 'broken' or hard to understand, compared with 6.3% of respondents who spoke English 'poorly'.

Table 3.14: Main findings from analysis of non-respondents

These findings show that non-respondents were most likely to run small single Oriental restaurants not owned by a family. There was little evidence that the restaurateur's level of English was a significant factor in determining whether or not they became involved in the study.

3.12 Data analysis

3.12.1 Quantitative analysis

Quantitative analysis techniques were used to analyse the data collected by questionnaire. The purpose of the analysis was to:

- measure levels of participation in each of the five initiatives
- describe the key characteristics of each business and each respondent linked to the variables contained in the preliminary Participation Model
- identify where those characteristics differed by restaurant type
- identify relationships between respondent profile and participation

Software

SPSS (version 11.0 for Windows) was chosen as an appropriate software package for analysing the data contained in the completed questionnaires, based on its acceptability within the social-science research community. It was a package commonly used within the University of Surrey and HtF, had previously been used by the Researcher and was available at no cost. As the questionnaires had been pre-coded, data entry was relatively straightforward after the SPSS software had been set up to accept the codes.

Error checking

The first stage of analysis was checking for errors in the data by producing frequency charts, highlighting erroneous entries, checking the original questionnaires to determine the correct value and correcting data values where errors were identified.

Measuring participation

The participation measures described in section 3.6.1 were directly linked to specific questions contained in the quantitative questionnaire. The completed questionnaires were reviewed manually and the responses to these questions were used to determine each respondent's level of knowledge for the initiatives they were aware of and the stages of participation they had progressed through for each of the initiatives.

They were then used to identify the highest stage of participation reached, the number of initiatives each respondent was aware of and each respondent's participation score. New variables relating to these measures were created in SPSS and the relevant data was generated for each respondent. The outcomes were produced in the form of frequency tables and differences between the three types of restaurant involved in the study were explored by testing for relationships between each participation variable and type of restaurant. A variety of statistical tests were used to ascertain the significance of any relationships that were identified, as outlined below.

The 'dummy' initiative, entitled 'Vocational Certificate', was introduced to identify if respondents were falsely claiming to be aware of all the initiatives. 25% (20) of respondents claimed to be aware of it, although only 3.8% (3) claimed to be aware of all six initiatives. This shows that whilst restaurateurs were not always aware of the exact name of the initiatives, very few were falsely claiming to be aware of them all.

Business characteristics and personal profile

The data relating to variables that described business characteristics and the respondents' personal profiles was also displayed in the form of frequency tables. Relationships with the participation variables were explored using cross-tabulations and correlations. Relationships with type of restaurant were also explored, with a view to identifying if the profile of respondents differed between the three groups. This approach enabled differences in participation between respondents with differing profiles to be interpreted in the context of the type of restaurant. Again a variety of statistical tests were used.

Relationships between categorical variables

Cross-tabulations were used to compare categorical variables, and the following statistical tests were used to check for significant findings:

- Pearson Chi-Square
- Likelihood Ratio
- Fisher's Exact Test

Pearson Chi-Square was used as it provided a basic chi-squared statistical test but was combined with the Likelihood Ratio due to the small sample size. The Fisher's Exact Test was used if the cross-tabulation involved two variables each with two values (2x2).

In some cases it was necessary to recode variables to reduce the incidence of low cell count by combining categories of response. This was particularly necessary for cross-tabulations involving the variable for highest stage of participation as respondents were not evenly spread across the participation scale and the sample size was too small for all six levels of participation to be used. Some of the categories were combined and on occasion some were excluded from the analysis to overcome the problem of low cell counts. The same problem applied to many of the variables with more than three bands of response. Multiple bands were used in the questionnaire to enable a detailed picture of respondents to be generated. However bands were then combined to enable statistical analysis. An example of this is hours worked per week, where the seven original categories were combined into three.

The potential of using Phi, Cramers-V, Lambda and Kendall's-Tau to assess measures of association was explored, but these tests were discounted as the cell counts were too low for there to be any layering of the data.

Assessing normality

The normality of distributions and degrees of variance for continuous variables was assessed using:

- Descriptives: minimum, maximum, mean, median, variance, standard deviation, inter-quartile range, skewness and kurtosis
- Graphs and plots: boxplots, scatter-plots, stem and leaf plots, Normal Q-Q plots, Detrended Normal Q-Q plots, bar-graphs with superimposed normality curves
- Tests of normality: Kolmogorov-Smirnov and Shapiro-Wilks

The outcomes of these assessments were used to determine appropriate statistical tests.

Relationships between categorical and continuous variables

Relationships between categorical and continuous variables were explored by using the following tests to check for statistically significant findings:

- T-tests
- Mann-Whitney
- ANOVA

T-tests were applied where there was evidence to suggest that the continuous variable was normally distributed with a low variance. The Mann-Whitney test was used where there was evidence to suggest that the continuous variable was not normally distributed or there was a high degree of variance in the data. ANOVA was used to reduce type I and type II error rates because there were three experimental groups, namely Asian restaurants, Oriental restaurants and 'other' restaurants. However there were no significant findings for the variables that met the assumptions of ANOVA.

Relationships between continuous variables

Correlations were undertaken to identify significant relationships between continuous variables, using the following statistical tests:

- Pearson's
- Spearman's
- Kendall's-Tau

The Pearson's test was used if the assumptions of parametric tests could be satisfied and Spearman's if the test needed to be non-parametric. Kendall's-Tau was used for non-parametric tests with tied ranks.

Linking quantitative findings to the Participation Model

The outcomes of the SPSS analysis were described in a document that linked the findings for each SPSS variable to the variables used in the model. As described in section 3.8.3, some of the variables in the Participation Model were linked to a single SPSS variable, whilst in other cases a number of SPSS variables were used to explore different aspects. An example of this is provided in Table 3.15:

Variable in Participation Model	SPSS Variables
Size of business	Chain or single restaurant
	Number of covers
	Number of employees

Table 3.15: Example of a number of SPSS variables linking to a single participation variable

The findings from these processes were collated for each variable contained in the preliminary Participation Model. This constituted the quantitative evidence for and against each variable being a participation factor.

3.12.2 Qualitative analysis

Qualitative techniques were used to analyse the data collected during the second employer interviews and the interviews with organisations. The purpose of the analysis was to:

- review each interviewee's participation experiences
- generate qualitative evidence for or against each variable in the preliminary Participation Model being a factor
- create participation narratives to describe each restaurateur's experiences
- identify themes common to groups of restaurateurs

Software

Manual qualitative analysis techniques were adopted in preference to a software package being used. Although software for qualitative data is now reasonably sophisticated it was not thought to be necessary in this study. This was due to the manageable number of interviews to be analysed and the benefits that would be gained from the Researcher remaining close to the raw data. In addition the Researcher had no previous experience of using qualitative software and it was not used within HtF.

Detailed summary of each interview

The Dictaphone tapes were replayed and the notes taken during the interviews were reviewed to produce detailed word-processed summaries of each interview. The interviewee's views and experiences were described mainly using their own words with some verbatim quotations. However this was not a full transcription of each interview as the pilot had shown there was little to be gained from full transcription.

Linking qualitative findings to the Participation Model

Each detailed interview summary was coded to show where the interviewee had opinions or experiences that related to a particular variable and its effect on their participation. New variables were created and assigned codes where respondents had given reasons for their participation or non-participation that were not within the preliminary Model. Initially each variable had a card(s) upon which interviewee's identification numbers and comments were recorded. Once all the interviews had been summarised and coded using this process the relevant comments from each word-processed summary were transferred to a new document which showed the evidence for and against each variable being a factor in participation. This document was then combined with the document containing the evidence provided by the quantitative data. This enabled the Researcher to review the evidence and make a judgement of the effect of each variable on participation.

Participation narratives

The detailed interview summaries were reviewed for a second time to identify the stories behind participation. The emphasis was on examining each interviewee's experiences of interacting with providers, the steps that had led to decisions to participate or not, the reasons for those decisions and subsequent experiences regarding the initiatives as well as their general attitude to external organisations influencing the way the business was run.

Themes and trends

The participation narratives were then grouped to help identify common themes. The first grouping was by stage of participation to ascertain if restaurants at each stage had similar experiences or motivations. The second grouping was restaurants of the same type; namely Asian, Oriental and 'other', with a view to identifying if each group had common reasons for participation that differed from restaurants of other types.

3.13 Limitations of the methodology

As previously described the study involved exploratory research and combined quantitative and qualitative approaches to obtain a foundation of

knowledge. However, one of the drawbacks to this was that with limited resources both approaches were implemented in a more superficial way than if only one had been used. The decision to deliver the quantitative survey by personal interview to maximise the response rate inevitably led to it being a relatively small-scale survey, which limited the statistical testing.

Whilst the sample was designed to be representative of all restaurants in London, there was a bias towards those who spoke and read English as the approaches were in English. The first language of the recipient was not known from the sample and cost implications made approaches in other languages impractical.

When determining the constitution of the control group it was difficult to identify British restaurants operating within the mainstream. This was due to the cosmopolitan nature of the restaurant sector in the UK and its global influences. The control group therefore became non-Asian and non-Oriental restaurants. This resulted in it including many respondents with very similar profiles to the Asian and Oriental respondents in terms of having English as a second language, potentially operating outside mainstream institutions and within niche ethnic markets. This had positive implications in that the differences that were identified between the Asian and Oriental respondents and the control group could be more confidently attributed to ethnicity as they shared so many other characteristics. However it also had negative implications as differences in stages of participation may have been identifiable if the control group had contained only restaurants that could be described as operating within the mainstream of British business.

In total 63 variables were considered as potentially influencing participation in the five initiatives. 46 came from the literature on ethnic minority participation and the remaining 17 emerged during the research process. They were identified through discussion with HtF, from biographical data collected to help describe levels of participation by different groups of respondents, from the qualitative interviews and from dividing existing variables that were found to cover two or more distinct areas. Due to this large volume the number of measures used for each variable needed to be

restricted in order to be practical. It was recognised that restaurateurs would have only limited time and interest to be involved in the study. For a small number of variables (including 'social-class', 'language ability' and 'cultural barriers') the only measure used was self-reporting by respondents. This placed limitations on the findings, as it would have been preferable to use more objective measures for these variables.

The Researcher was young, white, female and middle class and despite having a background in the hospitality industry and having experience of the initiatives covered by the study had no direct experience of working within the ethnic restaurant sector. The issues arising from the Researcher's ethnicity were partially addressed by having an Asian Research Assistant, but this went a very small way towards ethnic matching, given the diversity of the restaurateurs involved in the study. The reliance on face to face interviews within the methodology exacerbated the impact of the differences between the researchers and the respondents. The achieved sample may therefore be biased towards people who most closely matched the Researcher's profile and those who were not deterred by any differences. It may under-represent those who would only have been willing to talk to someone from the same ethnic community, age, gender or class.

3.14 Conclusion

The aims and objectives of the research have been restated in this chapter along with the broad and empirical research questions. Methodological theory has been discussed with an explanation of the Positivist and Interpretivist traditions. In addition the Researcher's position on the 'objectivist-constructivism continuum' has been described and the decision to combine quantitative and qualitative research has been justified.

The data collection methods used have been described and justified:

- a quantitative survey of a representative sample of managers and owners of Asian, Oriental and 'other' restaurants in London
- qualitative interviews with a selection of those involved in the quantitative survey
- qualitative interviews with organisations involved in developing, promoting and implementing the initiatives in London

The decision to combine quantitative and qualitative approaches resulted in two types of data that complemented each other by addressing different aspects of the research question and could be integrated to add validity to the findings and to show different perspectives on the issue.

The action taken to test the research methods and instruments has been explained and each stage of the fieldwork from preparation to analysis has been described and discussed.

Examination of each element of the research approach has shown that:

- testing the research design can result in valuable minor changes being made even when the overall design is validated
- involving members of the group(s) being researched at an early stage helps ensure the suitability and acceptability of the research design
- careful planning can maximise the advantages of having a Research Assistant and minimise the disadvantages
- research involving businesses with seasonal peaks and troughs can be undertaken successfully within a relatively short period of time, provided sufficient resources are available
- utilising a wide variety of statistical tests on different types of quantitative data can help construct a rounded picture of the relationships between variables. However, care must be taken when interpreting findings to ensure it is clear that they are based on different types of data that have been tested in different ways
- qualitative data collection produces a large amount of data that must be structured and reduced in volume in order for themes to emerge

It is valid to claim that the conclusions drawn from the findings apply to the whole restaurant population in London. The respondents involved in the qualitative work collectively covered each stage of participation and non-participation across each type of restaurant. They had all been involved in the quantitative interviews and were thus drawn from a representative sample stratified by restaurant type and geographical area. However, there may be bias towards those who matched the Researcher's profile quite closely and those who were not deterred by any differences.

The methodology adopted successfully addressed the research question:

What are the factors that influence whether or not Asian and Oriental restaurants in London participate in training and recruitment initiatives?

4 Levels of Participation and Participation Narratives: Findings Part One

4.1 Introduction

This chapter presents findings that identify the extent to which respondents were participating in the five initiatives covered by the study and seeks to develop an explanation for these levels of participation by examining the narratives behind them. The first section of the chapter provides quantitative details of the levels of participation reached by the eighty employers involved in the study. It presents their overall participation scores, as well as findings that specifically identify levels of awareness, knowledge and involvement. The second section describes the experiences of the twenty-four employers who were involved in the qualitative interviews. This is followed by a comparison of shared characteristics and participation experiences between Asian, Oriental and 'other' restaurants, between restaurateurs who were participating at the same level and between restaurateurs with the same attitude towards external organisations influencing their business.

4.2 Participation statistics

4.2.1 Levels of participation

71.2% (57) of the restaurateurs surveyed were aware of one or more of the initiatives covered by the study. 45.3% (36) also had some degree of knowledge and 16.3% (13) had become involved. Of this latter group, two had made a decision to become involved but had not yet taken any action, four had initiated action and seven had actively participated. 28.8% (23) of restaurateurs were unaware of all five initiatives. These findings are displayed in Chart 4.1:

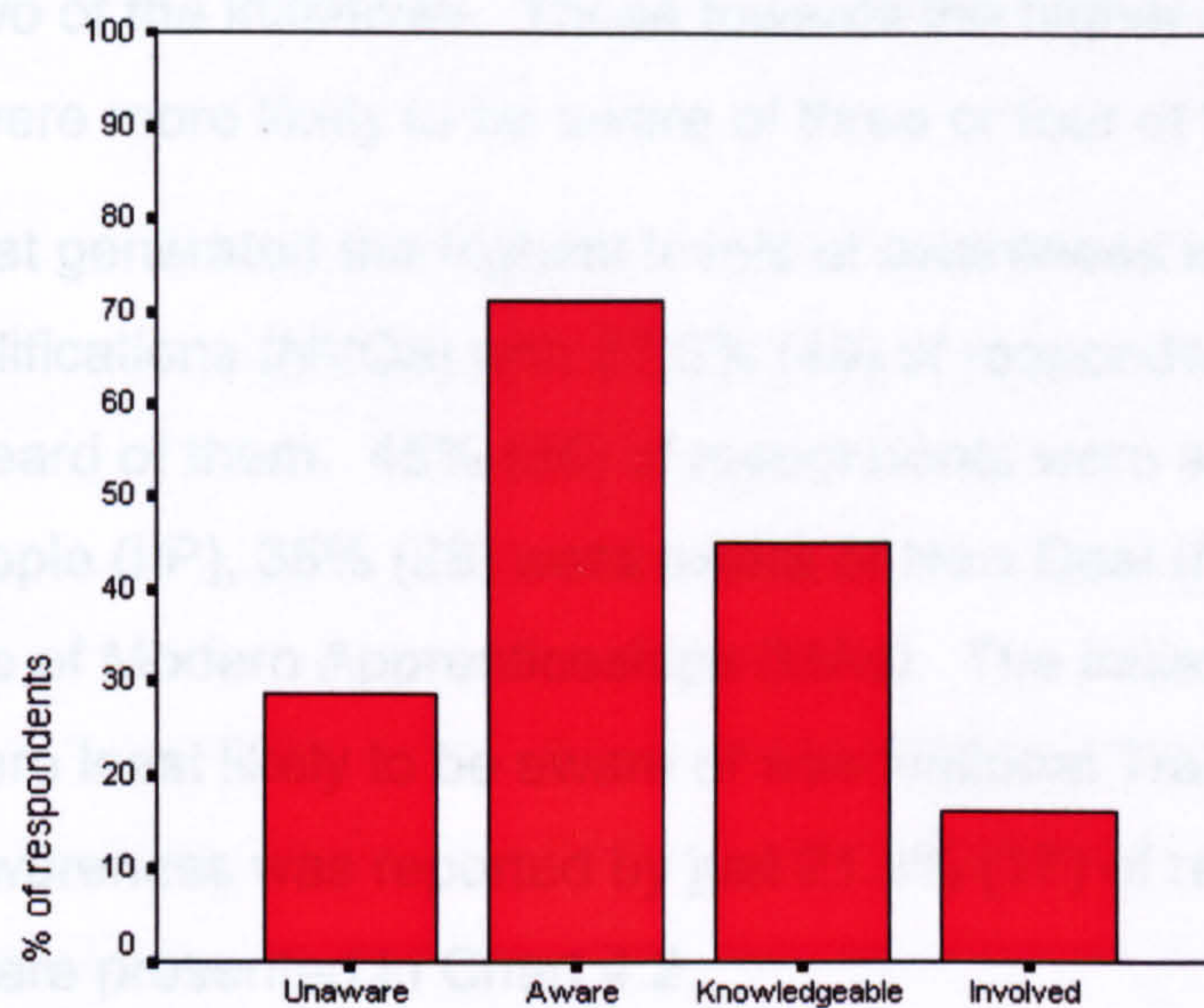


Chart 4.1: Percentage of respondents at each level of participation

There was no significant relationship between the highest stage of participation reached and type of restaurant when the Chi-Square test was applied, although there were some discernable differences between the three ethnic groups. Restaurateurs in 'other' restaurants had the highest rates of awareness and were most likely to be knowledgeable. Oriental restaurateurs had the next highest rates with Asian restaurateurs having the lowest rates of awareness and knowledge. However, when it came to involvement Asian restaurateurs were found to have the same rate of involvement as those in the control group ('other'), with Oriental restaurateurs having the lowest rate.

4.2.2 Awareness

In addition to the 28.8% (23) of respondents who were not aware of any of the initiatives, 17.5% (14) were aware of one, 17.5% (14) were aware of two, 15.0% (12) were aware of three, 17.5% (14) were aware of four and just 3.8% (3) were aware of all five. The relationship between stage of participation and the number of initiatives that respondents were aware of was not statistically significant when the Chi-Square test was again applied. However the pattern was for respondents towards the lower end of the participation scale (awareness or knowledge) to be more likely to be aware

of just one or two of the initiatives. Those towards the higher end (involvement) were more likely to be aware of three or four of the initiatives.

The initiative that generated the highest levels of awareness was National Vocational Qualifications (NVQs) with 57.5% (46) of respondents reporting that they had heard of them. 45% (36) of respondents were aware of Investors in People (IIP), 35% (28) were aware of New Deal (ND) and 28.8% (23) were aware of Modern Apprenticeships (MAs). The initiative respondents were least likely to be aware of was National Traineeships (NTs), where awareness was reported by just 21.3% (17) of respondents. These findings are presented in Chart 4.2.

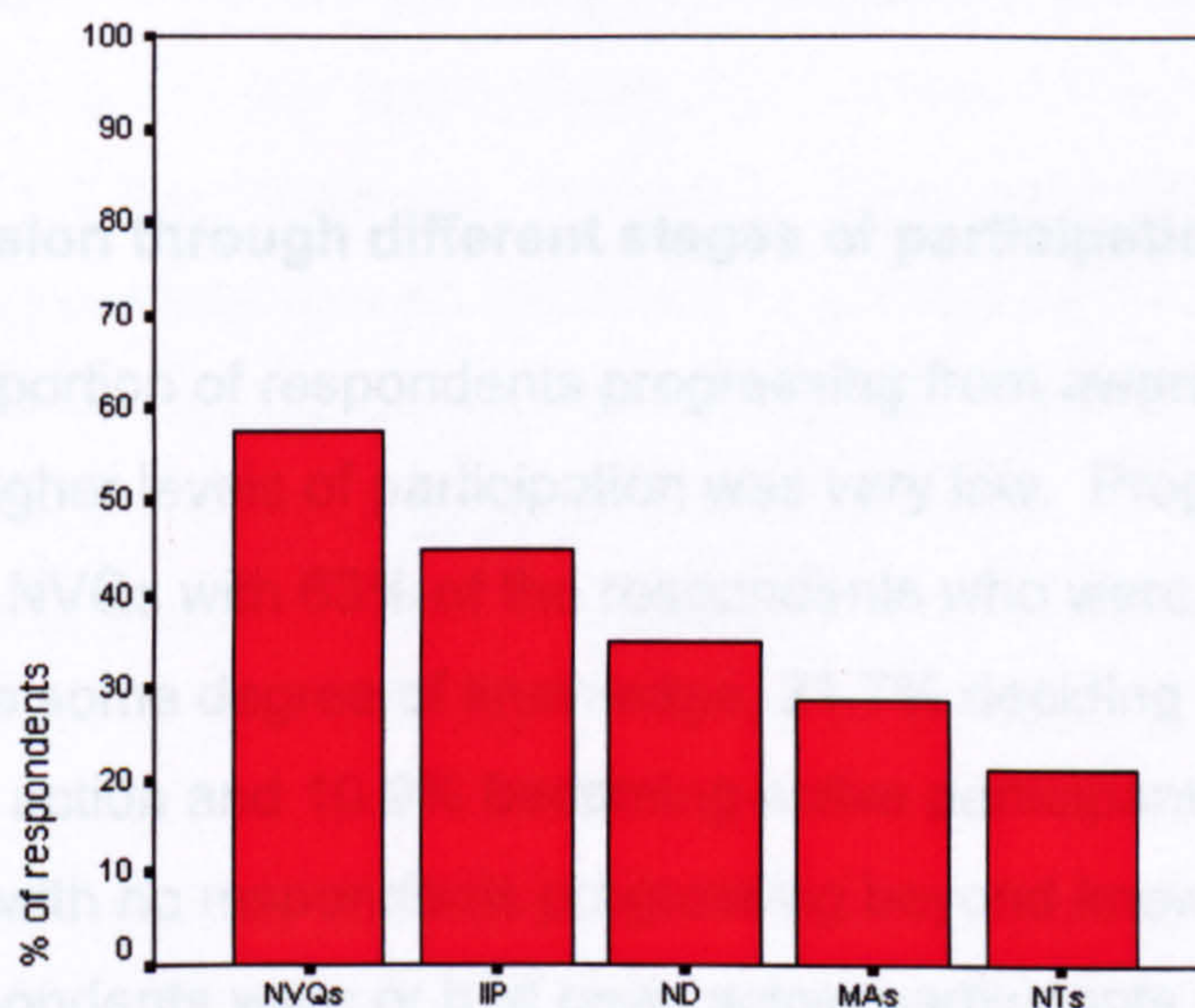


Chart 4.2: Percentage of respondents aware of each initiative

4.2.3 Knowledge

Respondents were asked to assess their own level of knowledge compared with other restaurant owners and managers for each initiative they were aware of, using a range of 'basic', 'average' and 'advanced'. They were then asked a series of questions to enable an objective assessment to be made of their actual knowledge level, described as either 'minimum', 'good' or 'very good'. The following table shows the difference between self-declared knowledge and measured knowledge for each of the initiatives.

Initiative	Self declared %			Measured %		
	Basic	Average	Advanced	Minimum	Good	Very Good
NVQs	53.6	39.3	7.1	41.4	44.8	13.8
NTs	80.0	20.0	0.0	20.0	20.0	60.0
MAs	72.7	27.3	0.0	9.1	27.3	63.6
IIP	68.8	25.0	6.3	12.5	18.8	68.8
ND	71.4	21.4	7.1	14.3	57.1	28.6

Table 4.01: Comparison of respondent's self-declared level of knowledge with measured knowledge levels (%)

These findings show that the restaurateurs consistently underestimated their level of knowledge. The tendency was for them to believe their knowledge of the initiatives was 'basic' or 'average' when for many it was actually 'very good'. The self-declared levels were closest to the measured levels for NVQs.

4.2.4 Progression through different stages of participation

Overall, the proportion of respondents progressing from awareness and knowledge to higher levels of participation was very low. Progression was most likely with NVQs with 63% of the respondents who were aware of them claiming to have some degree of knowledge, 21.7% deciding to get involved, 19.6% initiating action and 10.9% becoming active participants. It was least likely with MAs with no respondents progressing beyond knowledge. Just 6.3% of all respondents were or had been active participants with NVQs, compared with 2.5% with NTs, 1.3% with the ND and 0% with MAs and IIP. Table 4.02 displays the percentage of all respondents at each stage of participation for each of the five initiatives.

Stage of Participation	NVQs (%)	NTs (%)	MAs (%)	IIP (%)	ND (%)
Awareness	57.5	21.3	28.8	45.0	35.0
Knowledge	36.3	6.3	13.8	20.0	17.5
Decided	12.5	2.5	0.0	1.3	5.0
Initiated action	11.3	2.5	0.0	1.3	2.5
Active participant	6.3	2.5	0.0	0.0	1.3

Table 4.02: Percentage of all respondents at each stage of participation displayed by initiative

4.2.5 Participation scores

As described in Chapter Three a scoring system was devised to give an indication of breadth of participation across the five initiatives as well as depth of participation in any particular initiative. Points were awarded for each stage of participation achieved in each of the initiatives and a weighting system was introduced to ensure that low levels of participation across a number of initiatives did not result in a higher score than a high level of participation in one initiative. The maximum score per initiative was 54, based on having awareness (1 point), very good knowledge (8 points), having decided to become involved (10 points), initiated action (15 points) and having become an active participant (20 points). The maximum overall score was therefore 270 (for respondents who achieved the maximum score of 54 in each of the five initiatives). However, one of the consequences of the weighting system was that an individual's participation score did not always appear to directly equate with their qualitative participation stage. This was because there was a large difference between the score of someone who was involved in one initiative compared with someone who was involved in two or more initiatives. However, the weighting system served its purpose as it ensured respondents could be ranked in an order that appropriately reflected their breadth and depth of participation in the five initiatives.

The lowest participation score amongst the respondents involved in this study was 0 and the highest was 124. The mean score was 14.94 with a standard deviation of 25.28, which meant that 95% of respondents had a score between 0 and 40. The mean score of 15 could be achieved by being aware of two initiatives and having minimum knowledge of one of them and good knowledge of the other. A score of 40 equated to being aware of all five initiatives, with minimum knowledge of two of them, good knowledge of one and very good knowledge of the remaining two. It could also have been achieved by a restaurateur having initiated action with an initiative that they had good knowledge of, whilst also having minimum knowledge of a second initiative.

The characteristics of the participation score results varied between the different types of restaurant as shown in Table 4.03 below:

	Asian	Oriental	Other
Highest score	105	98	124
Lowest score	0	0	0
Mean score	12.85	13.44	18.65
Median score	3	4	6

Table 4.03: How participation scores varied by type of restaurant

No significant differences in mean participation score were found when the different types of restaurant were compared with one another in pairs in a Mann-Whitney test. However, these findings reproduce the pattern noted in section 4.2.1 above with respondents in 'other' restaurants having the highest levels of participation.

4.3 Participation narratives

This section presents the narratives that emerged during the qualitative interviews and which help to explain the above participation statistics. It also highlights themes that were common to restaurateurs who shared the same stage of participation, ran the same type of restaurant and had the same attitude to external organisations influencing the way they ran their business.

The narratives focus on why each restaurateur was participating to the extent that they were, the likelihood or otherwise of them increasing their level of participation in the future and their general attitudes towards interacting with external organisations. They are first grouped by stage of participation and then within these categories are grouped by type of restaurant. Themes that were found to be common to restaurants at the same stage of participation are described at the end of each category. A comparison of the common themes at different levels is then presented in a separate section, along with a summary of the themes common to each type of restaurant and common to restaurateurs with the same attitude to external organisations influencing the way the business is run.

In total 24 qualitative interviews were held, with respondents collectively covering each participation stage, each business type and a range of

geographical areas within London. Table 4.04 shows the number of interviews conducted at each level for each type of business.

Stage of Participation		Asian	Oriental	Other	TOTAL
Not aware		2	0	1	3
Awareness		1	2	1	4
Knowledge		2	4	4	10
Involved	Decided to get involved	0	0	1	1
	Initiated action	0	1	0	1
	Active participant	3	1	1	5
TOTAL		8	8	8	24

Table 4.04: Number of qualitative interviewees at each stage of participation displayed by restaurant type

4.3.1 Respondents who were unaware of the initiatives

Case 002: was a very small 'curry house', run by a Manager who was unaware of the initiatives covered by this study. The business was struggling financially and the owner was in the process of selling it, although it had been on the market for a number of months without generating any interest. The Manager explained that he and the Owner were concentrating all their efforts on survival, as they wanted to sell the business as a 'going concern' and believed they had to focus internally to prevent bankruptcy. They were not prepared to search for solutions externally because they believed it would take too much time and the benefits would not be immediate enough. The manager demonstrated quite a resistant attitude towards external organisations influencing the way that the business was run. He was particularly cautious about government initiatives because he believed they were designed for large businesses and did not think that the Government 'listens to or even likes' small businesses.

Case 014: was a classic 'Indian' restaurant run by a Manager who was unaware of all five initiatives. He attributed his lack of awareness to having never had any form of direct approach from a provider and also said he would have expected to see television advertising. The Manager said he would not seek out involvement because he did not believe that his employees needed to have many skills in order to be able to do their jobs

well. However, he said he might consider becoming involved in one of the training initiatives if approached because it would give his staff the opportunity to get qualifications, and said he would welcome being contacted by people promoting the initiatives.

Case 050: was a Turkish restaurant that provided 'cheap food for a small profit', run by a Manager who was unaware of the five initiatives. However the Manager said he and the Owner may be interested in becoming involved because they were planning to make the restaurant more upmarket in an attempt to increase profit levels. He suggested that they would be particularly interested in external assistance with this as 'the Owner doesn't really know how to go about (it)', and explained that they were reluctant to make such a fundamental change due to the high level of risk. He was interested in training initiatives because he said they would need to train their staff as part of any transition to becoming more upmarket and believed his staff would 'appreciate the opportunity to get qualifications'. He also believed that they would 'need help from professional trainers' and said he would welcome being approached.

Common themes

All three restaurants were located in residential suburbs in relatively deprived areas of London. They were all small single establishments run by managers and the owners had no plans to open further restaurants. They had either no contact with other restaurant owners and managers or only very informal social contact. Their employees had been recruited from within the same ethnic community as the Owner or Manager and were usually introduced through existing staff or mutual acquaintances. They all provided minimal levels of training and employed staff with low levels of English language ability. Two of the three restaurateurs said they would welcome being approached about the initiatives, but the third said he would not be interested. The restaurateurs at this stage attributed their lack of awareness to never having been directly approached and not having seen advertising for the initiatives.

4.3.2 Respondents who were aware but had not participated further

Case 067: this Oriental restaurant provided quick service food in a café style environment and was run by a second-generation Chinese woman. She was aware of NVQs, but did not think she had any knowledge of them, and was unaware of the other initiatives, giving her a participation score of one. She had heard of NVQs initially from a friend and later from having employed someone with an NVQ Level Two in Food Preparation and Cooking. Despite these two routes to awareness she believed she did not have any knowledge of the initiative, although she had made a judgement that it would not be of any benefit to her business. This was particularly based on the fact that she said the person she had employed 'couldn't cook'. She was aware that there was a training programme for Chinese chefs at her local college, but was reluctant to become involved because she was concerned that the standard of Chinese cooking in a Western college 'would not be high'. In addition she had been disappointed that when she had once contacted the college to enquire about training courses her call had not been returned. She was generally however quite prepared to utilise mainstream business support services, demonstrated by having been involved with a loan scheme run by the Department for Trade and Industry (DTI), having sought advice from the DTI and ACCAS about employment matters and having recruited some staff from the Employment Service.

Case 079: the restaurateur in this case was a first generation Chinese man who owned a chain of five fine-dining Chinese restaurants in central and South-West London and the Home Counties. He claimed to be aware of NVQs, NTs, IIP and the ND and therefore had a participation score of four. He had heard of most of the initiatives through contact with other employers but had recently become aware of NVQs through having become a Director of a Chinese institute. The Institute had been established in London to promote Chinese culture including Chinese cookery. To make this economically viable they planned to provide training programmes for employees in Chinese restaurants as well as programmes for 'leisure students'. They wanted to attract Government funding and had discovered

that the main way of doing this would be to become an approved centre offering NVQs. If this happened the owner planned to introduce NVQs for some of his staff because he wanted to support the Institute.

Case 017: was part of a family-owned chain of eight restaurants that were all situated within one area of London. The interviewee was the Restaurant Manager and also the Owner's son and he was aware of MAs, IIP and the ND through having seen advertisements on television, but had not heard of the other initiatives. He had also heard of courses that taught people to cook in Asian restaurants but said he and his father 'would rather teach (their) staff themselves' because when they recruited Chefs they needed to train them immediately and wanted them to prepare dishes in a particular house style. He associated training courses with 'standardisation'; people being taught to prepare a range of dishes with written recipes and he was concerned that this would differ from the way he would want them to be made. Despite this he supported the concept of Government training initiatives and said he 'would like to get involved but had not got the time'. However he also said that he thought they 'would have to go down this route in the long run'. He explained that the restaurants where he and his father spent most of their time were the most successful and the ones run by managers who were not members of the family were least successful. He had ambitions to expand the business further and to open more restaurants, but his father was not enthusiastic. The interviewee believed that he would become involved in training initiatives if they decided to expand. This was partly because it would be necessary for his own development, especially if his father was not very involved with the new restaurant(s), and partly because the larger the number of restaurants they owned, the more he thought 'standardisation' across the group would be beneficial. He thought that would prompt him to become involved as the initiatives would 'provide a structure' to help them train their staff.

Case 046: was one of two Spanish restaurants owned by the interviewee and his stepson. The interviewee had heard of all of the initiatives through newspaper articles and advertisements, and therefore had a participation

score of five. The restaurant had been open for eight months, but within that time had lost eleven members of staff. Consequently, the main reason he gave for not being involved in any of the training initiatives was that he did not have members of staff who were committed to him or to working in the industry as a career. The Owner believed that his situation would be helped if colleges had strong long-term links with employers in their area. He described how he 'would be willing to give £500 a quarter to a local college to help fund this if it resulted in having trainees who would stay for a while'. This willingness to work in partnership with a local college did not however extend to him having a positive attitude towards involvement in Government initiatives. He explained that he had 'no faith in Government schemes as there have been too many white elephants' although he would consider involvement in initiatives delivered by people who 'have run restaurants themselves and have been there, done that and got the T-shirt'.

Common themes

These four restaurateurs were therefore aware of one or more of the initiatives, but had not become knowledgeable about them and were not involved in any way. Two had become aware of the initiatives through the media and the other two through personal contacts. All four restaurants were family owned. The Oriental restaurants were both located in Central London and the Asian and 'other' restaurants were in relatively affluent suburban areas. The Asian and Oriental restaurants were all established businesses, whilst the 'other' restaurant had been operating for less than a year, although the Owner had another restaurant that was an established business. Three of the four interviewees owned multiple restaurants whilst the fourth operated a single outlet with expansion plans. There were no common reasons given for not being involved in the initiatives, with the reasons given including being concerned about standards and levels of service from providers, having transient staff and not having faith in Government schemes. However, three of the four indicated that they might become involved in the initiatives in the future.

4.3.3 Respondents who were knowledgeable but had not participated further

Case 033: this newly established Asian restaurant was a small family owned business employing just four members of staff. The Owner had minimum knowledge of NVQs and was aware of IIP and therefore had a participation score of eight. He had heard of the two initiatives through contact with a local college. There was evidence that he had accessed external business support as he described how a Business Enterprise service had helped with business planning and accessing local grants. Despite having some knowledge of NVQs he was not planning to become involved, as he believed that as a small business 'Government schemes don't apply to us', although he said he would like them to apply as he had experienced some difficulties recruiting staff. He supported the existence of Government schemes as he believed that individuals and businesses 'should have the opportunity to do training', but he stated that it should not be mandatory for small businesses to participate in Government training initiatives.

Case 018: a Manager who had good knowledge of both IIP and the ND and an awareness of NVQs ran this Asian restaurant. This gave him a participation score of 17. He was uncertain how he had first become aware of these initiatives, but said he had heard of one of the specialist ethnic catering schools that had recently been established in London through having seen advertisements in the local press. He indicated that he would welcome an approach from the school as he would consider becoming involved in some of the training programmes they offered. However, he added that he 'was not interested enough to contact them'. The Manager said that he would like to do a qualification himself and thought that some of his employees would also be interested, but said it was not something they had ever requested. He appeared to view participation in external training and courses leading to qualifications as activities that were 'nice extras' that would benefit the individual rather than being of benefit to the business. He expressed the view that 'people don't need to go on training courses outside

the business, because we can teach them what they need to know to do the job'.

Case 005: this Oriental restaurant was part of a chain of nine restaurants which belonged to an expanding restaurant group that also included mainstream restaurants operating under different brands. A New Zealander managed the restaurant and had very good knowledge of MAs and good knowledge of the ND, obtained through the media, which gave her a participation score of 17. She described how all the training programmes provided for the employees in her restaurant were organised by a Training Manager who worked at Head Office. The Restaurant Manager expressed her personal opinion that it would be beneficial to link the company's training programmes to a recognised Government qualification, like MAs, as this would help individual members of staff and would be 'good exposure' for the company. She believed that they would only be suitable within their established restaurants and for a small number of employees who had shown commitment to the company. The Manager believed Head Office had considered becoming involved in the ND, but had been concerned that the people they may attract would be 'too young' and would not be prepared to work the long hours required. Overall the Manager viewed both MAs and the ND positively and indicated that if approached she would be interested in becoming involved. However, she also emphasized the fact that she would only be able to recommend involvement and could not make a decision to participate without Head Office approval.

Case 061: this was an independent restaurant, run by a Western manager, that offered modern Oriental food in a bar setting. He had good knowledge of NVQs and was also aware of MAs, IIP and the ND, giving him a participation score of 11. He said he had obtained this knowledge and awareness from an ex-girlfriend who worked in personnel. However, whilst he thought the initiatives had 'worth for individuals' and 'would benefit chain restaurants and corporate companies', he did not think they were of value within his restaurant. He said he thought 'any individual or organisation would benefit from training', but that 'qualifications were not really relevant'.

He also described his staff as being 'too transitional' to benefit from vocational qualifications as most were working there as a temporary job whilst studying for another career or travelling. There was evidence that the Manager had used external organisations to help with staff training but he did not appear to have utilised any other form of external business support.

Case 001: was a small 'traditional' Chinese restaurant in an affluent Central London borough managed by a Chinese woman who had good knowledge of NVQs, was aware of IIP and had a participation score of nine. She had become knowledgeable about the initiatives whilst at college as a student. Her father started the business originally as a take-away, but he then decided to change it into a restaurant after two years of trading. However she said this change led to them losing their existing customers, coincided with a recession and led to ten years of financial instability. She explained that the business was still not stable and that she would be reluctant to make significant changes. Specifically in relation to training initiatives she said she did not think that it was necessary for people to study or do qualifications in order to work in a restaurant; 'Waitresses just pick things up because it is common sense and chefs usually come experienced already'. However, the main reason she gave for not wanting to becoming involved in any Government initiatives was a lack of time. She explained that she already worked six days a week and had two hours free time each working day between lunchtime and evening opening and 'besides that it is just sleeping and working and I don't think I would have the energy'.

Case 043: this small traditional Chinese restaurant on the outskirts of Soho was run by a Chinese woman with good knowledge of NVQs and the ND and very good knowledge of IIP, giving her a participation score of 25. She had become aware of IIP and the ND through seeing posters and had seen a newspaper advertisement for NVQs when they were first launched. She had subsequently become an NVQ student in a college in a subject unrelated to the restaurant industry, but had been unable to complete her course as it required her to be assessed within a workplace and she had not been able to find suitable employment. Despite this she was very positive about the

initiatives, but believed that the restaurant's Owner 'would only get involved if it was compulsory'. The interviewee was certain that the Owner would think that participation was a 'waste of time' to the extent that she had not told her that she was participating in the research and at her request the interviews were not conducted at the restaurant. The interviewee believed the Owner would not consider involvement because she only recruited people with experience and trained them herself if she thought they need it. She also described restaurant jobs as being 'simple really' and said that because small restaurants did not have 'career ladders' for their staff, qualifications were unnecessary.

Case 066: this restaurant offered South-American food and was managed by a man with minimum knowledge of NVQs and very good knowledge of IIP. He therefore had a participation score of 16. He had first heard of NVQs whilst working at another restaurant and had first heard of IIP through the Department for Trade and Industry (DTI). He was certain that he would never become involved in a Government initiative stating that he 'like(d) to work independently'. He also stated that he did not believe that NVQs were suitable for restaurants as he believed candidates attending college would be taught to do things in a particular way that may contradict practices within the restaurant where they worked. He was not a member of any external bodies and there was no evidence that he had any interaction with external business support agencies.

Case 003: this was a French restaurant with a French Owner who had obtained his knowledge of the initiatives through previous employment with a large prestigious hotel group and through active membership of the then Academie Culinaire de France and the Restaurant Association (RA). His participation score was 23 as he had minimum knowledge of NVQs and good knowledge of MAs and IIP. The Owner said that he would consider participating in the initiatives if it would help an individual; 'I am happy to take someone on without experience and teach them as long as they are committed, hard working and keen to learn'. He said he would support an employee attending college on a day release basis and 'would not be averse

to getting involved if the schemes were simple and met the team's requirements'. However, he had never been approached to become involved in the initiatives and had not sought out involvement because he was generally opposed to using external trainers to teach his existing staff. He believed someone 'from outside' would not be able to teach them to meet the needs of his particular customers. He explained that he wanted to develop a personal reputation for being a good employer and did not want to get involved with initiatives in order to 'get a badge'. This particularly applied to IIP, which he had experienced in his previous employment. In relation to NVQs he said he would not introduce them to his existing staff because he thought they were too broad as 'you can do one and work in a hospital or a factory restaurant...there should be a specific qualification for fine dining that is distinct from this'.

Case 006: the Owner of this British restaurant had a participation score of 7 as he had minimum knowledge of IIP but had not heard of the other initiatives. He was not sure where he had first heard of the initiative. There was evidence that in the past he had welcomed external organisations influencing the way he ran the business as he had participated in a number of schemes run by his local Business Link. However he described each experience as being 'short-lived' and said the benefits had not been tangible enough and had been outweighed by the costs. He explained that this was partly due to his employees being 'too transient'. The Owner described himself as being 'disillusioned' due to the impact of Government regulations such as the Working Time Directive and the Minimum Wage and was planning to retire as soon as he could find a manager to run the business for him.

Case 056: this was an American-style pizza restaurant owned by two people who had previously run a franchise for a large pizza restaurant chain. The interviewee had become aware of all the initiatives through his membership of the Restaurant Association and by reading trade magazines. He had good knowledge of NVQs and very good knowledge of MAs, IIP and the ND and had a participation score of 35. Time was the main reason he gave for

why they had not become involved with any of the initiatives. He explained that the restaurant had taken longer to establish than they had expected and that 'until now' they would not have felt able to devote time to anything that 'was not essential to the business'. However now the restaurant was more financially stable they had become involved in a work experience scheme run by the local council. He described his motivation for this as being the fact his children had been on work experience with other local employers and he wanted to 'give something back'. The Owner believed that he might now become involved in a government training or recruitment initiative if he was approached, but that direct personal contact would be needed, as he did not think involvement would be beneficial enough to prompt him to respond to advertising.

Common themes

These ten restaurateurs were therefore knowledgeable about one or more of the initiatives but had not progressed to becoming involved. Two ran Asian restaurants and four Oriental restaurants whilst the four 'other' restaurants were South American, French, modern British and an American-style pizza restaurant. They were all single outlets with the exception of one Oriental restaurant that was part of a chain. One of the Asian restaurants had been operating for less than a year whilst the other nine restaurants were stable established businesses. Four of the interviewees said they recruited staff from within their ethnic community. Three of the ten restaurants were located in Central London, four in suburban residential areas and three in suburban business areas. Four of the restaurateurs had obtained their knowledge of the initiatives from the media, four from organisations and the remaining two from personal contacts. There were no common reasons for not being involved. The reasons suggested included a belief that the initiatives were not necessary in small firms, staff being too transient, time, the benefits being outweighed by the costs and liking to work independently. Four of the ten said they would be interested in becoming involved in the initiatives in the future to help their staff get qualifications or to help a particular individual who applied to work for them.

4.3.4 Respondents who had become involved

Case 004: this was a fine-dining Asian restaurant that was part of a chain of three run by the same family. When first asked to identify which of the initiatives he was aware of, the Manager claimed not to be aware of any. However, it became apparent during the interview that a local college was training and assessing his staff as part of a Government-funded scheme and further investigation revealed that a number of employees were enrolled on NVQ programmes. His participation score was therefore 20. The Manager described how he had been approached by the college about staff training and assessment and stated that he had become involved to improve his employees' levels of English. He said the college made it 'all very easy' as they came into the restaurant once a week to 'train, observe and assess'.

Case 028: this Asian restaurant was a small family business owned and operated by the interviewee and his parents. He was an active member of the Bangladeshi Caterers Association (BCA) and had enrolled on a Level 4 NVQ in Hospitality Management when the Association promoted the initiative. As well as having been an active participant with NVQs, he had good knowledge of MAs and the ND and very good knowledge of IIP and therefore had a participation score of 79. The Owner explained that he had first heard of the initiatives through newspaper advertisements, but then became involved with NVQs as a political move to help the BCA, who were campaigning to get Government assistance to address the skills and labour shortages being experienced by the sector. The Government had encouraged them to become involved in NVQs as a way of increasing the skill levels of existing employees. However, the Owner was no longer involved at the time of the interview as he had been unimpressed by the NVQ scheme. He had not completed his qualification and stated that he had no intention of introducing NVQs for his staff for a number of reasons. Firstly he had a degree in business studies and had found the Level 4 course 'too simple to be taken seriously'. He also believed that there was no real need for his restaurant to be involved as, unlike many other restaurants, they did not have recruitment difficulties and he had no concerns about the skill levels

of the people he employed. Finally he also thought that restaurant staff did not need to be trained formally and that 'sitting down in a classroom would be a waste of time'. He explained that in his view the qualifications were more suitable for training people before they began to work in the industry and for chain restaurants that required more control and standardisation. He also expressed the view that qualification initiatives should be promoted to individual employees rather than employers as he believed they would be more likely to see benefits. In relation to recruitment initiatives the reasons the owner gave for not becoming involved were that he solely recruited people from the Bengali community and that he placed great value on personal introductions.

Case 032: this was one of four Asian restaurants owned by the same individual. He reported that he had become aware of NVQs and NTs and had gained some basic knowledge of them through a colleague. He had then become an active participant with NVQs through his membership of the Bangladeshi Caterers Association (BCA) which gave him an overall participation score of 59. He had first become involved when the BCA arranged for their members to do food hygiene training. He explained that the success of this training then led to the Association arranging an NVQ programme with a training provider. In contrast with the other restaurateur involved with the same BCA scheme, the owner said that both he and his staff had enjoyed doing the courses and would participate again if the opportunity were offered. He said he would be particularly interested if it enabled him to learn more about the legislation that affects restaurants. However, he had found the cost of the scheme prohibitive at around £65 per person and said that this would affect whether or not he could become involved in future. The Owner also indicated that he welcomed external assistance with recruitment as he had utilised the Employment Service (ES).

Case 045: this Thai restaurant was one of a chain that belonged to a larger restaurant group. The Manager was an active participant with NVQs, but was not aware of any of the other initiatives and his participation score was therefore 54. He had first heard of NVQs from his General Manager when

Directors at Head Office decided to become involved with one of the specialist ethnic catering schools established in London. Head Office had suggested that his restaurant should be amongst the first in the group taking part in the initiative, which was welcomed by both the Manager and his staff. He had initially attended the programme before being followed by five other employees who he described as 'senior full-time staff' who had been chosen because they 'have the experience to come back and apply what they have learnt'. They attended a training centre on a 'day release' basis, one day per week for fifteen weeks. The Manager said he and his staff were happy to be involved because they were developing knowledge, learning new things and getting a qualification whilst the company paid for the training and paid them to attend the training courses.

Case 076: this Thai restaurant was a single outlet owned and run by a Western man (the interviewee) and his Thai wife. He had minimum knowledge of NVQs, good knowledge of the ND and had taken action, although never actively participated with IIP, giving him a participation score of 49. He was uncertain where he had first heard of NVQs or IIP, describing them as 'part of the fabric of society', however he was able to say he had first heard of the ND through television news. He said he had become involved with IIP because he liked to try new initiatives to see if they help the business, but was no longer involved because it had not been sufficiently relevant to justify the cost. In particular his 'customers did not value it' so there were 'no financial benefits'. In addition he said he had received 'too much information at once; six-inch manuals and forms to complete'. He had also become disillusioned with a system that he saw as 'providing profit for consultancy companies' and was cautious about investing in training for 'transient staff'. This was the main reason that he gave for not wanting to become involved with NVQs, although he believed they were useful for people first entering the industry. The owner described how he thought many restaurateurs were looking for 'somewhere to turn to for sound impartial advice' but that they associated Government agencies with regulation which 'frightens them off'. In terms of recruitment he had used the

Employment Service (ES) in the past, but had not been happy with the 'quality of the people' they had sent for interview.

Case 068: this was a pizza restaurant located within an Arts Centre but also with direct street access. The owner had decided to become involved in the ND but had not taken any action. He was also aware of MAs, had good knowledge of NVQs and very good knowledge of IIP which gave him an overall participation score of 36. He had first heard of these initiatives in a previous job and through the media. The owner described how he welcomed external help and advice but was constrained from becoming involved in many initiatives by time and cost. He said he could see the benefits of training initiatives, but had very little money and would be unable to pay staff if they attended external training sessions. He had previously been involved with Youth Traineeships and a scheme run by The Environment Trust to improve the design of the restaurant's entrance and to give advice on maintenance and renovation. In both cases he had become involved following a direct personal approach. He was most complimentary of the design and renovation project as he said it provided practical help and he was supported throughout the whole project. The experience with Youth Traineeships had been less positive as he felt there was a lot of paperwork, delays in meeting the individual involved and confusion over pay. The owner had since made a decision to employ someone under the New Deal but had not yet initiated any action as he was still researching what was involved.

Case 069: a husband and wife team ran this modern bistro-style restaurant. They had been active participants with NVQs but were not aware of any of the other initiatives and had a participation score of 53. The wife had herself completed Level 1, 2 and 3 NVQs in Food Preparation and Cooking at their local college over a five year period. She had approached the college to enquire about the courses they provided because she wanted to 'fill in time' and began with the Level 1 qualification because it was relatively short. However she had then continued through the levels because she had enjoyed the courses, liked the structured approach that NVQs provided and found she was learning things that helped the business. The husband said

they would happily support a member of staff doing an NVQ at college on day release if they found someone who would be interested, but that most of their staff were working with them as a 'stop-gap' before continuing with their education. He believed these employees would not be interested in obtaining a qualification. In relation to other initiatives, he said he would welcome becoming involved in initiatives that were 'small scale and practical', and highlighted introducing Information Technology, developing a marketing plan or developing new menus as the areas that would interest him most.

Common themes

Seven of the twenty-four restaurateurs interviewed had therefore been involved with one or more of the initiatives. Of these one had made a decision to become involved but then had not taken any action, one had initiated action and five had been actively involved. Three of the restaurateurs had become involved through membership of a restaurant group or association, two had responded to being directly approached by a provider and two had contacted providers themselves. Three of the restaurants were Asian, two were Oriental and the remaining two were a pizza restaurant attached to an Arts Centre and a modern British restaurant. Both of the Oriental restaurants offered Thai food, although beyond this they shared few characteristics as one belonged to an Oriental corporate chain whilst the other was independently owned and run by a Western man and his Thai wife. Five of the restaurants were single operations whilst the remaining two belonged to restaurant chains. They were very evenly split between those with expansion plans and those who planned to remain as single restaurants. Three were located in Central London, three in relatively expensive residential areas and one in a deprived suburban area. Six of the restaurants were stable businesses, whilst the restaurant located in the poorer area was struggling to make a profit. Four of the restaurants employed staff with low levels of English.

There were no common reasons given by the restaurateurs in this category for being involved in the initiatives. Three had become involved following a

direct approach from a provider, two following an approach from a Restaurant Association whilst the remaining two had approached providers themselves. The positive reasons given for continued involvement in the initiatives included being happy with the training staff had received from providers, feeling that providers had made it easy for the restaurant owner/manager to continue and having more staff who wanted to get qualifications. The reasons given for not continuing with the initiatives included deciding the initiatives were not necessary for the business, cost, bureaucracy, coming to the end of a short-term scheme, having transient staff and being dissatisfied with the initiative and/or the service received from providers. One Asian restaurant and one Oriental restaurant were still involved with the initiatives at the time of the interview, whilst the other five restaurants in this category were no longer involved. Three of the five said they would be happy to be approached about future involvement but the other two said they would not be interested.

4.3.5 Attitude to external influence

It became apparent whilst reviewing the narratives that those restaurateurs who were involved in the initiatives had different attitudes to the influence external organisations might have over their business from restaurateurs who were not involved. Four different attitude 'types' were identified, namely:

1. Those who were *resistant* to external organisations
2. Those who were *oblivious* of the existence of external organisations
3. Those who took a *considered* approach when deciding whether they would be influenced by external organisations
4. Those who had an *embracing* attitude and welcomed external influence

Each restaurateur was assigned to a category based on their responses when asked about external influences during the qualitative interviews. This was then compared with their stage of participation and restaurant type.

	Resistant	Oblivious	Considered	Embracing
Stage of participation				
Unaware	1	2	0	0
Aware	0	0	4	0
Knowledge	3	0	7	0
Involved	0	0	2	5
Type of restaurant				
Asian	1	1	4	2
Oriental	2	0	4	2
'Other'	1	1	3	3

Table 4.05: Comparison of stage of participation and type of restaurant by attitude to external influence

Whilst there were no particular patterns with type of restaurant, there were with stage of participation. Restaurateurs with a *resistant* attitude were not involved, those who were *oblivious* were unaware and those who had an *embracing* attitude were involved. Restaurateurs who took a *considered* approach to external influence were most widely spread across the different stages of participation.

4.3.6 Comparison of common characteristics and themes

This section summarises the characteristics and themes that were common by attitude to external influence, stage of participation and type of restaurant.

Restaurateurs with the same attitude to external influence ran businesses that had some shared characteristics:

Resistant	Oblivious	Considered	Embracing
Co-ethnic labour	Co-ethnic labour	Co-ethnic labour and cosmopolitan labour	Co-ethnic labour
Single outlets	Single outlets	Mixture of single outlets and chains	Mixture of single outlets and chains
No expansion plans	No expansion plans	Some had expansion plans	Mixture of expansion plans

Table 4.06: Shared characteristics by attitude to external influence

Business profile: Businesses run by restaurateurs at a particular stage of participation shared some common characteristics:

Unaware	Aware	Knowledge	Involvement
Employed co-ethnic labour with low levels of English	Established family-owned businesses	Nine of the ten were established businesses	Six of the seven were financially stable
Small single establishments run by managers with no expansion plans	Chain businesses or businesses with expansion plans	Nine of the ten were single outlets	Five of the seven were single outlets but varied in plans for expansion
Located in residential suburbs in relatively deprived areas	Located in Central London or relatively affluent suburbs	Located in Central London or in suburbs that are not particularly deprived	Located in Central London or suburbs that are not particularly deprived except one pizza restaurant was in a relatively poor area
No contact or only informal contact with other restaurant owners			

Table 4.07: Shared characteristics by stage of participation

Restaurants of the same type shared fewer characteristics, partly because selecting a broad range of interviewees was an explicit aim when determining who would be invited to participate in the qualitative stage of the fieldwork.

Asian	Oriental	Other
Employed co-ethnic labour	3/8 had some western ownership	No expansion plans
	All located in Central London or affluent suburbs	

Table 4.08: Shared characteristics by type of restaurant

Common themes: The reasons given by restaurateurs for being involved or not involved were quite wide-ranging, and no common themes by stage of participation were found. However, Table 4.09 shows that some similarities were found for restaurants of the same type:

Asian	Oriental	Other
Many of the restaurateurs who had become involved <i>had been approached by a provider</i>	Many of the restaurateurs who had become involved <i>had been approached by a provider</i>	Many of the restaurateurs who had become involved <i>had been approached by a provider</i>
<i>Special provision</i> had led to involvement	Owner / Head Office support influenced decisions	Some opposition to Government schemes
Some of those who were not involved attributed this to <i>never having been approached by a provider</i>	Some of those who were not involved attributed this to <i>never having been approached by a provider</i>	Some of those who were not involved attributed this to <i>never having been approached by a provider</i>
Some said they were not involved because the initiatives were <i>not necessary</i> for the business	Some said they were not involved because the initiatives were <i>not necessary</i> for the business	Some said they were not involved because the initiatives were <i>not relevant / suitable</i> (either in content or due to transient staff)

Table 4.09: Common themes by type of restaurant

There were also some common themes for restaurateurs with the same attitude to external influence:

Resistant	Oblivious	Considered	Embracing
Not involved because they consider the initiatives to be <i>not needed, irrelevant or unsuitable</i>	Not involved because have <i>never been approached by a provider</i>	Some of those who were not involved attributed this to <i>never having been approached by a provider</i> Others cited <i>previous bad experiences, time</i> or gave specific examples of why the <i>initiatives or the delivery system was unsuitable</i>	All could identify a reason that had <i>motivated</i> them to become involved

Table 4.10: Common themes by attitude to external influence

Likelihood of future involvement: it appeared that restaurateurs with low levels of participation were generally interested in being involved in the initiatives in the future. Those who were knowledgeable of them or had been involved in the past were more evenly divided. This is shown in Table 4.10 below:

Future Involvement	Unaware	Aware	Knowledge	Involvement
Not interested / not likely	1	1	6	2
Open to approach	2	3	4	3
Continuing involvement	n/a	n/a	n/a	2

Table 4.11: Likelihood of future involvement in business support initiatives by stage of participation

The Oriental restaurateurs interviewed were least likely to be interested in future involvement in the initiatives whilst those in 'other' restaurants were most likely to be:

Future Involvement	Asian	Oriental	Other
Not interested / not likely	3	5	2
Open to approach	4	2	6
Continuing involvement	1	1	0

Table 4.12: Likelihood of future involvement in business support initiatives by type of restaurant

Restaurateurs who were *resistant* to external influence were not interested in future involvement in the initiatives. Those who were *oblivious* or *embracing* were interested, whilst those who had a *considered* approach were evenly divided.

Future Involvement	Resistant	Oblivious	Considered	Embracing
Not interested / not likely	4	0	6	0
Open to approach	0	2	7	3
Continuing involvement	0	0	0	2

Table 4.13: Likelihood of future involvement in business support initiatives by attitude to external influence

4.4 Conclusion

This chapter has presented the quantitative findings that were used to identify the extent to which respondents were participating in the five initiatives covered by the study. It has also presented findings that develop an explanation for these levels of participation by examining the narratives that emerged from the twenty-four qualitative interviews with restaurateurs. The narratives have described the restaurateur's participation experiences, have given their reasons why they had or had not become involved and have indicated their attitude towards future involvement. Common characteristics and themes have been presented by level of participation, type of restaurant and attitude to external influence.

The following three chapters present the quantitative and qualitative findings that helped to identify the specific factors that affected participation. Chapter Eight then summarises and discusses the collective findings, including those presented in this chapter.

5 Variables Relating to the Decision-Maker: Findings Part Two

5.1 Introduction

As described in Chapter Two, 46 variables were identified from the wider literature as potentially affecting participation. A further 11 variables emerged through discussion with HtF, from biographical data collected to help describe levels of participation by different groups of respondents and from the qualitative interviews (see section 4.6, Chapter Four). This brought the number of variables being considered within the study to 57. However, in some cases one variable label had originally been used in relation to both the owner-manager and his/her staff (e.g. age, education level and language ability), although the measures used to assess these variable had differentiated. In each case either two or three new variables were created in place of the original one so their relationship with participation could be assessed separately. This increased the total number of variables considered to 63.

During the initial literature review the variables were categorised and structured according to whether they were *internal* to the business, related to the formal *external* environment or involved the provision of *support* for participation. However after analysing the results more specific and meaningful categories were selected.

The six new categories were:

1. Decision-maker's profile
2. Decision-maker's attitudes / opinions / behaviour
3. Business profile
4. Staff profile / attitudes
5. Social networks
6. Wider environment

Each variable was assigned to one of these categories, although the original variable codes were maintained for consistency.

The following three chapters weigh up the evidence on the relationship between each of these variables and levels of participation. To ensure all

relevant evidence is provided for each variable the quantitative and qualitative findings from interviews with restaurateurs and the qualitative findings from the interviews with providers are presented together, although the different perspectives that each type of data contributes is made clear. The quantitative findings are used to develop a profile of respondents in respect to each variable and statistically significant relationships with participation levels are then highlighted alongside any differences between the three types of restaurant. Qualitative comments made by restaurateurs or providers that are pertinent to an evaluation of each variable are presented alongside the statistical findings. At the end of each section the nature and extent of the relationships found for each variable in that category are summarised in tabular form.

The findings in this chapter relate to the variables that are within the first two categories, namely:

1. Decision-maker's profile
2. Decision-maker's attitudes / opinions / behaviour

5.2 Variables relating to the decision-maker's profile

The findings in this section relate to the decision-makers':

1. Age (I15a)
2. Gender (I23)
3. Education level (I19a)
4. English language ability (I1ai)
5. First language (I1aii)
6. Length of time in the UK / Generation (I10)
7. Motive for migration (I6)
8. Country of Birth / Nationality / Ethnic group (I9)
9. Social class (I16)
10. Skills required for participation (I18)
11. Career history (I31)

5.2.1 Age (I15a)

5.1% (4) of the restaurants were owned or managed by people aged 20-24, 45.6% (36) aged 25-39, 41.8% (33) aged 40-59 and 7.6% (6) were aged 60 or over. To avoid a low cell count the responses were recoded to give two values, those aged below 40 and those 40 and over, containing roughly equal numbers of respondents.

5.2.2 Gender (123)

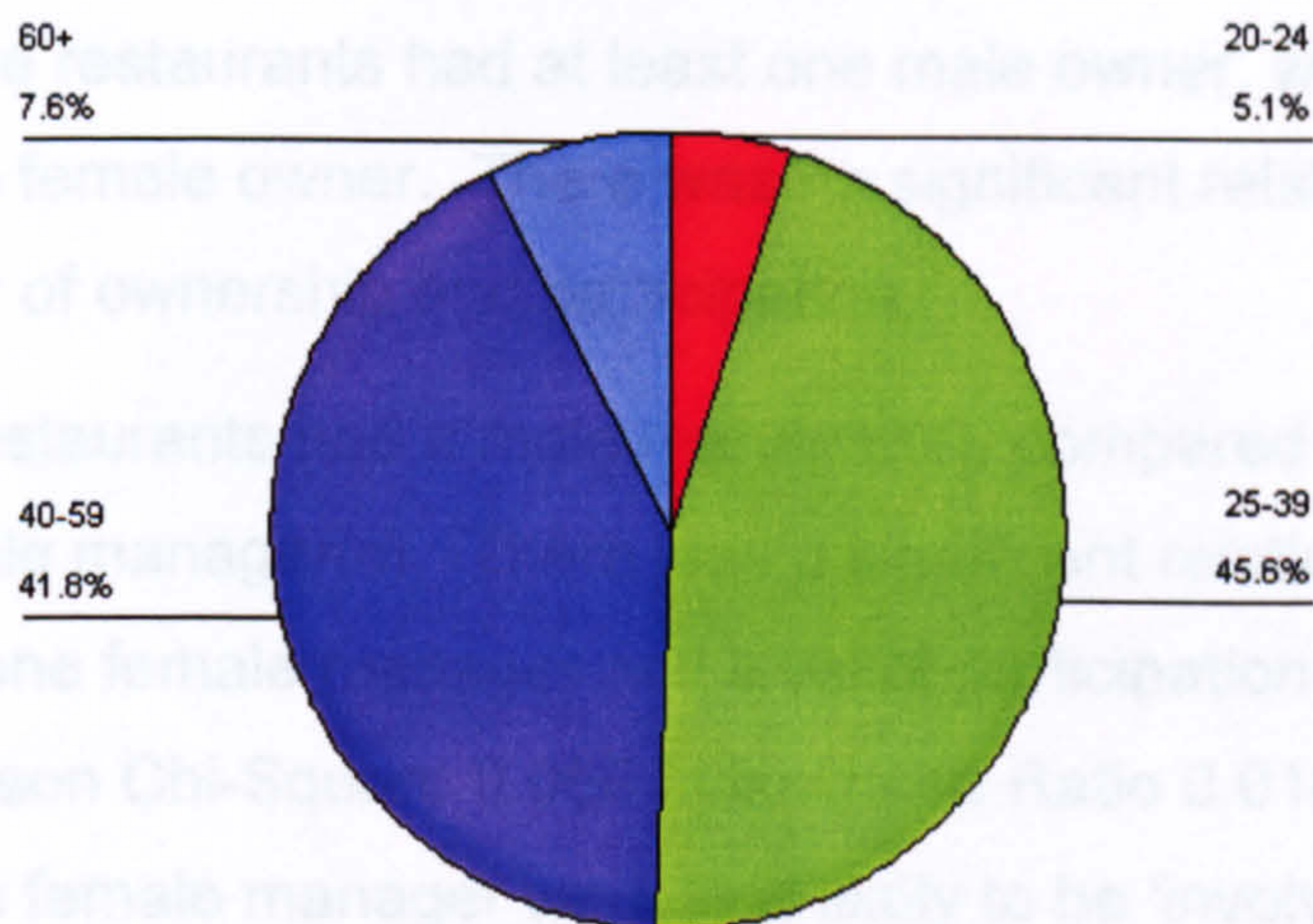


Chart 5.1: Age of restaurant owners and managers

There was a significant relationship between the age of the owner or manager and their level of participation (Pearson Chi-Square 0.010 / Likelihood Ratio 0.008). Those aged below 40 were more likely to know about or be involved in the initiatives (adjusted residual³ -2.8) whilst those aged 40 and over were more likely to be unaware of the initiatives (adjusted residual 2.6).

There was also a significant relationship between the age of the owner/manager and the number of initiatives of which they were aware (Pearson Chi-Square 0.016 / Likelihood Ratio 0.014). Those aged below 40 were more likely to be aware of four or five initiatives (adjusted residual 2.2) whilst those aged 40 and over were more likely to be aware of just one initiative (adjusted residual 2.5).

³Technical note: residuals reflect the difference between the observed value of a dependent variable and the expected value. Adjusted residuals are a form of standardised residual and therefore have a mean of 0. They are particularly appropriate for looking at single cells. A large positive or negative value for the adjusted residual indicates that the observed value in a particular cell within a cross-tabulation is very different from the expected value.

5.2.2 Gender (I23)

81.0% (64) of the restaurants had at least one male owner, whilst 26.6% (21) had at least one female owner. There was no significant relationship between gender of ownership and participation.

65.8% (52) of restaurants had a male manager(s), compared with 17.7% (14) with a female manager(s). There was a significant relationship between having at least one female manager and level of participation but only at the 10% level (Pearson Chi-Square 0.056 / Likelihood Ratio 0.014). Restaurants with at least one female manager were less likely to be 'involved' than those with no female managers (adjusted residual -1.9).

There was also a significant relationship between having at least one female manager and type of restaurant (Pearson Chi-Square 0.009 / Likelihood Ratio 0.001), although the proportion of cells with a low expected count was too high for this result to be relied upon. Asian restaurants were least likely to have one or more female manager (adjusted residual -3.0) whilst 'other' restaurants were most likely to (adjusted residual 2.1). When the responses from Asian and Oriental restaurants were combined, the proportion of cells with a low expected count became acceptable and the results remained significant (Pearson Chi-Square 0.033 / Likelihood Ratio 0.039). It could therefore be said that 'ethnic' restaurants were less likely to have any female managers than 'other' restaurants.

66.7% (50) of respondents reported that any decisions relating to becoming involved in the initiatives would be made by a male owner or manager. 9.3% (7) said it would be made by a female owner or manager, and in the remaining 24% (18) of cases it would be made jointly by male and female owners and managers.

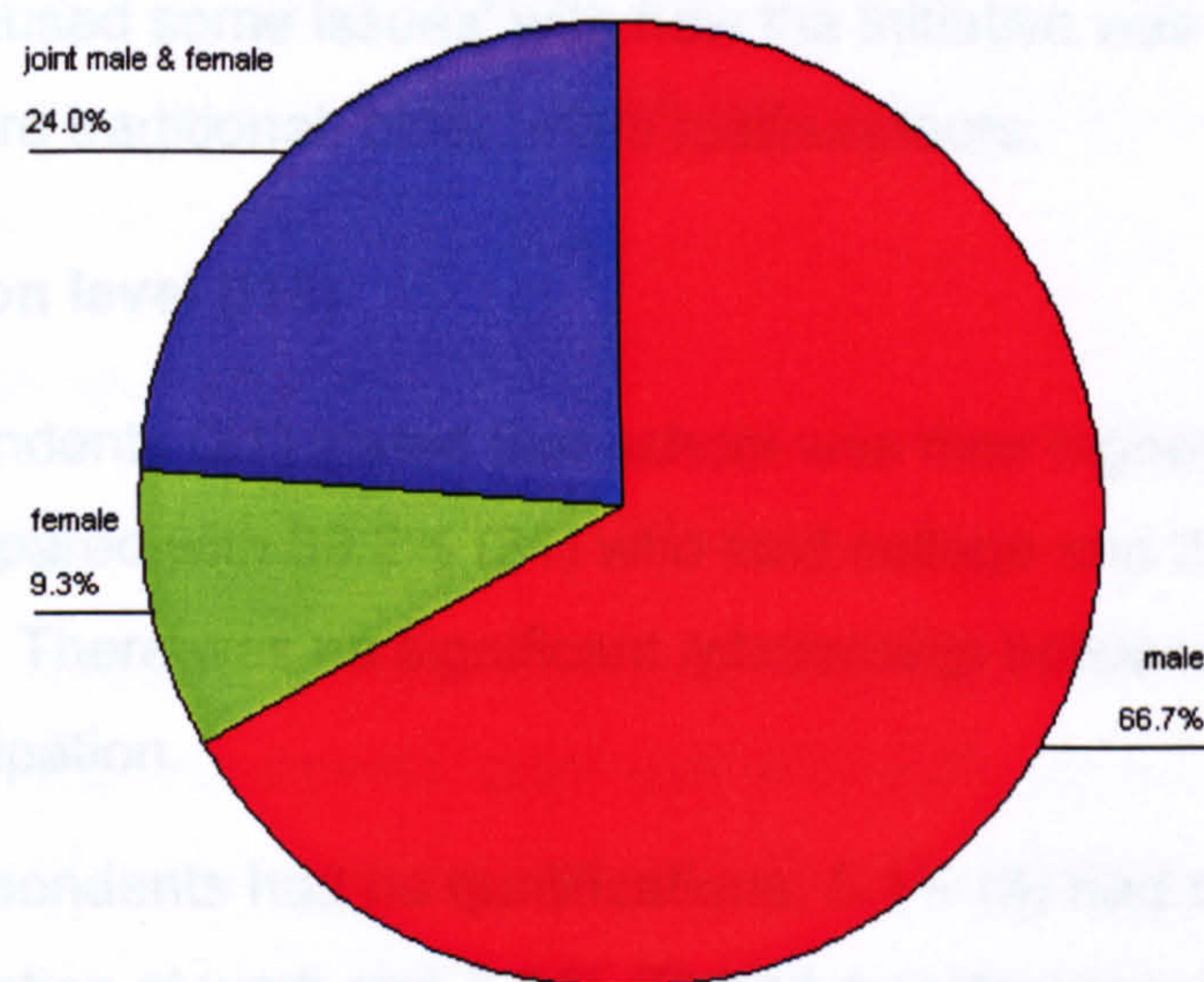


Chart 5.2: Gender of decision-maker

There was a significant relationship between the gender of the decision-maker(s) and the level of participation (Pearson Chi-Square 0.042 / Likelihood Ratio 0.034). Restaurants with only male decision-makers were most likely to be unaware of any of the initiatives (adjusted residual 2.3). Restaurants with at least one female decision-maker were most likely to have knowledge as their highest stage of participation (adjusted residual 2.0).

There was also a significant relationship between the gender of the decision-maker(s) and the type of restaurant (Pearson Chi-Square 0.007 / Likelihood Ratio 0.002). Asian restaurants were most likely to have a male decision-maker (adjusted residual 3.4), Oriental restaurants were most likely to have a female decision-maker (adjusted residual 2.2) whilst 'other' restaurants were most likely to have both male and female decision-makers (adjusted residual 1.3).

One of the providers that had established a specialist ethnic training school had asked restaurateurs to be 'champions' to help steer their work and promote awareness with other restaurateurs. One of their most active 'champions' was a female restaurant owner and the interviewee reported

that this had 'caused some issues' with how the initiative was viewed by some of the more traditional, older, male restaurateurs.

5.2.3 Education level (I19)

26.6% of respondents (21) stated that school was their highest stage of education, compared with 39.2% (31) who said college and 34.2% (27) who said university. There was no significant relationship between education level and participation.

7.6% (6) of respondents had no qualifications, 5.1% (4) had obtained their highest qualification at work and 7.6 % (6) had a professional qualification as their highest. 12.7 % (10) of respondents had O-levels / GCSEs (or equivalent) as their highest qualification, 22.8 % (18) A-levels (or equivalent), 17.7% (14) a diploma, 22.8% (18) a degree and 3.8% (3) a post-graduate qualification. Given the large number of categories respondents were recoded into three groups. 26.6% (21) were graduates or post-graduates, 53.2% (42) had qualifications obtained at post-compulsory level and 20.3% (16) had either compulsory school qualifications or no qualifications. There was no significant relationship between the highest level of qualification and participation.

There was therefore no quantitative evidence of a relationship between education level and participation. However a number of the restaurateurs and providers interviewed did believe there was a link. One Oriental restaurateur expressed the view that restaurant owners/managers tended not to be very highly qualified and said this made them wary and suspicious of education and training initiatives. By contrast another restaurateur stated that restaurants run by educated people may be more likely to get involved than those run by uneducated people. This view was supported by two of the providers who said that restaurateurs sending staff to their catering schools themselves seemed to be relatively highly educated. However, it was also found that high levels of education sometimes deterred people from participating in vocational education and training if the programmes being offered to them were not considered sufficiently challenging. One of the

Asian restaurateurs interviewed was a graduate who had decided not to complete the Level 4 NVQ he had become involved with because it was 'too simple to be taken seriously'.

5.2.4 English language ability (I1ai)

Decision-maker's level of spoken English

When asked to assess how well they spoke English, 44.3% (35) answered 'very well', 30.4% (24) answered 'quite well' and 6.3% (5) answered 'not well'. Only 19% (15) of respondents claimed to speak English as a first language.

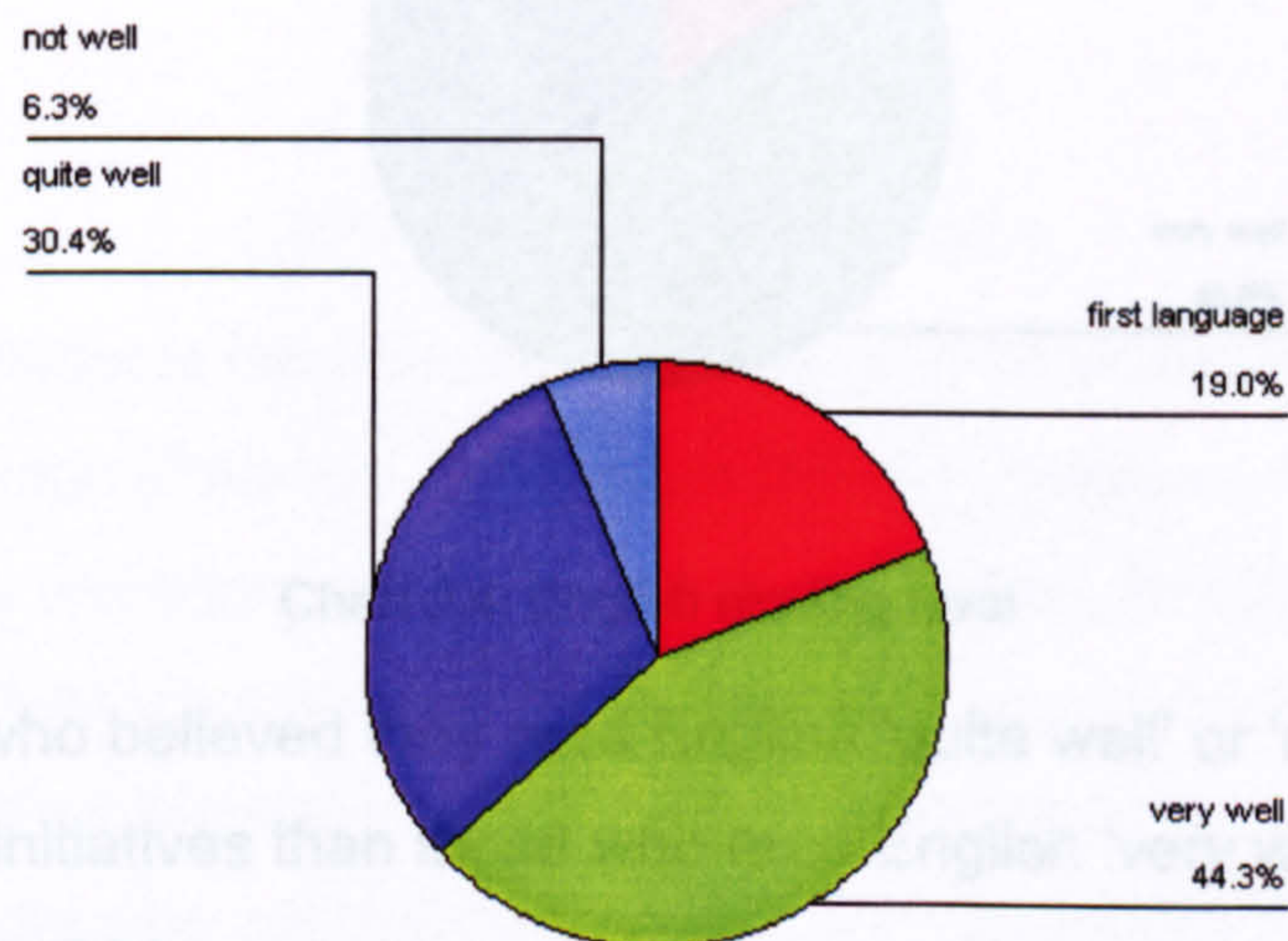


Chart 5.3: Level of spoken English

Restaurateurs who spoke English as a first language were significantly more likely to have knowledge or be involved in the initiatives. Spoken language ability only needed to drop to 'very well' for the likely level of participation to fall to awareness.

Significantly more Asian and Oriental restaurateurs spoke English 'quite well' or 'not well' than 'other' restaurateurs (adjusted residuals 2.0 and 1.2 respectively, Pearson Chi-square 0.015 / Likelihood ratio 0.07). 'Other' restaurateurs were significantly more likely to say they spoke English 'very well' or as a first language (adjusted residual 1.7 and 1.9 respectively).

Decision-maker's reading level

When asked to assess how well they read English, only 16.5% (13) of respondents claimed to read English as a first language, compared with 46.8% (37) who answered 'very well', 29.1% (23) who answered 'quite well' and 7.6% (6) who answered 'not well'.

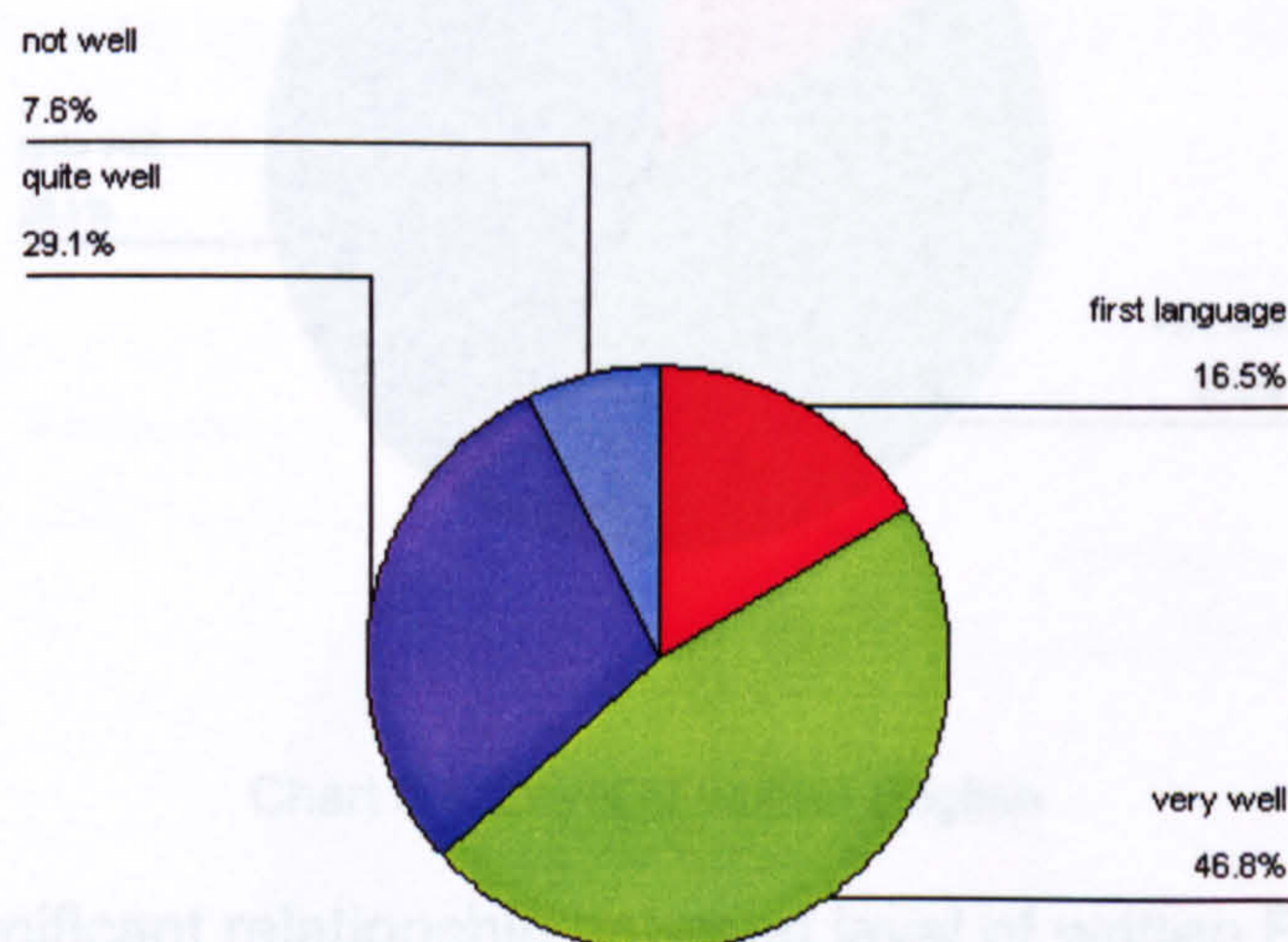


Chart 5.4: English reading level

Restaurateurs who believed they read English 'quite well' or 'not well' were aware of fewer initiatives than those who read English 'very well' or for whom it was a first language.

There was a significant relationship between English reading level and the type of restaurant (Pearson Chi-Square 0.004 / Likelihood Ratio 0.002).

Respondents who ran Oriental restaurants were most likely to answer 'quite well' or 'not well' (adjusted residual 2.2). Respondents in Asian restaurants were also likely to answer 'quite well' or 'not well' but with the lower adjusted residual of 1.0. Respondents in 'other' restaurants were most likely to say they read English as a 'first language' or 'very well' (adjusted residual 3.3).

Decision-maker's writing level

When asked to assess how well they wrote English, only 16.5% (13) claimed to write English as a first language, compared with 40.5% (32) who

answered 'very well', 29.1% (23) who answered 'quite well' and 13.9% (11) who answered 'not well'.

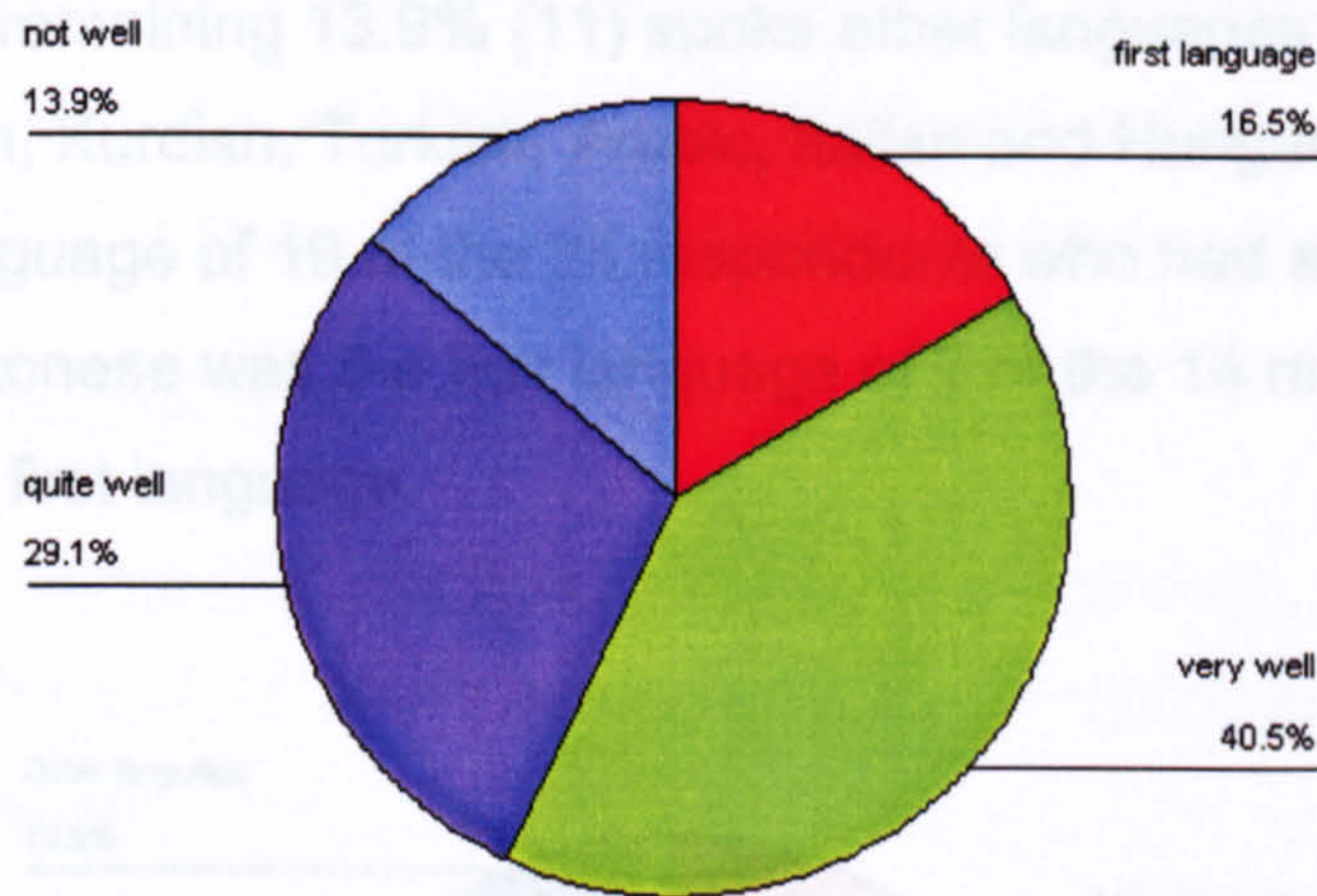


Chart 5.5: Level of written English

There was a significant relationship between level of written English and level of participation (Pearson Chi-Square 0.046 / Likelihood Ratio 0.037) although the low cell count made the result unreliable. Respondents with English as their first language were more likely to have knowledge or involvement as their highest stage of participation (adjusted residual 2.4) whilst respondents who wrote English 'very well' were more likely to have awareness as their highest stage of participation (adjusted residual 2.1).

There was also a significant relationship between English writing level and type of restaurant (Pearson Chi-Square 0.009 / Likelihood Ratio 0.007). Respondents who ran Asian restaurants were significantly more likely to declare that they wrote English 'quite well' or 'not well' (adjusted residual 2.1). Respondents in 'other' restaurants were more likely to state that they wrote English as a 'first language' or 'very well' (adjusted residual 3.0). Respondents in Oriental restaurants were evenly spread across the two combined categories.

Overall, therefore, respondents in 'other' restaurants were more confident of their English language ability than those in 'Oriental' restaurants. Asian restaurateurs were least confident about their English language ability.

5.2.5 Decision-maker's first language (I1a_{ii})

38.0% (30) of respondents stated that English was their first language, 30.4% (24) had an Asian first language and 17.7% (14) had an Oriental first language. The remaining 13.9% (11) spoke other languages including Spanish, French, Kurdish, Turkish, Arabic, Italian and Hungarian. Bengali was the first language of 19 of the 24 respondents who had an Asian first language. Cantonese was the first language of 7 of the 14 respondents who had an Oriental first language.

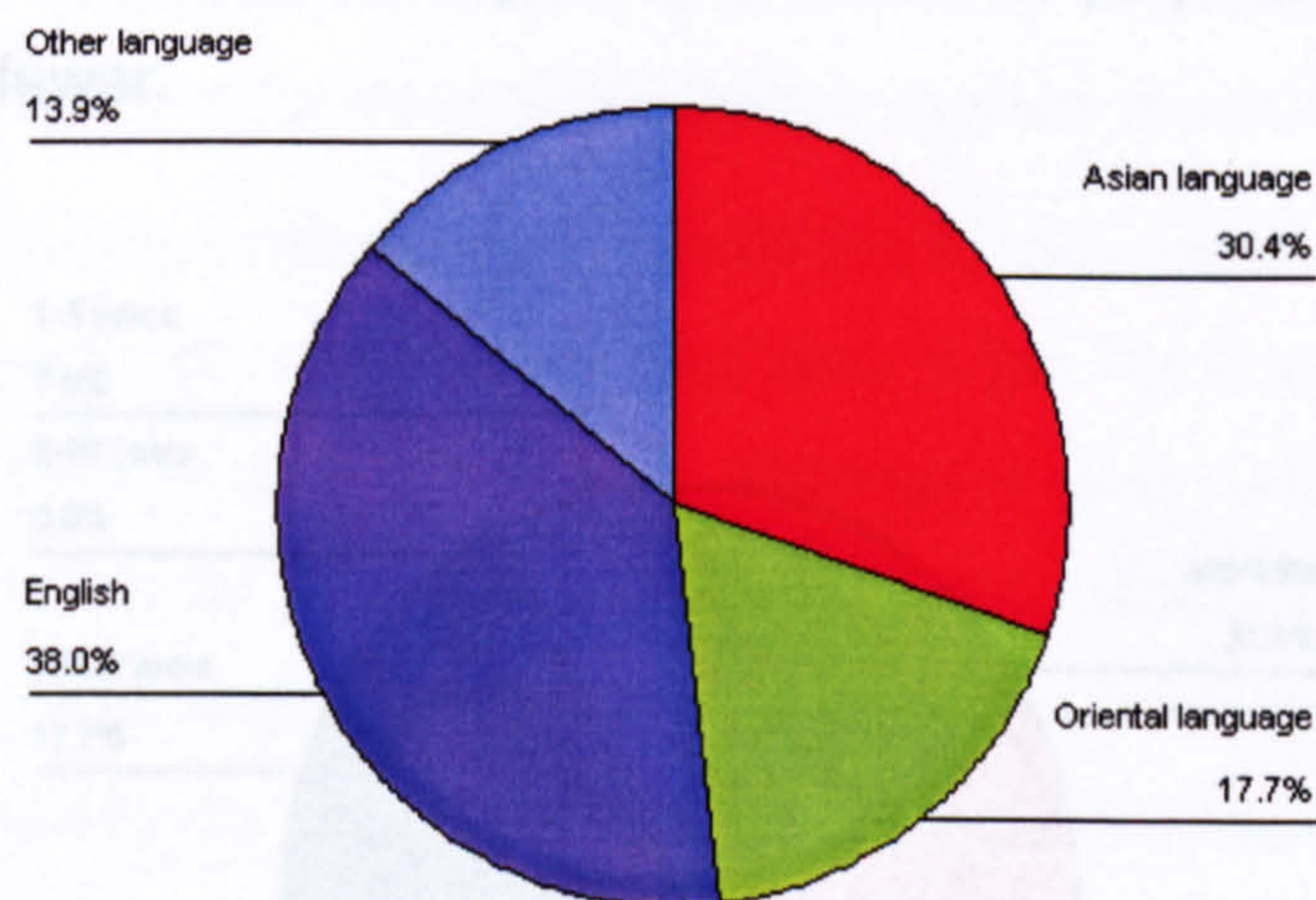


Chart 5.6: First language

A significant relationship was found between first language and awareness (Pearson Chi-Square 0.040 / Likelihood Ratio 0.031). Respondents with Asian and Oriental first languages were more likely to be unaware of any of the initiatives (adjusted residuals of 1.8 and 1.0 respectively) when compared with respondents with English or 'other' first languages.

There was an unsurprising significant relationship between first language and type of restaurant (Pearson Chi-Square 0.00 / Likelihood Ratio 0.00). However it was interesting to note that 10 of the 26 respondents in 'other' restaurants (38.46%) did not have English as their first language. This included one 'other' respondent who had an Oriental first language. In addition, one of the Oriental restaurateurs involved in the qualitative interviews said she would have difficulty participating in an initiative that was

not delivered in English (her first language) as her Cantonese was 'not very good'.

Respondents with Asian and Oriental first languages were more likely to be unaware of all the initiatives than those with English or another first language. Respondents with English as their first language were more likely to have knowledge or involvement as their highest stage of participation.

5.2.6 Length of time in the UK / Generation (I10)

31.6% of respondents (25) had lived in the UK all their lives, 39.2% (31) had lived in the UK for more than 20 years, whilst 29.1% (23) had lived in the UK for 20 years or fewer.

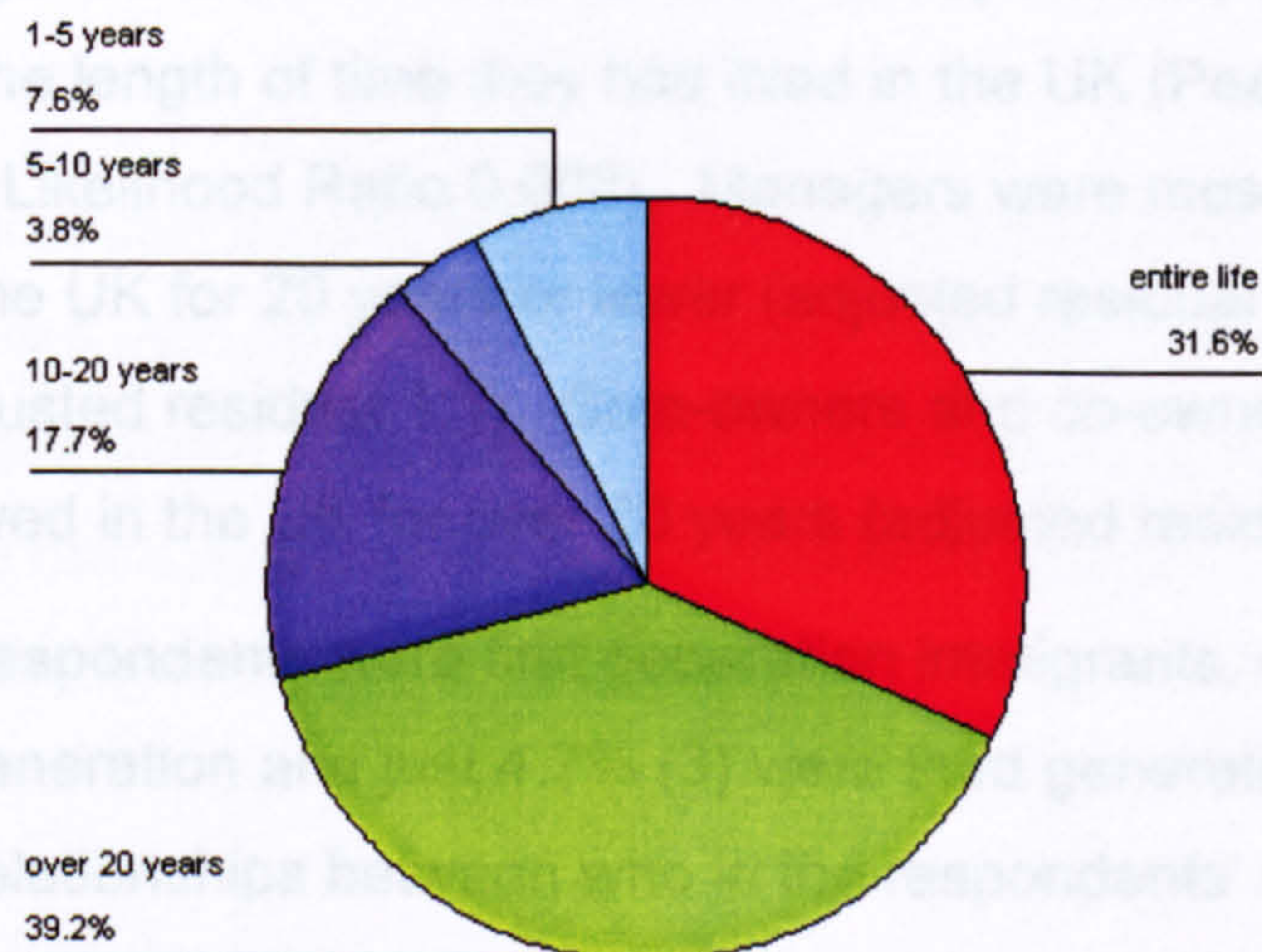


Chart 5.7: Length of time living in the UK

There was a significant difference in level of participation by the length of time the owner/manager had lived in the UK (Pearson Chi-Square 0.006 / Likelihood Ratio 0.007). Respondents who had lived in the UK their entire lives were most likely to be involved (adjusted residual 1.6). Respondents who had lived in the UK for over 20 years, but not their entire lives were

most likely to be unaware of all the initiatives (adjusted residual 3.8).

Respondents who had lived in the UK for 20 years or under were most likely to have knowledge as their highest stage of participation (adjusted residual 2.3).

There was also a significant difference in the length of time that respondents had lived in the UK between the three types of restaurant (Pearson Chi-Square 0.017 / Likelihood Ratio 0.012). Respondents in Asian restaurants were most likely to have lived here for over 20 years (adjusted residual 2.6). Respondents in Oriental restaurants were most likely to have lived here for 20 years or less (adjusted residual 1.3) whilst 'other' respondents were most likely to have lived here for their entire lives (adjusted residual 1.9).

There was a significant difference between the respondents' position in the company and the length of time they had lived in the UK (Pearson Chi-Square 0.004 / Likelihood Ratio 0.003). Managers were most likely to have either lived in the UK for 20 years or fewer (adjusted residual 2.6) or for their entire lives (adjusted residual 1.1). Sole-owners and co-owners were most likely to have lived in the UK for over 20 years (adjusted residuals 2.7).

46.9% (30) of respondents were first generation immigrants, 48.4% (31) were second generation and just 4.7% (3) were third generation. There were no significant relationships between who in the respondents' families had first migrated to the UK and participation⁴.

5.2.7 Motive for migration (16)

When restaurateurs were asked why they or their relatives had come to live in the UK, the most popular reason given (29.9% / 20 respondents) was because they were seeking a better quality of life. The second highest reason was employment (25.4% / 17) followed by education (23.9% / 16), to join members of the extended family (7.5% / 5), 'other' (7.5% / 5) and because they were refugees (6.0% / 4).

⁴ Respondents who were third generation were excluded from the statistical testing to overcome low cell counts

The reasons given under the 'other' category included travel, to learn English through living and working in the United Kingdom rather than through education and as a result of an agreement at the end of colonial rule which awarded UK residency.

There were no significant relationships between migration motivations and participation.

5.2.8 Country of birth / Nationality / Ethnic group (19)

Country of birth

51.3% (40) of respondents were born in Western or 'other' countries, 32.1% (25) in Asian countries and 16.7% (13) in Oriental countries. However, there were no significant relationships between country of birth and participation.

Nationality

62% (49) of respondents were British, 15.2% (12) had European, Western or 'other' nationalities (Middle-Eastern and South American), 13.9% (11) had Asian nationalities (three were Indian and eight were Bangladeshi) and 8.9% (7) had Oriental nationalities (three of whom were Chinese). No significant relationships were found between being British or non-British and participation.

Ethnic origin

43% (34) of respondents were of white or 'other' ethnic origin, 38% (30) were Asian (of who 22 were Bangladeshi, 5 Indian and 1 Pakistani) and 19% (15) were Oriental (12 of the 15 were Chinese). There was an unsurprising significant relationship (Pearson Chi-Square 0.00 / Likelihood Ratio 0.00) between type of restaurant and ethnic origin but there was no significant relationship with participation.

One of the providers reported that they had observed a difference in the way restaurants run by Bangladeshis participated in their programmes compared with restaurants run by Indians. The interviewee described Bangladeshi restaurateurs as 'paying lip service' to schemes, being 'interested but not committed'. He stated that Indian restaurants were more likely to be run by

professionally trained people who showed greater commitment to the initiatives. A link between ethnic origin and views on the professional status of a career in catering was also suggested.

5.2.9 Social class (I16)

46% (29) of respondents considered themselves to be working class, compared with 54% (34) who described themselves as being middle or upper class. There was no significant relationship between class and participation, although the pattern was for respondents who considered themselves to be working class to be more likely to be unaware of all of the initiatives (adjusted residual 2.1), whilst those who thought of themselves as middle or upper class were more likely to have knowledge as their highest stage of participation (adjusted residual 1.0).

One of the providers interviewed said class and caste had not emerged as an issue for them although then commented that they had found the Indian community very class-conscious. The interviewee reflected on the fact that they did not have many students from a particular area of London, which he described as having residents mainly from higher castes, despite having promoted the School within the area.

5.2.10 Skills required for participation (I18)

With the exception of findings that related to language skills, which are described in section 6.1.4 above, the research did not identify any particular skills that had a bearing on levels of participation.

5.2.11 Career history

55.7% (44) of respondents had worked in the hospitality industry throughout their career, whilst 44.3% (35) had previously worked in other industries in practical or professional positions. No significant relationship was found between career history and participation.

46.8% (37) of respondents felt they had learnt their business skills solely through employment, whilst 53.2% (42) believed they were the result of a

combination of education and employment. There was no significant relationship between where respondents had learnt their business skills and participation.

5.2.12 Summary of relationships between decision-maker's profile and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Age (I15a)	Quantitative findings suggested that owners/managers aged below 40 participated at a higher level than older owners/managers. They were aware of more of the initiatives and were more likely to have knowledge and be involved. Those aged 40 or over were most likely to be unaware of the initiatives. Those that were aware tended to have heard only of one initiative.
Gender (I23)	<p>When the participation decision was made by a woman (either solely or jointly) there were higher levels of participation than when it was made by a man or men. There was no relationship specifically between the gender of the owner and participation.</p> <p>However restaurants that employed one or more female managers were less likely to be involved than those that did not and so the relationship between gender and participation was not entirely clear. Asian and Oriental restaurants were less likely to have a female manager compared with 'other' restaurants. The qualitative research did not shed any light on why restaurants with female managers may participate less than those who have only male managers.</p> <p>One provider said that having a female restaurateur promoting their school had caused some issues with a few traditional, older male restaurateurs.</p>
Education level (I19a)	<p>There was no quantitative evidence of a connection between the owner/manager's level of education and qualifications and their level of participation.</p> <p>During the qualitative interviews some Oriental restaurateurs said that owner/managers with low levels of education may be suspicious of initiatives and that those with a higher level may be more likely to participate. However, an Asian restaurateur with a degree who had begun a level 4 NVQ was no longer involved in the initiative because he said it was too simple.</p>
English language ability (I1ai)	Speaking and/or writing English 'very well' was associated with being aware of initiatives, but not participating in them further. Respondents who reported low reading ability were aware of fewer initiatives than those who reported high reading ability. Asian and Oriental restaurateurs reported lower levels of English language ability than 'other' restaurateurs. This applied to reading, writing and speaking English.
First language (I1aii)	Speaking and/or writing English as a first language was associated with higher levels of participation (knowledge and involvement). Respondents who had an Asian or Oriental first language were more likely to be participating at a lower level than respondents with English or an 'other' first language.

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Length of time in the UK / Generation (I10)	First generation immigrants who had lived in the UK for more than 20 years tended to be unaware of the initiatives. More recent immigrants were most likely to have knowledge as their highest level of participation. Restaurateurs who were second and third generation were most likely to be involved.
Motive for migration (I6)	The quantitative research showed no significant relationship between an immigrant's migration motives and their level of participation. In addition, this was not a factor raised by restaurateurs or providers during the qualitative interviews.
Country of birth / Nationality / Ethnic group (I9)	The quantitative findings revealed no relationship between whether or not the respondent was British and their level of participation. There was also no relationship between participation and the broad ethnic groups of Asian, Oriental and White/Other. In addition there was no relationship between participation and the country of birth, when combined as Asian, Oriental or Western/Other. However these variables have not been fully explored as the range of nationalities, ethnic groups and countries of origin covered in the research were too broad for specific relationships to be identified through quantitative work of this limited scale. One of the providers interviewed suggested that within the Asian restaurant sector, Indian restaurateurs who became involved were more committed than Bangladeshi restaurateurs. However in both cases he was talking about the level of ongoing commitment demonstrated by restaurateurs who were already involved in the initiatives.
Social class (I16)	There was no firm evidence from either the quantitative or qualitative work to suggest that social class was a factor that affected participation.
Skills required for participation (I18)	There was no evidence from either the quantitative or qualitative work to suggest that participation was affected by whether or not individuals had particular skills.
Career history (I31)	There was no significant relationship between whether restaurateurs had always worked in the hospitality industry or had worked in other industries and participation. There was also no significant relationship between whether restaurateurs had learnt their business skills through education or employment and participation.

Table 5.01: Decision-maker's profile: summary of nature and extent of each variable's effect on participation

5.3 Variables relating to the decision-makers' attitudes / opinions / behaviour

The findings in this section relate to:

1. Awareness of initiative (I4)
2. Knowledge of initiative (I5)
3. Belief that the initiatives are necessary / required (I33)
4. Acceptability of initiative (I11)
5. Previous participation in related initiative (I25)
6. Attitude towards cost (I7b)
7. Time available for participation (I22)
8. Particular motivation (I3)
9. Politically active / astute (I24)
10. Attitude to external influence (I17)
11. Involvement with external groups / associations (I27)

12. Knowing how to access organisations that provide business support services (I2)
13. Extent of assimilation (I8a)
14. Feeling only in the UK temporarily (I13)

5.3.1 Awareness of initiative (I4)

30.0% (24) of respondents were not aware of any of the initiatives whilst 23.8% (19) were aware of at least one but had not progressed any further. The remaining 46.2% (37) had progressed beyond awareness in at least one initiative.

63% of those aware of NVQs also had some degree of knowledge about them, 21.7% had made a decision to become involved, 19.6% had initiated action and 10.9% had become active participants. However, the rate at which awareness was converted to higher levels of participation varied between the five initiatives as shown in Table 5.02 below.

Conversion from awareness to...	NVQs (%)	NTs (%)	MAs (%)	IIP (%)	ND (%)
Knowledge	63.0	29.4	47.8	44.4	50.0
Deciding to get involved	21.7	11.8	0	2.8	14.3
Initiating action	19.6	11.8	0	2.8	7.1
Active participant	10.9	11.8	0	0	3.6

Table 5.02: Conversion rates from awareness to higher levels of participation

One of the providers interviewed highlighted that restaurateurs could be aware of NVQs and his organisation's programmes and also have some knowledge of them, but then not show commitment. He had attended a number of events run by a particular restaurant association where restaurateurs showed enthusiasm for his programmes but this was 'rarely converted into action'.

Many of the restaurateurs expressed the view that people partly did not get involved in Government initiatives because they did not know they existed. In addition an Oriental restaurateur stated his belief that ethnic restaurant owners and managers would be suspicious if they were approached about becoming involved with something that they had not heard of before.

As described in Chapter Four, one respondent was found to be participating in NVQs, without actually being aware either of the initiative or his participation in it. The Manager of this Asian restaurant had been offered staff training by a local college. It became apparent in the course of the interview, and was subsequently verified, that the members of staff involved were receiving training and assessment towards NVQs despite the Manager not having heard of them.

5.3.2 Knowledge of initiative (I5)

Overall 45.0% (36) of the restaurateurs surveyed had some degree of knowledge of the initiatives. Of these 36.1% (13) had become involved whilst the remaining 63.9% (23) had not. The table below shows how this level of progression from knowledge to involvement differed across the five initiatives.

Conversion from knowledge to...	NVQs (%)	NTs (%)	MAs (%)	IIP (%)	ND (%)
Deciding to get involved	34.5	40.0	0	6.3	28.6
Initiating action	31.0	40.0	0	6.3	14.3
Active participant	17.2	40.0	0	0	7.1

Table 5.03: Conversion rates from knowledge to higher levels of participation

Perhaps unsurprisingly restaurateurs who had been involved had higher levels of knowledge (both self-assessed and actual) than those who had not. The relationships were significant at the 10% level, although the number of cells with a low count made the findings somewhat unreliable.

The one respondent who had been found to be participating in NVQs without actually being aware of them also had no knowledge. This did not prevent him from being categorised as an active participant as it was apparent that some of his employees were being trained and assessed within an NVQ programme.

In some cases restaurateurs had misconceptions about the initiatives. For example, an Oriental restaurateur who was aware that you could do an NVQ course at a college was typical when she said she had not known that NVQs could be done in the workplace. Another restaurateur in an Oriental

restaurant said he had the impression that IIP was aimed at non-academic people with low skills and education. A third demonstrated that she had partial knowledge of NVQs, based on having briefly employed someone who had one. She knew that there were different NVQ levels but did not know what the levels 'meant' and said she had 'no desire to find out more'.

5.3.3 Belief that initiatives are necessary / required (I33)

A number of restaurateurs stated that they were not participating in the initiatives because involvement was not essential; they could run their business profitably without them and therefore the initiatives were neither necessary nor required. Restaurateurs with these views saw involvement as a 'nice extra' to be done when the business was financially stable. Prior to this they argued that their time was taken up with business survival. They had little time for anything over and above running the business on a day-to-day level and only did things that made a direct and immediate contribution to making the business established and profitable.

5.3.4 Acceptability of initiative (I11)

There were examples of respondents in all types of restaurant who said they would be unable to become involved in recruitment schemes that required them to employ people from a different country of origin to the cuisine offered in their restaurant. A French restaurant owner, for example, justified this position by saying that his restaurant would not be authentic if the staff were not French. An Asian restaurateur had a different justification when he stated that he would not get involved in any initiative that involved recruiting someone from outside the Bangladeshi community because they would be a stranger. All of his existing members of staff were people he had met within the community.

An 'other' restaurant in Central London said his staff could only afford to live in London by working at least forty-five hours per week and that they would find any scheme that restricted their working hours unacceptable.

5.3.5 Previous participation in related initiative (I25)

Only 6.3% of the respondents (5) had used any form of business support service when starting their restaurant(s). 3 of these 5 were involved in one or more of the initiatives, 1 was 'not aware' of any of the initiatives and the remaining 1 was knowledgeable but had not become involved.

Some of the respondents who had previously participated in government initiatives had positive views when asked about future involvement. One Oriental restaurateur who was an active participant with NVQs was very enthusiastic about becoming involved with other training initiatives. Another reported that he had been very impressed by NVQs and said he would like to give other staff the opportunity to do one. In addition two of the providers with specialist Asian and Oriental catering programmes reported that many of the students had previously been enrolled on other courses run by their institutions.

However, other restaurateurs who had previously been involved in government initiatives were unenthusiastic about future involvement as they had not considered their participation to have been successful. The range of reasons they gave included believing they had not learnt anything new, incurring costs without tangible benefits, receiving poor service from providers, being disappointed with the standards of training given to candidates and encountering too much bureaucracy.

The impact of previous participation, whether positive or negative, tended to be confined to the same kind of initiative. For example previous participation in a training initiative did not appear to lead to doing a recruitment initiative.

5.3.6 Attitude towards cost (I7)

Restaurateurs were asked about the cost of training programmes and their view of the importance of funding and subsidies to participation decisions.

27.6% (8) of respondents who had some knowledge of NVQs said one of the least attractive aspects was the cost of getting involved. The comparable

figures were 0% for NTs, 27.3% (3) for MAs, 56.3% (9) for IIP and 35.7% (5) for the ND.

One restaurateur stated that he would like to become involved in training initiatives but would not be able to cover the cost of wages whilst staff attended courses. Another reported having to stop involvement before completion due to the cost and a third described how he had been involved in an initiative but cost prohibited him from future involvement. However, some restaurateurs took a different view and explained that they were prepared to pay commercial training rates for particular unsubsidised external courses. These restaurateurs were prepared to spend money on external training when they saw a clear benefit to the business. Some also said they would be prepared to pay for a 'long term link' with colleges if it resulted in them recruiting staff members who would stay with the business for a while.

5.3.7 Time available for participation (I22)

31.6% (25) of respondents worked fewer than 50 hours per week, 35.4% (28) worked between 50 and 59 hours, and 32.9% (26) worked 60 hours or more. There was a significant relationship between the number of hours respondents worked per week and awareness (Pearson Chi-Square 0.030 / Likelihood Ratio 0.022). Respondents who worked between 50 and 59 hours per week were more likely to be aware of at least one of the initiatives (adjusted residual 2.5), whilst those who worked 60 hours or more were more likely to be unaware (adjusted residual 2.0).

There was also a significant difference in the number of hours worked per week by respondents in different types of restaurant (Pearson Chi-Square 0.012 / Likelihood Ratio 0.006). Those in Asian restaurants were most likely to work fewer than 50 hours per week (adjusted residual 2.8) whilst those in 'other' restaurants were most likely to work 60 hours or more (adjusted residual 2.3).

51.7% (15) of respondents reported that one of the factors that would least attract them to NVQs was the time commitment. This figure was 80.0% (4)

for NTs, 36.4% (4) for MAs, 68.8% (11) for IIP and 57.1% (8) for the ND. Time was the most frequently selected de-motivator in relation to NVQs, NTs, IIP and the ND. Typical comments included 'People in small businesses don't really have the time to go and talk to people about Government programmes' and 'It would take time to get involved, then time to consider and time if different people were to go on courses'. Another restaurateur stated that 'a lot of people would be put off by the fact that it is additional to what they have to do'. Another respondent stressed the difficulty of staff needing to attend training courses away from work; 'It is a problem that someone doing an NVQ would need time off for training...for a small restaurant giving people time off is a major problem.' The time available was seen as being directly linked to the feasibility of participating; 'the fact you can do an NVQ...in-house is great if you have the manpower and the time, but almost impossible if you are actively involved in running a restaurant'.

An Asian restaurateur suggested that people did not get involved with Government initiatives partly because owners were 'under pressure' due to intense competition between restaurants making them 'feel that they do not have time to invest in anything new'. A restaurateur in an 'other' restaurant recognised that involvement may lead to him being able to plan ahead more and 'fire-fight' less, but he said that until recently he had convinced himself that he did not have time to find out what was available. He hoped this could now happen because his business was more stable and established. This sentiment was echoed by another restaurateur who said 'the business is not successful yet so there is no time for this'. The sense that there was not enough time to seek information about the initiatives was common to a number of respondents. Their comments included 'I only have so much time to look for courses' and 'I tried to find out about the New Deal but I don't have time to read lots of information. I think it is a good idea but time is of the essence'. An Asian restaurateur, who had previously been involved with NVQs, expressed the view that sitting down and learning took time 'better spent meeting the business requirements directly'.

5.3.8 Particular motivation (I3)

Respondents were asked to select reasons that would most and least attract them to becoming involved in each of the initiatives of which they were aware. The providers interviewed were also asked to identify what they thought motivated employers and employees to participate in the initiatives they provided.

Staff recruitment and retention

The providers interviewed had all established their specialist schools in response to perceived labour shortages within the sub-sector and they believed that this issue had generated employer involvement. In particular they said restaurateurs had identified the need to attract skilled and qualified people to work in the sub-sector.

This was supported by the quantitative findings. 34.5% (10) of respondents with knowledge of NVQs said they would be attracted to them as a means of getting new members of staff compared with 80.0% (4) for NTs, 54.5% (6) for MAs and 64.3% (9) for the ND. One restaurateur stated, 'I have always got a problem with recruiting staff. There are so many restaurants and so much competition that you cannot hold onto staff'.

This was further supported by statements from restaurateurs who did not have recruitment difficulties and who gave this as a reason for not participating in the initiatives. 13.8% (4) of respondents who had some knowledge of NVQs stated that they would not get involved because they had no problems with recruitment or training. This compared with 60.0% (3) for NTs, 18.2% (2) for MAs, 37.5% (6) for IIP and 35.7% (5) for the ND. Typical comments included 'I don't have any problems recruiting staff so there is no real incentive to get involved in any recruitment schemes'.

However, some restaurateurs who had recruitment difficulties were not attracted to the initiatives. For example, one of the Oriental restaurateurs interviewed admitted that he frequently faced short-term staffing challenges but cited the transient nature of his staff as a reason for not becoming involved in any of the initiatives, even those designed to help recruitment.

Skills and qualifications

One of the motivations for becoming involved suggested in the questionnaire was the desire to help staff to develop better skills. This was selected by 69.0% (20) of the respondents who were aware of NVQs, 80.0% (4) of the respondents who were aware of NTs and 63.6% (7) of the respondents who were aware of MAs. It was cited by a higher proportion of respondents than any other motivating factor for NVQs and was equal first for NTs and MAs.

58.6% (17) of respondents who had knowledge of NVQs said they were attracted to them because they gave their staff the chance to obtain a qualification. The comparable figures were 60.0% for NTs and 63.6% (7) for MAs.

37.9% (11) of respondents stated that they would be attracted to NVQs to improve their own skills, compared with 40.0% (2) of respondents who selected this reason in relation to NTs and 27.3% (3) for MAs. The same 37.9% (11) of respondents said they would be attracted to get involved with NVQs to get a qualification themselves. This figure was 20.0% (1) for NTs and 9.1% (1) for MAs.

To benefit a particular individual

Comments made by restaurateurs during the qualitative interviews suggested that many would be willing to introduce the initiatives if they thought they would benefit particular individuals. One restaurateur said he would be motivated to become involved to help someone 'committed to the business, hard working and keen to learn'. Those restaurateurs who said they would not introduce the initiatives because they employed a high proportion of transient members of staff echoed this sentiment. Some differentiated between employees who were following a career (mainly kitchen staff) and those who viewed the job as a 'stop-gap' (mainly waiting staff). They further differentiated between British career-orientated employees and foreign nationals who they viewed as less likely to 'see the benefits' of involvement.

Desire to improve standards of quality

58.6% (17) of respondents said they would be attracted to NVQs as a way of improving or maintaining quality standards in their restaurant. Just one respondent (20%) saw NTs as a way of improving and maintaining quality standards and 18.2% (2) viewed MAs in this way.

Interest and perceived benefit to the business

10.3% (3) of respondents with knowledge of NVQs stated that they would not become involved because they had 'no interest'. The comparable figures were 0% (0) for NTs, 9.1% (1) for MAs, 18.8% (3) for IIP and 14.3% (2) for the ND.

10.3% (3) of respondents with knowledge of NVQs also saw 'no benefit' to being involved. No respondents gave this reason for not becoming involved with NTs or MAs. 18.8% (3) did not see any benefit to involvement in IIP and 28.6% (4) did not see any benefit to involvement in the ND.

Other motivators

Two of the training providers interviewed believed that some involved restaurateurs had altruistic motivations. One added that other restaurateurs were involved because it was important for them to maintain their standing in the community and expressed the view that some wanted to be seen to be involved, without wanting to fully participate.

31.3% (5) of respondents said they would be attracted to IIP to show customers that they ran a good business and 56.3% (9) of respondents would be motivated to get involved to show staff they worked for a good company. However, one restaurateur thought that some businesses wanted to participate in IIP to 'get the badge' and not because they actually wanted to train their staff well or help them develop.

Further evidence of kudos influencing participation came from a manager in an Oriental restaurant who stated that the company would get 'good exposure' if they linked their training programme to a Government scheme. However, she also feared that this 'could backfire' if the scheme was unsuccessful and they were then in the public eye. An Asian restaurateur

who had been an active participant with NVQs through membership of a restaurant association believed that other members had been motivated by wanting to impress their peers and the Government. He believed they thought participation would help them to play a stronger role in the association and achieve their lobbying agenda.

5.3.9 Politically active (I24)

82.3% (65) of respondents reported that they were registered to vote. There was no significant relationship between being registered to vote and type of restaurant or participation.

60.6% of respondents claimed to have voted in the last local elections. This was high when compared with turnout figures in the election held closest to the time of the research; 34.6% of the electorate voted in the 1998 London Borough elections (ODPM, 2000). There was a significant difference in level of participation between those that had voted in the local elections and those that had not but only at the 10% level (Pearson Chi-Square 0.063 / Likelihood Ratio 0.049) with those that had voted being more knowledgeable and more likely to be involved (adjusted residual 2.3). There was also a significant difference in local election voting levels between the different types of restaurant (Pearson Chi-Square 0.029 / Likelihood Ratio 0.028). Respondents in Asian restaurants were most likely to have voted in the local elections (adjusted residual 2.0), whilst respondents in Oriental restaurants were least likely to have done so (adjusted residual 2.6).

75.8% (50) of respondents claimed to have voted in the last general election (1997), which was higher than the overall turnout of 72% (http://www.bbc.co.uk/news/uk_politics, 3/12/02). However, there was no difference in participation between those that had voted in the general election and those that had not.

One of the providers interviewed expressed the view that restaurateurs who were politically active were more likely to be aware of the initiatives.

5.3.10 Attitude to external influence (I17)

A number of restaurateurs, particularly in 'other' restaurants said they would be opposed to initiatives that involved someone external coming in to train their staff. The concerns expressed related to fear of losing control over what was taught and a belief that external trainers would have lower standards than the establishment. One restaurateur said he was particularly opposed to government-run training schemes, whilst another stressed how he liked to work independently. In addition, one of the providers interviewed expressed the view that the businesses that were involved with his programmes were the ones that were already getting other forms of external help. He believed that their businesses were successful because they had realised that they 'could not do everything themselves' and recognised the benefits of accessing external support. All the respondents who were involved in the initiatives regularly obtained general business information from external information sources. They all accessed information from organisations as well as from the media and personal contacts.

5.3.11 Involvement with external groups / associations (I27)

13.9% of respondents' (11) belonged to a Professional Body. There was a significant link between membership of a Professional Body and level of participation (Pearson Chi-Square 0.010 / Likelihood Ratio 0.020 / Fisher's Exact Test (1 and 2-sided) 0.023), although the cell count was too low for this result to be relied upon. However, the pattern was for respondents who were members of a Professional Body to be more likely to be involved in one or more of the initiatives (adjusted residual 2.6) than those who were not.

15.2% (12) belonged to a Trade Association and 34.2% (27) belonged to a Restaurant Association, but there was no significant relationship between membership of these organisations and participation.

Findings from the qualitative interviews did however reveal that membership of particular groups had resulted in individual respondents participating in the initiatives where it had become the policy of the group to promote involvement. Many of the Asian restaurateurs interviewed who were active

with NVQs had become involved through the Bangladeshi Caterers Association (BCA). Other respondents were involved with similar organisations that had not actively promoted participation with the initiatives and they tended to have relatively low levels of involvement. The provider that had worked with the BCA described how approaching this established group had, in his opinion, led to them participating in greater numbers than if they had been approached individually. He also believed that this co-operation helped him to implement the initiatives successfully as the restaurateurs in the group were already used to co-operating with each other and the 'group politics' were already established. He believed it had enabled him to deliver courses cost-effectively to a larger number of employees.

59.5% (47) of respondents claimed that their business was involved in charity or local community activities. This was evenly spread across the three different types of restaurant. There was a significant link between the business being involved in charity and local community activities and level of participation (Pearson Chi-Square 0.047 / Likelihood Ratio 0.046).

Respondents in businesses involved in these activities were more likely to be involved in one or more of the initiatives (adjusted residual 1.5).

5.3.12 Knowing how to access organisations that provide business support services (I2)

Three of the eight respondents interviewed in Oriental restaurants were able to describe how they had accessed business support services by arranging external training courses for their staff and by recruiting with the help of the Employment Service. One also explained how they had become aware of the services offered by the local college. However, this knowledge did not translate to them becoming involved in any of the initiatives. Three of the eight respondents in 'other' restaurants were also able to describe ways in which they had accessed business support services including training offered by the local Business Link and information on university and college courses. However, once again this did not necessarily lead to participation as only one of the three was involved in any of the initiatives.

5.3.13 Extent of assimilation (I8a)

The findings for this variable covered the extent to which respondents voted, used local healthcare and utilised mainstream sources of finance.

Voting

As detailed in section 5.3.9 above there was a significant relationship between voting in local elections and participation (Pearson Chi-Square 0.063 / Likelihood Ratio 0.049), although this relationship did not extend to voting in general elections. Those that had voted in local elections were more likely to be involved (adjusted residual 2.3) in one or more of the initiatives.

Healthcare

97.5% of respondents (77) were registered with a doctor. There was no significant relationship between registering with a doctor and type of restaurant or participation.

Financial services

33.3% of respondents (26) said they would first approach family, friends or colleagues if they needed to borrow money, compared with 66.7% who said they would first approach a bank or building society. There was no significant relationship between where respondents would go to borrow money and type of restaurant or participation.

5.3.14 Feeling only in the UK temporarily (I13)

20.3% (16) of respondents planned to remain in the United Kingdom for a set period of time of between one and ten years. 53.2% (42) planned to live in the UK permanently whilst 26.6% (21) were unsure how long they would stay. There was no significant relationship between how long a respondent planned to remain in the UK and type of restaurant or participation.

5.3.15 Summary of relationships between decision-maker's attitudes / opinions / behaviour and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Awareness of initiative (I4)	<p>Whilst it has been found that a restaurateur can be involved in an initiative without being aware of it, this was true only in one case. In all other cases awareness preceded higher levels of participation. However the conversion rate from awareness to higher levels varied between the different initiatives and it was clear that for many respondents awareness had not led to knowledge or involvement.</p>
Knowledge of initiative (I5)	<p>The respondent who was unaware of NVQs and had no knowledge of them, but was then found to be an active participant, demonstrated that it is not essential to have knowledge of an initiative in order to participate in it. However, in all other cases knowledge preceded involvement. The quantitative findings showed relationships between actual knowledge and involvement and between self-assessed knowledge and involvement. The pattern was for high levels of knowledge to be associated with a high likelihood of involvement.</p> <p>The conversion rates in the quantitative findings illustrated that whilst the vast majority of participants had some knowledge of an initiative, this did not necessarily lead to involvement.</p> <p>The qualitative findings suggested that limited or incorrect knowledge could be a barrier to further participation.</p>
Belief that the initiatives are necessary / required (I33)	<p>There was qualitative evidence that many restaurateurs saw the initiatives as something they did not need to do and therefore were not prepared to become involved. Their time was taken up running the business and there was little time for anything over and above the things that made a direct and immediate contribution to business success. Some saw them as 'nice extras' to be done when the business was financially stable, but they were not viewed as being necessary; their restaurants could survive and grow without them.</p>
Acceptability of initiative (I11)	<p>Acceptability was only explored in the qualitative interviews. It was however clear that some restaurateurs were deterred from participation if they felt that elements of an initiative were unacceptable to them. The most prevalent example was that an initiative would only be acceptable if the restaurateur could continue to recruit staff with the same ethnic origin as the food they served. Another example was a restaurateur who said they would be unable to participate in a scheme that restricted working hours.</p>
Previous participation in related initiative(s) (I25)	<p>Whilst only 5 restaurateurs were found to have used business support services when they established their business, 3 of them were involved in the initiatives and 1 had some knowledge of them.</p> <p>The qualitative findings from providers and restaurateurs suggest that this can be a factor. Whether previous participation affects future involvement positively or negatively depends on the individual's experience. The views expressed were confined to whether or not individuals intended to participate in the same kind of initiative in the future. Previous participation in a recruitment initiative, for example, did not appear to have any bearing on the likelihood of an individual participating in a training initiative, and vice versa.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Attitude towards cost (I7b)	<p>A relatively low number of respondents said they would be deterred from becoming involved in the initiatives because of cost. The quantitative findings therefore presented a mixed picture.</p> <p>The qualitative findings suggested that some restaurateurs would be deterred from participating if they needed to pay their staff whilst they attended training programmes. Restaurateurs differed in their views on direct costs, with some saying that they had prevented them from participating further whilst others were prepared to pay relatively high amounts for involvement in initiatives that they believed clearly benefited their business. Perceived value for money, as well as actual level of cost, has therefore been identified as influencing participation.</p>
Time available for participation (I22)	<p>The quantitative results showed that respondents who worked 60 hours or more per week had significantly lower levels of awareness than those who worked fewer hours. In addition, a relatively high percentage of respondents said they would not be attracted to participate in the initiatives because of the time commitment required. These results were supported by the qualitative findings which showed that restaurateurs were concerned about the amount of time they would need to spend finding out about the initiatives available and participating in them. In addition some expressed concerns about the impact of their staff needing time-off for training.</p>
Particular motivation (I3)	<p>All respondents who had knowledge of the initiatives were able to identify elements that would motivate them to become involved. The main motivations were staff recruitment or retention, the desire to help staff develop better skills and gain qualifications, wanting to help a particular individual, improving quality standards and gaining kudos within the wider community. However, they could also identify elements that would deter them. Therefore having a motivation does not necessarily lead to involvement unless the advantages to be gained are thought to outweigh the disadvantages.</p>
Politically active (I24)	<p>The quantitative findings showed that respondents who had voted in local elections had higher levels of knowledge and involvement than those who had not. Asian restaurateurs were most likely to have voted, whilst Oriental restaurateurs were least likely to have voted. As overall Asian restaurateurs reported slightly lower levels of participation than Oriental and 'other' restaurateurs (although not significantly lower), it appears that those who were politically active were participating at a relatively high level.</p> <p>These findings were further supported by a provider who stated that politically active restaurateurs were more likely to be aware of initiatives than those who were not.</p>
Attitude to external influence (I17)	<p>All the respondents who were involved accessed external sources of information to help them run their business. The qualitative results showed that some of the restaurateurs with low levels of participation, or who were non-participants, resisted and even resented external influence, especially from government.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Involvement with external groups and associations (I27)	<p>Members of Professional Bodies had a higher likelihood of involvement than non-members, although a high proportion of cells with a low count made this finding unreliable. No quantitative link was found between participation and membership of restaurant and trade associations. However the qualitative research revealed that some Bangladeshi restaurateurs had become involved because the Bangladeshi Caterers Association promoted participation. This was further supported by one provider who said that restaurateurs involved with his initiatives tended to also be involved with other external organisations.</p> <p>A statistically significant relationship was also found between involvement in charity and community activities and involvement in these initiatives.</p>
Knowing how to access organisations that provide business support services (I2)	<p>Restaurateurs did not consider this to be a factor as only a very small proportion of respondents said that not knowing how to become involved at the outset would deter them from participating. In addition, the findings of the qualitative interviews demonstrated that accessing other business support services from organisations involved with the initiatives covered in this study did not necessarily lead to involvement. Restaurateurs who interact with external organisations participate more than those that do not, but this does not appear to apply specifically to business support organisations.</p>
Extent of Assimilation (I8a)	<p>The quantitative findings showed that respondents who had voted in local elections had higher levels of knowledge and involvement than those who had not. Asian restaurateurs were most likely to have voted, whilst Oriental restaurateurs were least likely to have voted. As, overall, Asian restaurateurs reported slightly lower levels of participation than Oriental and 'other' restaurateurs (although not significantly lower), it appears that those who were politically active were participating at a relatively high level. Other measures of assimilation used, namely voting in general elections, being registered with a doctor and sources of personal finance were not associated with high levels of participation.</p>
Feeling only in the UK temporarily (I13)	<p>There was no quantitative evidence that this was a factor that affected participation. In addition it was not mentioned by the restaurateurs or providers during the qualitative interviews.</p>

Table 5.04: Decision-maker's attitudes / opinions / behaviour: summary of nature and extent of each variable's effect on participation

5.4 Conclusion

This chapter has presented evidence on how participation is affected by the decision-maker's profile, attitudes, opinions and behaviour. The following chapter presents the evidence that relates to the business and the staff who are employed within it.

6 Variables Relating to the Business and its Staff: Findings Part Three

6.1 Introduction

This chapter contains evidence on how the profile of the business and the attitudes and profile of members of staff were found to affect participation in the initiatives. The findings in this chapter therefore cover the variables that are in categories three and four of the six used, namely:

1. Decision-maker's profile
2. Decision-maker's attitudes / opinions / behaviour
3. Business profile
4. Staff profile / attitudes
5. Social networks
6. Wider environment

6.2 Variables relating to the business profile

The findings in this section relate to the:

1. Size of business (I21)
2. Age of business (I28)
3. Approach to training (I30)
4. Financial position (I7a)
5. Breakout (I8b)
6. Location (I12)
7. Future plans (I26)
8. Owner / Head Office support (S8)
9. Ownership and management (I32)

6.2.1 Size of business (I26)

Chain or single restaurants

68.4% (54) of respondents worked in single restaurants and 31.6% (25) worked in restaurants that were part of a chain. There was no significant difference by type of restaurant or level of participation.

23.75% (19) of restaurants had a Head Office, which was 76% of all chain businesses. There was no significant relationship between having a Head Office and participation.

However, one of the organisations interviewed said in their experience the people who were most active with the initiatives were those who ran multiple

restaurants and had established businesses. The same interviewee added that mainstream restaurant chains had helped design the initiatives and had already decided whether or not to become involved with them. He contrasted this to the ethnic sector where he believed the large restaurant groups had only recently begun to consider involvement and said that this had not yet spread to small businesses. An Oriental interviewee who ran a small restaurant group also believed larger companies were likely to become involved before smaller ones. He thought the initiatives should first be promoted to the large ethnic restaurant groups, because '(you) need to get people involved in the process and then it will spread down'. An Asian restaurateur believed NVQs were more applicable in chain restaurants that were not run by a single family, because more control and standardisation was needed in those environments.

Number of covers

The minimum number of covers was 25 and the maximum was 240. The mean was 70.99 with a standard deviation of 46.717, which meant that 95% of restaurants had between 25 and 117 covers. There was no significant difference in levels of participation.

Number of employees

The lowest number of employees was 4 and the highest was 157. The mean was 17.80 with a standard deviation of 24.414, which meant that 95% of restaurants had between 4 and 42 employees. No significant relationships were found between the mean number of employees and type of restaurant or level of participation.

However, the qualitative interviews with restaurateurs revealed that some did believe the size of the business was a factor. One of the Asian restaurateurs interviewed, who had been actively involved with NVQs, said he did not believe they were applicable to small restaurants. An Oriental restaurateur echoed this view when he said he did not think qualifications were necessary in his small family restaurant, as he did not employ many staff. Another believed that qualifications were not needed because most small restaurants

could not offer their staff 'a career ladder'. These views also applied to IIP; one restaurant said it was only appropriate in organisations where there was 'a ladder to climb', whilst another believed that IIP was not needed by small restaurants. The same restaurateur stressed that people in small businesses did not have the time to influence the content of Government programmes.

Some restaurateurs did believe the initiatives could be suitable for small restaurants but only in particular circumstances. One thought they may work if they were introduced as part of a long-term relationship between a college and a restaurateur, whilst another thought that vocational courses were particularly relevant to managers in small independent restaurants. A third expressed the view that the initiatives may work for small businesses that had low labour turnover and emphasised the importance of local providers in getting small businesses involved.

6.2.2 Age of business (I28)

44.3% (35) of the restaurants were less than 5 years old. 17.7% (14) were between 5 and 10 years old and 38% (30) were more than 10 years old.

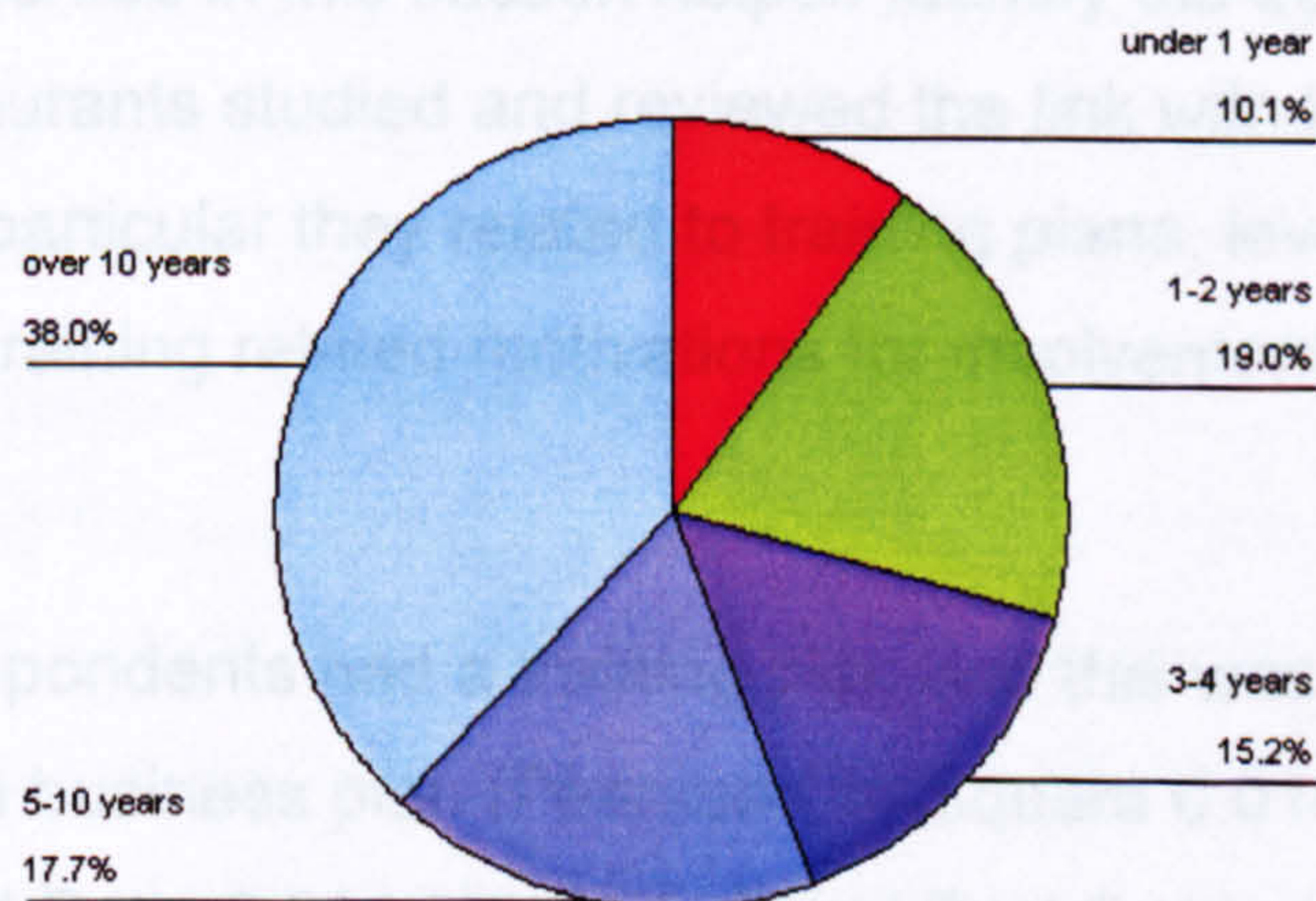


Chart 6.1: Age of the restaurant

There was a significant relationship between the age of the business and awareness, but only at the 10% level (Pearson Chi-Square 0.076 / Likelihood Ratio 0.081). Respondents in more recently established businesses, those that had been running for more than 10 years, were more likely to be aware of just one initiative (adjusted residual -2.2). Respondents in businesses that had been running for less than 10 years were more likely to be aware of four or five initiatives (adjusted residual 1.3). One respondent who ran an 'other' restaurant suggested that he would not have been able to get involved in any of the initiatives until his business was established and financially stable. He viewed the initiatives as nice extras to be done when the business was already successful rather than as tools that could help address problems encountered when the restaurant was first established. He stated that 'for the first three years of running the business the short-term financial demands ... left no time for long term planning and projects with long term benefits'. This view was echoed by another restaurateur running an 'other' restaurant who said 'the business is not successful yet so there is no time for me to get involved.'

6.2.3 Approach to training (I30)

The findings presented in this section helped identify the training approaches used by the restaurants studied and reviewed the link with level of participation. In particular they related to training plans, levels of 'on' and 'off job' training and training related motivations for involvement in the initiatives.

Training plan

32.5% (26) of respondents had a training plan and this was found to be linked to having a business plan (Pearson Chi-Square 0.014 / Continuity 0.027 / Likelihood Ratio 0.014 / Fisher's Exact Test 2-sided 0.022 / 1-sided 0.014). There was a significant relationship between having a training plan and participation, but only at the 10% level. Restaurateurs with a training plan were more likely to be aware of the initiatives (Pearson Chi-Square 0.090, Likelihood Ratio 0.080, Fisher's Exact Test 1-sided 0.075, adjusted residual 1.7) and more likely to be knowledgeable (Pearson Chi-Square

0.076, Likelihood Ratio 0.075, Fisher's Exact Test 1-sided 0.063). There was no significant relationship between having a training plan and the type of restaurant.

Restaurants that were part of larger groups tended to have company training programmes. In two cases they had access to specialist training managers who arranged internal training courses.

On-job training

76.3% (61) had provided at least some of their staff with on-job training in the previous twelve months. There was no significant relationship between levels of on-job training and participation.

Off-job training

52.5% (42) of respondents had provided at least some of their staff with off-job training in the previous twelve months. There was a significant relationship between providing off-job training and awareness, but only at the 10% level (Pearson Chi-Square 0.059, Likelihood Ratio 0.058, Fisher's Exact Test 0.050 1-sided). Owners/Managers who provided off-job training were more likely to be aware of the initiatives (adjusted residual 1.9). There was also a significant difference between the three types of restaurant (Pearson Chi-Square 0.011 / Likelihood Ratio 0.010). Asian respondents were least likely to provide off-job training (adjusted residual -2.9) whilst 'other' respondents were most likely to (adjusted residual +2.1).

A significant correlation was found between the percentage of staff receiving on-job training and the percentage of staff receiving off-job training (Pearson Chi-Square 0.379 / 2 tailed significance value of 0.022). A scatterplot showed that whilst respondents with low levels of off-job training could have either high or low levels of on-job training, those who provided off-job training for more than 30% of their staff always had high levels of on-job training.

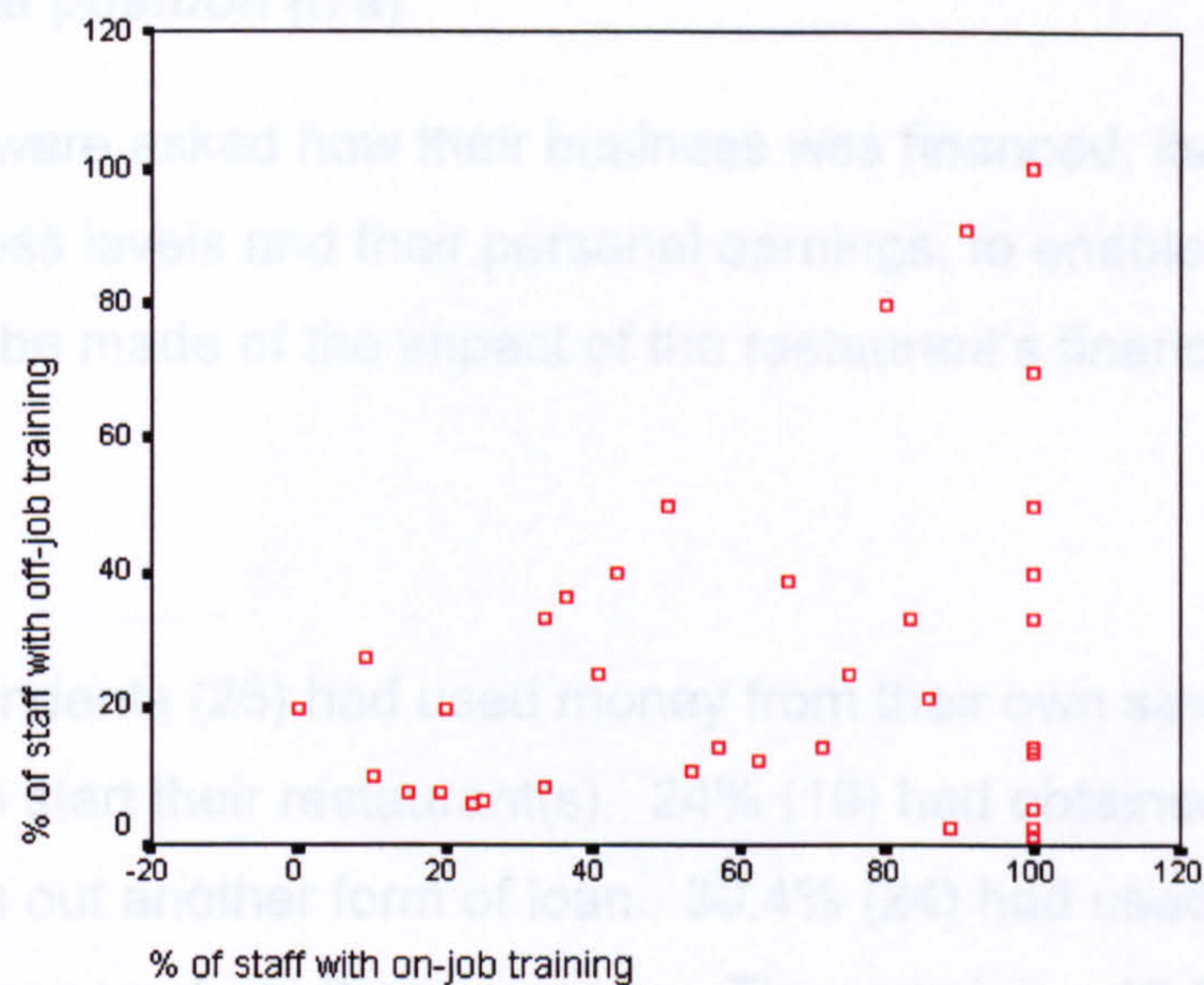


Chart 6.2: Correlation between on-job and off-job training

71.4% (30) of respondents who had arranged off-job training had sent their staff on short courses, compared with the 21.4% (9) who had sent staff on part-time courses. Just one respondent had sent a member of staff on a full-time course, and another had arranged a correspondence course. Food hygiene and health and safety training were the most common form of external training mentioned by the restaurateurs interviewed.

Some restaurateurs recognised that external off-job training would be beneficial for their staff but expressed the view that it was not essential because 'we can teach them what they need to know to do the job'.

However another restaurateur who had previously been an active participant with NVQs concluded that 'this is a practical industry and education and training are not needed. The job doesn't warrant formal education and training (and) the best way is for people to learn on the job from other staff'.

Respondents motivated by training related issues

27.6% (8) of respondents with some knowledge of NVQs said they would be attracted to them as a way of providing a framework for training. This compared with 60.0% (3) for NTs, 63.6% (7) for MAs and 50.0% (8) for IIP. In addition 56.3% (9) of those with knowledge of IIP said they would be interested because they wanted to improve their approach to training.

6.2.4 Financial position (I7a)

Restaurateurs were asked how their business was financed, its turnover, recent profit / loss levels and their personal earnings, to enable an assessment to be made of the impact of the restaurant's financial position on participation.

Finance

32.9% of respondents (26) had used money from their own savings, family or shareholders to start their restaurant(s). 24% (19) had obtained money from a bank or taken out another form of loan. 30.4% (24) had used a combination of money from these sources. The remaining 12.7% (10) did not know where the money to start the business had come from. There was no significant relationship with participation.

58.2% of respondents (46) were using profits, savings, family, friends or shareholders to finance their restaurant(s) at the time of the research. 30 of these 46 financed the business from profits, which was 38% of all respondents. 15.2% (12) were using money from a bank or another form of loan to finance the restaurant(s). 20.3% (16) were using a combination of money from these sources. The remaining 6.3% (5) did not know how the restaurant was currently financed. Again, there was no significant relationship with participation.

Turnover

21.5% (17) of respondents had a restaurant turnover of less than £100,000, 34.2% (27) of between £100,000 and £499,999 and 26.6% (21) of £500,000 or more. 12.7% of the 80 people interviewed (10) claimed not to know the turnover of the restaurant. 8 of the 10 were managers. A further 5.1% (4) refused to answer the question on the grounds of privacy and confidentiality. 3 of the 4 were managers.

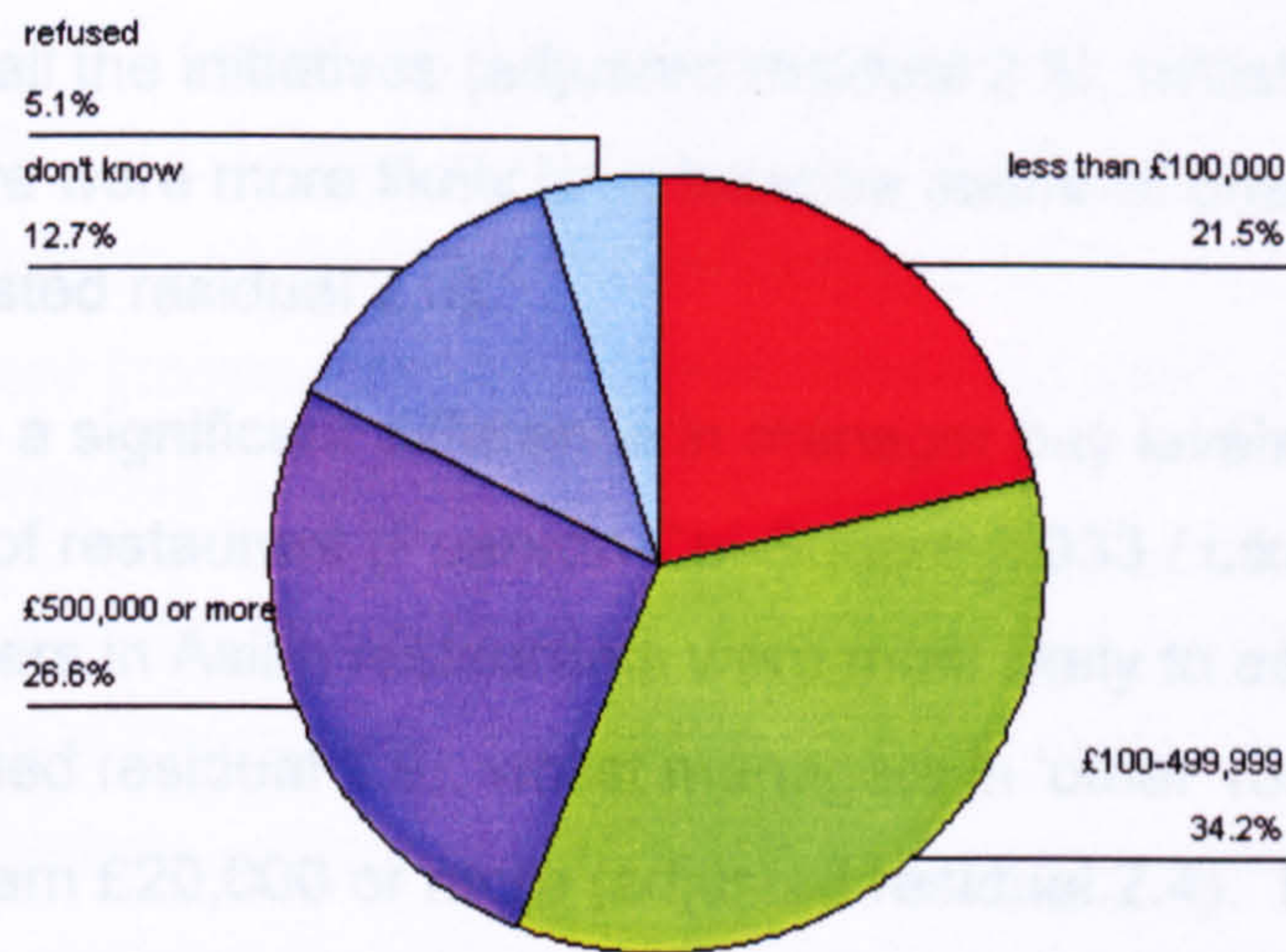


Chart 6.3: Restaurant turnover

There was no significant relationship between restaurant turnover and level of participation although the pattern was for respondents with a turnover of under £500,000 to be more likely to be unaware of any of the initiatives (adjusted residual 1.7) than those with a turnover of £500,000 or more.

Profit / Loss

7.8% (6) of respondents reported that their restaurant had made a loss in the last full trading year. 8.9% (7) reported that they had reached break-even, whilst 53.2% (42) reported a profit. 21.3% (17) claimed not to know the profit levels, 13 of whom were managers. A further 5% (4) refused to answer the question on the grounds of privacy and confidentiality, three of whom were managers. The remaining 3.8% (3) of respondents could not answer as their restaurants had been trading for less than a year. There was no significant difference between profit levels and participation.

Personal earnings

52.8% of respondents who were managers (19) earned less than £20,000, whilst 47.2% (17) earned £20,000 or more. There was a significant difference between manager pay levels and level of participation (Pearson Chi-Square 0.021 / Likelihood Ratio 0.017 / Fisher's Exact Test 2-sided

0.031 / 1-sided 0.024). Those earning less than £20,000 were more likely to be unaware of all the initiatives (adjusted residual 2.3), whilst those earning £20,000 or more were more likely to at least be aware of one or more of the initiatives (adjusted residual 2.3).

There was also a significant difference in manager pay levels across the different types of restaurant (Pearson Chi-Square 0.033 / Likelihood Ratio 0.028). Managers in Asian restaurants were most likely to earn less than £20,000 (adjusted residual 1.9), whilst managers in 'other' restaurants were most likely to earn £20,000 or more (adjusted residual 2.4). Responses from managers in Oriental restaurants were evenly split across the two bands.

36.8% (14) of respondents who were owners earned less than £20,000 whilst 63.2% (24) earned £20,000 or more. There was no significant relationship between owner income and participation.

When manager and owner income was combined, 44.6% (33) earned under £20,000, whilst 55.4% (41) earned £20,000 or more. There was no significant relationship between combined income and participation.

6.2.5 Breakout (I8b)

The results that were generated to assess the degree of 'breakout' from niche ethnic markets are also described below. They present customer profiles in terms of the proportion of customers who were from the restaurant's immediate local area, average spend and ethnic mix.

Distances travelled by customers

Respondents were asked to estimate what percentage of their customers came from the same borough as the restaurant (*local customers*), compared with those who travelled from within the same area of London (North, South, East, West or Central), from other areas of London or from outside London.

Restaurants not involved with any of the initiatives had a higher ranked mean of *local customers* at 41.68% when compared with restaurants that were involved with a ranked mean of 29.54%, although this was only significant at the 10% level (Mann-Whitney U value 308.500 / Significance 0.060).

However, this was supported by the finding that there was also a significant correlation between the percentage of local customers and participation score⁵ (Kendall's Tau_b value -0.156 / 1-tailed significance 0.035). As the percentage of customers from within the borough decreased, the participation score increased meaning that restaurants with a low percentage of local customers had a high participation score.

There was also a significant difference in the mean percentage of customers from *other areas of London* and whether or not the respondent was involved in any of the initiatives. Respondents involved in one or more of the initiatives had a significantly higher mean percentage of customers from other areas of London (ranked mean 48.46%), compared with respondents who were not involved (ranked mean 37.54%), again at the 10% level (Mann-Whitney U value 322.500 / Significance 0.069).

In addition, a significant correlation was found between the percentage of customers from other areas of London and participation score (Spearman's Correlation Co-efficient 0.225 / 2 tailed significance value of 0.047), although the co-efficient value was low. A scatterplot showed that there was a concentration of respondents with 0% of customers from others areas of London with a participation score of less than 20. The result was also significant when the Kendall's Tau_b test was used (Kendall's Tau_b value 0.176 / 1 tailed significance 0.024 / 2 tailed significance 0.048). This suggests that the higher the percentage of customers from other areas of London, the higher the participation score.

⁵ A weighted scoring system was used to reflect breadth of participation as well as depth. For an explanation of how scores were calculated see section 3.6.1, Chapter Three.

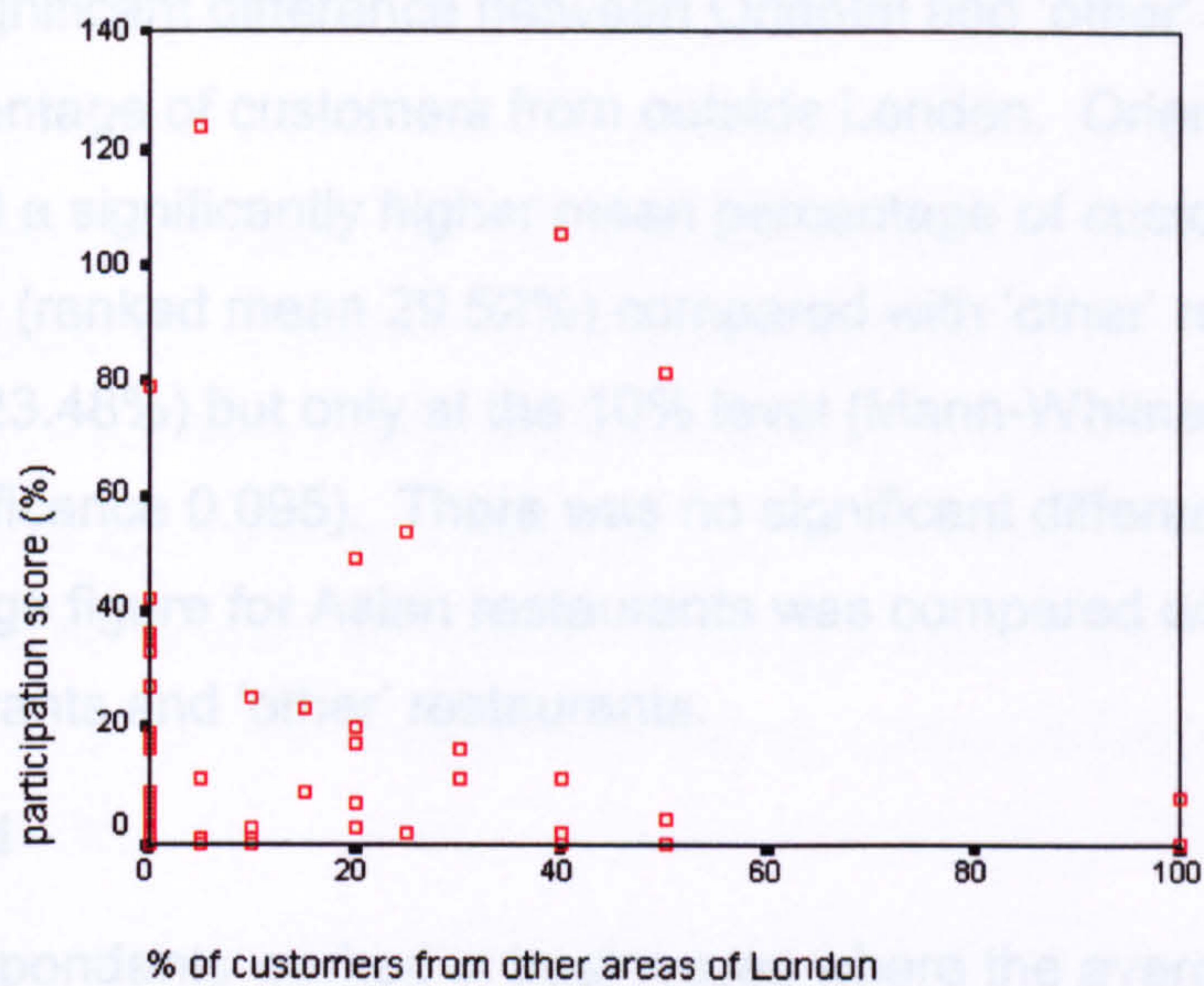


Chart 6.4: Correlation between percentage of customers from other areas of London and participation score

There was a significant difference in the mean percentage of customers from other areas of London between Asian and Oriental restaurants. Oriental restaurants had a significantly higher mean percentage of customers from other areas of London (ranked mean 31.54%) compared with Asian restaurants (ranked mean 21.46%) at the 1% level (Mann-Whitney U value 207.000 / Significance 0.008). There was no significant difference when the mean percentage figures for Asian and Oriental restaurants respectively were compared with 'other' restaurants.

There was also a significant difference in the mean percentage of customers from *outside London* and involvement. Respondents involved in one or more of the initiatives had a significantly higher mean percentage of customers from outside London (ranked mean 49.5%) when compared with respondents who were not involved in any of the initiatives (ranked mean 37.30%) at the 5% level (Mann-Whitney U value 307.000 / Significance 0.028). This was supported by a significant correlation between the percentage of customers from outside London and participation score (Kendall's Tau_b value 0.161 / 1 tailed significance 0.039). As the correlation co-efficient was positive it confirmed that as the percentage of customers from outside London increased so did the participation score.

There was a significant difference between Oriental and 'other' restaurants in the mean percentage of customers from outside London. Oriental restaurants had a significantly higher mean percentage of customers from outside London (ranked mean 29.52%) compared with 'other' restaurants (ranked mean 23.48%) but only at the 10% level (Mann-Whitney U value 259.500 / Significance 0.095). There was no significant difference when the mean percentage figure for Asian restaurants was compared with both Oriental restaurants and 'other' restaurants.

Average spend

19% (15) of respondents worked in businesses where the average amount spent per customer, including drinks, was under £10. 49.4% (39) had an average spend of £10-19.99 and 31.6% (25) had an average spend of £20 or more.

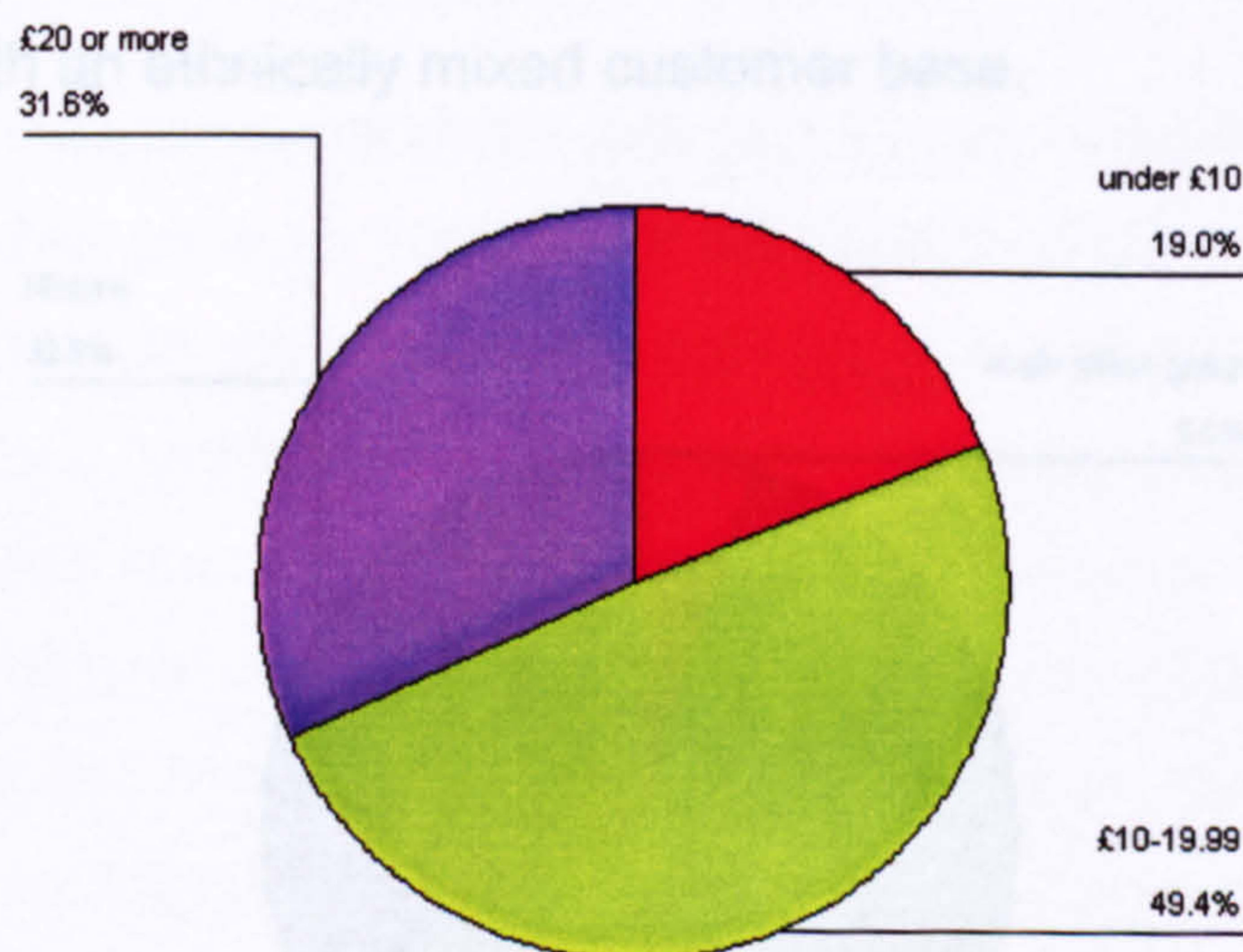


Chart 6.5: Average spend

To overcome low cell counts the first two categories were combined to give a result of 68.4% (54) of respondents having an average spend of less than £20. There was a significant relationship between average spend and level of participation (Pearson Chi-Square 0.014 / Likelihood Ratio 0.009).

Respondents in restaurants with an average spend of under £20 were more likely to be unaware of the initiatives (adjusted residual 2.7). Respondents in restaurants with an average spend of £20 or more were more likely to be

knowledgeable (adjusted residual 2.0) or to be involved (adjusted residual 1.6).

A significant relationship was also found between average spend and type of restaurant (Pearson Chi-Square 0.001 / Likelihood Ratio 0.001).

Respondents in Asian restaurants were more likely to have an average spend of less than £20 (adjusted residual 2.8) whilst respondents in 'other' restaurants were more likely to have an average spend of £20 or more (adjusted residual 3.5). The results were evenly spread for respondents in Oriental restaurants.

Ethnic mix of customers

62% (49) of respondents mainly attracted customers who were white. 32.9% (26) attracted customers from a mixture of ethnic groups. Just 5.1% (4) of respondents mainly attracted customers from a single ethnic group. These last two categories were combined to avoid low cell counts, giving 38% (30) respondents with an ethnically mixed customer base.

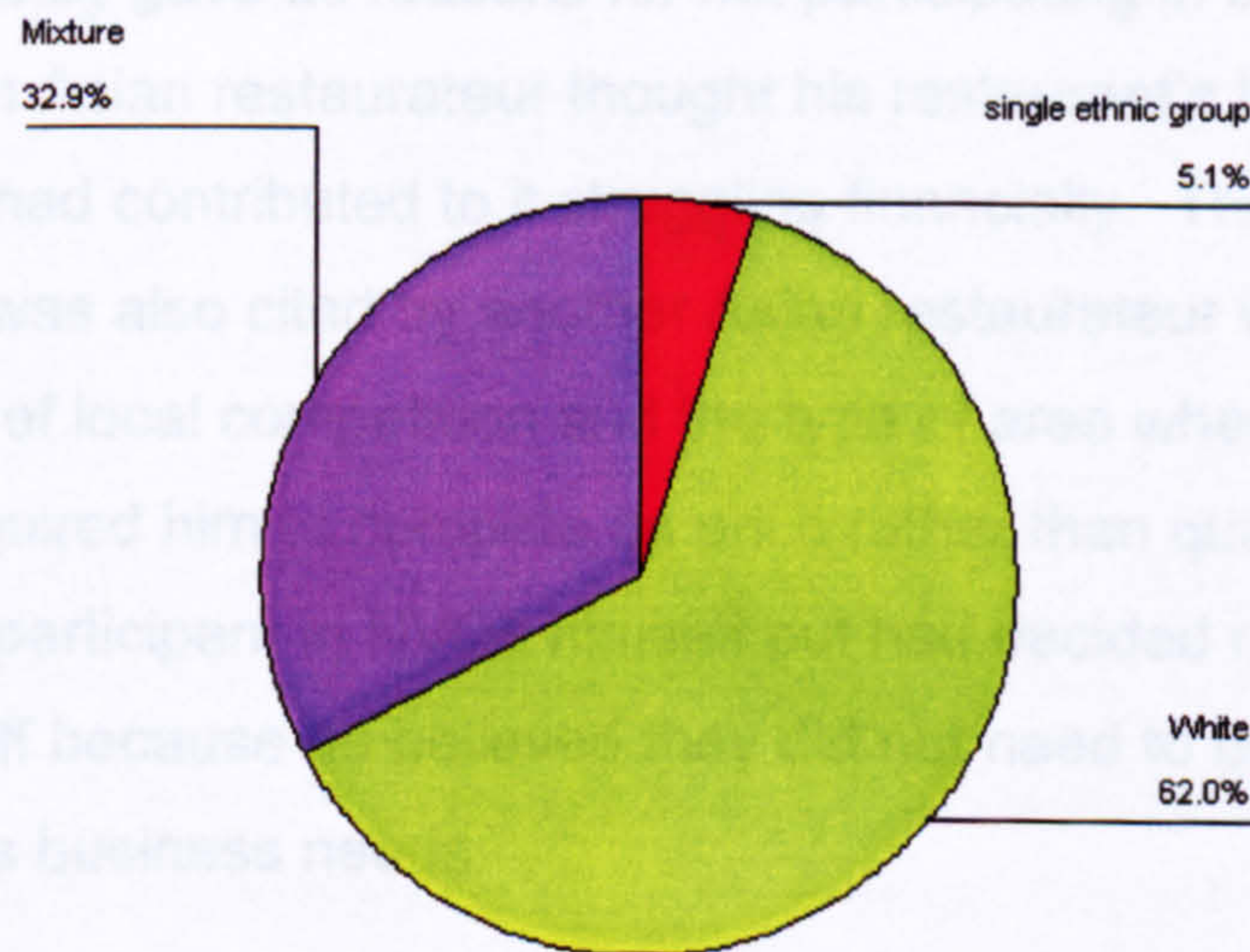


Chart 6.6: Ethnic mix of customers

There was a significant link between the ethnic group of the majority of customers and the level of participation (Pearson Chi-Square 0.002 /

Likelihood Ratio 0.001). Those with an ethnically mixed customer base were more likely to be unaware of any of the initiatives (adjusted residual 2.4) and conversely also more likely to be involved (adjusted residual 2.2). Those with a white ethnic base were more likely to be either aware (adjusted residual 1.9) or knowledgeable (adjusted residual 2.4).

6.2.6 Location (I12)

30.0% (24) of respondents ran restaurants in Greater London, whilst 70.0% ran restaurants in Central London. There was no significant relationship between where the restaurant was located and participation. However, all the restaurateurs who were unaware of the initiatives were located in relatively deprived suburban areas, whilst those who were participating in some way were either in Central London or more affluent suburbs. Just one of the restaurants from the qualitative interviews was both located in a deprived area and involved in one of the initiatives.

Some restaurateurs faced particular business issues because of their location, which they gave as reasons for not participating in the initiatives. For example, an Asian restaurateur thought his restaurant's location in Bethnal Green had contributed to it struggling financially. The impact of the local economy was also cited by another Asian restaurateur who had found that high levels of local competition and the type of area where his restaurant was located required him to compete on price rather than quality. He had been an active participant in NVQs himself but had decided not to introduce them for his staff because he believed they did not need to be trained to this level to meet his business needs.

A manager of an Oriental restaurant that was part of a chain had worked with a number of Employment Service offices when trying to recruit new staff. She had found one particular office in Central London 'better than the others' she had dealt with in other areas, as they were more helpful and had put forward more suitable applicants. She thought that her company would be more likely to become involved in the New Deal if the approach came through that particular office rather than coming from a new contact.

6.2.7 Future plans (I26)

33.8% (27) of respondents had a business plan. There was a significant relationship between having a business plan and participation. Respondents with a written business plan were significantly more likely to be aware of the initiatives than those without (Pearson Chi-Square 0.029 / Likelihood Ratio 0.022 / Fishers 0.025 – 1 sided / adjusted residual 2.2). They were also significantly more likely to be knowledgeable (Pearson Chi-Square 0.022 / Likelihood Ratio 0.021 / Fishers 0.020 – 1 sided / adjusted residual 2.3) and to be involved (Pearson Chi-Square 0.045 / Likelihood Ratio 0.051 / Fishers 0.091 / adjusted residual 2.0).

There was also a significant relationship between having a business plan and type of restaurant (Pearson Chi-Square 0.011 / Likelihood Ratio 0.007). Asian respondents were least likely to have a business plan (adjusted residual -2.9) while Oriental respondents were most likely to (adjusted residual +2.0). This is consistent with comments from one of the providers interviewed who described Asian restaurants as being 'successful through luck, not strategic planning'.

36.7% (29) of respondents planned to open more restaurants within a year, 54.4% (43) had no plans and 8.9% (7) didn't know. There was no significant relationship with participation. However, in contrast to these quantitative findings some of the restaurateurs involved in the qualitative interviews reported that their participation decisions were linked to their plans regarding expansion. For example, an Asian restaurateur expressed interest in training and recruitment initiatives and said he was likely to seek involvement immediately prior to expanding his restaurant chain. He believed that as the chain became larger he would lose direct control over the day-to-day running of each restaurant, and thought he would need to train his staff and managers more formally in order to put his trust in them.

In a number of cases the future was uncertain and respondents believed this would affect their participation decisions. The manager of an Asian restaurant said one of the reasons he would not become involved in the initiatives was the fact that the business was being sold. It had apparently

been on the market for some time and the owner was 'demoralised and not really likely to get involved in anything'. There were also examples of restaurateurs in 'other' restaurants who were similarly disenchanted with the industry and were planning to sell their businesses. One of the Oriental restaurants was also in an uncertain position as the owner was planning to retire and had not made a decision about the future of the restaurant.

6.2.8 Owner / Head Office support (S8)

59.5% (47) of respondents said the restaurant owner would decide whether or not to participate in any of the initiatives, compared with 22.8% (18) of respondents who said it would be the manager and 17.7% (14) who said it would be a joint decision. There was no significant difference across the three different types of restaurant. Therefore in 77.2% of restaurants it was the owner who would decide whether or not to participate either solely or as a joint decision with a manager. In 40.5% of cases the manager would decide, either solely or as a joint decision with the owner. There was no significant relationship between who would make the decision and participation.

The fieldwork included interviews with 37 restaurant managers who had been identified as being responsible for making training decisions within their restaurant. Despite this 29.7% of them (11) said the owner would decide about participation in these initiatives. A further 29.7% (11) said it would be a joint decision and 40.5% (15) said it would be solely their decision. Therefore in 59.5% of these cases (22) the manager had to get explicit agreement from the owner (or from Head Office) before becoming involved. An interviewee who worked for a group of Oriental restaurants highlighted the fact that she had little control over decisions to participate in initiatives. Whilst she was responsible for recruitment and training in the restaurant she managed, she was also required to work within wider company procedures and would not be able to participate unilaterally. This was supported by another Oriental Restaurant Manager. In both cases specialist training staff from Head Office would make a company-wide decision about participation.

6.2.9 Ownership and management (I32)

72.2% of the restaurants (57) had been established by their current owner and 8.9% (7) had been opened by a member of the current owner's family. 15.2% (12) had been bought as 'going concerns' from someone unrelated to the current owner. The remaining 3.8% of respondents (3) did not know who had started the business. There was no significant relationship with type of restaurant or participation.

53.1% (42) of respondents were owners and 46.8% (37) were managers. 47.6% (20) of the owners were sole-owners and the remaining 52.4% (22) owned the restaurant in partnership with others. There were no significant differences between the respondent's position in the company and the type of restaurant or participation. The only point of interest was that sole owners were most likely to be unaware of the initiatives (adjusted residual 2.0).

22.8% (18) of respondents had owned or worked for the company for less than 1 year. 30.4% (24) had owned or worked for the company for between 1 and 5 years. 46.8% (37) had owned or worked for the company for more than 5 years. There was no significant relationship between the length of time respondents had owned or worked for the company and type of restaurant or participation.

When asked about their style of management, 60.8% of respondents (48) described themselves as 'hands-on', 5.1% (4) as 'strategic' and 31.6% (25) as a combination of the two. 2.5% (2) of respondents did not feel able to define their style of management in this way. The relationships between style of management and type of restaurant or participation were not found to be statistically significant. The patterns that were noted however were for restaurateurs who described their management style as 'hands-on' to be more likely to be unaware of any of the initiatives (adjusted residual 1.5), whilst those who were either 'strategic' or combined both approaches were more likely to be involved.

6.2.10 Summary of relationships between the business profile and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Size of business (I21)	<p>There was no quantitative evidence that size of business as measured by number of covers, number of employees and number of restaurants owned, was a factor that affected participation. However, the qualitative research suggested that some providers and restaurateurs believed it to be so. One provider reported that most of the owners they worked with had more than one restaurant. Some restaurateurs believed that restaurant chains had more need for training initiatives because the owner(s) had less direct control over day to day operations. Some restaurateurs believed the initiatives were not needed in small restaurants. Local provision was thought to be particularly important to small restaurants.</p>
Age of business (I28)	<p>Restaurateurs in long-established businesses (more than ten years) were aware of fewer initiatives than those in younger businesses. However, the qualitative findings suggested that some restaurateurs in young businesses would be unlikely to become involved in this group of initiatives before their businesses were established and stable.</p>
Approach to training (I30)	<p>Restaurateurs who provided off-job training were significantly more likely to be aware of the initiatives than those who did not. Asian restaurateurs were least likely to provide off-job training whilst 'other' restaurateurs were most likely to. Restaurateurs with a written training plan were found to be more likely to have awareness and knowledge than those without.</p> <p>A relatively high number of restaurateurs reported being attracted to initiatives that would provide a framework for training their staff. The qualitative findings revealed that some restaurateurs said they would become involved to address particular training needs they had identified. However, some others said training was not necessary in restaurants and gave this as a reason for not participating in the initiatives.</p>
Financial position (I7a)	<p>The quantitative findings showed no significant relationship between how a restaurant was financed and level of participation. This also applied to profit levels and levels of owner income. However the pattern was for low turnover to be associated with low levels of awareness. In addition restaurant managers who were relatively low paid were aware of fewer initiatives than those who were more highly paid.</p>
Breakout (I8b)	<p>The quantitative findings showed that having a low percentage of local customers was associated with high participation scores, whilst having a high percentage of local customers was associated with low levels of involvement. Restaurants that attracted a high percentage of customers from across London had relatively high participation scores. This was particularly the case in Oriental restaurants. Restaurants with a high percentage of customers from outside London had high participation scores and were more likely to be involved in one or more of the initiatives.</p> <p>Restaurants that achieved high average-spend per customer were found to be participating at a higher level than restaurants with a low average-spend. Low average-spend was associated with low levels of awareness.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Location (I12)	<p>There was no quantitative evidence of a link between being located in Greater or Central London and participation. There was some qualitative evidence that participation was affected by locality as all the restaurateurs who were unaware of the initiatives ran restaurants located in relatively deprived suburbs, whilst the vast majority of those participating (across all levels) were in either Central London or in more affluent suburbs. Just one of the restaurants from the qualitative interviews was both located in a relatively deprived area and had been involved in one of the initiatives. In addition some restaurateurs cited local issues as affecting the likelihood of them participating, including competition levels affecting their financial position by determining whether they competed on price or quality, availability of local co-ethnic staff affecting their interest in recruitment initiatives and the effectiveness of local agencies.</p>
Future plans (I26)	<p>Restaurateurs with a written business plan were more likely to be participating than those without one.</p> <p>The quantitative evidence suggested that restaurant owner/managers who had plans to expand their business in the forthcoming year were not participating at a higher level than those who did not. However the qualitative research revealed some particular cases where restaurateurs linked the likelihood of participating in the initiatives to their future expansion plans. In addition other restaurateurs said they would be unlikely to participate as their restaurants were soon to be sold.</p>
Owner / Head Office support (S8)	<p>Quantitative evidence suggested that the majority of managers who made training decisions would still involve the restaurant's owner in the decision to become involved in these initiatives. This was supported by the qualitative findings, with one Oriental chain restaurant in particular saying Head Office would make a company-wide decision on participation in these initiatives.</p>
Ownership and management (I32)	<p>There was no significant relationship between who had established the business (current owner, current owner's family or bought as existing restaurant) and participation. There was also no significant relationship between the respondent's position in the company (sole owner, joint owner or manager) and participation. The length of time the respondent had owned or worked for the company was not found to affect their level of participation. There was also no relationship between the owner/manager's style of management (strategic, hands-on or a combination of the two) and participation.</p>

Table 6.01: Business profile: summary of nature and extent of each variable's effect on participation

6.3 Variables relating to staff profile and attitudes

The findings in this section relate to the:

1. Age of staff (I15b)
2. Education level of staff (I19b)
3. English language ability of staff (I1b)
4. Staff views on participation (I29)

6.3.1 Age of staff (I15b)

70.1% (56) of restaurants employed at least some staff under the age of 25. There was a significant relationship between employing staff under 25 and awareness, but only at the 10% level (Pearson Chi-square 0.089 / Likelihood Ratio 0.096 / Fishers 1 sided 0.08). Those with staff under the age of 25 were more likely to be aware of the initiatives than those who did not employ anyone under 25 (adjusted residual 1.7).

Age of staff also varied significantly by type of restaurant. Asian restaurants were least likely to employ anyone under 25 (adjusted residual -2.5), whilst 'other' restaurants were most likely to do so (adjusted residual 2.8) (Pearson Chi-square 0.011 / Likelihood ratio 0.007).

The providers with specialist Asian and Oriental restaurant schools reported having candidates whose ages mainly ranged from early twenties to mid thirties, although some were older than this. They explained that they were able to offer programmes to this age range because they received funding from the then Further Education Funding Council. If they had been funded by the then Training and Enterprise Councils they would not have been able to include anyone over the age of twenty-five. They explained that this would be problematic as the Asian and Oriental restaurants they had contact with employed many people who were older than this.

One of the Oriental restaurateurs interviewed said he had found that older members of his staff were sometimes a little unwilling to take part in internal training courses. He thought this was due to them being frightened of being seen not to know something, particularly in front of younger staff members. Another Oriental respondent suggested that restaurants with young staff may be more likely to get involved, or restaurants run by young educated people who wanted staff to be qualified. Comments from another restaurateur showed they had a perception that training initiatives were only aimed at young people. They explained that they would be concerned that candidates who were introduced by training providers would be too young as they preferred to employ older people.

6.3.2 Education level of staff (I19b)

Respondents were asked whether or not they employed anyone who had no qualifications, anyone with basic qualifications and anyone with advanced qualifications. They were then asked to identify which of these groups the majority of their employees belonged to.

49.4% (39) of respondents employed at least some staff with no qualifications. This was evenly spread across the different types of restaurant. There was no significant relationship between employing staff without qualifications and participation.

72.2% (57) of respondents employed at least some staff with basic qualifications. Again this was evenly split across the three different types of restaurant. Significant relationships were found with level of participation and the number of initiatives that respondents were aware of, although the proportion of cells with a low expected count were too high for these findings to be relied upon.

67.1% (53) of respondents employed at least some staff who had advanced qualifications. There was a significant relationship between employing at least some staff with advanced qualifications and participation (Pearson Chi-Square 0.037 / Likelihood Ratio 0.044). Respondents who employed people with advanced qualifications were significantly more likely to be aware (adjusted residual 0.7), knowledgeable (adjusted residual 1.4) or involved (adjusted residual 1.0) in one or more of the initiatives. There was also a significant difference in how this was spread across the different types of restaurant (Pearson Chi-Square and Likelihood Ratio of 0.000).

Respondents in Asian restaurants were least likely to employ any staff with advanced qualifications (adjusted residual -4.7) whilst respondents in Oriental restaurants were most likely to do so (adjusted residual 2.8).

When asked about the qualification level of most staff, 10.1% (8) of respondents answered 'none', 54.4% (43) of respondents answered 'basic', 12.7% (10) of respondents answered 'advanced' and 17.1% (14) said 'a

mixture'. 5.1% (4) said they did not to know the qualification level of most staff. 25.3% (20) of respondents reported that most of their staff spoke

English 'poorly'. 45.8% (36) mainly employed staff who spoke English 'well' and 27.8% (22) of respondents mainly employed staff who spoke English 'very well'.

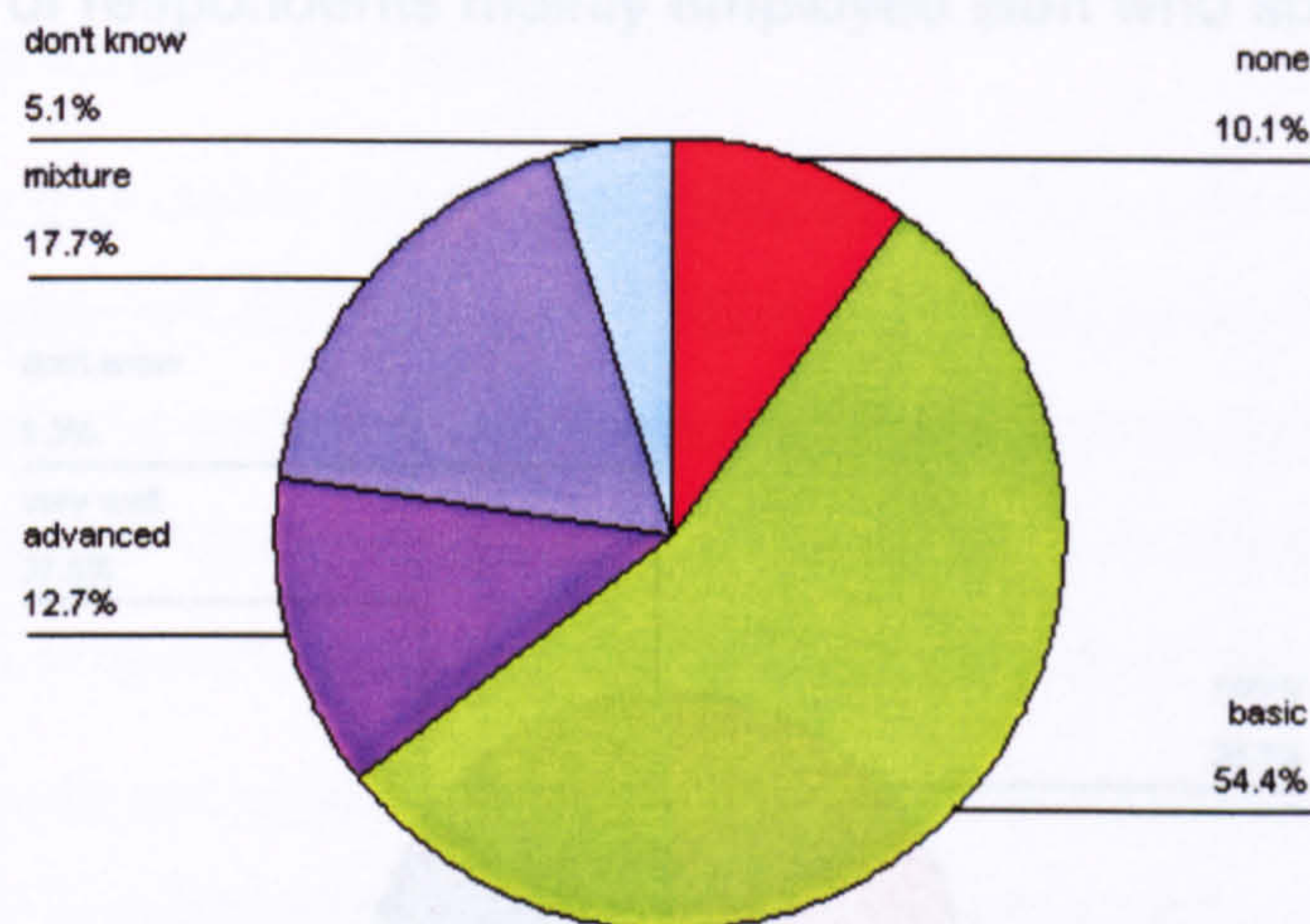


Chart 6.7: Qualification level of most staff

The number of cells with a low count was too high for any significant relationships to be reliably identified. However the pattern was for Asian restaurants to be most likely to employ people with no qualifications, Oriental restaurants to be most likely to employ people with a mixture of qualifications and 'other' restaurants to be most likely to employ people with advanced qualifications.

A number of the restaurateurs and organisations interviewed did believe there was a link between education level and participation. High levels of education sometimes deterred people from participating in vocational education and training if the programmes being offered to them were not considered sufficiently challenging.

6.3.3 English language ability of staff (I1b)

Level of spoken English for staff

73.4% (58) of respondents employed some staff who could not speak English. All three of the providers interviewed felt that participants needed to have some level of English in order to be involved successfully and one reported that it had refused admission for applicants with no English.

91.1% (72) of respondents employed some staff who spoke English 'very well'. 25.3% (20) of respondents reported that most of their staff spoke English 'poorly'. 45.6% (36) mainly employed staff who spoke English 'well' and 27.8% (22) of respondents mainly employed staff who spoke English 'very well'.

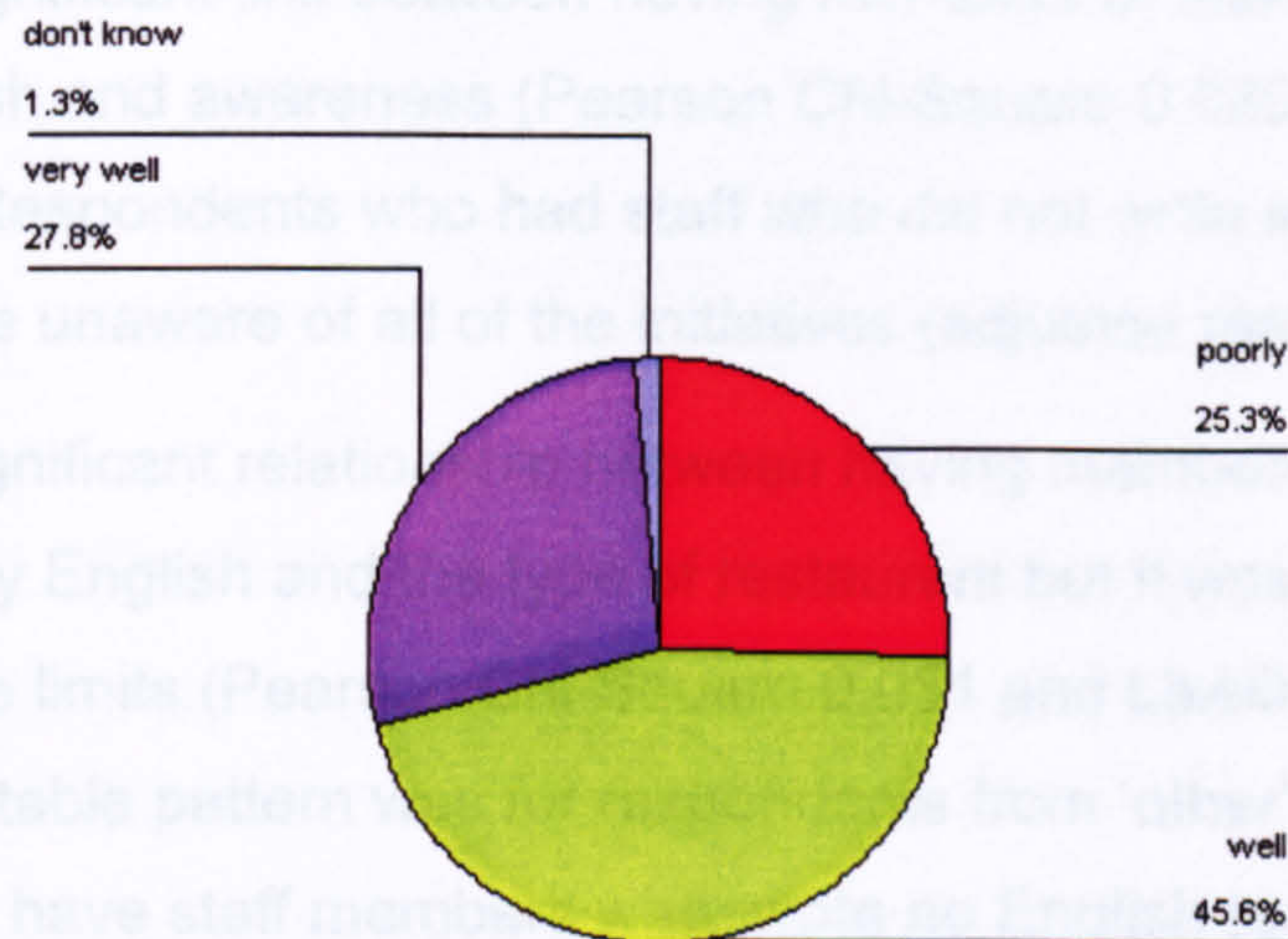


Chart 6.8: Level of spoken English for most staff

There was a significant relationship between the level at which most staff members spoke English and awareness (Pearson Chi-Square 0.033 / Likelihood Ratio 0.016). Respondents who mainly employed staff who spoke English 'poorly' were most likely to be unaware of any of the initiatives (adjusted residual 2.7) whilst respondents who mainly employed staff who spoke English 'very well' were most likely to be aware (adjusted residual 1.9).

There was also a significant relationship between the level at which most staff members spoke English and the type of restaurant (Pearson Chi-Square 0.034 / Likelihood Ratio 0.034). Respondents in Asian restaurants were least likely to mainly employ staff who spoke English 'very well' (adjusted residual -1.8). Respondents in Oriental restaurants were most

likely to mainly employ staff who spoke English 'poorly' (adjusted residual 1.3). Respondents in 'other' restaurants were most likely to mainly employ staff who spoke English 'very well' (adjusted residual 3.0).

Level of written English for staff

68.4% (54) of respondents employed some staff who could not write English. There was a significant link between having members of staff who did not write any English and awareness (Pearson Chi-Square 0.020 / Likelihood Ratio 0.021). Respondents who had staff who did not write any English were most likely to be unaware of all of the initiatives (adjusted residual 1.9).

There was a significant relationship between having members of staff who did not write any English and the type of restaurant but it was just outside 95% confidence limits (Pearson Chi-Square 0.051 and Likelihood Ratio of 0.054). The notable pattern was for respondents from 'other' restaurants to be less likely to have staff members who wrote no English (adjusted residual -2.4) and for this to be slightly more likely for respondents from Asian and Oriental restaurants.

83.5% (66) of respondents employed some staff who wrote English 'very well'. 27.8% (22) of those interviewed reported that most of their staff wrote English 'poorly'. 39.2% (31) mainly employed staff who wrote English 'well' and 29.1% (23) mainly employed staff who wrote English 'very well'.

There was no significant relationship between the level at which most staff members wrote English and the level of participation. However the pattern was for respondents who mainly employed staff who wrote English 'poorly' to be unaware of the initiatives (adjusted residual 1.7).

There was a significant relationship between the level at which most staff members wrote English and the type of restaurant (Pearson Chi-Square 0.009 / Likelihood Ratio 0.011). Respondents in Asian restaurants were most likely to mainly employ staff who wrote English 'poorly' (adjusted residual 2.4). Respondents in Oriental restaurants were most likely to mainly employ staff who wrote English 'well' (adjusted residual 1.6). Respondents

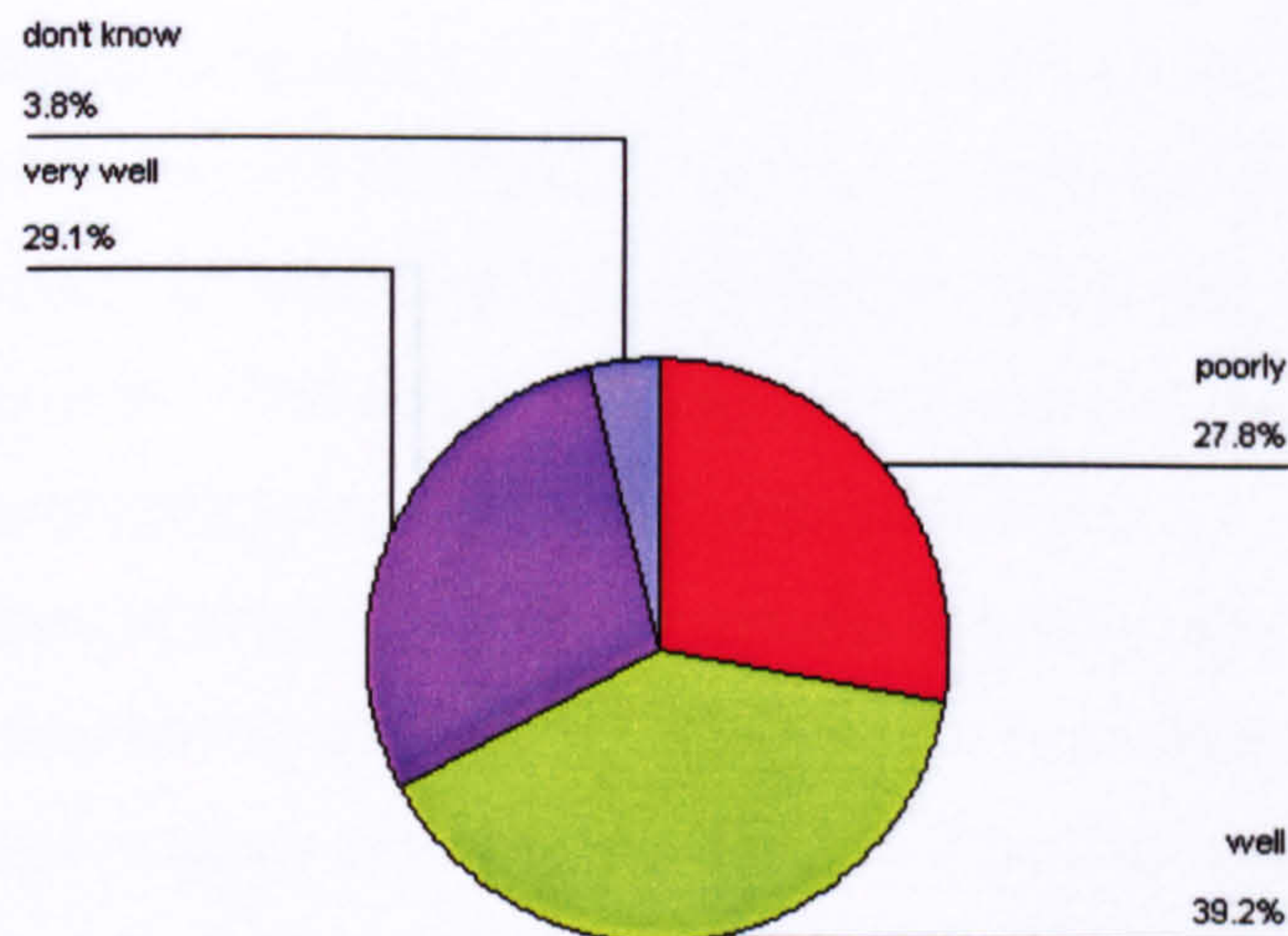


Chart 6.9: Level of written English for most staff

in 'other' restaurants were most likely to mainly employ staff who wrote English 'very well' (adjusted residual 3.2).

The providers interviewed highlighted the importance of written language ability to being involved in the initiatives and believed this was a particular issue for potential participants. One provider stated that NVQs were too complex for people with low English language ability and that they needed to be able to offer a simpler qualification. Although many of their students were second generation immigrants, some still had low levels of written English and poor communication skills. Another provider stated that completing a written diary of evidence towards achievement of an NVQ was a barrier for many of their students but that this was especially true for students with English as a second language. Two of the three providers reported having found that many candidates from Asian restaurants were illiterate in their first language as well as in English.

English reading level of staff

73.4% (58) of respondents employed some staff who could not read English. 92.4% (73) of respondents employed some staff who read English 'very well'. 27.8% (22) of respondents reported that most of their staff read English 'poorly'. 43% (34) mainly employed staff who read English 'well' and 25.3% (20) of respondents mainly employed staff who read English 'very well'.

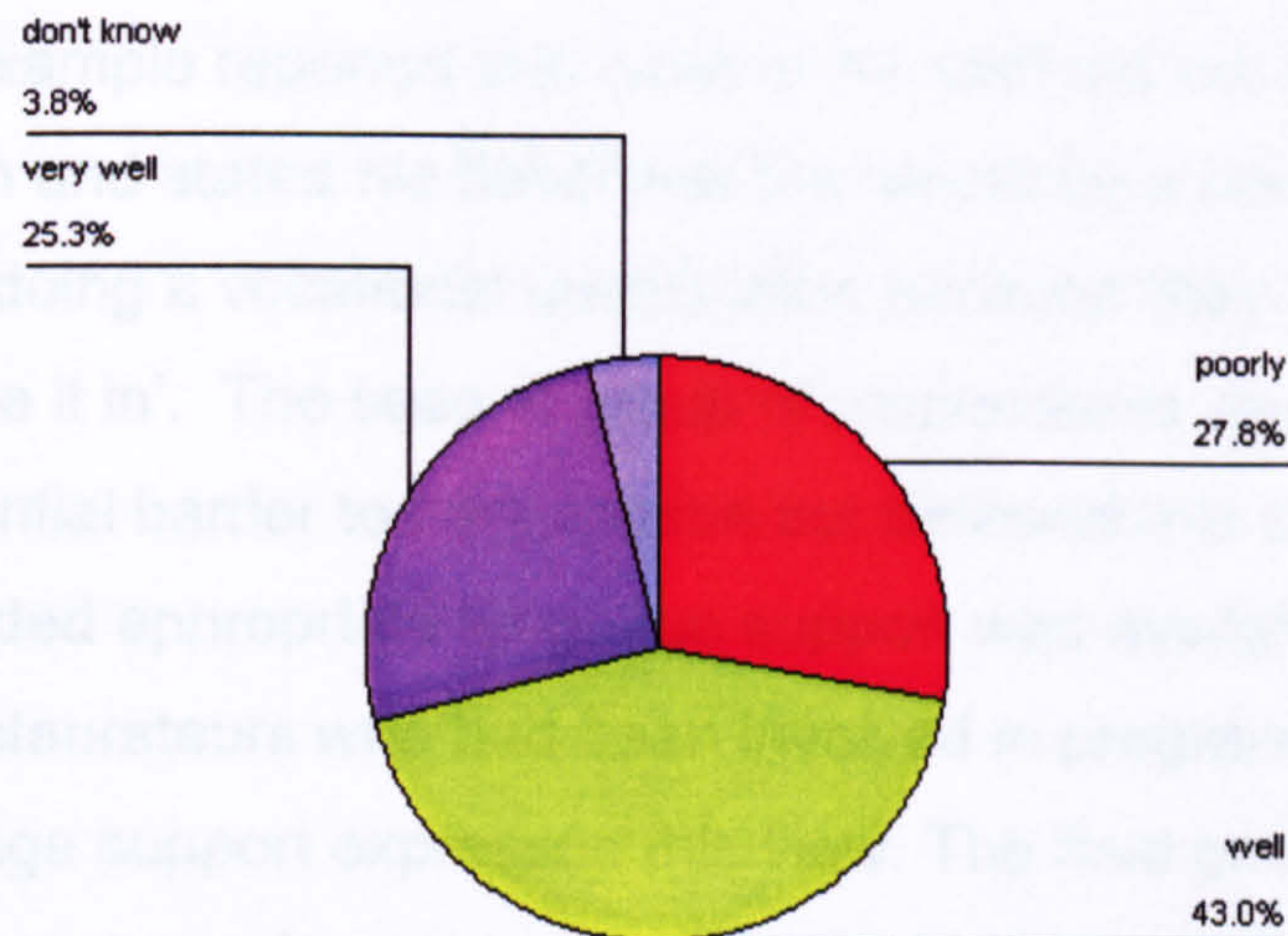


Chart 6.10: English reading level for most staff

There was a significant relationship between the reading level of most staff and awareness (Pearson Chi-Square 0.016 / Likelihood Ratio 0.006).

Respondents who mainly employed staff who read English 'poorly' or 'well' were most likely to be unaware of any of the initiatives (adjusted residuals of 1.3 and 1.4 respectively). Respondents who mainly employed staff who read English 'very well' were most likely to be aware of one or more (adjusted residual 2.9).

There was also a significant relationship between the level at which most staff members read English and the type of restaurant (Pearson Chi-Square 0.039 / Likelihood Ratio 0.034). Respondents in Asian restaurants were most likely to mainly employ staff who read English 'poorly' (adjusted residual 1.7) whilst respondents in 'other' restaurants were most likely to mainly employ staff who read English 'very well' (adjusted residual 2.8). Responses from Oriental restaurants were evenly spread across the three groups.

The findings from the qualitative interviews showed that many employers believed the language ability of their staff affected their participation.

However, they did not all see the issue in the same way and fell into one of three groups. The first group saw low levels of English as an

insurmountable barrier to involvement. A respondent in an Oriental restaurant for example reported that most of his staff did not have good levels of English and stated his belief that this would be a considerable barrier to them doing a vocational qualification because they 'wouldn't have the ability to take it in'. The second group of respondents also saw language ability as a potential barrier to participation but believed this could be overcome provided appropriate language support was available. Both Asian and Oriental restaurateurs who had been involved in programmes that provided language support expressed this view. The final group saw low levels of English not as a barrier but as a positive motivating force in encouraging them to become involved in initiatives that would help their staff improve their English. This group contained both Asian and 'other' interviewees who expressed the view that training should be conducted in English and that initiatives should not be delivered in other languages, although some did believe language support should be available 'as a back-up'.

Those restaurateurs who did not believe their participation was affected by the English language ability of their staff attributed this to only employing people with good levels of English. One Oriental restaurateur stated that 'these days English levels are very good for most staff so it is no problem if they are taught in English'. A restaurateur from an 'other' restaurant said they needed to have staff with a good command of English, and that this was something they looked for when recruiting. His staff therefore had high levels of English language ability so this did not affect his decision to participate in any of the schemes.

6.3.4 Staff views on participation (I23)

20.7% (6) of respondents who had some knowledge of NVQs said they would not be attracted to them because there was no demand from their staff. This compares to 40.0% (2) for NTs, 18.2% (2) for MAs, 37.5% (6) for IIP and 21.4% (3) for the ND.

41.4% (12) of those with knowledge of NVQs said they would get involved if a member of staff wanted to, compared with 20.0% (1) for NTs and 54.5% (6) for MAs. 56.3% (9) of respondents said they would be attracted to involvement with IIP in order to show their staff they work for a good company.

A number of Oriental restaurateurs said their staff would resist becoming involved. One said 'I don't think they would like it as they would not want to go back to education' and another 'staff would resist getting involved with these initiatives...they are only interested in financial rewards'. Other restaurateurs thought their staff believed qualifications were unnecessary because 'the job is simple' and because 'they know employers don't expect them to be qualified'. There were examples though of restaurateurs who said their staff would be enthusiastic about doing a qualification if it was suggested to them, but said they were not aware or interested enough to raise the possibility themselves.

However, other restaurateurs believed their staff had positive attitudes to gaining vocational qualifications. Typical comments were 'I think my staff would appreciate the opportunity to get qualifications as they want a career in restaurants and want to own their own businesses', 'I think many members of staff would welcome doing a qualification (as)...they would find it quite motivating' and 'I mentioned it to them when I was doing my qualification and they were all for it'. One of the providers interviewed suggested that the employees participating 'showed more enthusiasm and commitment than their employers'. In addition, another provider described how their students were motivated by wanting to do well at work and wanting a qualification to help their careers. However, this was balanced by comments from the same organisation reporting that some restaurateurs, who had introduced NVQs with the help from the college, 'had staff begging to let them stop'.

6.3.5 Summary of relationships between staff profile / attitudes and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Age of staff (I15b)	Restaurants that employed at least some staff under the age of 25 were found to be significantly more likely to be aware of at least one initiative when compared with those who did not have young staff. In addition, qualitative comments from both restaurateurs and providers suggested that age of staff affected involvement. This was due to eligibility for certain initiatives and attitudes towards training changing with age. Asian restaurants were least likely to employ anyone under the age of 25, whilst 'other' restaurants were most likely to.
Education level of staff (I19b)	Restaurateurs who employed some staff with advanced qualifications had higher levels of awareness, knowledge and involvement than those that did not. There was no qualitative evidence of a connection.
English language ability of staff (I1b)	<p>Employees in 'other' restaurants were reported to have higher levels of English than those in Asian and Oriental restaurants. This applied to reading, writing and speaking. Levels of spoken English were lowest in Oriental restaurants. Reading and writing levels were lowest in Asian restaurants. Restaurateurs who mainly employed staff with low levels of English themselves had low levels of awareness.</p> <p>The qualitative findings suggested that the English language ability of staff was a factor for many owner/managers although it affected different people in different ways. Some said they would be motivated to get involved with initiatives to help their staff improve their English, whilst others saw low language ability as a barrier to involvement.</p> <p>Some of the providers interviewed reported having refused applications from candidates who did not speak English. They also suggested that written language ability was important particularly for candidates on NVQ programmes and highlighted the fact that some candidates who worked in ethnic minority restaurants were illiterate in both their first language and English.</p>
Staff views on participation (I29)	The quantitative findings showed that a sizeable number of employers would be influenced by the attitudes of their employees (or by their perception of their employee's likely views), either positively or negatively, when making participation decisions. The qualitative research indicated that some restaurateurs thought their employees would be resistant to becoming involved in these initiatives, whilst other thought they would have a positive attitude.

Table 6.02: Staff profile / attitudes: summary of nature and extent of each variable's effect on participation

6.4 Conclusion

This chapter has presented evidence on the relationship between the business profile and participation. It has also presented evidence on the relationship between the profile and attitudes of restaurant staff and participation in the initiatives. The following chapter presents the evidence that relates to social networks and the wider environment.

7 Variables Relating to Social Networks and the Wider Environment: Findings Part Four

7.1 Introduction

This chapter contains evidence that shows how participation in the initiatives can be affected by the social networks within which a business operates and by the restaurateurs' views of the wider external environment. The findings in this chapter therefore relate to the last two of the six categories used:

1. Decision-maker's profile
2. Decision-maker's attitudes / opinions / behaviour
3. Business profile
4. Staff profile / attitudes
5. Social networks
6. Wider environment

7.2 Variables relating to social networks

The findings in this section relate to:

1. Co-operation / competition between different ethnic groups (E9)
2. Peer and community support networks (S4)
3. Sense of ownership (I14)
4. Family support (S9)
5. Cultural mediators (S5)

7.2.1 Co-operation / competition between different ethnic groups (E9)

There were examples of where co-operation within and between ethnic groups had led to participation in the initiatives. As previously mentioned a number of the Asian restaurateurs had become involved through membership of the Bangladeshi Caterers Association (BCA). One provider explained that in addition to the BCA there was a second Bangladeshi restaurant association called the Guild of Bangladeshi Caterers and described the potential for them co-operating to reach a larger number of restaurateurs. He thought it would be very beneficial if these two bodies worked together to promote involvement to their members, but also recognised the rivalry between the two associations and said that whilst 'the politics' did not adversely affect his catering school, the 'fragmentation' between the two groups did not help.

Another provider explained how his organisation had been formed when three Asian and Oriental businessmen who had previously been involved with the initiatives decided to establish a specialist ethnic catering school. One ran Chinese restaurants, one Indian and the other Thai restaurants. The School initially offered training in these three cuisines, but also had plans to extend this to cover a wider range of ethnic food, including Japanese and Creole. The representative interviewed believed that the co-operation between the three restaurateurs had been vital to establishing a school that was commercially viable and appealed to a broad range of ethnic restaurateurs.

7.2.2 Peer and community support networks (S4)

Peer groups had considerable influence as an information source for restaurateurs. 43.8% (35) reported that they obtained business information from other restaurant owners and 37.5% (30) obtained business information from friends.

The Asian restaurateurs who had become involved in NVQs through the BCA demonstrated that peer support amongst restaurateurs could influence the initial decision to become involved. However, the two restaurants that had become involved in this way had not maintained their involvement after that particular scheme had ended because they did not believe that involvement had benefited their businesses.

One of the providers interviewed stated that they had received enquiries about the ethnic catering programmes from employees who had heard about them from colleagues. There were also examples of peer support in the form of students helping colleagues with low English language ability.

In addition to promoting their programmes with employer groups, the providers had also taken steps to promote them with community groups. They recognised that there were often 'networks within the community' and people with 'dominant views' who could influence whether or not others participated. However, one provider described being 'met with enthusiasm but no action'. Another explained how he had attended community events to

'gain credibility' within the community. Whilst this had not led directly to restaurateurs becoming involved, he did believe it to have been necessary to get general community support that enabled individuals to have the freedom to decide whether or not to participate.

59.5% (47) of respondents claimed that their business was involved in community activities (by donating to charity or being involved with other local businesses), which was evenly spread across the three different types of restaurant. There was a significant link between the business being involved in charity and local community activities and participation (Pearson Chi-Square 0.047 / Likelihood Ratio 0.046). Respondents in businesses involved in these activities were more likely to be involved (adjusted residual 1.5) than those who were not.

45.6% (36) of respondents were personally involved in their local community (in local politics, charity work, as a volunteer or by attending a community group) and this finding differed significantly between the different types of restaurant (Pearson Chi-Square 0.002 / Likelihood Ratio 0.002).

Respondents in Asian restaurants were most likely to be involved in the community (adjusted residual 3.2) whilst respondents in Oriental restaurants were least likely to be involved (adjusted residual 2.8). However, those involved in the community had lower levels of participation (Pearson Chi-Square 0.045 / Likelihood Ratio 0.045 / Fisher's Exact Test (1-sided) 0.040). They were more likely to be unaware of any of the initiatives (adjusted residual 2.0) compared with those not involved in the community.

39.2% (31) of respondents stated that they attended a religious centre and 25.3% (20) stated that they attended a community centre. There were no significant relationships between attending a religious or community centre and participation.

7.2.3 Sense of ownership (I14)

A number of the restaurateurs indicated that they would like to influence Government programmes but felt they did not have the time. Some partially overcame this by being active members of restaurant associations but still

expressed the view that there was 'too little time and too few resources' to influence government programmes.

The three specialist training schools interviewed had invested considerable time and resources into encouraging restaurateurs to become actively involved. They had developed links with Asian and Oriental restaurant associations and prominent respected restaurateurs. In some cases these industry leaders had become involved in designing the programmes offered by the schools and had then helped to promote them to other restaurateurs. The providers described how this had led directly to some restaurateurs becoming involved. One of the schools had actually been established by Asian and Oriental restaurateurs who had become Directors, whilst another had identified 'employer champions' to help promote the school and had formed an Advisory Committee of restaurateurs to steer its work. It had also appointed one of the restaurateurs to the college's Governing Council.

7.2.4 Family support (S9)

55.7% (44) of respondents worked in family-owned businesses and this result was evenly split between the three different types of restaurant. There were no significant relationships between family ownership and participation.

28.8% (23) of respondents reported that they obtained business information from family. There was a significant link between obtaining information from the family and being a family business (Pearson Chi-Square 0.037 / Continuity Correction 0.66 / Likelihood Ratio 0.33 / Fisher's Exact Test 2-sided 0.47 / 1-sided 0.32). However 17.1% of restaurateurs who ran non-family businesses said they also obtained business information from their family.

29.7% (11) of the managers interviewed were related to the owner of their restaurant. In 48.7% (38) of cases the owner's relations worked in the business and in 51.3% (40) of cases they did not. There was no significant relationship between whether the owner's relations worked in the business and type of restaurant or participation.

In a number of cases the interviewees were managers or co-owners who ran a business with their parents. Some of these respondents believed that this had an impact on the likelihood of them participating in the initiatives as, whilst they expressed personal interest, they thought their parents would not want them to become involved. In one case the respondent wanted to open more restaurants, and thought he would be most interested in participating in the initiatives immediately prior to this expansion. However his father did not want the business to expand further and he thought he would have to wait until his father retired.

There was some evidence of Oriental restaurateurs having entered the industry reluctantly out of a sense of family duty. One made this point very strongly when she said she only ran a restaurant because of 'family blackmail'. Other members of her family had run restaurants and it was 'expected that (she) would also do it to help the family financially'. Another respondent managed a Chinese restaurant that was owned by her parents. She had been to University and had a degree in an unrelated subject but after travelling for a while following graduation she started to help them run the restaurant. She explained that she had not intended to stay but her parents had begun to rely on her more and more and she said 'it would now be very difficult to leave'.

50.0% (38) of respondents reported having all their immediate family living in the UK. 35.5% (27) had some of their immediate family in the UK, whilst 14.5% (11) had none of their immediate family in the UK. There was no significant relationship between the number of immediate family members who were in the UK and type of restaurant or participation.

7.2.5 Cultural mediators (S5)

The 'employer champions' described in section 7.2.3 had acted as cultural mediators to ensure the content of the provider's programme was suitable and to help gain credibility within the Chinese restaurant community.

7.2.6 Summary of relationships between social networks and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Co-operation / Competition between different ethnic groups (E9)	The qualitative research identified that some restaurateurs had participated in these initiatives as a direct result of intra-ethnic co-operation. One of the providers also described how inter-ethnic co-operation between restaurateurs from three different ethnic groups had led to the formation of his specialist school. He believed that bringing different Asian and Oriental ethnic groups together had enabled him to establish a school that was commercially viable. The school had subsequently been able to promote the initiatives to Asian and Oriental restaurateurs and was successfully delivering programmes.
Peer and community support networks (S4)	<p>Quantitative findings showed that peer groups (other restaurant owners and friends) were an important source of business information for restaurateurs. The qualitative findings showed that peer support could influence awareness and the initial decision to become involved but did not necessarily lead to involvement being sustained.</p> <p>Restaurateurs who ran businesses that participated in charity and community activities were more likely to be involved in the initiatives than those who were not. However those who were personally involved in local community activities were more likely to be unaware of the initiatives.</p> <p>Providers reported having developed contact with community groups in order to get their specialist schools accepted within Asian or Oriental restaurant communities. Whilst this was not thought to have led directly to increased participation, one provider said he believed it was necessary to give individual restaurateurs freedom to participate if they wished.</p>
Sense of ownership (I14)	None of the restaurateurs demonstrated any sense of ownership over the initiatives they were involved in and whilst some said they would like to influence the design of Government programmes, they did not believe they had the time or resources to achieve this either directly or via membership of restaurant associations. However, the providers believed that employer involvement and ownership was essential if they were to secure involvement from sufficient numbers of Asian and Oriental restaurants to make their specialist schools a success. All three providers had invited leading restaurateurs to help design their provision and had subsequently involved them in promoting awareness, knowledge and involvement amongst other restaurants in their community.
Family support (S9)	There was no quantitative evidence of a connection between whether or not the restaurant was a family business and participation. However, there was qualitative evidence to suggest that family support for participation would be important in some cases. Some restaurateurs were in the process of taking over the family business from their parents and indicated that they would not be able to participate until after their parents had withdrawn from running the business as their parents would not agree.
Cultural mediators (S5)	Qualitative evidence from the providers suggested that they viewed having cultural mediators as an important part of their work to get their schools established. However, the study generated no evidence of employer's attitudes towards cultural mediators.

Table 7.01: Social networks: summary of nature and extent of each variable's effect on participation

7.3 Variables relating to the wider environment

The findings in this section relate to:

1. Public policy (E4)
2. Government support (S6)
3. Information / Communication methods used to promote initiatives (E6)
4. Opportunity presented (E13)
5. Trigger (E1)
6. Availability of initiative (E5)
7. Suitability of initiative (E2)
8. Accessibility of delivery system (E10)
9. Suitability of delivery system (E7)
10. Language support (S3)
11. Understanding of ethnic minority needs (E11)
12. Willingness to accommodate ethnic minority needs (E12)
13. Special provision for ethnic minorities (E15)
14. Cultural compatibility between provider and restaurateur (E14)
15. Cultural barriers (E3)
16. Ethnic minority staff delivering the initiative (S2)
17. Accessibility of additional resources (I20)
18. Racism / Discrimination (E8)
19. Mentors (S1)
20. Local Authority support (S7)

7.3.1 Public policy (E4)

The providers interviewed explained the link between government policy and their activities. They had all received substantial government funding to help them to establish their specialist Asian and Oriental catering schools. They made the connection between government policies to tackle social disadvantage and widen participation and the creation of the funding streams that they had accessed. One of the restaurateurs expressed support for this type of additional funding as he believed it ensured providers could 'afford to equip facilities and market courses in a way that ... enable(d) them to get ethnic minority businesses involved'.

The providers suggested additional changes to public policy that they thought would help them to increase participation. This included government funding being made available for other vocational qualifications that would be 'more flexible' than NVQs and funding being made available for targeted marketing and advertising including a campaign to raise awareness amongst employers. All the providers explained that they did not receive funding to

help them to develop and maintain contact with business owners/managers and yet they saw this as vital to them being able to fully 'engage employers' and to increase participation.

One provider explained that the system for delivery depended on candidates achieving whole qualifications, which in his opinion was detrimental to increasing participation. He believed it would be less daunting for both potential candidates and their employers if they were able to access funded courses that led to partial achievement of a whole qualification. He explained that 'if they could do individual parts then they may start with these, then stop or carry on and gradually do the whole initiative'. This was supported by comments from one of the restaurateurs who thought it 'should be easier for students to drop in and out of full-time programmes'.

As described in section 6.3.1, the providers with specialist Asian and Oriental restaurant schools reported having candidates whose ages mainly ranged from early twenties to mid thirties, although some were older than this. Two of the providers were able to access funding from the then Further Education Funding Council (FEFC), rather than Training and Enterprise Councils (TECs), which enabled them to obtain funding for students who were older than the 'guarantee group' of those aged under twenty-five.

7.3.2 Government support (S6)

Views expressed by restaurateurs in the qualitative interviews demonstrated their support for government funding and for the continued existence of business support initiatives. However, in many cases this was because they thought they would be useful for other businesses or because they wanted them to be available should they choose to participate in the future, not because they had any immediate plans to become involved.

37.9% (11) of respondents who had some knowledge of NVQs said they would be attracted to become involved if they knew funding was available. This compares to 40.0% (2) for NTs and 9.1% (1) for MAs. In addition 42.9% (6) of respondents who had some knowledge of the New Deal said they would be attracted to become involved because a subsidy was

available. The importance of funding and subsidies to participation in training initiatives was also cited by one of the providers interviewed who had found that restaurateurs were rarely prepared to pay for their staff to attend courses.

There was some evidence that those that were participating did value the support they were receiving. One restaurateur said 'I am aware that this training is supported by the Government and I feel we are getting quite good support from that'. However, others viewed this kind of support as a right and believed the Government had 'an obligation to work with associations and bodies to develop skilled staff for restaurants, as it is an important growth industry'.

Some respondents suggested that additional financial incentives from the Government would increase levels of participation in the initiatives. A number suggested that Government support should take the form of tax breaks rather than funded training. For example, one Oriental restaurateur suggested that some staff training should be compulsory, but should be accompanied by reduced levels of taxation.

There were concerns that the Government provided regulation but not support to small restaurants. A number of respondents believed that many restaurateurs did not support government initiatives because they associated them with regulation and taxation. Some restaurateurs emphasized the financial connection between levels of taxation and a perception that they could not afford to participate; 'people do not get involved in government initiatives partly because business overheads are too high from government taxes and rates'.

However, others described a more emotional connection; 'the Government's association with regulation puts people off government schemes, even if they are not linked to regulation. Official people are seen as unwelcome and a threat to the business'. Another restaurateur said 'people see the Government as a threat to their restaurants'. He added that 'regulation frightens restaurant owners and they feel they can't go to the Environmental

Health Officers or the Inland Revenue for help' and said he 'had the impression that they see us as bad evil people'.

7.3.3 Information / communication methods (E6)

The findings presented for this variable describe the sources of information used by the restaurateurs in making business decisions, including the sources that led to them becoming aware of the initiatives. They also describe how organisations promoting the initiatives were found to be communicating with restaurateurs and indicate their views of the communication they were receiving.

Information sources for each initiative

The media was the main source of awareness for NTs, MAs and the ND. Organisations including providers, Restaurant Associations and the Local Council were the main sources of awareness for NVQs. Personal contacts were the main source of awareness for IIP. However, NVQs and IIP enjoyed the highest levels of awareness overall so it may be the case that where initiatives are directly promoted by organisations and/or become something that people talk about, awareness is likely to be at relatively high levels, compared with the impact of media alone.

Awareness source	NVQs (%)	NTs (%)	MAs (%)	IIP (%)	ND (%)
Organisations	34.8	23.5	26.1	13.9	14.3
Personal contacts	30.4	29.4	17.4	38.9	21.4
Media	19.6	41.2	47.8	33.3	46.4
Don't know	15.2	5.9	8.7	13.9	17.9

Table 7.02: Information sources that led to awareness

Information sources used in general business decisions

There was no significant difference in the information sources used by different types of restaurant. 80.0% of the respondents used personal

contacts as sources of business information compared with 35.0% who approached organisations and 31.3% who used the media. 16.5% (13) of respondents claimed not to use any sources of information to help them to make business decisions.

There was no significant link between respondents who did not use any information sources and participation, although all of the respondents who were involved in the initiatives did use external information sources.

Personal contacts

The most commonly cited personal contacts used were other restaurant owners (43.8% / 35), colleagues (38.8% / 31), friends (37.5% / 30), family (28.8% / 23), staff (28.8% / 23) and accountants (27.5% / 22). Other examples of personal contacts were consultants, contacts made at religious or community events and people delivering training courses. The top six ranked sources of information were all personal contacts.

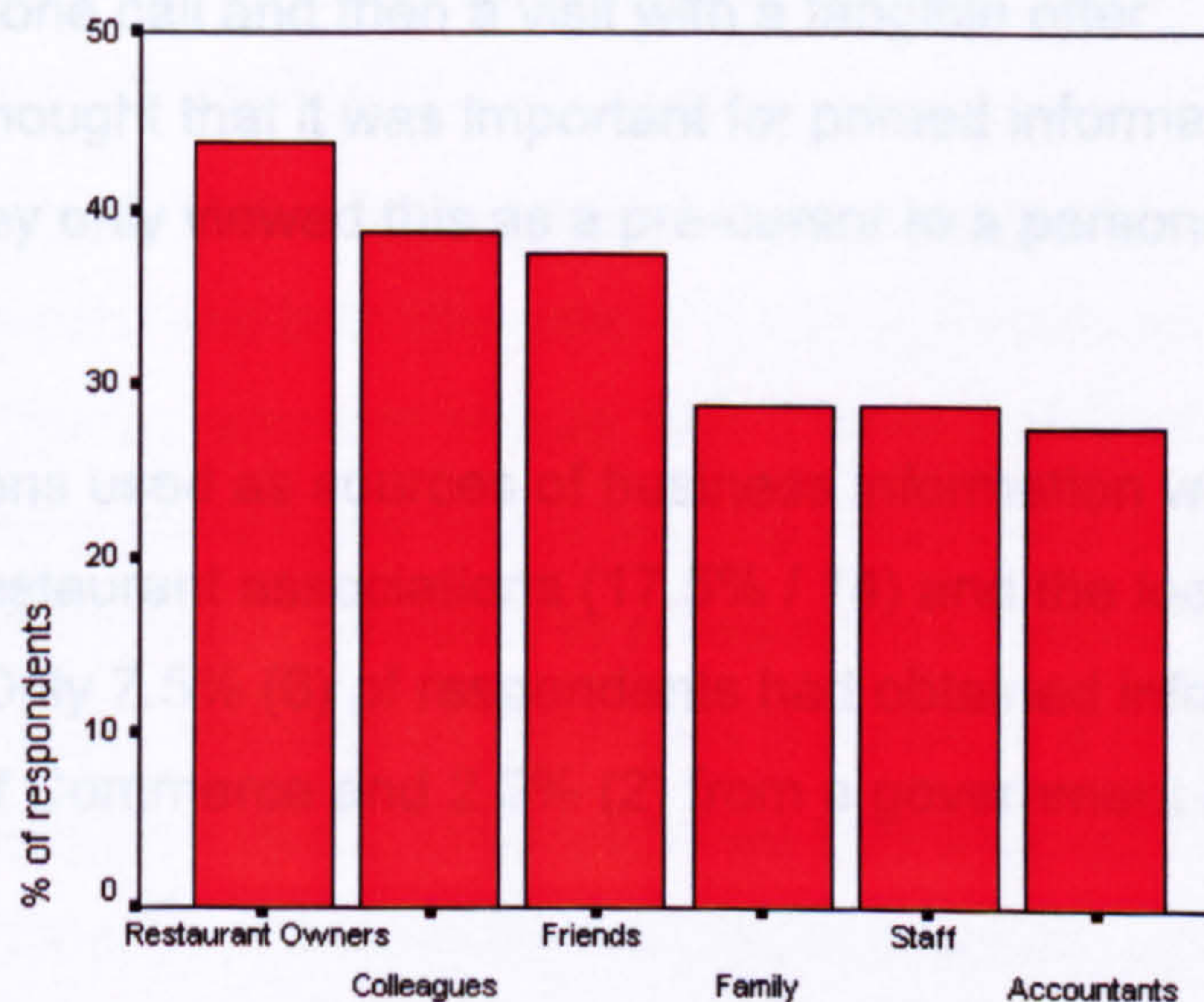


Chart 7.1: Percentage of respondents obtaining information from personal contacts

There was a significant relationship between using personal contacts for information and participation, although the cell count was too low for this finding to be relied upon (Pearson Chi-Square 0.003 / Likelihood Ratio 0.001 / 25% of cells with an expected count less than 5). However the pattern was for respondents who obtained information from personal contacts to be more

likely to have knowledge as their highest stage of participation (adjusted residual 1.5) and more likely to be involved in one or more of the initiatives (adjusted residual 2.3).

The providers interviewed testified to the power of 'word of mouth' in spreading awareness and in encouraging higher levels of participation. One college explained that 'employees have contacted (them) regarding the scheme after having heard about it from employees in other Asian restaurants' and another described how they had used 'personal approaches and introductions to get people onto courses'.

Many restaurateurs believed that direct contact from providers would be the most effective way for the initiatives to be promoted as, although they recognised this as an expensive option, they did not think that advertising and mailing written material alone would stimulate involvement. Typical comments included, 'it is better if someone comes round as you can go through it face to face' and 'direct contact is the best way for schemes to be promoted; a phone call and then a visit with a tangible offer'. Some restaurateurs thought that it was important for printed information to be sent to them, but they only viewed this as a pre-cursor to a personal approach.

Organisations

The organisations used as sources of business information were banks, (17.5% / 14), restaurant associations (17.5% / 14) and the local council (12.5% / 10). Only 7.5% (6) of respondents had obtained information from the Chamber of Commerce and 2.5% (2) from a government agency.

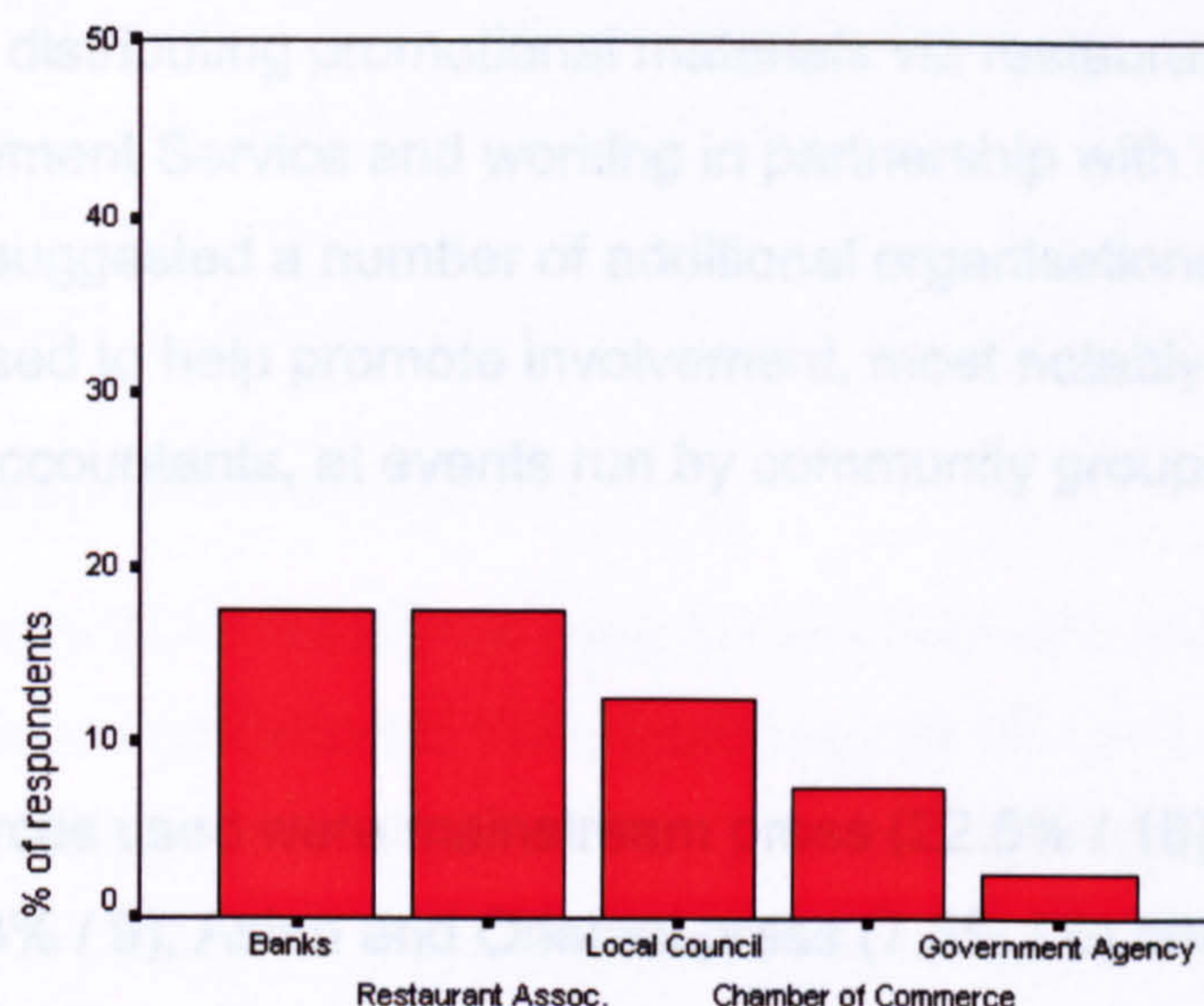


Chart 7.2: Percentage of respondents obtaining information from organisations

There was a significant relationship between obtaining information from organisations and participation (Pearson Chi-Square 0.025 / Likelihood Ratio 0.025). Respondents who had obtained information from organisations were more likely to be knowledgeable (adjusted residual of 1.0) and more likely to be involved (adjusted residual of 2.5).

The providers complained of having very few resources with which to promote involvement and both they and a number of restaurateurs suggested that the Government should take a more active role by running national advertising campaigns and producing information packs. They described the efforts they had made to present the initiatives in a simple and straightforward way, focussing on the topics included in a programme, rather than on the qualification itself. One described how they had 'tailor(ed) the information for the person's individual interest or problem' and in all three cases the provider's main promotional activities were done through direct personal contact with restaurateurs.

There were examples of ways in which the providers had utilised other organisations to encourage involvement. As previously noted one in particular had developed links with a restaurant association and had promoted involvement to members at their events and meetings. Additional

examples were distributing promotional materials via restaurant suppliers and the Employment Service and working in partnership with other providers. Restaurateurs suggested a number of additional organisations and events that could be used to help promote involvement, most notably recruitment agencies and accountants, at events run by community groups and at trade fairs.

Media

The media sources used were mainstream press (22.5% / 18), mainstream television, (11.3% / 9), Asian and Oriental press (7.5% / 6) and Asian television (3.8% / 3).

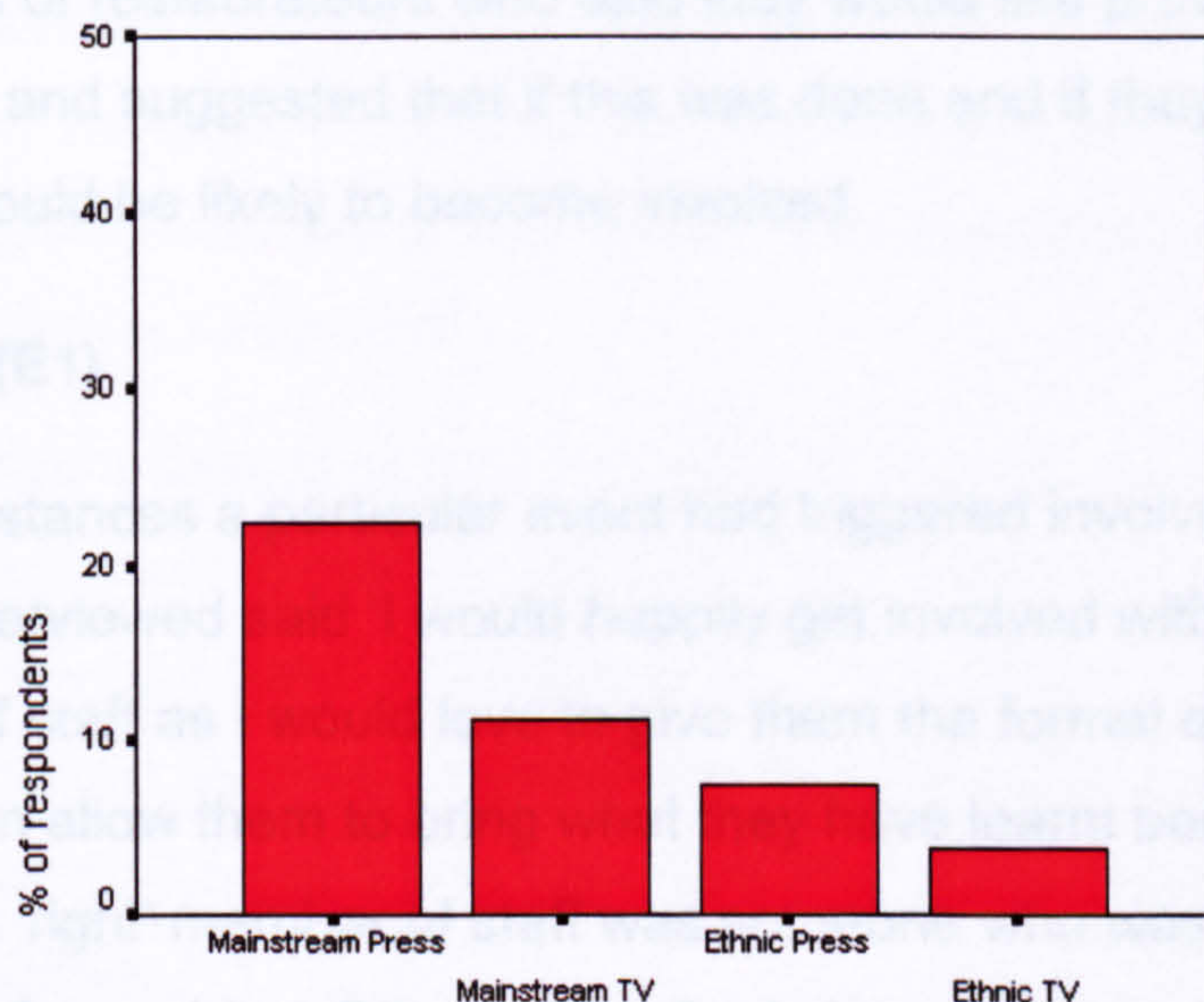


Chart 7.3: Percentage of respondents obtaining information from media sources

There was no significant relationship between obtaining information from the media and level of participation. However, the pattern was for respondents who had not obtained information from the media to have low levels of awareness (adjusted residual of -2.1).

All of the organisations interviewed had fostered media links, specifically with trade publications like *Tandoori* and *The Caterer and Hotelkeeper* and newspapers like *The Evening Standard* and the Chinese newspaper *Sing Tao*. This had taken the form of obtaining editorial coverage and placing advertisements. A number of restaurateurs expressed the view that using

the media was the most effective way of raising awareness and said they 'would expect to see advertising about the schemes'. The media was seen as a useful vehicle, although there was a consensus that alone it would not lead to involvement as 'people wouldn't respond to press adverts'.

7.3.4 Opportunity presented (E13)

31.0% (9) of respondents said they were not involved with NVQs as they had never been directly approached. This figure was 40.0% (2) for NTs, 36.4% (4) for MAs, 31.3% (5) for IIP and 28.6% (4) for the ND. Restaurateurs across all types of restaurant, who were not involved but seemed positive about the initiatives, frequently gave this as the reason. There were also many examples of restaurateurs who said they would like providers to approach them and suggested that if this was done and if they saw clear benefits they would be likely to become involved.

7.3.5 Trigger (E1)

In some circumstances a particular event had triggered involvement. A restaurateur interviewed said 'I would happily get involved with NVQs for the right member of staff as I would love to give them the formal experience of college and then allow them to bring what they have learnt back'. His definition of the 'right' member of staff was someone who was committed to working for him for a while. Others described circumstances in which they had or would become involved including if they expanded the business, needed to fill a particular vacancy or were directly approached by a provider. The providers recognised that some restaurateurs became involved due to a particular event. One explained their most active employer 'champion' had wanted to raise standards within the sector in response to negative comments from a restaurant critic. Another provider would identify a specific topic important to each restaurateur (the 'trigger') and offer a short training course that covered that topic. They would then encourage the restaurateur to do a series of other courses before introducing a full initiative. Another provider stated that levels of involvement would only be raised if financial incentives were offered to employers. The only alternative he saw to

this form of trigger was to have legislation that required owners, managers and / or staff to be qualified.

7.3.6 Availability of initiative (E5)

Restaurateurs were concerned that course times should take account of working hours within restaurants. A number of restaurateurs complained that many courses were offered only during traditional working hours and that employees who had been working late at night were unwilling to attend college courses early the following morning.

There was some evidence that owners and managers believed their existing staff would not be eligible for some of the training initiatives because they were foreign nationals. For example, one of the 'other' restaurants was an 'authentic French restaurant' that only employed French staff. Despite being EU nationals the owner believed this would make them ineligible for Government supported initiatives.

One of the providers described how they had introduced 'roll on, roll off' programmes for the ethnic catering courses they offered rather than having them based on the traditional academic year. They believed this had a direct effect on participation as once restaurateurs and their staff had made a decision to become involved it was important they started quickly to build on the initial enthusiasm.

7.3.7 Suitability of initiative (E2)

There was no quantitative evidence relating to this variable, but it was explored in the qualitative research. The providers interviewed identified some aspects of the initiatives that they considered unsuitable for ethnic restaurants. One provider in particular stated his view that NVQs, MAs and NTs were too 'paper-based' and he felt that this particularly affected levels of participation amongst EMBs, although he believed it also deterred other business owners/managers. Another provider said he believed that a small number of restaurateurs who had considered involvement were deterred from participating because they were aware that the content of the national

occupational standards on which NVQs, NTs and MAs were based was not entirely appropriate to Asian and Oriental cooking. This view was supported by a number of restaurateurs who also expressed other concerns about the suitability of the initiatives. One stated that he thought NVQ standards were too low and the qualification too broad to be applicable in his restaurant. He explained that he needed to employ chefs who specialised in French food and he did not believe chefs who had received NVQ training in college were specialised enough. An Asian restaurateur who had been an 'active participant' with NVQs thought they were 'suitable for someone who had never worked in the job before, but laughable if you have experience already' because they were 'too simple'. An Oriental restaurateur explained that he did not think NVQs were suitable for his business because he had 'transient staff and just want(ed) them to get the basics and be able to work within the law'; he believed NVQs were 'more relevant to chain restaurants (with) a management structure'. In relation to IIP, a number of restaurateurs criticised the initiative for being too corporate for small businesses.

7.3.8 Accessibility of delivery system (E10)

Some restaurateurs had found the system supporting the initiatives complicated and difficult to access. The majority of the restaurateurs interviewed had arranged short courses with commercial training providers and showed they were aware of their local college. However they were unaware that other training providers also offered funded government training programmes or that their staff could be trained and assessed in either specialist centres or within their restaurant(s). One of the restaurateurs was involved with an organisation that had tried to become an approved centre to offer NVQs. He explained that they had experienced difficulty accessing support and information and had become very confused by the number of organisations involved in the system and their individual roles.

Many restaurateurs stated that to work most effectively the system for delivering the initiatives should be as simple as possible. 37.9% (11) of respondents with knowledge of NVQs stated that bureaucracy and

administration was one of the factors that would least attract them. This figure was 0% (0) for NTs but was 45.5% (5) for MAs, 62.5% (10) for IIP and 42.9% (6) for the ND. One restaurateur who had advertised vacancies with the Employment Service had found communication time consuming and bureaucratic. She had been sent lists naming people who had expressed interest in their vacancies on a monthly basis and had been expected to identify who they had interviewed and when. This was not information they would usually have recorded.

Some restaurateurs described their relationships with other 'suppliers' and explained that these were successful because they 'made it easy' for them to become involved. One Oriental restaurateur talking about their wine supplier said 'everything is given on a plate...it is no work'. This approach was also evident with the restaurateur who was unaware of the initiatives, but was then found to be actively participating in NVQs. He explained how the local college provided basic training at the restaurant and visited once a week to undertake assessments. Another restaurateur said it was easy to participate because his staff went to college one day per week and were then assessed in the workplace. In both these cases the restaurateurs were positive about involvement partly because it did not require them to take an active role.

7.3.9 Suitability of delivery system (E7)

Many restaurateurs were interested in establishing long term links with providers to help them address training needs within their business, and were disappointed that the current system did not prioritise this. This view was shared by the providers who said they did not receive any funding for developing and maintaining links with businesses which hampered their ability to develop contact, build trust and convince them to participate in initiatives. They criticised the funding system for being project-based and being so closely linked to the number of candidates already on programmes, rather than providing funding that could be used to recruit candidates. The providers also wished to see funding made available for a media campaign to raise awareness amongst employers.

A number of restaurateurs were of the opinion that the people delivering the initiatives needed to have direct experience of working in restaurants. They saw this as important for credibility and to ensure the providers had sufficient background knowledge to enable them to successfully promote and deliver the programmes.

7.3.10 Language support (S3)

Of the five respondents who were involved with NVQs, two had accessed language support. In one case a Bengali speaker delivered the training course as the students in the group had varying levels of English but all spoke Bengali. In the other case the training was delivered in English with each student's language support needs being determined at the start of the course to enable 'extra support' to be given to those who needed it.

As described in section 6.3.3, some restaurateurs had partly been motivated to become involved in the initiatives because they wanted to help staff members to improve their English. For this reason they strongly believed that the initiatives should be delivered in English rather than in another first language. This was also the view expressed in restaurants that employed people from a variety of ethnic groups, as English was the language they used to communicate with each other. An employer in an Oriental restaurant illustrated this when she said 'you can go to Westminster College and a Chinese man trains the Chinese staff so that gives them language support, but I also have Spanish and Kosovan staff'.

A number of other restaurateurs believed that language support would have to be available if they were to consider involvement in any of the training initiatives. A typical comment came from an Asian restaurateur who said 'English is a problem for some of my staff and they would need extra help if they were to do any sort of training'.

In some cases respondents thought their employees would have language support needs with their first language as well as with English, particularly in relation to writing.

The providers had all taken some steps to provide language support to their students. At one end of the spectrum this consisted of students being helped informally by other students in the group. Attention was also given to ensuring simple clear language was used during training sessions. At the other end of the spectrum the courses were bi-lingual and formal 'ESOL' support (English for speakers of other languages) was available from a central service within the college for those who wanted to improve their English language ability.

7.3.11 Understanding of ethnic minority needs (E11)

The providers interviewed were able to give examples of how they had designed their programmes to take account of the needs of ethnic minority restaurateurs and students. One provider described how they had employed Asian chefs to help develop the curriculum, not only to cover the range of skills, dishes and ingredients, but also to ensure they were sensitive to religious and cultural requirements. One example of this was the need to ensure their suppliers could provide ingredients that met these requirements, such as Halal meat. Another, who worked with Chinese restaurants and their employees, explained how they had planned their timetable around the Chinese calendar, taking account of the fact that their students would either be working in very busy restaurants or would be on holiday at Chinese New Year. The same provider stated that they had chosen to focus on Chinese cuisine rather than including other ethnic cuisines in their programmes because the restaurateurs they worked with wanted the school to develop specialists in regional Chinese cooking.

7.3.12 Willingness to accommodate ethnic minority needs (E12)

The providers demonstrated a willingness to accommodate the needs of their target employer groups. This was most clearly illustrated by the fact they had established specialist schools. Considerable time and effort had been dedicated to planning the provision, developing employer links, bidding for funding and designing specialist facilities and programmes. As one of the providers explained, this had taken a great deal of personal dedication from

his staff as it involved late night meetings with restaurateurs at a time when they were not contractually required to work. He contrasted this with mainstream courses where they had more established links due to past employment. With the Chinese sector his staff did not have the experience and contacts at first and he had needed to recruit new specialist staff, work with cultural mediators and form new links.

One of the providers demonstrated that their 'willingness' was ongoing as they had realised they had not installed enough open burners in their training kitchen and had plans to rectify this in the following financial year. Another planned to relocate their facilities to a site close to a concentration of ethnic restaurants, as this would make it easier for employees to attend college programmes. Both providers explained that their commitment to the sector was long term, and that the college management wanted to support the programmes even if it would take time to build up student numbers.

7.3.13 Special provision for ethnic minorities (E15)

There were parallels between the findings for this variable and those in section 6.3.12 as the providers interviewed had shown a 'willingness to accommodate ethnic minority needs' by establishing specialist catering schools in addition to their mainstream courses, which constituted 'special provision'. There were very few examples of ethnic employees who had become involved in any of the initiatives without 'special provision'.

The Qualifications Curriculum Authority (QCA) was uncomfortable with the term 'special provision' as they equated it with compromising on quality standards. The representatives interviewed believed 'the system should intrinsically meet the needs of all groups'. They did however support the use of varied promotional approaches that targeted groups with low levels of involvement in the initiatives. They also favoured assessment guidance being issued to show how the content of qualifications could be applied in a particular context. They gave examples of ways in which they had supported candidates' evidence of competence for NVQs being compiled in languages other than English or Welsh, including Braille. However, they were

concerned that new approaches should have 'parity' with traditional ones to ensure standards were maintained.

One of the providers explained that they did assess candidates on their ethnic programmes more informally than candidates on mainstream programmes and that the NVQ Awarding Body they worked with had approved this. One of the other providers had been given permission by their Awarding Body to allow candidates to record evidence of their competence in Cantonese as the programme was delivered in both Cantonese and English. However this had not proved practical as the awarding body was then unable to externally verify the evidence, as they did not employ anyone who could read Chinese characters. The same institution explained that they held a second graduation ceremony for students on the ethnic catering programme at a community centre in addition to the main graduation ceremony at the college. They believed this was important as it enabled students and restaurateurs to celebrate success within the community and helped the school become recognised and accepted.

Restaurateurs had mixed views on whether or not special provision should be available for ethnic restaurants. Some felt that courses that mixed students from a variety of backgrounds would be better for generic topics because candidates would have the opportunity to learn about a wider range of environments rather than being 'limited' to only knowing about ethnic restaurants. One Asian restaurant owner said he would 'prefer to get involved with schemes that weren't only for ethnic minority businesses' as it was 'important to share ideas with other businesses'. Another explained that he believed local provision was more important than specialist ethnic provision as his employees would not be prepared to travel to attend a specialist centre. He said that 'all providers should be able to meet the needs of businesses that fall within their catchment area'.

A number of restaurateurs who had been active participants through 'special provision' did not see this as a factor in their decision to become involved. One Asian restaurateur thought specialist schools might be more successful

than mainstream providers at reaching the large Asian and Oriental restaurant groups but still did not think they would attract small independent businesses.

7.3.14 Cultural compatibility between provider and restaurateur (E14)

There were conflicting views as to the importance of cultural compatibility between the people promoting the initiatives and those participating in them. In restaurants that had staff from a range of nationalities and ethnic groups, cultural compatibility was seen as less relevant than in restaurants with owners, managers and employees with the same nationality or ethnic group. One restaurateur who was an active participant explained that he was Punjabi and his employees were Bangladeshi, viewed as very different cultural backgrounds despite them both coming under the umbrella of 'Asian'. He believed it did not matter if the people delivering the initiatives were from different cultural groups to the people they were encouraging to participate. However, another Asian restaurateur who had also been an active participant said he was unlikely to get involved in initiatives that were promoted by someone from outside his community. A mainstream provider had delivered the programme he had been involved with, although it was one that had targeted ethnic restaurants and the trainers were both Asian and Western. A small number of restaurateurs said they would only consider involvement if the initiatives were promoted from within their ethnic community.

The providers placed importance on cultural compatibility. One had appointed a Chinese Chef Lecturer who he described as being 'respected within the restaurant community'. He believed this had been essential in successfully establishing the Chinese catering programme. Another provider had appointed an Asian Business Development Manager to help promote involvement with the Asian restaurant community.

7.3.15 Cultural barriers (E3)

Only two restaurateurs reported having experienced cultural barriers whilst they were involved with NVQs, both connected to the fact that English was

their second language. No respondents reported any cultural barriers with the other initiatives.

The providers reported having experienced and considered a variety of cultural issues when planning their programmes. One stated that their Chef Lecturers had required training to develop their ability to teach groups of students from a range of cultures. They had initially made decisions about how they would deliver the Asian courses to take account of Asian culture. However the course subsequently attracted students from a variety of cultural backgrounds and students of African origin had left the course because they did not like the delivery style. Another provider explained that to succeed in establishing their programmes they had needed to become aware of 'networks and factions within the community' and of the importance of the concepts of 'dishonour' and 'face'. All of the providers referred to the importance of being prepared to attend meetings late at night after the restaurants had closed, as this was when many of the ethnic restaurateurs would meet each other and when they wanted to discuss involvement.

One of the providers that promoted the initiatives to Chinese restaurants had found that callers to their information line expected to hear a message in Cantonese or Mandarin. Initially the answer machine message had been only in English and many callers had ended their call without leaving a message. They suspected this was only partly a result of a lack of confidence with spoken English, and that a secondary reason was a lack of trust in initiatives run by mainstream institutions.

7.3.16 Ethnic minority staff delivering the initiative (S2)

The providers who had established specialist Catering Schools did employ some ethnic minority trainers and lecturers to deliver their programmes, although they also employed Western staff.

Some of the restaurateurs believed there were benefits to programmes being run by ethnic minority trainers. An Oriental restaurateur, for example, had arranged health and safety training for his staff with a Chinese trainer. He explained that although the majority of the training was given in English she

was able to explain some principles in Cantonese, which ensured all his employees understood. However, other restaurateurs believed that it did not matter if the trainers were from a different ethnic group to the trainees, provided they were sensitive to the different cultural backgrounds. One Asian restaurateur for example had employees on an NVQ programme. He explained that Westerners did the training and assessment and that this had not caused any problems.

7.3.17 Accessibility of available resources (I20)

As described in Chapter Four very few restaurateurs were found to be participating in the initiatives and the results that related to numbers who had mobilised resources were too low for discernable patterns to emerge. The highest numbers of respondents who had mobilised financial and language support were those who had participated in NVQs, although the numbers involved were still extremely low. Three respondents had received government funding to implement NVQs. This represented 30% of those who had decided to become involved and 33.3% of those who had initiated action. Two respondents had accessed language support to help staff complete their NVQ. This was 20% of those who had decided to become involved and 22.2% of those who had initiated action.

7.3.18 Racism / Discrimination (E8)

One respondent reported having experienced racial discrimination, but it was whilst involved with NVQs as a candidate and was only indirectly linked to participation in the initiative. She had been at college on a course that required her to find employment so she could complete her qualification and believed racial discrimination had played a part in her having been unable to find a job. She was subsequently unable to finish the course. There were no other reports of racial discrimination that related to the initiatives.

7.3.19 Mentors (S1)

Two of the providers did offer informal mentoring for students but in both cases this had arisen incidentally. One had a formal one-to-one mentoring

system for students on its management programmes but had not introduced this for the students on its ethnic catering courses. Instead they invited restaurateurs from the community to observe classes and support the students and this had led to some informal mentoring. However the main intention had been to allow restaurateurs to see the training that the school was providing in order for them to be able to give their support. The second provider had attracted an initial group of restaurateurs to become involved and a small number of employees from each restaurant had been enrolled on their programmes. When the first programme ended additional employees from the same restaurants were then enrolled. The interviewee explained that the first cohort had informally mentored their colleagues and as this had worked successfully there were plans for a more formal mentoring system to be introduced.

7.3.20 Local Authority support (S7)

12.5% (10) of respondents reported that they obtained business information from their Local Council and 7.5% (6) had obtained information from their local Chamber of Commerce. There were a number of examples of restaurateurs having received support from their Local Council on training and business development issues or having participated in Local Council initiatives. Many restaurateurs had sent their staff to council-run courses on basic food hygiene. In addition, an Oriental restaurateur reported that his Local Council had recommended a trainer who could provide health and safety training for his staff and an 'other' restaurateur had been involved in a work experience scheme. Another had recently heard about council grants that would help towards the cost of renovating the front of the restaurant. However, he complained that he had become aware of this only whilst talking informally with another employer and believed that schemes like this should be more widely publicised.

7.3.21 Summary of relationships between wider environment and participation

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Public policy (E4)	<p>The providers were sure that their specialist training schools would not have been created without particular government policies to tackle social disadvantage and to widen participation in education and training. Without the specialist schools they believed they would not have been able to increase Asian and Oriental restaurant participation in these initiatives through their mainstream services. They also highlighted that Government policies adversely affected restaurants that only employ staff over the age of twenty-five as funding to cover the cost of participating in training initiatives is often targeted at younger candidates. They suggested additional public policy changes that would help them to increase restaurant participation, affecting awareness, knowledge and involvement.</p>
Government support (S6)	<p>A sizeable minority of restaurateurs involved in the quantitative interviews said they would be attracted to participate in initiatives that attracted a government subsidy. The importance of government funding to participation was recognised by providers and by restaurateurs who were involved. However it was also recognised by restaurateurs and providers that some businesses are deterred from participating in government-run business support initiatives because of the association between government and taxation/regulation.</p>
Information / Communication methods used to promote initiatives (E6)	<p>The quantitative findings showed that restaurateurs who obtained business information from personal contacts had higher levels of knowledge and involvement in these initiatives than those who did not. They also revealed a relationship between obtaining information from organisations and high levels of knowledge and involvement. The qualitative interviews with providers showed that they believed awareness was often spread through word of mouth and reported that their main promotional activities were focussed on direct contact with restaurateurs. The restaurateurs interviewed wanted the initiatives to be promoted to them in this way and many suggested they would become involved if approached directly.</p> <p>The qualitative work also showed that all those who had heard of the initiatives from organisations had also become knowledgeable, whereas some of those who had heard of them through the media or through personal contacts had not progressed beyond awareness.</p> <p>A pattern emerged for restaurateurs who obtained business information from the media to be more likely to be aware of the initiatives than those who did not, but the relationship was not significant and did not extend to higher levels of participation. The qualitative findings suggested that restaurateurs believed the media would be a useful means of raising awareness of the initiatives, but that direct contact from providers was needed for involvement to result.</p>
Opportunity presented (E13)	<p>The quantitative findings revealed that a sizeable minority of respondents partly attributed not being involved to never having been approached. This was supported by the qualitative findings which showed that many restaurateurs had become aware, developed knowledge or become involved after having been approached by a provider, either directly or via a restaurant association: the opportunity had been presented to them. A number of other restaurateurs with knowledge of the initiatives said they would probably get involved if a provider contacted them.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Trigger (E1)	<p>Providers could identify particular circumstances that had triggered the involvement of the employers they worked with. One provider in particular had developed his whole approach on the premise that he could attract employers to become involved with the initiatives he offered by identifying which area of their business was concerning them and offering a training programme that would help them address that area. This acted as a trigger as they would often then become involved in the full initiatives if the initial programme was successful.</p> <p>The triggers that restaurateurs suggested had led (or would lead to) their involvement included recruiting a particular member of staff who wanted to do a qualification and was committed to the business or being directly approached about involvement by a provider.</p>
Availability of initiative (E5)	<p>Some of the restaurateurs interviewed in the qualitative research were concerned that the initiatives would not be available to them. The examples they gave included believing that courses would be run at inappropriate times or that their staff would be ineligible because they were foreign nationals.</p> <p>One of the providers claimed to have made his programmes more accessible by having a rolling intake, enabling people to start at any point throughout the year.</p>
Suitability of initiative (E2)	<p>There was qualitative evidence that some restaurateurs were deterred from involvement because they believed particular aspects of the initiatives made them unsuitable for their business. The examples given included NVQs being too broad and not developing people with sufficient levels of specialist skills and initiatives being too formal and long-term to benefit businesses that employ transient staff.</p> <p>One of the providers also criticised NVQs for being too paper-based which he believed affected all employers but he said had a particularly negative affect on participation by ethnic employers. Another said that the occupational standards on which NVQs were based could not be easily applied to Asian and Oriental cuisine.</p>
Accessibility of delivery system (E10)	<p>The quantitative findings suggested that a relatively high number of restaurateurs were deterred from becoming involved because of bureaucracy, and this was supported by the experiences described by restaurateurs during the qualitative interviews. Whilst restaurateurs were generally aware of commercial training providers and local colleges, many did not know that the training initiatives covered in this study could be delivered in their business as well as or instead of being delivered off-site.</p> <p>There was also evidence that the number of organisations involved in the system confused restaurateurs. Restaurateurs wanted providers to make it easy for them to participate in the initiatives, in the same way that their other suppliers did. Many were positive about involvement, provided they were not expected to take too active a role.</p>
Suitability of delivery system (E7)	<p>Providers said their attempts to get employers involved with the initiatives were limited by the fact that they did not receive any funding to help them to develop and maintain contact with employers. The funding they received was often relatively short-term project-based funding or related to the number of candidates they had enrolled.</p> <p>The desire to develop links between providers and businesses was supported by many of the restaurateurs interviewed who wanted to have long-term relationships with local providers. Some restaurateurs said their participation in the initiatives would be affected by whether or not they were delivered by someone with experience of working in the restaurant industry.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Language support (S3)	<p>The quantitative and qualitative findings suggested that language support was an important issue for some restaurateurs, with some stating they would be unable to become involved in training initiatives if language support was not provided.</p> <p>All the providers interviewed offered language support within their programmes, to varying degrees.</p>
Understanding of ethnic minority needs (E11)	<p>The providers gave numerous examples of how their programmes reflected the particular needs of Asian and Oriental restaurants. They argued that understanding these needs was essential for them to engage these restaurants successfully in the initiatives they provided.</p>
Willingness to accommodate ethnic minority needs (E12)	<p>A willingness to accommodate ethnic minority needs was demonstrated by the fact that specialist schools had been established by a number of mainstream providers. They described how this had been possible only because they and their staff had shown personal dedication and because their organisations had shown a long term commitment.</p>
Special provision for ethnic minorities (E15)	<p>There were very few examples of Asian and Oriental restaurateurs being involved in initiatives without there being an element of special provision (in the form of providers having specifically targeted ethnic restaurants and having designed programmes for them). However, some restaurateurs said they would not want to become involved in initiatives specifically for ethnic restaurants as they would want to share experiences and learn from other sectors.</p> <p>The regulator (the Qualifications Curriculum Authority) was concerned that 'special provision' should not involve compromising on quality standards.</p>
Cultural compatibility between provider and restaurateur (E14)	<p>There were conflicting views on the importance of cultural compatibility between providers and restaurateurs / restaurant staff. Restaurants that employed staff with a range of ethnic backgrounds saw cultural compatibility as irrelevant. However, some restaurateurs who had staff from only one ethnic group said they would become involved in an initiative only if it were promoted by someone from the same ethnic community. This seemed to affect the way in which initiatives were promoted and introduced, rather than the way in which they were delivered.</p>
Cultural barriers (E3)	<p>The vast majority of the restaurateurs who were participating in the initiatives had not experienced any cultural barriers. However, two restaurateurs reported cultural barriers connected to language.</p> <p>The providers interviewed all described ways in which they had designed their provision to minimise cultural barriers taking account of language, religion, teaching and learning styles and varying attitudes to concepts such as dishonour, face and trust. All three providers had experience of delivering the same initiatives to non-minority businesses and believed that overcoming cultural barriers was essential to ensure they secured sufficient involvement from ethnic minority restaurants to make their specialist schools successful.</p>
Ethnic minority staff delivering the initiative (S2)	<p>Restaurateurs involved in the qualitative interviews had mixed views on the importance of providers employing ethnic minority staff to deliver programmes. Some said there were benefits as they could provide language support, whilst others said the ethnicity of the providers' staff was not relevant.</p> <p>All the providers had appointed some ethnic minority staff to deliver aspects of their programmes.</p>

Variable	Nature and extent of effect on participation and any differences between types of restaurant
Accessibility of available resources (I20)	Some of the restaurateurs who were participating had accessed financial and language support, however others had not. There was no particular evidence to suggest that accessing these resources had affected the level of participation reached. In addition the restaurateurs who were not participating did not attribute this to the inaccessibility of additional resources. There was evidence that the availability of language and financial support was a factor, but there was no evidence that accessibility was an issue.
Racism / Discrimination (E8)	None of the restaurateurs involved in the initiatives reported experiencing racial discrimination whilst participating. In addition there was no qualitative evidence to suggest that discrimination or the fear of discrimination had deterred other restaurateurs from becoming involved.
Mentors (S1)	Whilst there was some qualitative evidence of mentors being used successfully to support candidates involved in some of the training initiatives, none of the restaurateurs or providers suggested that this was a factor that affected initial participation.
Local Authority support (S7)	A relatively low number of restaurateurs had used their local council as a source of business information. The qualitative research revealed that many restaurateurs had been involved in initiatives supported by the local council, including basic food hygiene training. Some had accessed council grants and had been involved with other council initiatives, but this was not linked to participation in the initiatives covered by this study.

Table 7.03: Wider environment: summary of nature and extent of each variable's effect on participation

7.4 Conclusion

This chapter has shown that participation in the initiatives can be affected both by particular aspects of the social networks that surround restaurant owners/managers and by the wider external environment.

The findings presented in Chapters Five and Six as well as those in this chapter have shown that many, but not all, of the variables studied were found to have affected participation. By utilising both quantitative and qualitative findings it has been possible to reveal variables that affect a significant proportion of restaurateurs as well as those that are important to a smaller number of potential participants. In addition the qualitative findings from the interviews with initiative providers have revealed how particular elements of the wider external environment within which the business operates affect the way in which the initiatives are designed, promoted and delivered which in turn affect participation levels.

The following chapter discusses the findings that have been presented in Chapters Four to Seven and presents a revised Participation Model.

8 Discussion of Findings and Presentation of Outputs

8.1 Introduction

This study began with the aim of identifying the factors that influence ethnic minority business (EMB) participation in national business support initiatives. This particular aspect of EMB behaviour had previously received scant academic attention, and a comprehensive investigation was needed to identify factors relating to the individual decision-maker, their business, the formal external environment and their social networks. To achieve this aim it was important not only to identify the influencing factors but also to examine the nature and extent of their influence and the ways in which they act in combination at different stages of participation as well as to make comparisons between different types of EMB and with non-minority businesses. The study was both descriptive and exploratory, combined quantitative and qualitative methods and used the empirical site of Asian and Oriental restaurant participation in five particular training and recruitment initiatives.

This chapter summarises and discusses the levels of participation found, respondents' experiences of participation and the nature and extent of each variable's influence. It also presents the two main outputs from the research, namely a revised Participation Model and a means of categorising business owners/managers according to their attitude to external influence. The contribution these make to collective knowledge about ethnic minority business participation in national business support initiatives is then comprehensively discussed. The final section of this chapter focuses on particular aspects of the methodology that are pertinent to evaluating the study's findings and assessing the contribution it makes to the wider literature.

8.2 Summary and discussion of findings

The main research question posed in this work was:

What are the factors that influence the level and nature of ethnic minority business participation in national business support initiatives?

Given the empirical site being used to investigate this question, driven by the involvement of the Hospitality Training Foundation (HtF) as sponsoring body, the specific research question that the fieldwork was intended to address was:

What are the factors that influence whether or not Asian and Oriental restaurants in London participate in training and recruitment initiatives?

These questions were addressed by systematically focussing on each of the study's objectives as outlined in section 3.2, Chapter 3.

The preliminary participation model, developed as a result of the initial literature review, contained 46 variables. The quantitative element of the study was designed to determine whether or not there was a statistically significant relationship between each variable and participation, within the empirical site adopted. It also involved looking for relationships between other personal and business characteristics (that had not emerged in the participation literature) and participation in these initiatives. The qualitative work invited restaurateurs to describe their participation experiences, their views on the initiatives and their approach to managing their restaurant. This enabled the effect of previously identified variables to be explored in more detail and ensured new variables could be identified during the research process. In addition, the qualitative interviews with specialist providers who had experience of delivering the initiatives to Asian and Oriental restaurateurs and their staff offered another perspective as the providers were able to identify the factors they believed most influenced participation.

8.2.1 Levels of participation

The respondents' levels of participation were measured in order to be able to assess the extent of each variable's influence. This was important as it was anticipated that each stage of participation would be influenced by a different mix of factors. The system devised for measuring level of participation resulted in three participation measures being created, namely:

1. the highest stage of participation reached
2. the number of initiatives each respondent was aware of
3. participation score

The five stages of participation that had been identified (depicted in Figure 2.3, Chapter Two) were *awareness, knowledge, decision to become involved, action initiated* and *active participation*. The purpose of the participation score was to reflect the combined breadth and depth of each respondent's participation across the five initiatives covered by the study. The results for these measures are presented in section 4.2, Chapter Four. Whilst the actual levels found were not central to the academic element of the study, other than in allowing the factors that influence them to be identified and explored, they are of interest, particularly in respect to what they reveal about similarities and differences between the three types of restaurant focussed on within the research.

The results for the 'dummy initiative' (see section 3.12.1, Chapter Three) showed that whilst respondents were not always aware of the exact name of the initiatives, very few (3.8% / 3) were falsely claiming to be aware of them all. However, when evaluating the levels of awareness found in this study this false reporting should be taken into consideration as the absolute levels of awareness may be slightly over-inflated. If the levels of awareness reported in section 4.2.1, Chapter Four were reduced by an equivalent amount, the percentage of restaurateurs who were aware of at least one initiative would become 67.5% (54).

Similarities and differences between the different types of restaurant

The existing literature on EMB participation in business support initiatives suggested lower levels of participation than non-minority businesses, but it was not known how much of this difference could be attributed to ethnicity, rather than other elements such as sector, size or location (Marlow, 1992, Ram and Smallbone, 2001). This study compared different groups of EMBs within one sector and within one city and this enabled the impact of ethnicity to be more closely assessed.

The findings relating to level of participation in these five initiatives show that the Asian and Oriental restaurants did have slightly lower levels of participation than the 'other' restaurants, but that the differences were not statistically significant when the Chi-Square and Mann-Whitney tests were

applied. 'Other' restaurateurs had the highest levels of awareness and knowledge, followed by Oriental restaurateurs, with Asian restaurateurs reporting the lowest levels. When it came to involvement however Asian restaurateurs had levels of participation that were comparable with the 'other' restaurants. This was a key finding as it supported the suggestion in existing literature that the ethnicity of the owner/manager may have a relatively minor effect on participation levels, compared with the impact of sector, size and location.

Levels of participation compared with other studies

There is little data available on participation in these initiatives by EMBs as the databases held by government agencies and the organisations involved in their delivery have been found to be inadequate at recording the ethnicity of the business owner/manager (Ram and Smallbone, 2001). This severely hampers attempts to monitor uptake and make comparisons between different types of business.

Levels of awareness were compared with those reported by HtF (1999) following a nationwide telephone survey of 885 hospitality employers conducted a year earlier than the fieldwork for this study. The HtF research found that 59% of restaurateurs were aware of NVQs, which is not dissimilar to the 57.5% of respondents in this study. Direct comparisons are however difficult due to methodological differences and to the time gap between the two studies.

The findings for involvement were compared with Kitching and Blackburn (2002), who conducted a large-scale survey of small businesses. Direct comparisons are again difficult as Kitching and Blackburn's research involved all small businesses, rather than EMBs, and utilised a telephone survey with 1005 firms nationwide rather than a face to face survey of 80 restaurants in London. However, the fieldwork for both studies was undertaken within the same twelve-month period and this was the closest study found for comparison. Overall the results are broadly in line with one another. Kitching and Blackburn found that 13.4% of small business owners/managers were involved in NVQs, compared with 12.5% of the

restaurateurs in this study (although only 11.3% of the restaurateurs had initiated any action and only 6.3% had become 'active participants'). Far fewer respondents in Kitching and Blackburn's research were involved in NTs, IIP and the New Deal (below 2%), which was also comparable to this study. The main difference between the two sets of findings was with MAs, where 5.2% of all small firms in the Kitching and Blackburn study were involved (6.4% of small firms in 'distribution, hotels and catering'), but none of the respondents in this study were.

8.2.2 Participation narratives

The 24 narratives presented in section 5.2 describe the restaurateur's participation experiences and give their perspective on the reasons why they had or had not become involved. They also reveal the likelihood of them participating more in the future and their general attitudes towards interacting with external organisations. The narratives discussed in this section were analysed with the aim of identifying general themes, particularly those that were common to a particular stage of participation and / or to a particular type of restaurant (Asian, Oriental or 'other'). It became apparent during the analysis that attitudes towards the initiatives being covered by this study seemed closely related to the decision-maker's general attitude to external organisations influencing their business.

This section summarises the reasons the restaurateurs gave for involvement or non-involvement, and discusses the common themes that emerged. The narratives were based on the qualitative interviews with restaurateurs that also provided evidence for or against each variable's influence on participation. This evidence was reviewed in the light of the findings from the quantitative interviews with restaurateurs and the interviews with providers as each offered a different perspective. This aspect is not however covered in this section, but is instead discussed in section 8.2.3 below.

Reasons given for involvement / non-involvement

The following reasons were given by restaurateurs for why they had become involved in an initiative, with the most frequently cited first. They:

- had received a personal approach about an initiative from a provider, either directly or through a third party, such as a restaurant association
- had identified that participation would help address a particular issue or concern, which motivated them to become involved
- knew financial support was available so involvement did not incur financial risk
- were the type of individual who liked to try new initiatives to see if they would help the business
- wanted to do a qualification to fill time and be a personal challenge
- became involved when Head Office decided to do so

The following are the reasons given by restaurateurs why they had not become involved or planned not to sustain involvement, with the most frequently cited being listed first. They:

- considered the initiatives not to be necessary or required, in that they would not contribute to business success
- considered the initiatives to be unsuitable or irrelevant because:
 - they were too formal
 - the system was bureaucratic
 - the restaurateur recruited only co-ethnic staff
 - the restaurateur had no recruitment difficulties
 - the restaurateur needed to train people quickly
 - the restaurateur believed the initiatives were not delivered by people with a restaurant background
 - the restaurateur was concerned about the standard of training
- had never been approached
- only employed 'transient' staff on a short-term basis and none was committed to the business or committed to a career in the industry
- did not believe they had time
- would not become involved in a Government initiative due to association with taxation and regulation
- had a previous bad experience with a government initiative
- were deterred by the cost
- believed involvement was not compatible with their future plans (personal and/or business)
- had no long term link with providers
- said it was not their decision and Head Office or the Owner would need to decide

- wanted to train staff their own way
- ran a restaurant that was struggling to survive
- were concerned that their staff would not be eligible
- believed government schemes did not apply to small businesses

The restaurateurs who had been involved with the initiatives gave the following reasons why their involvement was continuing or why they had ceased to be involved.

Reasons for sustaining involvement:

- the provider made it easy
- they were learning new things and had more staff who were interested in becoming involved

Reasons for involvement having ended:

- a short-term project-based scheme had ended
- they judged that they had not learned anything new
- they had been disappointed by some initiatives and /or disappointed by the level of service received from providers
- they had completed the initiative

These reasons can be seen as being the main ones that influence participation, as they are the ones that are most important to the people who have or would make the participation decisions.

Common themes by type of restaurant

Many restaurateurs, across all three types of restaurant, saw having a direct approach from a provider as being vital to generating involvement. However amongst those who criticised the initiatives only Asian and Oriental restaurateurs seemed to believe they were *not necessary*. The 'other' restaurateurs described them as being *not relevant* or *not suitable*, either in terms of specific content or because particular aspects of their business made the initiatives unsuitable for them. This suggests that 'other' restaurateurs are more likely to criticise particular features of the initiatives and their delivery, whilst ethnic restaurateurs are more likely to be critical of the whole purpose and need. The 'other' restaurateurs were also more likely to give reasons for not being involved that emphasised the link between the initiatives and the government.

The only theme common to the Asian restaurants was that *special provision* had featured in all three cases of involvement; the restaurateurs had become involved in programmes aimed specifically at delivering the initiatives within Asian restaurants. A theme common to some of the Oriental restaurateurs, was the importance of owner or Head Office support to participation decisions, even where the manager interviewed had training responsibility. However, in two of the three Oriental restaurants this was more likely to be a feature of their scale (chain restaurants owned by large restaurant groups) than necessarily due to a more hierarchical approach to management in Oriental restaurants.

The Oriental restaurateurs were least likely to show interest in future involvement, whilst the 'other' restaurateurs were most likely to do so.

Common themes by stage of participation

The reasons given by restaurateurs for being involved or not involved were not linked to any particular stage of participation. However, restaurateurs who were unaware of the initiatives ran businesses that shared some common characteristics. They all employed a co-ethnic labour force and operated small single establishments with no expansion plans, located in relatively deprived residential suburbs. Some of the restaurants that were participating also shared these characteristics but it was only within the category of 'unaware' that they appeared exclusively.

All the restaurateurs who had heard of the initiatives through organisations had subsequently become knowledgeable about them, whereas some of those who had heard of them through the media or through personal contacts had not progressed beyond awareness. In addition, all seven restaurants that had been involved in the initiatives had been contacted by a provider either directly or via a restaurant association. It therefore appears that direct contact with formal organisations was linked to a higher level of participation. This does not diminish the importance of the media and personal contacts for raising awareness, but does show the added value that can be achieved through direct promotion by provider organisations.

Five of the seven restaurateurs who were unaware of the initiatives or who had not progressed beyond awareness were receptive to being approached about involvement. This also applied to those who had experience of the initiatives, with five out of seven being interested in becoming involved again in the future. However, some of the restaurateurs who had knowledge of the initiatives but had not already become involved were more cautious with only four out of ten saying they would be open to being approached. Only two of the seven restaurateurs who had been involved were still involved at the time of the interview, highlighting the short term nature of many of the initiatives. Both restaurateurs and providers criticised the initiatives being promoted through project-based schemes rather than long-term links that would encourage involvement to be sustained and developed.

Common themes by attitude to external influence

Analysis of the narratives revealed that participation in the initiatives was related to the decision-maker's general attitude to the influence that external organisations might have over their business. Whilst there was no particular pattern by type of restaurant, there were some with stage of participation.

Restaurateurs who were *resistant* to external influence (4) had awareness and knowledge of the initiatives, but would not consider becoming involved, believing them to be not needed, irrelevant or unsuitable. Restaurateurs who were *oblivious* to external influence (2) were unaware of the initiatives but were open to being approached and the lack of an approach was the main reason they gave for not being involved. The restaurateurs who were *resistant* or *oblivious* shared some common characteristics in that they all ran businesses that were small and ethnically self-contained.

Restaurateurs who adopted a *considered* approach (13) had demonstrated that they allowed external organisations to influence them only after making a conscious judgement that what was being offered was suitable for their business. They were all aware of at least one initiative but exhibited different levels of participation. They also gave the broadest variety of reasons for not being involved, commonly relating to particular aspects of the initiatives or the unsuitability of delivery systems, previous bad experiences with

initiatives, lack of time and never having been directly approached. They were evenly split in their attitudes towards future involvement with seven being open to approach compared with six who were not interested.

The final group of restaurateurs were those who had an *embracing* attitude to external influence (5), all of whom were involved in the initiatives and were able to identify a particular motivation that had led to them becoming involved. In relation to their attitudes to future involvement, two were still involved whilst the remaining three were open to an approach.

This suggests overall that general attitude towards external influence may be a good predictor of behaviour in relation to participation in these initiatives. *Resistant* restaurateurs appear unlikely to participate regardless of their levels of awareness and knowledge, even if they receive a direct approach from providers. *Oblivious* restaurateurs may become involved in the initiatives if directly approached but are unlikely to seek out involvement themselves. *Considered* restaurateurs may seek out involvement or become involved if approached but only if the provider has a convincing argument that a particular initiative is suitable for their business. *Embracing* restaurateurs are those most likely to seek involvement or become involved if approached and appear most likely to welcome external influence.

8.2.3 Factors affecting participation

This section shows the link between decision-maker characteristics and level of participation and the evidence for that link from the research.

Decision-maker's profile

Factor and level(s) of participation affected	Evidence
Age of owner/manager (I15a)	Quantitative evidence suggested this was a factor across all levels. It was not however perceived as being a factor as it was not mentioned by providers or restaurateurs in the qualitative interviews.
Awareness ✓	
Knowledge ✓	
Involvement ✓	

Factor and level(s) of participation affected	Evidence
Gender (I23) Awareness ✓ Knowledge ✓ Involvement ✓	There was quantitative evidence to suggest that gender was a factor but the nature of its effect was not entirely clear. In addition, a high proportion of male restaurant owners/managers were interviewed during the study as they were identified as the people who would make the decision about participation in these initiatives when the interviews were arranged. It was outside the scope of this study to explore the potentially 'hidden role' of women in EMBs.
Education level of owner/manager (I19a) Awareness x Knowledge x Involvement ✓	There was qualitative evidence that some restaurateurs considered this to be a factor. However, caution must be exercised as the qualitative evidence was limited to only a few restaurateurs and it was not supported by quantitative evidence.
English language ability (I1ai) Awareness ✓ Knowledge ✓ Involvement ✓	Statistically significant relationships were found between the owner/managers' self-reported language ability and their levels of participation. These findings applied to awareness, knowledge and involvement. However, the evidence for this factor came only from the quantitative results and this was not a factor highlighted in the qualitative interviews with providers or restaurateurs.
First Language of owner/manager (I1aai) Awareness ✓ Knowledge ✓ Involvement ✓	Statistically significant relationships were also found between the owner/managers' first language (Asian, Oriental, English and 'other') and their levels of participation. These findings applied to awareness, knowledge and involvement. However, again, the evidence for this factor came only from the quantitative results and this was not a factor highlighted in the qualitative interviews with providers or restaurateurs.
Length of time in the UK (1 st /2 nd Generation) (I10) Awareness ✓ Knowledge ✓ Involvement ✓	Quantitative evidence suggested that levels of participation differed by generation and length of time in the UK.

Table 8.01: Decision-maker profile - factors judged to affect participation

In contrast, the following variables relating to the decision-maker's profile did not appear to have affected participation:

Variable	Evidence
Motive for migration (I6)	There was no evidence that immigrants with differing motives for migration participated in the initiatives in different ways.
Country of birth / Nationality / Ethnic group (I9)	There was no evidence that restaurateurs' country of birth, nationality or ethnic group affected levels of participation.
Social class (I16)	There was no evidence to suggest that the owners'/managers' social class affected their level of participation. However social class was only measured within the study by respondents self-reporting and this therefore leaves open the possibility that there may be a link between social class measured by other means and participation.
Skills required for participation (I18)	There was no evidence from either the quantitative or qualitative work to suggest that participation was affected by whether or not individuals had particular skills.

Variable	Evidence
Career history (I31)	There was no evidence that career history affected participation.

Table 8.02: Decision-maker profile - variables judged not to affect participation

Decision-maker's attitudes

Factor and level(s) of participation affected	Evidence
Awareness of initiative (I4) Awareness n/a Knowledge ✓ Involvement ✓	Awareness was judged to be a factor affecting higher levels of participation as in all but one case it had preceded knowledge and involvement. However, there were also many examples of respondents who were aware of initiatives but had not progressed further.
Knowledge of initiative (I5) Awareness n/a Knowledge n/a Involvement ✓	Knowledge was judged to be a factor affecting participation as in all but one case it had preceded involvement. In addition the quantitative results showed that respondents who had very good knowledge (or who believed their knowledge to be advanced) were more likely to be involved than those who had (or thought they had) lower levels of knowledge. However, there were also many examples of respondents who were knowledgeable about the initiatives but had not become involved. In addition it could have a negative affect if restaurateurs base their participation decision on partial or inaccurate knowledge.
Belief that the initiatives are necessary / required (I33) Awareness x Knowledge x Involvement ✓	Qualitative evidence suggested that many restaurateurs did not become involved because they saw the initiatives as unnecessary. They were not essential to the successful running of their business. However other restaurants did become involved without believing the initiatives were essential. When not present this factor can therefore prevent some people from participating, but does not have to be present for others to become involved.
Acceptability of initiative (I11) Awareness x Knowledge x Involvement ✓	Some limited qualitative findings suggested that acceptability was a factor considered by some restaurateurs prior to participation. Some initiatives were seen as having regulations or conditions that the restaurateurs considered unacceptable.
Previous participation in related initiative(s) (I25) Awareness x Knowledge x Involvement ✓	There was quantitative and qualitative evidence to suggest that previous participation in the same kind of initiative did influence attitudes towards future involvement.
Attitude towards cost (I7b) Awareness x Knowledge x Involvement ✓	The quantitative and qualitative findings showed that cost did deter some restaurateurs from involvement. However other restaurateurs were prepared to pay for initiatives that provided value for money.
Time available for participation (I22) Awareness ✓ Knowledge ✓ Involvement ✓	There was quantitative and qualitative evidence to suggest that time is a factor that affects participation. Many restaurateurs said that the time they had available to spend on this area of their business was not sufficient for them to find out about the initiatives available or for them to become involved.

Factor and level(s) of participation affected	Evidence
Particular motivation (I3) Awareness x Knowledge x Involvement ✓	The quantitative and qualitative findings suggested that motivations were very personal to individual restaurateurs. For example, whilst many said they would become involved to help overcome high staff turnover, other respondents gave this as a reason for not becoming involved saying their staff were too transient for the business to benefit. It appeared that involvement often resulted from the decision-maker identifying a particular reason(s) that motivated them to become involved whilst also making a judgement that this outweighed the disadvantages. Restaurateurs who did not have a particular motivation for involvement often described the initiatives as not necessary or required within their business.
Politically active (I24) Awareness ✓ Knowledge ✓ Involvement ✓	There was quantitative evidence to suggest a connection between voting in local elections and higher levels of knowledge and involvement. A small number of restaurateurs appeared to be motivated by wanting to support a government initiative. One provider believed that politically active restaurateurs were more likely to be aware of initiatives than those who were not.
Attitude to external influence (I17) Awareness x Knowledge x Involvement ✓	The quantitative findings suggested that businesses that did not use any external sources of information did not become involved in initiatives. In addition, the qualitative findings showed that some restaurateurs focussed internally when running their business and were resistant to external influence.
Involvement with external groups and associations (I27) Awareness x Knowledge x Involvement ✓	Quantitative and qualitative evidence was found that suggested a relationship between involvement with external organisations and involvement in these initiatives.

Table 8.03: Decision-maker attitudes - factors judged to affect participation

The following variables relating to the decision-maker's attitudes were judged not to have affected participation:

Variable	Evidence
Knowing how to access organisations that provide business support services (I2)	There was no evidence that knowing how to access organisations that provide business support led to participation in these initiatives.
Extent of Assimilation (I8a)	A relationship between assimilation and participation was only found for one of the measures used to assess assimilation ('voting in local elections'). This was not enough to conclude that it is a factor as this measure was more directly attributable to the variable entitled 'Politically active (I24)'.
Feeling only in the UK temporarily (I13)	There was no quantitative or qualitative evidence that this was a factor.

Table 8.04: Decision-maker attitudes - variables judged not to affect participation

Business profile

Factor and level(s) of participation affected	Evidence
Size of business (I21) Awareness x Knowledge x Involvement ✓	Size of business was perceived as being a factor by both restaurateurs and providers. However, this qualitative evidence was contradicted by the fact no statistical relationships were found between size of business (using any of the three measures adopted) and participation through the quantitative research. On balance, it was decided that this should be recorded as a factor as it had emerged during the qualitative interviews from a number of sources and as the quantitative findings may reflect the fact that the sample was dominated by small businesses.
Age of business (I28) Awareness ✓ Knowledge x Involvement ✓	Restaurateurs in younger businesses were aware of more initiatives than those in older businesses. However there was evidence to suggest that those in newly-established restaurants felt unable to become involved until their business was established and stable.
Approach to training (I30) Awareness ✓ Knowledge ✓ Involvement ✓	The qualitative research suggested that restaurateurs who do not believe that they need to train their staff will not become involved in these initiatives. The quantitative results showed that restaurants with written training plans had higher levels of awareness and knowledge than those without. In addition, those who provided off-job training were more likely to be aware of the initiatives than those who did not.
Financial position (I7a) Awareness ✓ Knowledge x Involvement x	Low turnover and low manager pay levels were associated with low levels of awareness.
Breakout (I8b) Awareness ✓ Knowledge ✓ Involvement ✓	Restaurants that had demonstrated 'break-out' by attracting customers from a wide geographical area had higher levels of participation than those who attracted only local customers. Break-out was also measured in terms of average-spend by customers. High average spend was associated with high levels of knowledge and involvement. Low average-spend was associated with low levels of awareness. The findings relating to the ethnic mix of customers appeared contradictory, although this particular measure of 'breakout' has been used less widely in recent years (Dhaliwal, 2000). However one explanation may be that these results reflect restaurants operating in <i>local ethnic</i> markets with low levels of awareness and restaurants in <i>ethnic, non-local</i> markets with relatively high levels of involvement (Jones et al., 1992).
Location (I12) Awareness ✓ Knowledge x Involvement x	Qualitative findings provided evidence that the restaurants in either Central London or relatively affluent suburbs were more likely to be aware than those in more deprived areas. There was also evidence of local issues affecting financial position, interest in recruitment initiatives and the effectiveness of local agencies.
Future plans (I26) Awareness ✓ Knowledge ✓ Involvement ✓	Restaurateurs with a written business plan had higher levels of awareness, knowledge and involvement than those without one. Qualitative findings suggested that decisions about involvement were influenced by future plans, such as whether or not the owner was planning to expand the business or sell it.

Factor and level(s) of participation affected	Evidence
Owner / Head Office support (S8) Awareness x Knowledge x Involvement ✓	The quantitative and qualitative evidence suggested that even managers who have responsibility for making training decisions (i.e. those interviewed in the study) would still need to involve owners when deciding whether or not to participate in these initiatives.

Table 8.05: Business profile - factors judged to affect participation

The following variables relating to the business profile were judged not to have affected participation:

Variable	Evidence
Ownership and management (I32)	There was no evidence from either the quantitative or qualitative work to suggest that participation was affected by who had established the restaurant. There was also no evidence that participation levels differed according to the restaurateur's position in the company, the length of time they had been with the restaurant or their style of management.

Table 8.06: Business profile - variables judged not to affect participation

Staff Profile

Factor and level(s) of participation affected	Evidence
Age of staff (I15b) Awareness ✓ Knowledge x Involvement ✓	There was quantitative and qualitative evidence for the age of staff being a factor affecting participation. This applied to awareness and involvement but there was no evidence to show a relationship between age of staff and knowledge.
Education level of staff (I19b) Awareness ✓ Knowledge ✓ Involvement ✓	There was quantitative evidence of a connection between employing staff with advanced qualifications and participation.
English language ability of staff (I1b) Awareness ✓ Knowledge ✓ Involvement ✓	Quantitative findings suggested a relationship between low English language ability amongst staff and low levels of awareness and knowledge amongst owners/managers. Comments made by employers in the qualitative interviews suggested that this factor could have either a positive or negative effect on the likelihood of them becoming involved. Providers suggested that candidates involved with training initiatives needed to be able to speak and write in English.
Staff views on participation (I29) Awareness x Knowledge x Involvement ✓	Quantitative and qualitative results indicated that many restaurateurs take their employees' views into account (or their perception of what their employees' views would be) when deciding whether or not to become involved.

Table 8.07: Staff profile - factors judged to affect participation

Social networks

Factor and level(s) of participation affected	Evidence
Co-operation / Competition between different ethnic groups (E9) Awareness ✓ Knowledge ✓ Involvement ✓	Co-operation between different ethnic groups had led directly to the formation of one of the specialist training schools. This had resulted in increased awareness, knowledge and involvement among the restaurants they had subsequently had contact with. There was no evidence to suggest that competition between different ethnic groups had affected participation.
Peer and community support networks (S4) Awareness ✓ Knowledge x Involvement ✓	Restaurateurs obtained business information from their peers and in some cases this had led to awareness and involvement in the initiatives. The peer group could have a positive or negative effect on participation depending upon its members' past experiences. Restaurateurs who ran businesses that participated in charity and community activities were more likely to be involved in the initiatives than those who were not. Providers believed that contact with community groups was vital to getting their specialist schools established and accepted.
Sense of ownership (I14) Awareness ✓ Knowledge ✓ Involvement ✓	The fact that the providers were unanimous in the importance they attributed to this variable justified its inclusion as a factor affecting participation at all levels, based on their experiences whilst establishing their specialist schools. It appears that providing restaurants in a particular community with ownership over an initiative has been found to lead to increased levels of participation by members of that community. However, whilst it is an influencing factor it has not been found to be an essential one as some restaurateurs will still participate in initiatives they do not have ownership over.
Family support (S9) Awareness x Knowledge x Involvement ✓	Qualitative evidence suggested that some restaurateurs who ran family owned businesses would not be able to participate in the initiatives unless other members of their family supported the idea.

Table 8.08: Social networks - factors judged to affect participation

The following variables relating to social networks were judged not to have affected participation:

Variable	Evidence
Cultural mediators (S5)	Whilst one provider had worked with cultural mediators to get their specialist school established and accepted by the community, the other providers had not worked with third parties in this way. Instead they had relied upon appointing ethnic minority staff and developing contact with leading restaurateurs. There was no evidence to suggest that cultural mediators affected whether or not restaurateurs participated in the initiatives.

Table 8.09: Social networks - variables judged not to affect participation

Wider environment

Factor and level(s) of participation affected	Evidence
Public policy (E4) Awareness ✓ Knowledge ✓ Involvement ✓	Qualitative evidence from restaurateurs and providers suggested that Government policies had a direct effect (both positive and negative) on the number of Asian and Oriental restaurants involved in these initiatives.
Government support (S6) Awareness x Knowledge x Involvement ✓	Many restaurateurs who were involved would not have been participating unless they were receiving financial support. However, the fact that the initiatives attracted Government support had a negative affect for some restaurateurs due to the association with taxation and regulation.
Information / Communication methods used to promote initiatives (E6) Awareness ✓ Knowledge ✓ Involvement ✓	Quantitative and qualitative evidence suggested a connection between information and communication methods and participation at all levels. Restaurateurs were found to favour personal approaches and direct contact with the organisations providing the initiatives and this was associated with higher levels of participation. These findings support existing literature which suggests that small businesses prefer to access information through face to face contact (section 2.3.4).
Opportunity presented (E13) Awareness ✓ Knowledge ✓ Involvement ✓	There was some quantitative and qualitative evidence to suggest that participation was affected by whether or not restaurants had been directly approached by providers.
Trigger (E1) Awareness x Knowledge x Involvement ✓	The providers were unanimous in reporting that participation by restaurateurs had often been triggered by a particular event. In addition some restaurateurs said they had or would become involved if triggered by particular circumstances, such as when expanding the business or if they were to recruit someone who appeared committed to their business in the long term.
Availability of initiative (E5) Awareness x Knowledge x Involvement ✓	There was some evidence that availability and accessibility, whether actual or perceived, affected involvement in the initiatives.
Suitability of initiative (E2) Awareness x Knowledge x Involvement ✓	Qualitative evidence from restaurateurs and providers suggested that particular aspects of the initiatives were unsuitable for some businesses. Whilst these features did not prevent involvement entirely they did appear to deter some employers from participating.
Accessibility of delivery system (E10) Awareness x Knowledge x Involvement ✓	Quantitative and qualitative findings suggested that some restaurateurs found the system surrounding these initiatives complicated and bureaucratic which affected the likelihood of them becoming involved.
Suitability of delivery system (E7) Awareness ✓ Knowledge ✓ Involvement ✓	There was qualitative evidence that aspects of the delivery system directly affected whether or not businesses participated. The fact that providers did not receive funding to allow them to develop long term contact with restaurants was thought to affect levels of awareness, knowledge and involvement in the initiatives. Some restaurateurs said they would only become involved in initiatives that were delivered by people with an industry background.

Factor and level(s) of participation affected	Evidence
Language support (S3) Awareness x Knowledge x Involvement ✓	Language support was found to be a key issue that affected whether or not some restaurateurs became involved in training initiatives.
Understanding of ethnic minority needs (E11) Awareness x Knowledge x Involvement ✓	Qualitative findings suggested that restaurateurs were more likely to become involved in initiatives if the provider demonstrated an understanding of their particular needs.
Willingness to accommodate ethnic minority needs (E12) Awareness ✓ Knowledge ✓ Involvement ✓	Willingness to accommodate ethnic minority needs was demonstrated by mainstream providers having established specialist training schools targeting Asian and Oriental restaurants. In so far as these schools had developed community contacts, raised awareness of the initiatives they provided and secured involvement it can be argued that this willingness had a direct effect on participation. It is unlikely that the restaurants they were involved with would have been participating if it were not for their approach, and this is why this variable has been included as a factor. However caution must be exercised as this study did not set out to evaluate the impact of these specialist schools on participation levels.
Special provision for ethnic minorities (E15) Awareness ✓ Knowledge ✓ Involvement ✓	Qualitative evidence suggested that 'special provision' had been necessary in order to achieve the levels of participation amongst Asian and Oriental restaurants that were recorded. However a number of Asian and Oriental restaurateurs said they would not want to participate in initiatives specifically for ethnic restaurants as they would want to have the opportunity to learn from other sectors.
Cultural compatibility between provider and restaurateur (E14) Awareness x Knowledge x Involvement ✓	A small number of restaurateurs said they would become involved in initiatives only if they were promoted by someone from within their ethnic community. Qualitative evidence from providers supported this view as all three specialist providers had appointed staff from the same ethnic group(s) as the restaurants they were targeting. This factor did not affect all Asian and Oriental restaurateurs but did appear to be important to a minority.
Cultural barriers (E3) Awareness x Knowledge x Involvement ✓	There was some qualitative evidence, predominantly from providers, that cultural barriers could affect the number of Asian and Oriental restaurants that participated in these initiatives. However, this finding was limited by the fact that very few restaurateurs reported having experienced cultural barriers whilst being involved. Therefore whilst it has been identified as a factor, further work would be required to assess the extent of its effect on participation.
Ethnic minority staff delivering the initiative (S2) Awareness x Knowledge x Involvement ✓	Some restaurateurs said there were advantages to the person delivering the initiative also being able to provide language support. All three specialist providers had appointed staff from the same broad ethnic groups as the restaurateurs they were targeting and they believed it to be important. However, caution needs to be exercised as no restaurateurs said that this affected their participation.

Table 8.10: Wider environment - factors judged to affect participation

The following variables relating to the wider environment were judged not to have affected participation:

Variable	Rationale for decision
Accessibility of additional resources (I20)	There was no evidence to suggest that accessibility of additional resources led to higher levels of participation.
Racism / Discrimination (E8)	This study did not generate any evidence that racial discrimination or the fear of discrimination affected participation in these initiatives.
Mentors (S1)	There was no evidence that restaurateurs or providers saw this as a factor affecting participation.
Local Authority support (S7)	There was no evidence that having contact with the local council had led to restaurateurs participating in these initiatives.

Table 8.11: Wider environment - variables judged not to affect participation

The quantitative and qualitative interviews with restaurateurs and qualitative interviews with providers and the main regulatory body provided three different perspectives that were used to assess the influence each variable had on participation. Where variables were accepted as factors based on evidence from only one of these perspectives this was detailed in the results and in the above tables to ensure the strength of the evidence was apparent and could be judged by readers of this thesis.

Portrait of a participant

The evidence that contributed to identifying the factors influencing participation was also reviewed with the aim of developing a picture of a 'typical' participant and their route to involvement. This revealed that an Asian or Oriental restaurateur most likely to participate in training or recruitment initiatives would be educated, under 40 years old, second or third generation with English as a first language. Their business would be less than 10 years old, but sufficiently established and stable for the owner/manager to feel able to devote time to participation. It would be located in Central London or in a suburb that is not particularly deprived, would have a relatively low percentage of local customers and a relatively high average spend. Some of the staff employed in the restaurant would be under the age of 25; they would appear committed to the business, positive about involvement and would be individuals that the restaurateur wanted to develop and support.

The owner/manager would have been aware and knowledgeable about the initiative when directly approached by a provider, and would have had no previous bad experiences with participation in similar initiatives. They would have established a comfortable relationship with the provider, would feel that their needs had been understood and could be met and would not have been required to make a significant initial commitment of time or money. In addition they may have been able to articulate a particular motivation or trigger which had led to them becoming involved. They would have determined that the content of the initiative and the way in which it was to be delivered resulted in it being available, suitable and accessible. There would have been no aspects of the initiative that they found unacceptable, including the financial cost, and involvement would not conflict with their plans for the future. Overall they would take either a *considered* approach to external organisations influencing the way they ran the business, or would have an *embracing* attitude.

Comparison with factors identified in existing literature

A number of factors influencing EMB participation in business support initiatives have been identified in this study that have not previously been identified in the literature:

Decision-maker's profile

- Age (I15a)
- First language (I1aii)

Decision-maker's attitudes

- Previous participation in related initiative (I25)*
- Politically active (I24)*
- Involvement with external groups and associations (I27)*

Business profile

- Future plans (I26)*
- Owner / Head Office support (S8)

Staff profile / attitudes

- Education level of staff (I19b)

Social networks

- Co-operation between ethnic groups (E9)
- Sense of (community) ownership (I14)

Wider environment

- Public policy (E4)
- Opportunity presented (E13)

These 12 factors make a new contribution to existing knowledge and have potential importance for policy makers and providers who have an interest in support services for EMBs. The majority of them first emerged from the wider literature on participation, but have not previously been identified as influencing EMB participation in business support initiatives. However four (those marked above with an *) appear to have emerged solely from this study.

The remaining 37 factors identified by this study as influencing participation confirmed the findings of previous research. These factors are listed in Appendix 8A, cross-referenced by the studies in which they featured.

The wider literature also identified four factors that had been found to affect ethnic minority business participation that were either not covered by or not supported by the findings of this study. These were *sector*, *lack of confidence*, *ethnic group* and *discrimination* (the studies in which these factors appear are also shown in Appendix 8A). The first of these, *sector*, was not considered within this study as the decision was made at the outset to focus on one sector of industry. In this way the impact of sector on EMB participation was controlled for, thus enabling inter-ethnic similarities and differences to be more confidently identified. It is apparent from wider research (Ram and Smallbone, 2001, Rutherford and Blackburn, 2000) that the sector in which an EMB operates has considerable impact on its characteristics, the actions taken by the owner-manager and its business support needs, often more so than the ethnicity of its owner. Previous studies have suggested significant differences between levels of EMB participation in business support initiatives compared with non-minority

businesses (Marlow, 1992), whilst this study, focussing on one sector, found relatively slight differences.

Lack of confidence was also not addressed in this study as it had not been identified as a variable from the literature, was not suggested by those involved in the research and was considered to be a psychological factor that was beyond the scope of this research.

The remaining two factors had been considered within the study but were not found to influence participation. Although both the decision-makers' first language and their length of time in the UK / generation had been found to influence their stage of participation, no relationship was found between *ethnic group* and participation. This could be a reflection of first generation immigrants with Asian and Oriental first languages participating at lower levels than second and third generation immigrants some of whom have English as their first language. The findings of this study therefore suggest that ethnicity is not the influencing factor; rather it is the potential participant's first language and their generation.

This study did not produce any evidence that *racial discrimination* or the fear of discrimination had affected participation in these initiatives by this group of respondents. However this leaves open the possibility that if potential participants were to experience discrimination in relation to these initiatives, it could have a marked affect on whether or not they become involved or remain involved if already participating.

Comparison between Asian, Oriental and 'other' restaurants

As previously noted, levels of participation varied slightly between Asian, Oriental and 'other' restaurants but the differences were not statistically significant. However, some factors were found to affect the three types of restaurant differently, which collectively may account for the pattern of ethnic restaurants having slightly lower levels of participation than the control group of 'other' restaurants.

The key differences that seemed to explain lower Asian and Oriental restaurant participation were:

Decision maker's profile

- Having an Asian or Oriental *first language* (I1aii) was associated with lower levels of participation than having English or an 'other' first language
- Asian and Oriental restaurateurs reported lower levels of *English language ability* (I1ai) than 'other' restaurateurs. This applied to reading, writing and speaking

Staff profile / attitudes

- Employees in Asian and Oriental restaurants were reported to have lower levels of *English language ability* (I1b) than those in 'other' restaurants. This also applied to reading, writing and speaking

Wider environment

- *Public policy* (E4): as Asian and Oriental restaurants tended to employ fewer young people than 'other' restaurants, they were less eligible to receive government funding which targeted under 25s
- The providers questioned the *suitability* of NVQs (E2) for Asian and Oriental restaurants, reporting that the occupational standards upon which NVQs are based could not easily be applied to Asian and Oriental cuisine
- *Cultural compatibility* (E14): some Asian restaurateurs said they would only become involved in initiatives that were promoted by someone within their ethnic community
- Providers described a variety of *cultural barriers* (E3) that potentially act as additional hurdles for Asian and Oriental restaurants, unless provision is specifically designed to meet cultural needs

However, overall the results of this study have shown that different businesses are affected by slightly different combinations of factors which together determine their level of participation. Whilst particular factors affect some groups of businesses more than others, not all factors applied to all businesses, even those that shared common characteristics. This highlights the need for mainstream business support providers to resist any temptation to treat EMBs as a homogeneous group and supports the conclusions of previous research:

If entrepreneurship really is to be encouraged and supported across all groups in society, it is important that mainstream business support providers recognize and adapt to the implications of ... diversity

Ram and Smallbone (2003)

8.3 Outputs

8.3.1 Revised Participation Model

A revised participation model has been developed out of the results of this research, which differs from the preliminary participation model in two important respects; the number of participation stages within the model and the way in which the factors are categorised.

The preliminary model envisaged five stages of participation, namely *awareness, knowledge, decision to become involved, action initiated* and *active participation*. However, it became apparent that this five-stage model needed to be collapsed into a three-stage model that combined the last three stages of participation into *involvement*. This was necessary because so few respondents had made the decision to become involved in one or more of the initiatives, had initiated any action or had actively participated.

Continuing to differentiate between different levels of involvement would have been unreliable, given the limitations of the data. The revised participation model is therefore presented in three stages:

1. awareness
2. knowledge
3. involvement

The other main difference between the preliminary and revised models is the way in which the contributing factors have been categorised. During the initial literature review variables were categorised as *internal, external* or *support*. *Internal* variables related to the individual decision-maker or their business whilst *external* variables related to the formal environment surrounding the business. *Support* variables encompassed both the informal environment and support services offered by providers.

However, the results of this study showed that the *internal* category in particular was too broad as it combined variables relating to the individual decision-maker with those relating to the business. In addition the distinction between *external* and *support* was not very clear as some of the variables related to support measures provided by external organisations. Recent literature on EMBs suggested that there were more specific and meaningful

categories that encompassed different elements of the internal and external environment, in accordance with *Mixed Embeddedness*. The factors that were found to influence participation were therefore categorised as follows:

1. decision-maker's profile
2. decision-maker's attitudes / opinions / behaviour
3. business profile
4. staff profile / attitudes
5. social networks
6. wider environment

The revised participation model is therefore presented in three stages with the influencing factors grouped within the six categories listed above.

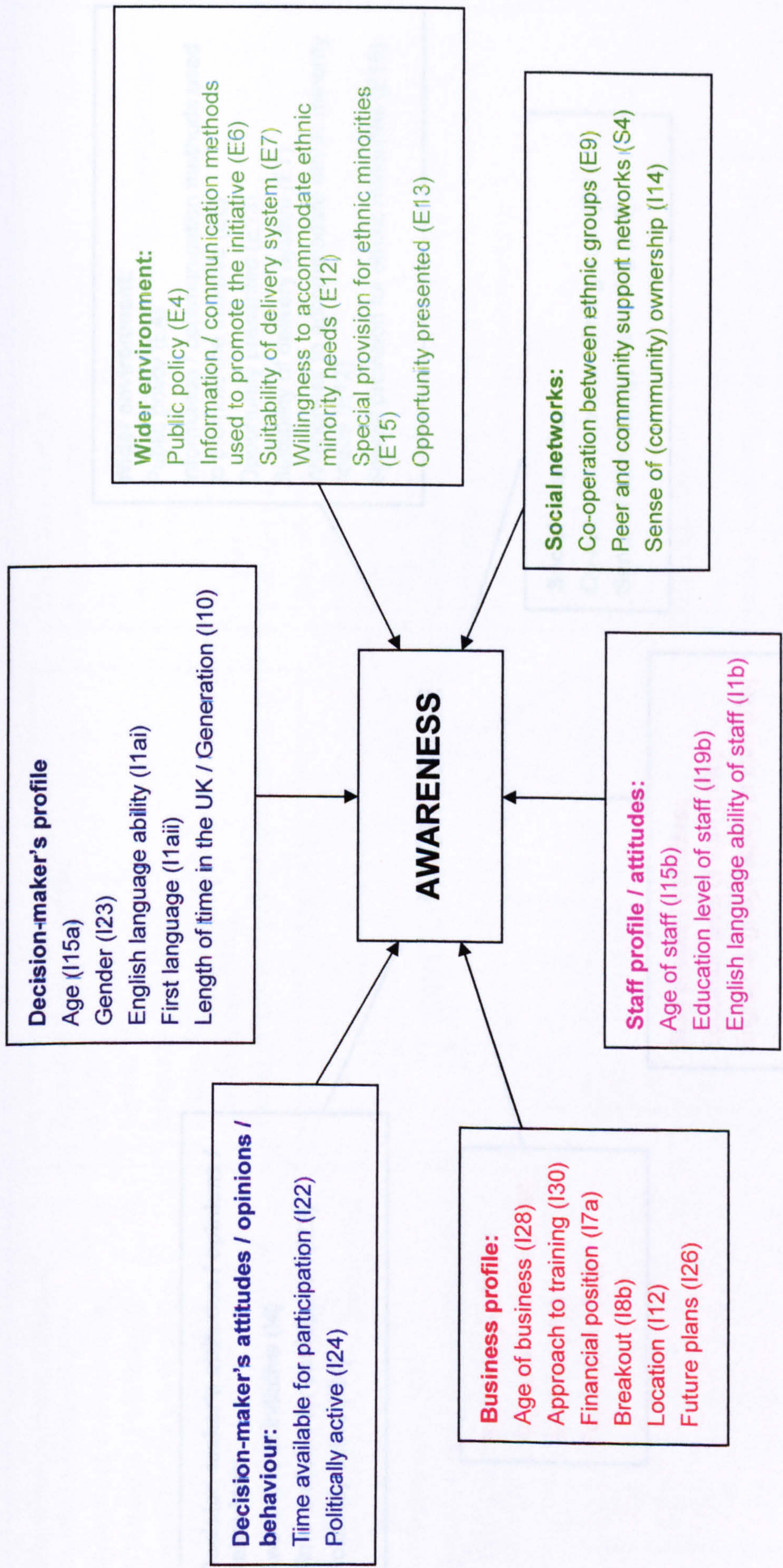


Figure 8.1a Factors that influence whether or not a restaurateur is aware of an initiative

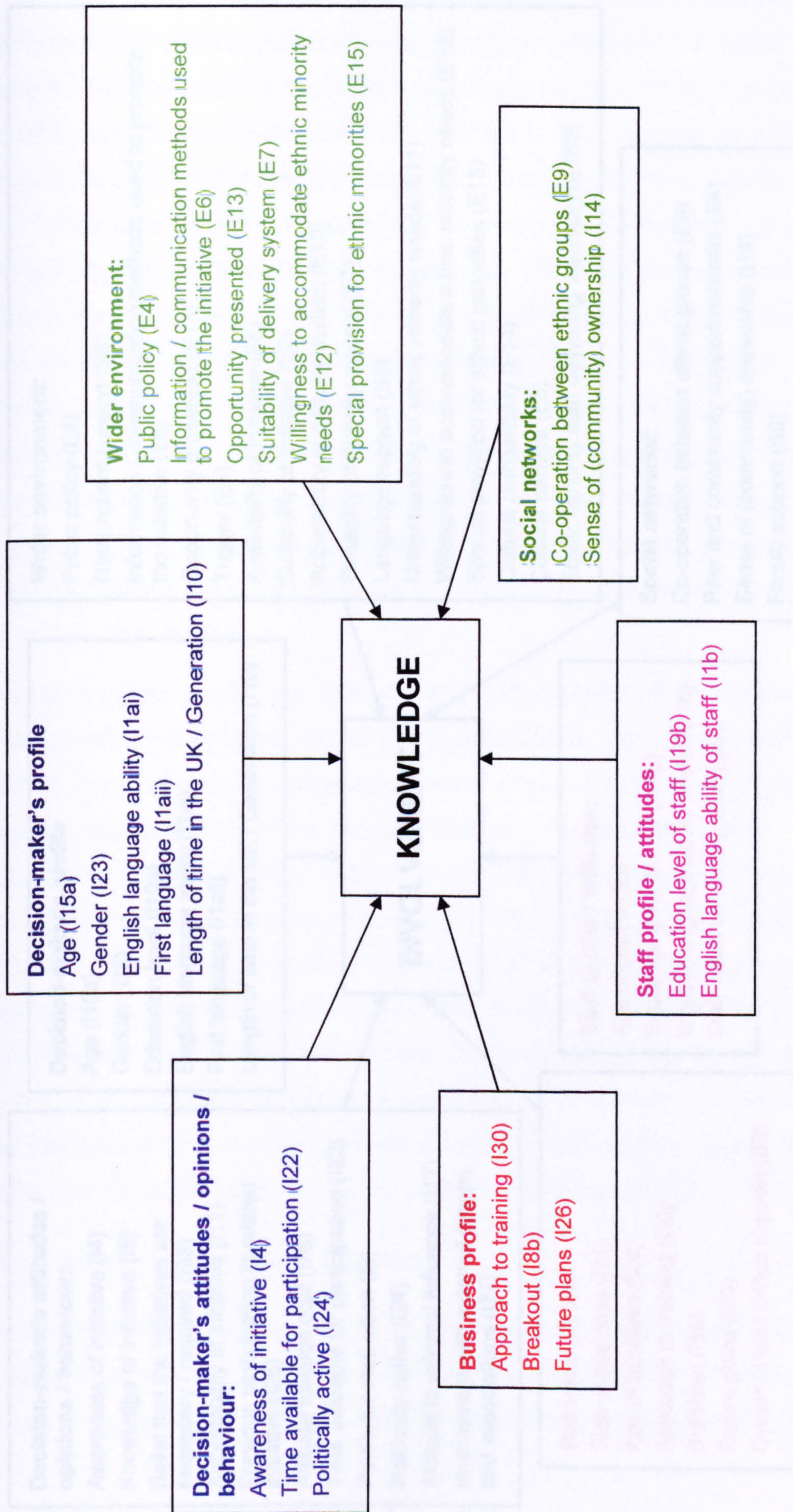


Figure 8.1b Factors that influence whether or not a restaurateur gains knowledge of an initiative

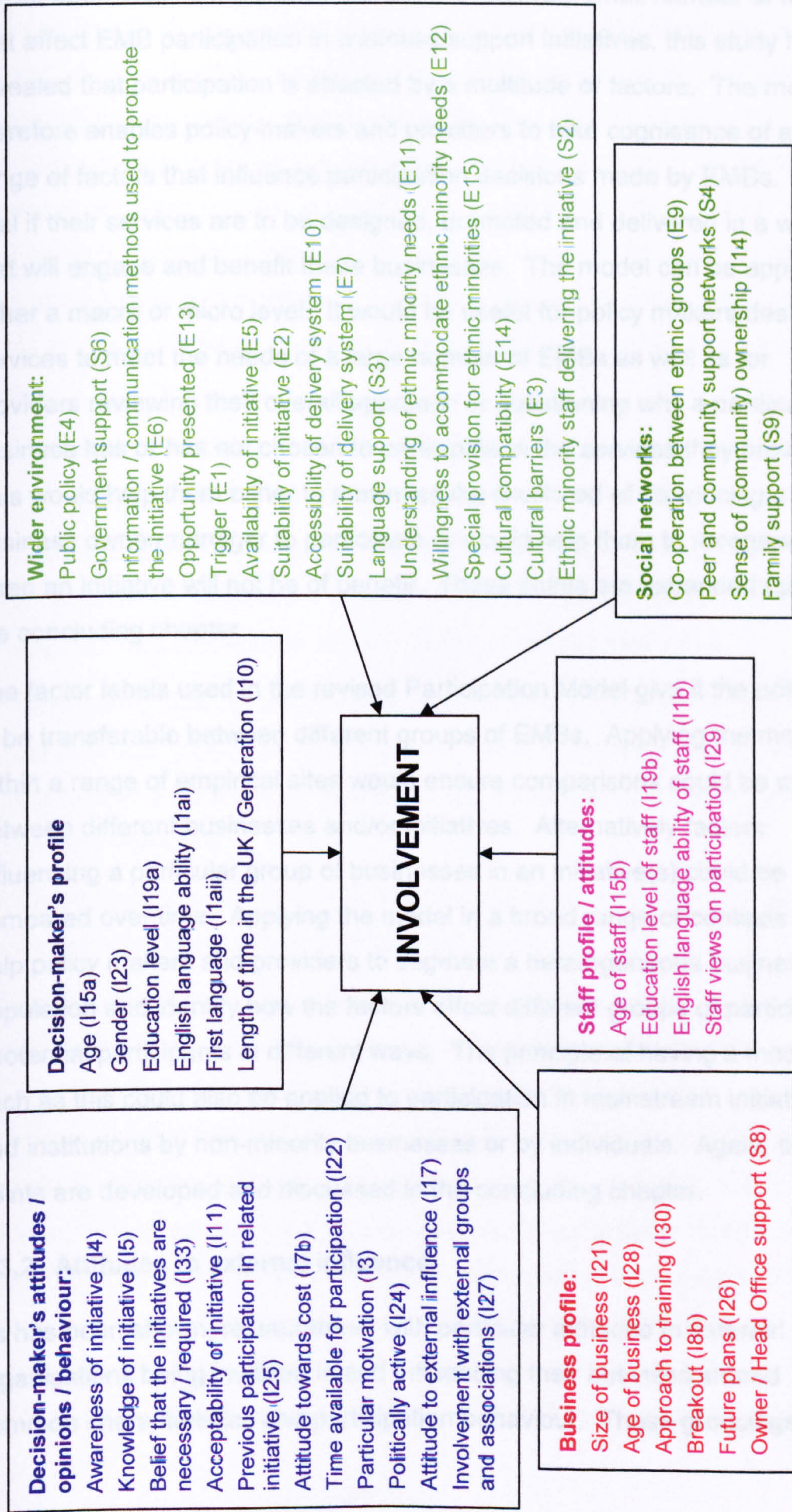


Figure 8.1c Factors that influence whether or not a restaurateur becomes involved in an initiative

Whilst other studies have each identified a relatively small number of factors that affect EMB participation in business support initiatives, this study has revealed that participation is affected by a multitude of factors. The model therefore enables policy-makers and providers to take cognisance of a *full* range of factors that influence participation decisions made by EMBs. This is vital if their services are to be designed, promoted and delivered in a way that will engage and benefit these businesses. The model can be applied at either a macro or micro level. It would be useful for policy makers designing services to meet the needs of a large number of EMBs as well as for providers reviewing their overall approach or questioning why a particular business has or has not chosen to participate in the services they provide. This would help them either to maximise the likelihood of convincing a business owner/manager to participate or would help them to recognise when an initiative will not be of benefit. These points are expanded upon in the concluding chapter.

The factor labels used in the revised Participation Model give it the potential to be transferable between different groups of EMBs. Applying the model within a range of empirical sites would ensure comparisons could be made between different businesses and/or initiatives. Alternatively factors influencing a particular group of businesses in an initiative(s) could be compared over time. Applying the model in a broad range of contexts could help policy makers and providers to segment a heterogeneous business population and identify how the factors affect different groups of participants / potential participants in different ways. The principle of having a model such as this could also be applied to participation in mainstream initiatives and institutions by non-minority businesses or by individuals. Again, these points are developed and discussed in the concluding chapter.

8.3.2 Attitudes to external influence

As has been shown, restaurateurs with particular attitudes to external organisations being involved in and influencing their business shared common characteristics and participation behaviour. These groupings also

revealed some common attitudes towards future involvement in the initiatives covered by this study. Previous literature has shown this in relation to owners wanting to retain control (Marlow, 1992), having a resigned attitude towards business growth and development (Ram and Sparrow, 1993), exhibiting a 'fortress enterprise' mentality (Curran and Blackburn, 1994), having antipathy to government and government bodies (North et al., 1997) and being reluctant to use external advice and support (Dhaliwal, 2000). This study has added to these by identifying and defining four categories in terms of attitude towards business support initiatives. These four categories were:

1. *Resistant*: resistant to external influences and very unlikely to consider becoming involved in the initiatives even if approached;
2. *Oblivious*: positive about some external influences and may become involved in the initiatives if they were approached but unaware of external opportunities and unlikely to seek out involvement themselves;
3. *Considered*: positive about some external influences and may seek out involvement or become involved if they were approached but only after considered judgement as to whether a particular initiative(s) were suitable for their business;
4. *Embracing*: positive attitude to external influence and likely to seek involvement or become involved if approached.

Whilst these categories were developed specifically to describe attitudes exhibited by restaurateurs, they are potentially transferable to other groups of respondents and with minor changes to the definitions could be applicable to individuals in their private lives as well as to business owners/managers.

The *resistant* category encompasses owners/managers that exhibit a 'fortress enterprise' mentality (Curran and Blackburn, 1994). The findings from this study suggest that some owner-managers in this sector exhibit a strong desire for independence and autonomy, but that this does not appear to be universal. The majority of owners/managers involved in the study were not found to be *resistant* to external influence and some of those who were in

this category were there because they were resistant to government initiatives in particular, rather than to all forms of external influence on the running of their business. In addition as this was not a psychological study, this area was solely examined from the perspective of the opinions and attitudes that the owners/managers expressed and not through any assessment of their character traits.

8.4 Additional contributions to existing literature

Ethnic Minority Businesses

The contribution made by this study specifically to EMB participation in business support initiatives has already been discussed. This section is confined to discussing the contribution it makes to the wider literature on EMBs and how they differ from mainstream businesses.

Kloosterman et al.'s (1999) *mixed embeddedness* perspective is based on the premise that EMBs can be understood only by taking account of the socio-economic and politico-institutional environments in which they are embedded as well as their individual and group characteristics and social networks. This approach to examining EMBs emerged after the research design for this study had been determined and the fieldwork was already underway. However the 'comprehensive perspective' (Ram and Smallbone, 2001) provided by *mixed embeddedness* has been found to fit well with this study's aim of identifying a full range of factors that influence participation. In addition the finding that 49 separate factors influence participation in these initiatives is in accordance with a 'comprehensive interplay of processes influencing EMBs' (Ram and Smallbone, 2001). The findings of this study provide empirical evidence to support the *mixed embeddedness* approach.

This study compared two different types of EMB and a 'control group' of non-minority businesses. It therefore avoided the potential pitfall of low levels of participation being attributed to ethnicity rather than to other factors and it reflected the diversity of EMBs. As discussed above, levels of participation did not differ greatly between the three types of restaurant studied; many of the reasons they gave for their level of participation also applied to 'other'

restaurants and only a few factors were found to particularly affect EMBs. In short whilst the differences found remain important, there were more areas of convergence than divergence. This lends further empirical support to the assertion that EMBs differ slightly, but not greatly, from mainstream businesses when they are compared with those that operate within the same industry sector and spatial context (Mulholland, 1997; Ram et al., 2000).

Decision making in small firms

This study showed that the decision-making process did not follow the rational or even disrupted rational models as the owners/managers had not identified a problem and then discovered the initiatives to be the solution. Instead those who had become involved tended to have been approached by a provider who had convinced them that participation would be beneficial, offering a packaged solution that was looking for a problem. Some of the restaurateurs viewed the initiatives as a 'nice extra' and had not identified a specific business issue from the outset that they were trying to address. This supported Greenbank (2000) and his suggestion that micro firms often adopt an intuitive style of decision-making which can be in conflict with the rational approaches assumed by support agencies.

The fact that decisions about participation in these initiatives were predominantly made by owners, even where the manager claimed to have some responsibility for staff training supported Matlay (1999) who had found human resource decisions in small businesses were usually controlled by one or two owner-managers.

8.5 Review of methodology

The limitations of the research design were discussed in Chapter Four, but two aspects are focussed on again here as they are particularly pertinent to evaluating the findings of this study.

The large volume of variables that were examined restricted the number of measures that could be used for each one as otherwise the research instruments would have been impractical. The restaurateurs could not have been expected to devote any more time to this study given the labour-

intensive nature of their businesses and a subject matter that was of limited interest to many of them. Therefore a small number of variables ('social-class', 'language ability' and 'cultural barriers') were only measured using self-reporting by respondents. This places limitations on these findings as it would have been preferable to use more objective measures for these variables. This is important to note as 'language ability' and 'cultural barriers' were two of the areas of difference found between the ethnic restaurants and the 'other' restaurants. The significance that can be attributed to these findings is therefore restricted by the absence of objective measurement.

A two stage proportional stratified sample was used to enhance the likelihood of the sample being representative, in order for the outcomes to be potentially 'true' of all London restaurants. This was an integral part of addressing the research question of whether or not participation and the variables that affect it are the same or different for restaurants run by different ethnic groups. It is believed that the Researcher's white, young, female, middle-class profile may have resulted in the achieved sample under-representing ethnic restaurateurs who would have been willing to talk only to someone from the same ethnic community, age, gender or class. Whilst attempts were made to minimise this effect by working with an Asian research assistant, the profiles of owners/managers in restaurants in London were too diverse for comprehensive ethnic matching to have been practical. This potential bias and under-representation was unavoidable given the importance of having qualitative methods within the research design.

Utilising a combination of quantitative and qualitative approaches enabled this study to describe participation levels and experiences as well as identifying and exploring the factors that influence them. This provides a valuable foundation of knowledge in an area that has previously received sporadic academic attention.

The quantitative survey enabled levels of participation to be measured and led to the identification of relationships between particular variables and awareness, knowledge and involvement. It also resulted in group similarities and group differences being identified between the three types of restaurant

for the variables that were found to be factors. This was complemented by the qualitative interviews with restaurateurs that enabled participation experiences to be explored, the restaurateur's views on the main reasons for their level of participation to be ascertained, themes to be identified and additional evidence relating to each variable's potential impact to be collected. The qualitative interviews with providers and with the regulatory body provided a valuable additional perspective on the factors affecting participation.

Research involving one paradigm alone would not have enabled the full range of factors presented in this thesis to be described and explored. Understanding of the factors influencing EMB participation in business support initiatives would have been less complete if one paradigm had been used and the research question would not have been answered so fully.

8.6 Conclusion

The findings from this study, combined with those from earlier studies, reveal that 49 factors in six groups influence the extent to which EMBs participate in business support initiatives. There are similarities in the factors that affect different groups of businesses, although each individual business will be influenced by its own mix of factors which will determine its level of participation. Some of the factors identified were found to affect EMBs more than non-minority businesses, such as cultural barriers and language ability, but these sit alongside many other factors that have been found to affect all types of business.

The factors identified were categorised in relation to the decision maker's profile, their attitudes, the business, its staff, social networks or the wider environment. This shows that whilst it is essential that supply-side problems are overcome if levels of participation are to be raised, factors specific to individual decision makers and businesses will also affect participation decisions and the promotion and delivery of the initiatives will need to appeal to owners/managers in a wide variety of circumstances and with varying motivations. It appears that the decision maker's general attitude to external influence is a good predictor of their view of participation in business support.

The implications of these findings are discussed in the following chapter which presents some recommendations for policy-makers and practitioners to consider, as well as summarising the main conclusions and making recommendations for further work.

9 Conclusions and Recommendations

This final chapter outlines the main conclusions from the study, discusses how these contribute to existing knowledge and makes recommendations for further work. In addition it indicates some key areas the researcher believes should be considered by policy makers and practitioners if they are to become more successful in engaging owners/managers in business support and highlights how the study's findings directly contribute to their work.

9.1 Summary of main conclusions

This study has successfully addressed the empirical research question of:

What are the factors that influence whether or not Asian and Oriental restaurants participate in training and recruitment initiatives?

It also constitutes a vital initial step towards addressing the overarching research question of:

What are the factors that influence the level and nature of ethnic minority business participation in national business support initiatives?

This has been achieved by systematically identifying factors that potentially influence participation, exploring the extent of their influence within a defined empirical site and modelling these factors in a form that can be applied and tested within other settings. The findings of this study are representative of restaurants in London, but if the model is tested in other settings, the findings will shed more light on the overarching research question.

Specifically the study has shown that:

1. Decision-makers are influenced by their personal characteristics and goals as well as the nature of their business, the situation the initiative is designed to address and the actions of the organisations that develop, promote or deliver the initiative(s). Participation is affected by aspects of:
 - the decision-maker's profile
 - the decision-maker's attitudes, opinions or behaviour
 - the profile of their business
 - staff profile / attitudes
 - their social networks
 - the wider socio-economic and politico-institutional environment

2. As many as 49 factors can act in combination to influence the extent to which an individual Asian or Oriental restaurant becomes involved in business support initiatives. The study identified 12 factors affecting participation that are not documented in the extant literature (marked with an * in the list below). The 49 variables may be grouped as follows:

Decision-maker's profile

- Age*
- Gender
- Education level
- English language ability
- First language*
- Length of time in the UK / Generation

Decision-maker's attitudes, opinions or behaviour

- Awareness of initiative
- Knowledge of initiative
- Belief that the initiatives are necessary / required
- Acceptability of initiative
- Previous participation in related initiative*
- Attitude towards cost
- Time available for participation
- Particular motivation
- Politically active*
- Attitude to external influence
- Involvement with external groups and associations*

Business profile

- Size of business
- Age of business
- Approach to training
- Financial position
- Breakout
- Location
- Future plans*
- Owner / Head Office support*

Staff profile / attitudes

- Age of staff
- Education level of staff*
- English language ability of staff
- Staff views on participation

Social networks

- Co-operation between ethnic groups*
- Peer and community support networks
- Sense of (community) ownership*
- Family support

Wider environment

- Public policy*
- Government support
- Information / communication methods used to promote the initiative
- Opportunity presented*
- Trigger
- Availability of initiative
- Suitability of initiative
- Accessibility of delivery system
- Suitability of delivery system
- Language support
- Understanding of ethnic minority needs
- Willingness to accommodate ethnic minority needs
- Special provision for ethnic minorities
- Cultural compatibility
- Cultural barriers
- Ethnic minority staff delivering the initiative

3. Participation can be described in five stages: *awareness, knowledge, decision to become involved, action initiated* and *active participation*. These stages are a reflection of the processes that most participants pass through to become fully involved. This could be extended to include a sixth stage, that of *sustained participation*, to reflect owners/managers who remain involved with an initiative through to completion or even complete a succession of initiatives.
4. Although all of the five stages of participation identified in the study were found to be relevant, they were compressed to three stages in the revised participation model (*awareness, knowledge* and *involvement*) as data limitations prevented more distinct differentiation between stages of involvement.
5. The factors that appear to influence Asian and Oriental restaurants more than 'other' restaurants are those relating to language, cultural barriers

- and some particular aspects of the initiatives themselves, including the system by which they are funded.
6. Decisions on these initiatives by restaurateurs tend to be made by owners either alone or jointly with managers, using intuitive and adaptive processes rather than rational ones.
 7. Restaurateurs are most likely to respond positively if initiatives are promoted directly through face-to-face contact
 8. There are similarities in the factors that affect different groups of restaurants, although owners/managers are each influenced by their own particular mix of factors.
 9. The owners'/managers' general attitude towards allowing external bodies to affect the running of the restaurant has been found to be a good predictor of their participation in business support initiatives. This study has led to the identification of four attitude types (*resistant, oblivious, considered* and *embracing*).
 10. The participation model needs to be tested in other empirical sites before it can be applied in a practical sense by policy makers and providers, other than those who are specifically interested in Asian and Oriental restaurants in London.

9.2 Implications for and contribution to theory

This section contains a critical analysis of the implications of the study for existing theories on EMBs and the contribution that the study has made to theoretical development in the field. It deals first with the three theoretical perspectives described in Chapter Two that emerged as social researchers attempted to develop an understanding of EMBs, explain relatively high self-employment among ethnic minorities and identify how and why EMBs differed from 'mainstream' businesses. These perspectives are reviewed in the light of this study's findings, to determine what can now be said about their ability to explain the nature and behaviour of EMBs. The remainder of this section then focuses on the contribution that the study makes to the more current perspectives of 'mixed embeddedness' and 'biographical

embeddedness', before concluding with a review of what the findings say about 'fortress enterprises'.

The 'Culturalist' perspective

As discussed earlier in this thesis, the 'culturalist' perspective stresses the importance of cultural networks to EMBs, and attributes their apparent 'success' to the contribution made by family, in-group solidarity, cultural values and qualities, resource networks and shared identity and trust. This equates to the set of factors listed in the Model within the 'social networks' grouping. The study showed that participation in the initiatives was affected by a set of factors associated with the social networks within which the business owners/managers operate. Specifically, participation was shown to be influenced by co-operation among ethnic groups, the existence of peer and community support networks, the extent to which there was community ownership of an initiative and, particularly in the case of family-run businesses, whether or not participation was supported by the decision-maker's family.

These findings therefore offer some support to the 'culturalist' perspective in that they show that cultural networks can influence the way in which EMBs behave in relation to participation in external national initiatives. On the other hand, the study also produced two kinds of evidence that qualify the 'culturalist' thesis. Firstly the study showed that cultural networks were by no means the exclusive explanation in that it identified a total of 49 influencing factors, only four of which were 'social network' factors. Moreover, family support was found to be a factor that affected non-minority businesses as well as EMBs. Secondly the study suggested additional elements of cultural networks were also important: cultural compatibility and cultural barriers between participants and providers and the English language ability of owners/managers and their staff were other factors identified as affecting Asian and Oriental restaurants to a greater extent than 'other' restaurants. These are not explicit elements of the 'culturalist' perspective, which limits itself to examining the impact of co-ethnic networks on EMB behaviour.

Overall, the study's findings confirm the view widely accepted in the academic community that the 'culturalist' perspective is insufficient at fully explaining the nature and behaviour of EMBs as it over-emphasizes cultural *networks* and does not take account of the effect of other, more wide-ranging, cultural factors that affect the way in which EMBs operate.

The 'Structural Materialist' perspective

This perspective aims to explain high levels of self-employment, in particular amongst ethnic groups, by focussing on the lack of opportunities that they can face in the wider labour market. It paints a picture of many EMBs having been established by individuals who were 'pushed' into becoming self-employed by being unable to find suitable employment due, in part, to racial discrimination. It suggests that EMB owner/managers enjoy limited business success as they are restricted to sectors with low-entry barriers in terms of education, qualifications and capital and have to struggle financially because of having to operate outside the mainstream economy in saturated sectors within deprived areas.

During the course of the fieldwork conducted for this study, the researcher did encounter some EMBs that would fit this description. A small number of owners were first generation immigrants who had established restaurants because the professional qualifications and experience they had obtained before coming to the UK were not recognised here. Some of them were running struggling businesses, although others had been successful and were running profitable and expanding businesses. Indeed, one of the reasons given by some ethnic restaurateurs who were not involved in any of the initiatives was that they were too busy as their restaurant was struggling to survive. However this was only one of a large number of reasons given for non-involvement and, in addition, it was not exclusive to EMBs in that it was cited by 'other' restaurateurs as well as by Asian and Oriental ones. Furthermore, the EMB owner/managers interviewed had a diverse range of backgrounds and had entered business management through a variety of 'push' and 'pull' factors, many of which were unrelated to a lack of employment opportunities.

A number of the factors identified by the study as affecting participation were ones that support the essence of the 'structural materialist' argument in that they confirm the existence of some of the key characteristics of EMBs on which the argument draws. For instance, low turnover and low pay levels were identified and shown to be associated with low levels of awareness; restaurants with only local customers were identified and shown to have lower levels of participation than those who attracted customers from a wider geographical area; low average spend was identified and associated with low levels of knowledge and involvement; restaurateurs with businesses in deprived areas were less likely to be aware than those in more affluent areas. On the other hand, the study found no evidence that participation had been affected by experience of or fear of encountering racism and discrimination. In addition, the 'structural materialist' factors identified were also found to apply to 'other' restaurateurs as well as to Asian and Oriental ones, which diminishes the extent to which this perspective can be used to explain how EMBs differ from non-minority businesses. The findings therefore suggest that whilst some EMBs have a profile and development pattern consistent with the empirical starting point of the 'structural materialist' perspective, the perspective does not fully explain EMBs and the way in which they differ from non-minority businesses.

The 'Interactionist' perspective

This approach seeks to explain EMB behaviour by examining the positive and negative impact of the group characteristics and resources utilised by EMBs as well as by the external 'opportunity structure' within which they operate. In its broadest sense the 'opportunity structure' includes the way in which businesses are influenced by their external commercial environment, market conditions, business vacancies, government policies, customers and suppliers and by financial, commercial and state institutions.

This study examined the impact of the 'social networks' and the 'wider environment' that are associated with this perspective on participation behaviour. However, the study went further than this by also examining and identifying factors that relate to the individual decision-maker, the profile of

the business and the staff it employed. Therefore it examined the *internal* operating environment as well as the external 'opportunity structure'. To the extent that 'social network' and 'wider environment' factors were identified in this study and were found to act in combination to influence behaviour, its findings support the 'interactionist' perspective. However, the identification of internal influencing factors suggests that the approach is too restrictive and is unable to fully explain the nature and behaviour of EMBs and how they differ from non-minority businesses.

It is therefore apparent that none of the three main theoretical perspectives that were central to the literature at the outset of the study can offer a complete explanation of EMB participation in mainstream business support initiatives since each is focussed on a relatively limited range of elements. The findings of the study do not so much contradict these three perspectives, as reveal that a wider range of factors interact to affect EMB behaviour than any of these perspectives would, on its own, suggest. However, as discussed in Chapter Two, important theoretical developments were made whilst this study was underway and the more comprehensive perspectives of 'mixed embeddedness' and 'biographical embeddedness' were suggested. The findings of this study also shed some light on these alternative perspectives.

Mixed Embeddedness

This approach takes the view that EMBs can only be properly understood by examining the way they are embedded in socio-economic and politico-institutional environments as well as within social networks. It entails examining different elements of the external operating environment, with particular emphasis on the importance of the economic sector as this determines the regulatory environment, levels of competition and impact of economic conditions that the businesses face. In addition, 'mixed embeddedness' takes cognisance of the owner/manager's personal profile and individual characteristics, given that businesses in the same sector are often run by people with a similar profile.

This study examined EMB behaviour within one economic sector, restaurants, in terms of one specific activity; participation in business support initiatives. The approach taken by the study was consistent with the 'mixed embeddedness' perspective, even though the fieldwork for the study was underway before the 'mixed embeddedness' perspective appeared in the literature, given that a comprehensive approach was taken to determining which elements of the business's internal and external operating environments would be examined. The six categories used to classify the factors - namely the decision-maker's profile, their attitudes and opinions, the business profile, staff profile and attitudes, social networks and the wider environment - collectively cover all of the features of 'mixed embeddedness' described in the extant literature. The study has shown that, at least for this empirical site, all these elements must be examined in order to comprehensively understand participation. Participation was found to be affected by elements of the socio-economic environment as this influenced the business's financial position, its location and the extent to which it exhibited 'breakout' from niche ethnic markets. The politico-institutional environment was also found to be important as participation was affected by public policy at a variety of levels and by the way providers delivered the initiatives. Social networks had an impact in that participation had in some cases been affected by co-operation among ethnic groups, the use of peer and community support networks, community ownership for an initiative having been developed and by the degree to which participation was supported by the decision-maker's family.

However, the findings of this study suggest that 'mixed embeddedness' has also to include an examination of the internal operating environment and the individual characteristics of the business owner/manager, as many of the factors found to affect participation fall within these areas. The existing literature on 'mixed embeddedness' does include reference to these elements, but does not appear give them equal weighting with the effect of the external operating environment. This is, perhaps, a reflection of the way in which theoretical perspectives on EMBs have developed and how 'mixed embeddedness' has emerged as a more comprehensive alternative to the

'culturalist', 'structural materialist' and 'interactionist' perspectives. However the findings of this study suggest that the internal operating environment is just as important to participation behaviour as the external environment, and that this should be given more attention in the literature than it currently receives.

Many of the features of the restaurant sector described earlier in this thesis (particularly in Table 2.01) were found to affect participation. To that extent the study can be used as evidence to support the need to examine sectoral influences, which are crucial elements of 'mixed embeddedness', when seeking to understand EMB behaviour. However, as this study focussed upon only one sector, it can only make a very limited contribution in this area. A more comprehensive investigation of the importance of sector to participation behaviour would require a comparative study of two or more sectors. Overall, however, the high degree of convergence between the groups of factors identified in this study and the elements of 'mixed embeddedness' described in the extant literature mean that it can justifiably be argued that this study has provided empirical evidence for this approach.

Biographical Embeddedness

Proponents of 'biographical embeddedness' support the comprehensive approach of 'mixed embeddedness' but argue that it should be extended to incorporate the impact that the individual business owner has on the business. They suggest that the owner's biographical history needs to be considered as it will have influenced their occupational development and the strategies they use to overcome exclusion and achieve integration. This requires, therefore, investigation of personal histories and childhood experiences.

The approach taken in this study was to review the internal as well as external operating environments and part of that process involved exploring the personal history of each of the owners/managers as well as the history of the business. This included collecting information on their age, education level and country of birth, first language and the length of time they had been in the UK as well as exploring the circumstances that led to them entering

business management. In this sense the study adopted an approach that was similar to 'biographical embeddedness' although it did not extend to exploring childhood experiences and psychological influences.

The findings from this study reveal that factors linked to the business owner/manager's personal history, profile, attitudes and opinions do influence their participation behaviour. This supports the view that these elements need to be considered when undertaking research on EMBs wherever the aim is to understand the way in which they behave in a particular context. In this sense the study provides empirical evidence that these elements should become a feature of a truly comprehensive 'mixed embeddedness' theory, which combines the existing elements of 'mixed embeddedness' with elements of 'biographical embeddedness'. However, the study cannot inform the issue of whether or not this should also include the need to review childhood experiences and psychological influences. However, the study did explore the effect of the owner/manager's attitude to external influence, a factor often cited in the literature on the 'fortress enterprise' mentality.

Fortress Enterprises

Fortress enterprises are those that are run by people with a dominant psychological characteristic of valuing independence and autonomy. It is a term that has been attributed in varying degrees to small business owners in general, rather than EMBs in particular and, as explained in Chapter Two, has generated some controversy. However, it is accepted by some commentators that some business owners explicitly demonstrate this mentality and therefore, for them, participation in external initiatives would be irrational as they are motivated by wanting to run their business independently. This mentality is considered to be particularly applicable to owners in non-knowledge sectors, which would include restaurants.

This area was partially explored in this study through an investigation of owner/managers' general attitudes towards external influences on their businesses as well as their opinion on how they would react if approached about participating in one of the initiatives. The study identified four

categories of attitude to external influence: *resistant*, *oblivious*, *considered* or *embracing*. Only those business owner/managers who were classified as being *resistant* to external influence can be said to have explicitly exhibited the 'fortress enterprise' mentality and these constituted just four of the 24 restaurateurs involved in the qualitative interviews. Further, all four categories applied to Asian and Oriental restaurateurs as well as to 'other' restaurateurs and so this classification contributes to literature on small business owner's attitudes as well as EMBs.

The research also examined biographical factors and motivations for having become business owners, another element of the 'fortress enterprise' literature. The literature suggests that those with a 'fortress enterprise' mentality become business owners because they were driven by a quest for personal autonomy and are attracted by the opportunity for independence. Some of the restaurateurs in the study did articulate these motivations and saw these aspects of self-employment as advantageous. However, many others gave different reasons for being in their current position, including family obligation, lack of employment opportunities elsewhere, having spotted a potentially profitable business opportunity or wanting to follow an avenue that utilised skills and experience they had already developed. Obversely, some of those who stated that they had become business owners to gain independence and autonomy had positive views about external organisations delivering training and recruitment initiatives within their business, provided they retained an element of control over the process, particularly in terms of being able to determine who was recruited and what they were taught. Therefore the findings of this study suggest that the 'fortress enterprise' mentality does exist but is only explicitly apparent in a relatively small proportion of restaurateurs, and that even where it does exist it does not necessary preclude involvement in external initiatives as long as the business owner feels able to retain a relatively large degree of control.

9.3 Contribution to methodology

This study utilised both quantitative and qualitative methods to generate a more rounded and comprehensive understanding of the extent of

participation and the factors that influence it than would have been possible if only one methodological paradigm had been used. Combining these approaches meant that the research could measure *levels* of participation as well as generate quantitative and qualitative data to help *explain* it.

Descriptive quantitative data was used to determine the extent to which participation levels differed between the three types of business and to enable the key characteristics of each business and each respondent to be identified. Qualitative data was used to develop an understanding of the reasons for levels of participation. This is in contrast to much of the literature on EMB use of business support services which takes low ethnic participation levels as given and adopts solely qualitative approaches to help diagnose why this is the case. By combining the approaches, this study was able to identify subtle differences in participation levels and generated data that enabled the influence of profile characteristics, as well as the impact of opinion and attitude to be explored. This ensured a more rounded understanding could be developed of the factors that affect EMB participation in business support services. The study also sought to do this systematically in that it was concerned with identifying and classifying as broad a range of factors as possible, taking account of different levels of participation.

This study has also responded to the call for EMB research to explore similarities as well as differences between ethnic groups, including the white population (Mulholland, 1997; Ram et al., 2000). It achieved this by focussing on multi-ethnic involvement in one economic sector and by adopting a methodology which enabled comparisons to be made between Asian, Oriental and 'other' restaurants and their owner/managers. This ensured that profile differences between the three broad ethnic groups could be identified and indicated which of the factors found to influence participation were universal and which applied only to particular ethnic groups or to respondents who shared certain characteristics. The study has also recognised diversity within the EMB population by separating Asian businesses from Oriental ones. Whilst it would have been desirable for this to have been done in a more refined way – for example by being able to

differentiate between restaurants owned by Bangladeshis and those owned by Indians - this was precluded by the practical considerations that influenced the research design. The decision to conduct the quantitative survey through face to face interviews, in order to maximise the response rate, restricted the scale of the study and constrained the extent to which the findings could be differentiated by type of restaurant. Nevertheless, the study has shown that research on this scale can be conducted in a way that identifies similarities and differences between ethnic groups and avoids inappropriately attributing differences to ethnicity.

This study has also shown that it is important to include business owner/managers who are *not* involved in initiatives, as well as those who are, in order to generate a comprehensive appreciation of participation influences. The value of exploring participation issues with providers has also been demonstrated. This combination of respondents in a single study and the triangulation of the topic that it affords has not yet been widely utilised by other researchers in this field.

Another distinctive feature of the methodology adopted in this study was the breadth of the literature review, and the decision to draw upon a range of disciplines and perspectives that could shed light on the factors that influence ethnic minority participation in mainstream initiatives and institutions. This ensured that a very wide range of variables were identified at an early stage. These variables could then be explored in detail during the study, whilst the use of qualitative methods ensured that additional factors could still emerge during the research process. The discovery that so many of the variables that were identified in the wider literature were also factors that were relevant to participation in this empirical site further justified the inter-disciplinary approach. This level of transferability highlights the potential for uniting the disparate participation literature to enable similarities and differences in the factors that influence participation in varying circumstances to be identified.

None of the previous published studies that focussed on EMBs and their use of business support services included all of the elements incorporated in this

research. This study was unique in that it systematically combined descriptive quantitative data with diagnostic qualitative data, recognised diversity between different types of EMB and included a 'control-group' of white owned businesses to ensure ethnic differences were not inappropriately accentuated, focussed on employers who were not involved as well as those who were, took account of the providers' perspective and drew upon an inter-disciplinary framework. This study has therefore contributed to the wider literature on EMBs and their use of business support services by combining all of these methodological elements in a single empirical study.

9.4 Recommendations for further work

This section recommends specific ways in which the study could be progressed which will further contribute to our understanding of the factors that influence participation. Many of the variables covered in this research could be explored only at a relatively superficial level given the need to identify a *full* range of factors. It would therefore be beneficial if these were explored in depth within studies that focus on a smaller number of variables such as one of the six groups used in this study. This would enable each variable to be measured and assessed more comprehensively.

Additionally it would be useful if future work could focus on exploring relationships between factors, to reveal more about how they act in combination to affect participation decisions.

The influence of psychological factors that were excluded from this study could be assessed, including the effect of the decision-makers' personality type and elements such as their levels of confidence (both personally and in running their business).

In addition the research could be repeated within a longitudinal study to see if the factors change over time, particularly comparing a time of economic recession to one of growth. A longitudinal approach could identify whether or not similarities and differences between Asian, Oriental and 'other'

restaurants alter as initiatives are updated, developed and embedded or as new generations become owners / managers.

The revised participation model displays factors that affect Asian and Oriental restaurant participation in business support initiatives. It constitutes the first step in the development of a theory of EMB participation in mainstream initiatives, but needs to be tested in a wide range of empirical sites to ascertain if the factors contained within it also apply in other circumstances. It has the potential to be applicable in a variety of settings and there are a number of ways in which the model could be tested combining:

- different initiatives
- different sectors
- different ethnic groups

The following table displays the way in which these aspects could be combined within future studies:

Variable \ Constant	Initiative	Sector	Ethnic group
Initiative		✓	✓
Sector	✓		✓
Ethnic group	✓	✓	

Table 9.01: Options for future studies to test the participation model

It would be interesting to explore the extent to which factors change depending on the nature of the initiative(s) being studied. This research concentrated on a particular range of training and recruitment initiatives, but the factors identified may also influence participation in other forms of business support, for example finance, regeneration or business start-up. It would also be interesting to see if factors influencing participation differ between initiatives that are considered popular and have a good press, compared with those that have received a mixed reaction or have generated controversy.

This study compared participation between different ethnic groups running businesses in the same sector. This focus could be repeated within other sectors. Alternatively, by focussing on one ethnic group and one sector, inter-ethnic differences could be revealed in a level of detail which was not

possible in this exploratory study, such as between Pakistani and Bangladeshi owned businesses, or between Chinese and Thai owned businesses.

Additionally the model could be tested in studies that focus on businesses run by people from one ethnic group across multiple sectors, which could utilise one of three approaches:

1. comparing two or more sectors which represent *traditional niches* for EMBs (e.g. retail and catering)
2. comparing two or more sectors within which EMBs have a *growing presence* (e.g. information technology and professional services)
3. comparing the factors that affect participation in a *traditional niche* sector(s) to those that affect participation in a *growing presence* sector(s) (e.g. retail and information technology)

These extensions to this study would further reveal the impact of sector in participation decisions and enable similarities and differences between ethnic groups to be identified. These studies would need to include at least an element of qualitative research to ensure any factors that specifically apply to those empirical sites can be revealed and to enable the nature of each factor's influence to be explored with different groups of respondents.

The participation model is for ethnic minority *business* participation in national initiatives, but many of the factors identified could apply equally to *individuals*. With adaptation and testing a similarly segmented model of factors influencing individual participation in national initiatives could be developed. In addition many of the factors were also found to affect the extent to which *non-minority businesses* participated in national initiatives and again the model could be adapted and tested to contribute to mainstream organisational behaviour literature.

The findings of this study have confirmed the importance of research into EMBs that reflects their diversity, in terms of the profile of the owner(s)/manager(s) and the business as well as the sector and spatial setting. It also highlights the value that can be gained from exploring the

influence of the multi-faceted external environment in which the businesses operate. It is recommended that future studies should also incorporate these elements wherever the intention is to gain a comprehensive understanding of the particular EMBs being researched. This study has lent additional empirical support to the relatively new concept of *Mixed Embeddedness*. Further empirical support is however needed and some attention should be given to developing a broad consensus on which aspects of the internal and external business environment should be explored when seeking to understand EMBs.

9.5 Recommendations for policy makers and practitioners

Within this section the researcher provides some recommendations for policy makers and practitioners to consider. This is not intended to be a detailed policy agenda as provided by other studies (Ram and Smallbone, 2001), but rather the researcher has extracted and commented upon elements of the findings which are pertinent to the way in which policy makers and practitioners design and deliver business support initiatives.

Participation is most likely to result from providers making direct face-to-face contact with business owners/managers. This does not negate the importance of media campaigns but shows that they need to be integrated with more micro-promotional activities if they are to reach small businesses in general and EMBs in particular. For this to be achieved policy-makers need to ensure that employer contact is given greater priority even in relation to initiatives where the owner/manager is not the most direct beneficiary, such as training initiatives.

Specialist provision for EMBs appears to have been successful at increasing participation although some EMBs perceive specialist services as being second rate compared with mainstream provision. However, the priority for many of the owners/managers in this study was for practical business support from industry specialists, preferably those who had direct experience of running restaurants. The move towards encouraging sector-based approaches to business support services is therefore supported by the evidence.

The current system devotes few resources to enabling providers to develop long-term contact with small business owners/managers, which would help develop the trust necessary for participation to result. The system may be more effectively driven by providers directly approaching potential participants. They are currently under-resourced for this activity and the system is designed on the assumption that business owners/managers will pro-actively seek business support. Longer term direct links with EMBs would enable providers to gain credibility within the particular business communities they are trying to reach. It would also ensure that providers have an opportunity to work with individual owners/managers to identify the factors that are affecting participation decisions, enabling them to tailor the way in which they promote and deliver initiatives to meet the areas of prime concern. Whilst this approach would appear costly in the short-term it would ensure that business owners/managers who have participated in one initiative do not need to be re-engaged if they are to participate in subsequent initiatives and can be helped to improve their business through ongoing involvement with business support providers. The approach would be unlikely to work if it required business owners/managers to commit to a long term relationship at the outset. Rather providers need to be operating within a system that enables them to make contact and build relationships based on being able to offer small-scale practical support in a series of ways that are determined by the business owner's/manager's individual circumstances and needs.

When business owners/managers say a scheme is not relevant or applicable to their business, many of them may well be right. Only those owners/managers that fall into the *resistant* category identified in this research are likely to be rejecting involvement out of hand. Those owners/managers who take a *considered* view of external influences affecting their business but who are not involved have rejected the particular initiative but not the idea of benefiting from business support in general. It should therefore be recognised that not all initiatives will apply to all businesses and hence a variety of forms of support should be available to meet diverse needs that occur at different stages of development.

In addition to these recommendations, the findings and outputs from this study have practical applications for initiative providers. In particular providers can:

- use the findings as evidence of the need for them to be funded to promote initiatives through direct contact with owners/managers and to develop long-term relationships with EMBs in their sector
- review the service that they offer their clients in relation to each of the factors listed in the Model in order to identify new approaches that will enable them to better meet the needs of EMBs. This could include identifying ways in which they can develop longer term relationships with the owners/managers they already work with, minimising initial investments of time and cost and finding ways in which they can provide language support and adopt approaches that minimise cultural barriers
- use the Model as a tool in training programmes with new staff to enable them to gain a better understanding of the factors that influence EMB participation and an appreciation of how owners/managers may react when approached
- use the Model to help develop profiles of EMBs in their sector and location, which will enable them to segment their market and initially target businesses that are most likely to participate
- plan how to 'sell' their services to owners/managers who exhibit different attitudes to external influence, such as developing responses to counter arguments for non-involvement that 'considered' or 'oblivious' owners/managers may present

9.6 Contribution to the work of specific organisations

This final section outlines the contribution that this study makes to the work of specific organisations that have an interest in the extent to which EMBs participate in business support services, and applies the recommendations stated above in the context of their individual remits and responsibilities.

Ethnic Minority Business Forum (EMBF)

The Ethnic Minority Business Forum (EMBF) is a non-departmental public body launched in July 2000. It advises the Department for Trade and Industry (DTI) and the Small Business Service (SBS) on policies to support 'ethnic minority communities at work and in running their own businesses' (<http://www.sbs.gov.uk/embf>, 25/06/04). The EMBF has expressed concerns about the extent to which Business Links understand the issues EMBs face and about low take-up of business support services by EMBs. The findings of this study and the Model that has been developed are directly relevant to

the EMBF's work in this area as they provide a detailed analysis of the factors that influence take-up, albeit only within one empirical site. The author suggests that approaches aimed at significantly increasing levels of involvement will need to take cognisance of these wide-ranging factors to have a chance of success. The Model therefore is potentially very useful to the EMBF as a tool to help assess the extent to which existing services need to change either in their design, promotion or delivery if EMBs are to have more likelihood of benefiting from business support services.

One of the recommendations in the EMBF's 2002 Annual Report was that 'within three years the Business Link network customer base should be proportionate to the ethnic make-up of the local community' (EMBF, 2002). This was accompanied on their website by a series of more specific recommendations aimed at achieving this (<http://www.sbs.gov.uk/embf/keyactivities.php>, 25/06/04). A selection of these is listed below, accompanied by a description of the contribution this study makes to these areas of EMBF work:

THE BUSINESS LINK NETWORK CUSTOMER BASE SHOULD BE PROPORTIONATE TO THE ETHNIC MAKE UP OF THE LOCAL COMMUNITY, AND THIS COULD BE ACHIEVED THROUGH...

improved communication of the business support services available through the use of ethnic minority media and tailored promoting of services to ethnic minorities

This study's findings suggest that improved promotion of services via ethnic minority media would be beneficial in raising levels of awareness. However, this will not lead to increased involvement unless it is accompanied by direct contact from providers utilising approaches which take account of the factors that owner-managers will be considering when they decide whether or not to participate in a particular service. The priority for many of the owners/managers in this study was for practical business support from industry specialists, preferably those who had direct experience of running restaurants. The 'tailored promoting' of services should therefore be based upon individual sectors as much as upon particular ethnic minority groups.

ethnic-minority specific training for Business Link staff

The findings of this study support the need for training that focuses on cultural sensitivity and ways of overcoming cultural barriers. However, training programmes for Business Link staff could also include an introduction to the Model developed in this study to ensure Business Link staff are informed about how owners/managers in EMBs will be influenced by or will consider particular factors when making participation decisions. In addition other findings from this study could also inform the content of training programmes, such as the need for policy makers and providers to recognise that decision making in relation to business support initiatives is intuitive and adaptive and does not follow rational models.

the creation of a good practice benchmark to improve Business Links' capacity to identify and meet the needs of the local ethnic minority business community

The Model could form part of the benchmark created. In particular the factors listed under the 'wider environment' and 'social networks' sections could be used as heading areas with appropriate measures being attached to enable an assessment to be made of the extent to which Business Links are providing services that meet the needs of EMBs in each of these areas. An additional area of the benchmark could be concerned with assessing the extent to which Business Links have profiled EMBs in their locality in relation to the factors listed in the 'decision-maker profile', 'business profile' and 'staff profile' sections of the Model.

a programme of seminars for the network to share and promote good practice in relations with ethnic minority businesses

The importance of recognising that a wide range of factors influence the extent to which EMBs participate in business support initiatives is a topic that could be promoted in seminar sessions. Good practice in designing, promoting and delivering services in ways which maximise the likelihood of EMBs participating by addressing each of the factors that influence participation, as identified in this study, could be shared and promoted in this way. This would be particularly beneficial if the approach had previously been tested by one or more Business Links.

Table 9.02: Contribution to EMBF recommendations

Government Departments, and Government Agencies and other Public Bodies

Whilst it has been demonstrated that the study has particular relevance to the work of the EMBF, the links between the Forum, the Small Business Service (SBS) and the Department for Trade and Industry (DTI) mean that its findings are also pertinent to the work of these organisations. In addition the recommendations that have arisen from this research are also relevant to Learning and Skills Councils (LSCs), the Department for Education and Skills (DfES), the Employment Service (ES) and the Qualifications and Curriculum Authority (QCA) as the study covered particular training and recruitment initiatives for which these bodies are responsible.

Collectively these organisations have ultimate responsibility for Government sponsored business support in the form of training and recruitment initiatives and the systems that are in place to design, promote and deliver them. This study has shown that many factors act in combination to influence whether or not a business becomes involved with these initiatives. The Government provides business support with the aim of improving business survival rates, increasing productivity levels and facilitating economic growth. However, the achievement of this aim is hampered by low take-up. This study is the first of its kind to comprehensively map the full range of factors that influence take-

up from the perspective of the decision-makers in EMBs. It sends a clear message to Government that low involvement levels will perpetuate unless the system takes account of a much broader range of influencing factors than has previously been acknowledged.

The Model produced during this study shows the importance of profiling potential participants, making direct approaches to them, having flexible provision that can be tailored to meet individual needs and building long term relationships between support providers and businesses. It has also shown that within one sector, inter-ethnic differences are not as acute as often assumed. Misconceptions are fuelled where there is a lack of detailed data that explores the relative effect of sector as well as ethnicity. Specialist provision for EMBs can be successful at utilising social networks to help gain access to firms and some EMBs will only participate in specialist provision. However, others will only participate in mainstream provision and it is therefore apparent that both types of provider need to be equipped with the information and the skills necessary to enable them to successfully reach a larger proportion of EMBs than they currently achieve. An important element of this is ensuring that the system that underpins business support services is improved, in terms of the design of initiatives, the way in which they are promoted and funded and the market information that is collected to help profile EMBs. This is necessary to ensure providers have the resources they need to make direct contact with owners/managers, build the long term relationships that small businesses crave and have access to a range of flexible initiatives that meet the diverse needs of the EMB community within particular sectors.

Sector Skills Councils

This work was sponsored by the Hospitality Training Foundation, which has recently been renamed 'People First' to reflect its new role as the Sector Skills Council (SSC) for hospitality, leisure, travel and tourism. The findings are naturally of direct relevance to this organisation as they represent restaurateurs, amongst other employers in this sector, on issues concerned with vocational education, training, qualifications, employment and skills.

The key findings provide them with information that they can use when lobbying Government and Government Agencies to ensure improvements can be made to training and recruitment initiatives and the way they are promoted and delivered.

The process undertaken within the study to measure participation shows the value of having data that differentiates between different participation levels (awareness, knowledge and involvement) and between different ethnic groups within the same sector or sub-sector. The findings of this study have shown that Asian and Oriental restaurants in London do appear to participate at a slightly lower rate than other restaurants, but that the differences are not as marked as first anticipated. Existing data collection systems proved inadequate at providing this level of detail, which had resulted in assumptions being made that ethnic restaurants were participating at a much lower level than non-ethnic restaurants. This supports the suggestion made in the wider literature that EMB behaviour must be understood in the context of the sector in which the business is operating as well as in relation to the ethnicity of the owner/manager.

In addition the study has provided an insight into how Asian and Oriental restaurateurs feel about the initiatives focussed on within the research and the decision-making processes they adopt when considering whether or not to participate. This information is displayed within a three stage Model with six separate factor categories and reveals that participation is affected by a complex variety of factors. Each potential participant is influenced by their own particular mix depending upon their profile, attitudes and social networks as well as the environment they operate within. Any strategies adopted by People First to increase participation levels, either directly or by influencing other policy-makers and providers, therefore need to take account of these wide ranging influences if they are to be successful.

The owners/managers involved in this research expected business support services to be delivered by sector specialists, and there were mixed views on whether this should be specialist EMB provision or mainstream provision that meets the needs of EMBs. This suggests that People First should support

both forms of provision provided they have a sector focus, are culturally sensitive and recognise diversity within EMBs.

The findings from this study therefore provide evidence that People First should campaign for:

- data collection systems that monitor participation in a way that provides meaningful differentiation by ethnicity, sector and location
- micro-promotional approaches to run alongside awareness campaigns in the ethnic media (i.e. direct face to face contact between specialist sector advisers/providers and business owners/managers)
- flexible initiatives that can be adapted by providers to meet the immediate needs of a particular business which do not require the owner/manager to make a large commitment in terms of time or money at the outset
- profiling of the target market so resources can be initially concentrated on reaching those who are most likely to participate

The research approach could also be applied in other sectors that fall within the remit of People First. In addition, other SSCs could adopt the approach taken in this study to identify similarities and differences in the factors that influence participation by different groups of EMBs in their industries. The research therefore is also of relevance to the entire SSC network and the body that unites them, the Sector Skills Development Agency (SSDA).

9.7 Epilogue

This research has taken a vital first step towards filling a substantial gap in the literature on the factors that affect EMB participation in business support initiatives. It has developed and tested an approach which reflects the diversity of this heterogeneous group of businesses, which takes account of their internal and external environments and which can be applied in a wide variety of settings. Thus the emerging body of knowledge on EMB participation in business support initiatives has been augmented by this work.

In addition it makes a contribution to the work of policy-makers and practitioners who wish to increase the extent to which EMBs participate in business support initiatives, most specifically those who are concerned with training and recruitment, restaurants and/or London based businesses.

Appendix 2A: Initial list of variables and area of literature review that led to their identification

Internal variables		Social			Economic			Political	
Code	Variable	Health care	Social Services	Community development	Education & Training	Banks	Employment	Politics	Public Institutions
I1	English language ability / First language	○	○		○			○	
I2	Knowing how to access business support services	○	○			○		○	
I3	Particular motivation			○	○			○	
I4	Awareness of initiative	○	○		○			○	
I5	Knowledge of initiative	○	○		○	○		○	
I6	Motive for migration			○					
I7	Financial position and attitude towards cost	○	○		○				
I8	Extent of assimilation / Breakout		○	○				○	
I9	Country of origin / Nationality / Ethnic group	○		○				○	
I10	Length of time in the UK (1st/2nd generation)			○	○			○	
I11	Acceptability of initiative	○							
I12	Location	○			○			○	○
I13	Feeling only in the UK temporarily							○	
I14	Ownership of initiative								○
I15	Age				○			○	
I16	Social class	○						○	
I17	Attitude towards external influence				○				
I18	Skills required for participation			○					
I19	Education level				○			○	
I20	Ability to access additional resources			○					○
I21	Size of business				○	○			
I22	Time				○				

External variables		Social				Economic			Political	
Code	Variable	Healthcare	Social Services	Community development	Education & Training	Banks	Employment	Politics	Public Institutions	
E1	Trigger					○		○		
E2	Suitability of initiative	○	○		○	○	○	○		
E3	Cultural barriers	○	○		○	○			○	
E4	Public policy	○			○				○	
E5	Availability of initiative	○				○				
E6	Information / Communication methods	○	○		○					
E7	Suitability of delivery system	○	○		○	○			○	
E8	Racism / Discrimination	○	○		○	○		○		
E9	Co-operation / Competition between ethnic groups			○	○				○	
E10	Accessibility of delivery system	○	○		○	○				
E11	Understanding of ethnic minority needs	○	○		○	○		○		
E12	Willingness to accommodate ethnic minority needs	○	○		○	○	○	○	○	
E13	Opportunity presented							○		
E14	Cultural compatibility				○	○		○		
E15	Special provision for ethnic minorities				○	○	○	○	○	

Support variables		Social				Economic			Political	
Code	Variable	Health care	Social Services	Community development	Education & Training	Banks	Employment	Politics	Public Institutions	
S1	Mentors						○			
S2	Ethnic minority staff delivering the initiative	○			○					
S3	Language support	○	○		○					
S4	Peer and community support networks	○			○	○		○		
S5	Cultural mediators	○						○	○	
S6	Government support				○					
S7	Local Authority support							○		
S8	Owner / Head Office support				○					
S9	Family support				○					

Appendix 2B: Description of variables identified through the literature review

The literature described in section 2.4, Chapter Two revealed 46 variables that had the potential to influence ethnic minority business participation in national business support initiatives. The following table states each variable's code and title and provides a brief description applying the variable in the context of this study.

I1 English language ability / First language

English language ability has been found to affect ethnic minority participation in mainstream initiatives and institutions. Language ability affects access to information about initiatives as well as being a potential barrier to participation where initiatives are not delivered in the participant's first language. The language ability of the employees within a business may be as important as the language ability of the decision-maker. Language ability includes reading and writing levels as well as levels of spoken English.

I2 Knowing how to access organisations that provide business support services

People who can access organisations through which they can become involved in initiatives are thought to participate more than others. Barriers to access have been found to hinder participation. Understanding how to become involved with the organisations that are involved in developing, promoting and delivering business support initiatives may make a business more likely to participate. Businesses who have demonstrated this by previously working with these, or similar, organisations may participate at a higher level than those that have not.

I3 Particular motivation

It has been found that some people become involved in initiatives because they have a particular motivation which is personal to them. Decision-makers within businesses may be motivated to participate because they have identified business or personal benefits that will result from participation.

I4 Awareness of initiative

A large proportion of people who are not participating in initiatives say they were not aware they existed. Businesses are unlikely to participate in initiatives if they are not first aware of them.

I5 Knowledge of initiative

Some studies have found that individuals from ethnic minorities are often less knowledgeable about particular initiatives than white people with otherwise similar profiles. This is thought to affect the extent to which they participate. If a business owner or manager is not knowledgeable about an initiative then they may not have sufficient information to enable them to make a decision about participation.

I6 Motive for migration

One study suggested that people who had migrated to the UK for economic reasons often had different experiences and motivations from those who had migrated for other reasons. It concluded that economic migrants were seeking permanent status rather than short term benefits. Businesses run by economic migrants may participate differently from those run by people who migrated for other reasons.

I7 Financial position / attitude towards cost

Some studies suggested that economic wealth was a factor that affected participation levels where individuals had to pay to be involved in an initiative. Enterprise literature suggested that successful businesses were those established with high levels of financial capital. Businesses that are financially stable may feel able to fund participation. However, alternatively struggling businesses may participate in initiatives they believe will help them make their business successful.

I8 Extent of Assimilation / Breakout

The extent to which individuals have 'assimilated' into mainstream society and can be said to be 'integrated' have been suggested as factors affecting participation. 'Breakout' is the term used in ethnic enterprise literature to describe the extent to which businesses have developed beyond limited geographical areas and niche ethnic markets. Businesses that provide services to mainstream markets may be more likely to participate in mainstream initiatives than those that operate in niche ethnic markets.

I9 Country of origin / Nationality / Ethnic group

A number of studies suggested differences in levels of participation across different ethnic groups and ethnic enterprise literature called for studies to reflect the diversity of ethnic businesses. Participation levels may differ between individuals from different ethnic groups and with different countries of origin and nationalities.

I10 Length of time in the UK (1st/2nd generation)

The length of time an individual or their family has lived in the UK has been found to affect participation levels in a variety of initiatives. The length of time the decision-maker has lived in the UK and whether or not they are 1st, 2nd or 3rd generation may therefore affect their views and experiences of mainstream initiatives.

I11 Acceptability of initiative

It has been suggested that some individuals choose not to participate in initiatives because they do not consider them to be 'acceptable', particularly in relation to their cultural traditions or religious beliefs. Businesses are unlikely to participate in initiatives that are unacceptable to the individual decision maker.

I12 Location

The exact location of the business may affect the likelihood of the decision-maker receiving information about an initiative and being invited to participate, as national initiatives are promoted through local agencies as well as through national campaigns. Specific local circumstances and / or business challenges may also affect participation decisions.

I13 Feeling only in the UK temporarily

Individuals who do not plan to stay in the UK permanently may only become involved in initiatives that offer short-term benefits.

I14 Ownership of initiative

One study found that ethnic minority individuals had participated in initiatives because they had been involved in the decision-making that led to their design. Businesses may be more likely to participate in initiatives they can influence and design.

I15 Age

Age was identified as a factor affecting participation either because some initiatives are only available to people who fall into particular age groups or because an initiatives may have greater appeal to people of a particular age. The age profile of employees within a business may be as important as the age of the decision-maker.

I16 Social class

Social class, as a constituent of socio-economic status, may affect participation. Businesses run by individuals of a particular social class may be more likely to participate than people of another social class. Social hierarchies applicable to particular ethnic groups, such as the Indian Caste system, may influence participation decisions.

I17 Attitude towards external influence

Individuals who reject any external intervention in their business may be less likely to participate than those who welcome or seek out external influences.

I18 Skills required for participation

A number of skills may be utilised when an individual obtains information about an initiative and participates in it. For example, skills relating to evaluating a business, strategic planning, financial planning, handling information, communication and managing people could all affect participation.

I19 Education level

Research suggests a connection between education level and participation with highly educated people being more likely to participate in mainstream initiatives and institutions than those with lower education levels. This variable covers both the highest level of educational institution attended and actual qualifications. Education levels have been found to vary across different ethnic groups.

I20 Accessibility of additional resources

Some initiatives described in the literature attracted resources that participants could access if they became involved. For example, grants, subsidies and expenses were available for some individuals and businesses to help off-set the cost of participation. The accessibility of these resources was thought to affect participation levels.

I21 Size of business

A small business may participate because they want external help in recruiting or training staff. A growing business may participate because the owner/manager knows they will have to relinquish some direct control and wants to train someone who can take day to day responsibility. A large business may participate because they need more formal training systems. If a decision-maker does not consider an initiative to be relevant to their size of business they may not participate.

I22 Time

A decision-maker may only participate when he/she feels they have the time to find out what a particular initiative would involve, and to devote to implementing it. If they do not feel they have time they may not seek out information and may resist invitations to become involved. Alternatively they may decide to become involved in an initiative that they think will save them time or will not be time-consuming for them.

E1 Trigger

A particular event could trigger participation. For example, on a macro level the Salmon Rushdie affair was thought to have triggered increased political involvement amongst Muslims and the policies of political parties in New Zealand were thought to have triggered the formation of two new political parties which increased political participation amongst people from ethnic minorities. On a more micro level, increased participation may follow the creation of a new agency in a local area or developments within a business such as the appointment of new staff.

E2 Suitability of initiative

The extent to which an initiative is suitable for potential participants has been found to affect participation levels. This can be either in terms of their perception of its suitability or the actual likelihood of the initiative meeting the participant's needs.

E3 Cultural barriers

Research across a wide range of disciplines highlighted the importance of initiatives reflecting the cultural traditions and expectations of potential participants. Cultural barriers can reduce levels of participation and can lead to unsuccessful participation experiences.

E4 Public policy

Public policies can affect ethnic minority participation in mainstream initiatives. Governments that promote multi-culturalism will have a more positive affect on ethnic minority participation in mainstream initiatives than those that have policies of ethnic segregation. Within multi-cultural societies Government policy can have either a negative or positive impact on ethnic minority participation as it influences, and in some cases, determines the range of initiatives available and the way in which they are delivered.

E5 Availability of initiative

The extent to which an initiative is made available to potential participants and is accessible can affect participation. Initiatives may not be available or accessible to particular groups of people, or levels of participation may be affected if potential participants believe them to be unavailable or inaccessible.

E6 Information / Communication methods

Participation levels can be affected by the extent to which information is available in a form and location that will result in awareness and knowledge and will provide potential participants with the information they require to decide whether or not they wish to be involved. Communication barriers between agencies and businesses may hinder participation.

E7 Suitability of delivery system

The system in place to support the delivery of initiatives can affect levels of participation. The role and actions of organisations involved in the design, promotion and delivery of initiatives may facilitate participation or may prove inappropriate.

E8 Racism / Discrimination

Racism and discrimination on the part of people and organisations involved with designing, promoting and delivering initiatives can affect participation levels. It may hinder participation (actual discrimination or fear of being discriminated against) or could act as a trigger to encourage potential participants to become involved to fight discrimination.

E9 Co-operation / Competition between different ethnic groups

Collaboration between different ethnic groups has been found to increase access to otherwise scarce resources which may facilitate increased levels of participation. Alternatively participation may be triggered by a group of ethnic businesses wanting to become involved because they believe it will give them a competitive advantage over another group.

E10 Accessibility of delivery system

Low levels of participation have partly been attributed to individuals and businesses experiencing barriers when trying to access organisations that design, promote and deliver initiatives or finding the system complicated and bureaucratic. Organisations that have made themselves more accessible to ethnic minority businesses have achieved higher levels of participation.

E11 Understanding of ethnic minority needs

Research studies in a wide variety of disciplines concluded that organisations need to do more to understand ethnic minority needs if they are to increase levels of participation. Organisations need to understand the varying needs of the different types of ethnic minority business they are trying to reach as well as how those needs differ from non-minority businesses. This understanding may be gained by employing people from the same ethnic group as the potential participants or by researching the needs of the target group in other ways.

E12 Willingness to accommodate ethnic minority needs

Organisations need to be willing to make changes to their initiatives in response to having identified the particular needs of the ethnic minority businesses they are trying to reach. This may involve redesigning an initiative or targeting resources at promoting and delivering it in different ways to different groups.

E13 Opportunity presented

Some research has shown that participation can result from an individual or business being approached directly by an organisation and given the opportunity to take part in a particular initiative.

E14 Cultural compatibility

Research findings have suggested that compatibility between the culture of the potential participants and the people who promote or deliver the initiatives can lead to increased levels of participation. This may be a result of potential participants being more likely to become involved in initiatives promoted and delivered by people from the same culture or may be because the organisation and / or the initiative is influenced by them and becomes more responsive to ethnic minority needs.

E15 Special provision for ethnic minorities

Some organisations will promote and deliver initiatives in the same way to all potential participants, regardless of their ethnic group. Others adapt the design of initiatives or promote and deliver initiatives differently to different groups of participants.

S1 Mentors

Organisations that deliver initiatives to ethnic minority individuals and businesses sometimes establish mentoring schemes to support participants. Within these schemes ethnic minority business owners and managers who have either previously been involved in the initiative or who are very experienced in their field, act as mentors to those participating in the initiative.

S2 Ethnic minority staff delivering the initiative

Organisations that employ people from the same minority group as their target participants with the explicit intention that they provide support to them, may be more successful at achieving high levels of successful participation.

S3 Language support

The availability of practical language support to participants has been found to increase levels of successful participation amongst people who do not speak English as a first language and who may have literacy problems.

S4 Peer and community support networks

Formal and informal contacts with friends, other business owners and community leaders may influence participation. People who have contact with the potential participant may express positive or negative views on particular initiatives, either in person or in the media. Participation may also be promoted by particular associations which may increase the likelihood of their members participating.

S5 Cultural mediators

Third parties not employed by organisations providing initiatives or by the potential participant may mediate, resulting in increased levels of participation. For example, a community leader may advise an organisation on the design of an initiative or may provide organisations with opportunities to promote initiatives to ethnic minority businesses.

S6 Government support

Some potential participants may be more likely to become involved in schemes that are supported by the Government because they may see them as official, trustworthy and credible. Alternatively other people may be discouraged from becoming involved in Government schemes if they associate them with taxation and regulation. Practical Government support being available to the participant, such as financial assistance, may increase the likelihood of ethnic minority businesses participating in initiatives.

S7 Local Authority support

Local Authorities sometimes promote involvement in national initiatives where they meet local priorities and needs. They may offer local businesses information and advice or even become directly involved in delivering initiatives.

S8 Owner / Head Office support

Ethnic minority businesses that are part of a larger company will be influenced in varying degrees by the company's management. In some cases individual business units will be able to make a participation decision independently. In other cases Head Office will make the participation decision with or without the involvement of the business unit. Even in single outlets that are not part of a larger company, a manager may need the support of the business owner before they are able to participate in an initiative.

S9 Family support

The views of family members can influence decision makers. This may be particularly relevant where a business is owned by a family. Family views may influence individual members of staff as well as the decision-makers in a business.

Appendix 2C: How variables identified during the literature review were applied to each stage of participation and the related hypotheses

The hypotheses listed below state relationships that may have existed between each variable and the appropriate level of participation. The approach taken during the quantitative research was to attempt to falsify these hypotheses to ensure they were only accepted if the relationships were statistically significant. The qualitative work explored respondents' opinions and perceptions of links between these variables and participation.

Awareness (I4)

- I1 People with good *English language ability* may be more likely to be aware of mainstream initiatives as they have access to wider sources of information
- I3 *Individuals who have a particular motivation for finding out about external initiatives that would help them run their business, may be more likely to be aware*
- I6 Awareness levels may differ depending upon the original *motive for migration* to the UK (the decision-maker's motivation if 1st generation or their relative's motivation) if this affects the individual's outlook and approach to business. For example, economic migrants may be more likely to be aware than refugees.
- I7 People who run businesses that are in a strong *financial position* and who are themselves well remunerated may feel they have the economic wealth to fund participation and may be operating in networks that lead to awareness.
- I8 Decision makers who have a high degree of *assimilation* into mainstream society may be more likely to be aware of mainstream initiatives. Businesses that have demonstrated *breakout* from niche ethnic markets may be more likely to be aware of mainstream initiatives
- I9 Awareness levels may differ between people from different *ethnic groups, nationalities and countries of origin*
- I10 The *length of time* the decision-maker and/or their family have been in the UK may affect their levels of awareness
- I12 *Location* may affect awareness of national initiatives, as there may be local promotions by agencies
- I13 Individuals who only plan to stay *in the UK temporarily* may be less aware than people who see themselves as staying permanently as they may be less inclined to seek out information on mid to long term initiatives
- I15 The *age* of the decision-maker may affect their awareness, as people of different ages are likely to be exposed to different sources of information
- I16 *Social class* may affect awareness, as particular social networks could act as sources of awareness
- I17 If the person running the business looks for outside assistance and advice this may result in awareness. Alternatively people who are isolated may be less likely to be aware as they may not be looking for information from outside the business.
- I18 In addition to language skills, awareness may be affected by the extent to which the decision-maker has other *skills* such as those relating to reviewing their business, strategic planning, gathering information, communicating with agencies and assessing information in the context of their business
- I19 The decision-maker's *education level* may affect their levels of awareness, either because they have heard of the initiatives whilst a student or because education has equipped them with the skills and outlook to seek information out
- I20 The *ability to access additional resources* to seek out information may affect awareness
- I21 The *size* of the business may affect levels of awareness as larger businesses would have more people to hear about the initiatives
- I22 The *time* available to examine external information and network may affect levels of awareness
- E1 A *trigger* may prompt a decision-maker to seek information that leads to awareness or may make the decision-maker more receptive to information in the public domain
- E3 *Cultural barriers* may restrict the flow of information to the decision-maker
- E4 *Public policy* to target a particular group of businesses or to invest in awareness campaigns may lead to increased levels of awareness

- E5 Initiatives that are *available* are more likely to be promoted leading to increased levels of awareness
- E6 Awareness is likely to be linked to the availability of *information* relating to initiatives and to the way in which that information is *communicated*
- E7 If the *system surrounding the initiatives is suitable* then potential participants are more likely to be aware of the opportunities available to them
- E8 *Racism and discrimination* could prevent awareness if the initiatives are not promoted to ethnic minority groups
- E9 *Ethnic co-operation or competition* could lead to increased levels of awareness where decision-makers hear about the initiatives from those they are co-operating with or because their competitors are involved.
- E10 The *accessibility of the system* could be a factor as people who can access the agencies that promote the initiatives may be more likely to be aware than those who can not
- E11 If the agencies that promote the initiatives have an *understanding of ethnic minority needs* they may be more likely to provide information that leads to awareness
- E12 If the agencies that promote the initiatives are *willing to accommodate ethnic minority needs* they may be more likely to provide information that attracts attention from ethnic minority businesses and leads to awareness
- E13 External agencies can provide the *opportunity* for ethnic minority businesses to become aware
- E14 External agencies that employ staff who *share the same culture* as the decision-makers within ethnic minority businesses may be more likely to achieve high awareness levels
- E15 External agencies that make *special provision* by targeting ethnic minority businesses may be more likely to achieve high awareness levels
- S4 Decision-makers who have access to *peer and community support networks* may be more likely to be aware
- S5 Agencies that use *cultural mediators* to reach ethnic minority businesses may achieve high awareness levels
- S7 Awareness may result from promotional activities or general information provided by *Local Authorities*
- S8 Awareness may result from information provided to decision-makers in particular business units by the *owner* or by a *head office*
- S9 *Family support* may lead to awareness if family members tell decision-makers about initiatives they have heard of

Knowledge (I5)

- I1 People with good *English language ability* may be more likely to have knowledge of mainstream initiatives as they have access to wider sources of information
- I2 People who *know how to access support services* will have greater opportunity to obtain knowledge of the initiatives
- I3 *Individuals who have a particular motivation for finding out about external initiatives that would help them run their business, may be more likely to obtain knowledge*
- I4 *People who are aware of an initiative are more likely to obtaining knowledge of it – awareness may be a necessary pre-cursor to knowledge although it is possible that someone could have some knowledge of an initiative without being aware of its name*
- I6 Knowledge levels may differ depending upon the original *motivation for migration* to the UK (the decision-maker's motivation if 1st generation or their relative's motivation). For example, economic migrants may be more likely to have knowledge than refugees.
- I7 People who run businesses that are in a strong *financial position* and are well remunerated may feel they have the economic wealth to risk participation and may be operating within networks that lead to knowledge of an initiative
- I8 Decision makers who have a high degree of *assimilation* into mainstream society may be more likely to have knowledge of mainstream initiatives. Businesses that have demonstrated *breakout* from niche ethnic markets may be more likely to have knowledge of mainstream initiatives
- I9 Knowledge levels may differ between people from different *ethnic groups, nationalities and countries of origin*

- I10 The *length of time* the decision-maker and/or their family have been in the UK may affect their levels of knowledge
- I12 *Location* may affect knowledge of national initiatives, as there may be local promotions by agencies
- I13 Individuals who only plan to stay *in the UK temporarily* may be less knowledgeable than people who see themselves as staying permanently as they may be less inclined to seek out information on mid to long term initiatives
- I15 The *age* of the decision-maker may affect their knowledge levels, as people of different ages are likely to be exposed to different sources of information
- I16 *Social class* may affect knowledge, as particular social networks could be sources of knowledge
- I17 If the person running the business looks for outside assistance and advice this may result in knowledge. Alternatively people who are isolated may be less likely to be knowledgeable as they may not be looking for information from outside the business.
- I18 In addition to language skills, knowledge may be affected by the extent to which the decision-maker has *skills* relating to reviewing their business, strategic planning, gathering information, communicating with agencies and assessing information in the context of their business
- I19 The decision-maker's *education level* may affect their levels of knowledge, either because they have received information whilst a student or because education has equipped them with the skills and outlook to seek information out
- I20 The *ability to access additional resources* to seek out information may affect knowledge levels
- I21 The *size* of the business may affect levels of knowledge as larger businesses would have more people to gather information about the initiatives
- I22 The *time* available to examine external information and network may affect levels of knowledge
- E1 A *trigger* may prompt a decision-maker to seek information that leads to knowledge or may make the decision-maker more receptive to information in the public domain
- E3 *Cultural barriers* may restrict the flow of information to the decision-maker
- E4 *Public policy* to target a particular group of businesses or to invest in promotional campaigns may lead to increased levels of knowledge
- E5 Initiatives that are *available* are more likely to be promoted leading to increased levels of knowledge
- E6 Knowledge is likely to be linked to the availability of *information* relating to initiatives and to the way in which that information is *communicated*
- E7 If the *system surrounding the initiatives is suitable* then potential participants are more likely to have knowledge of the opportunities available to them
- E8 *Racism and discrimination* could prevent people obtaining knowledge if the initiatives are not promoted to ethnic minority groups
- E9 *Ethnic co-operation or competition* could lead to increased levels of knowledge where decision-makers obtain information about the initiatives from those they are co-operating with or because their competitors are involved.
- E10 The *accessibility of the system* could be a factor as people could obtain knowledge through accessing the agencies that promote the initiatives
- E11 If the agencies that promote the initiatives have an *understanding of ethnic minority needs* they may be more likely to provide information that leads to knowledge
- E12 If the agencies that promote the initiatives are *willing to accommodate ethnic minority needs* they may be more likely to provide information that attracts attention from ethnic minority businesses and leads to knowledge
- E13 External agencies can provide the *opportunity* for ethnic minority businesses to obtain knowledge about initiatives
- E14 External agencies that employ staff who *share the same culture* as the decision-makers within ethnic minority businesses may be more likely to communicate information in a way that leads to high knowledge levels
- E15 External agencies that make *special provision* by targeting ethnic minority businesses may be more likely to achieve high levels of knowledge
- S4 Decision-makers who have access to *peer and community support networks* may be more likely to be knowledgeable

- S5 Agencies that use *cultural mediators* to reach ethnic minority businesses may achieve high levels of knowledge
- S7 Knowledge may result from promotional activities or general information provided by *Local Authorities*
- S8 Knowledge may result from information provided to decision-makers in particular business units by the *owner* or by *head office*
- S9 *Family support* may lead to knowledge if family members tell decision-makers about initiatives

Decision to become involved

- I1 People with good *English language ability* and who employ staff with good English may be more likely to have been able to critically review information about what is involved and feel able to make a decision about participation.
- I2 People who *know how to access business support services* may have obtained sufficient information to enable them to make a decision about participation
- I3 Individuals who have a *particular motivation* for finding out about external initiatives that would help them run their business, may be more likely to decide to participate in them than those who had no particular motivation
- I4 People need to be *aware* of an initiative in order to make a conscious decision about participating in it, although they may not need to know its official name in order to decide to become involved
- I5 The more *knowledgeable* someone is about an initiative the more likely they are to feel able to make a decision about participating in it
- I6 The original *motivation for migration* to the UK (the decision-maker's motivation if 1st generation or their relative's motivation) may affect the likelihood of them making a decision about involvement. For example, economic migrants may be more likely to make a conscious decision than refugees.
- I7 People who run businesses that are in a strong *financial position* and are well remunerated may feel they have the economic wealth to risk participation and may feel they have the time to evaluate the available information to enable them to make a decision about involvement. Alternatively, people who work in businesses that are not economically stable may be motivated to seek out information about initiatives that would help make their business successful which may lead to a participation decision
- I8 Decision makers who have a high degree of *assimilation* into mainstream society may be more likely to obtain information that will enable them to make a participation decision. Businesses that have demonstrated *breakout* from niche ethnic markets may be more likely to obtain information that will enable them to make a participation decision
- I9 People from particular *ethnic groups, nationalities* and *countries of origin* may be more or less likely to make a participation decision than people in other groups.
- I10 The *length of time* the decision-maker and/or their family have been in the UK may affect the likelihood of them making a participation decision
- I11 Decision-makers need to believe an initiative is *acceptable* before they can decide to participate in it
- I12 *Location* may affect the likelihood of an individual deciding to participate in an initiative, as there may be local promotions by agencies or initiatives may only be available in particular areas. It could prevent someone from deciding to participate as the initiative may involve travelling outside the area which may not be acceptable to the individual
- I13 Individuals who only plan to stay *in the UK temporarily* may be less likely to decide to participate than people who see themselves as staying permanently as they may be less inclined to become involved in mid to long term initiatives
- I14 If a decision-maker feels they have *ownership* of an initiative and are able to influence its design or delivery they may be more likely to decide to become involved
- I15 The *age* of the decision-maker or their staff may affect their decision to participate, as initiatives may only be available to people of a certain age or may be more attractive or applicable to particular age groups. Younger people may be more likely to participate than older people
- I16 *Social class* may affect participation decisions, as particular social networks could encourage or discourage participation

- I17 If the person running the business *is reluctant to involve external organisations* they may be less likely to decide to participate.
- I18 In addition to language skills, the participation decision may be affected by the extent to which the decision-maker has *skills* relating to reviewing their business, strategic planning, communicating with agencies and assessing information in the context of their business
- I19 The individual's *education level* may affect their participation decision, either because they believe in the benefits of continued education or because they feel the education they have received has already equipped them with sufficient skills to run their business
- I20 If the individual believes they will be able to *access additional resources* they may be more likely to make a decision to become involved in an initiative
- I21 The *size* of the business may affect the decision to become involved as initiatives may be more or less relevant to businesses depending upon their size
- I22 Decision-makers may only decide to participate when they are confident that they have time to devote to the initiative or if they think it will not take up much of their time
- E1 A *trigger* may prompt a decision-maker to decide to become involved in an initiative
- E2 If the organisation can convince the person that the initiative is *suitable* for them they will be more likely to decide to become involved
- E3 If an individual experiences *cultural barriers* they may be less likely to decide to participate
- E4 A *public policy* to target a particular group of businesses or to invest in promotional campaigns may lead to businesses deciding to participate
- E5 Individuals are more likely to decide to participate in initiatives that are explicitly *available* to them, either because they have been promoted to them more directly or because they are eligible to participate and the support systems are in place to facilitate their participation
- E6 The decision to participate may be more likely where the decision-maker feels they have obtained sufficient *information* to enable them to make an informed decision
- E7 If the *system surrounding the initiatives is suitable* then potential participants are more likely to decide to become involved
- E8 The fear of experiencing *racism and discrimination* or actual experiences whilst at an earlier stage of participation could prevent people from deciding to become involved in an initiative
- E9 *Ethnic co-operation or competition* could make it more likely that someone decides to become involved. Groups of businesses may decide to participate together or knowing that a competitor is participating may trigger involvement.
- E10 The *accessibility of the system* could affect the decision to participate, as businesses that can access the agencies that promote the initiatives will have had more access to information and support
- E11 If the agencies that promote the initiatives have an *understanding of ethnic minority needs* they may be better able to convince businesses of the benefits of becoming involved
- E12 If the agencies that promote the initiatives are *willing to accommodate ethnic minority needs* they may be more successful in convincing businesses that they can benefit from participation which could lead to a decision to become involved
- E13 External agencies can provide the *opportunity* for ethnic minority businesses to make a decision to participate by offering them the chance to become involved
- E14 External agencies that employ staff who *share the same culture* as the decision-makers within ethnic minority businesses may be more likely to convince businesses that they will benefit from involvement
- E15 External agencies that make *special provision* by targeting ethnic minority businesses may be more likely to get these businesses to decide to participate
- S1 Having a *Mentor* who can explain what can be expected in the initiative may make it more likely that someone will decide to become involved
- S2 Knowing that *ethnic minority staff* will deliver the initiative may make people more likely to decide to participate
- S3 *Language support* received prior to a decision to participate as well as the promise of language support during involvement may make it more likely that someone will decide to become involved

- S4 Decision-makers who have access to *peer and community support networks* may be more likely to decide to become involved as they may be more confident that they will have support
- S5 Agencies that use *cultural mediators* to reach ethnic minority businesses may be more successful at convincing businesses to become involved
- S6 Knowing that *Government support* is available, such as the cost of participation being subsidised, may make it more likely that someone will decide to become involved
- S7 A business' decision to become involved may result from promotional activities or general information provided by the *Local Authorities*.
- S8 The decision to participate may be made by head office or a business unit may be more likely to participate if they know they have the support of their *head office*. A manager may only decide to participate if they know they have the support of the business *owner(s)*. Business owners may over-rule a manager's decision to participate if they are not convinced of the benefits of becoming involved.
- S9 *Family support* may make it more likely that a business will participate if they know they have the support network in place to help them. If the business is owned and run by a family the view of wider family members may be influential in the decision to become involved

Action initiated

- I1 People with good *English language ability* and who employ staff with good English may be more likely to initiate action
- I2 People who *know how to access business support services* may access agencies that can help them get started with an initiative
- I3 Individuals who have a *particular motivation* for becoming involved in an initiative may be more likely to initiate action
- I4 People need to be *aware* of an initiative in order to make a conscious decision to take action in it
- I5 The more *knowledgeable* someone is about an initiative the more likely they are to have known what to expect from participation which may make them more likely to actually initiate action
- I6 The original *motivation for migration* to the UK (the decision-maker's motivation if 1st generation or their relative's motivation) may affect the likelihood of them initiating action. For example, economic migrants may be more likely to initiate action than refugees.
- I7 People who run businesses that are in a strong *financial position* and are well remunerated may feel they have the economic wealth to risk participation. People who run businesses that are not economically stable may be motivated to become involved if they think it will help them to make their business successful.
- I8 Decision makers who have a high degree of *assimilation* into mainstream society may be more likely to initiate action. Businesses that have demonstrated *breakout* from niche ethnic markets may be more likely to initiate action
- I9 People from particular *ethnic groups, nationalities and countries of origin* may be more or less likely to initiate action than people in other groups.
- I10 The *length of time* the decision-maker and/or their family have been in the UK may affect whether or not they initiate action
- I11 Decision-makers need to believe an initiative is *acceptable* before they can initiate action with it
- I12 *Location* may affect the likelihood of an individual initiating action, as there may be local promotions by agencies or initiatives may only be available in particular areas. It could prevent someone from initiating action as the initiative may involve travelling outside the area, which may not be acceptable to the individual
- I13 Individuals who only plan to stay *in the UK temporarily* may be less likely to initiate action than people who see themselves as staying permanently as they may be less inclined to become involved in mid to long term initiatives
- I14 If a decision-maker feels they have *ownership* of an initiative and are able to influence its design or delivery they may be more likely to initiate action
- I15 The *age* of the decision-maker or their staff may affect whether or not they initiate action, as initiatives may only be available to people of a certain age or may be more attractive or applicable to particular age groups. Younger people may be more likely to participate than older people.

- I16 *Social class* may affect whether or not action is initiated, as particular social networks could encourage or discourage participation
- I17 If the person running the business resists external influences, they may be less likely to initiate action as they may not want to involve external agencies in their business. Alternatively a feeling of isolation may be a trigger to them looking for outside assistance and advice which may result in action being initiated
- I18 In addition to language skills, whether or not action is initiated may be affected by the extent to which the decision-maker has *skills* relating to reviewing their business, strategic planning and communicating with agencies
- I19 The individual's *education level* may affect whether or not they initiate action, either because they believe in the benefits of continued education or because they feel the education they have received has already equipped them with sufficient skills to run their business
- I20 If the individual believes they will be able to *access additional resources* they may be more likely initiate action in an initiative
- I21 If the *size* of the business has been a factor in the decision to participate it may make it more likely that action is initiated
- I22 Decision-makers may only initiate action when they are confident that they have time to devote to the initiative or if they think it will not take up much of their time
- E1 A *trigger* may prompt a decision-maker to initiate action in an initiative
- E2 If the organisation can convince the person that the initiative is *suitable* for them they will be more likely to initiate action
- E3 If an individual experiences *cultural barriers* they may be less likely to initiate action
- E4 *Public policy* to target a particular group of businesses or to invest in promotional campaigns may lead to businesses initiating action
- E5 Individuals are more likely to initiate action in initiatives that are explicitly *available* to them, either because they have been promoted to them more directly or because they are eligible to participate and the support systems are in place to facilitate their participation
- E6 Ongoing *information and communication* may be needed in order for a decision-maker to initiate action
- E7 If the *system surrounding the initiatives is suitable* then businesses that have decided to participate may be more likely to initiate action
- E8 The fear of experiencing *racism and discrimination* or actual experiences whilst at an earlier stage of participation could prevent people from initiating action
- E9 *Ethnic co-operation or competition* could make it more likely that someone initiates action. Groups of businesses may decide to participate together or knowing that a competitor is participating may trigger involvement.
- E10 The *accessibility of the system* could affect whether or not action is initiated, as businesses that can access the agencies that promote the initiatives will have had more access to information and support
- E11 If the agencies that promote the initiatives have an *understanding of ethnic minority needs* they may be better able to support participants
- E12 If the agencies that promote the initiatives are *willing to accommodate ethnic minority needs* they may be more successful in convincing businesses that they can benefit from participation which could lead to them initiating action
- E13 External agencies can provide the *opportunity* for ethnic minority businesses to initiate action by offering them the chance to become involved
- E14 External agencies that employ staff who *share the same culture* as the decision-makers within ethnic minority businesses may be more successful at achieving involvement
- E15 External agencies that make *special provision* for ethnic minority businesses may be more likely to get these businesses to initiate action
- S1 Having a *Mentor* who can explain what can be expected in the initiative may make it more likely that someone will initiate action
- S2 Knowing that *ethnic minority staff* will be available may make people more likely to initiate action
- S3 *Language support* received prior to a decision to participate as well as the promise of language support during involvement may make it more likely that someone will initiate action

- S4 Decision-makers who have access to *peer and community support networks* may be more likely to initiate action as they may be more confident that they will have support
- S5 Agencies that use *cultural mediators* to reach ethnic minority businesses may be more successful at convincing businesses to become involved
- S6 Knowing that *Government support* is available, such as the cost of participation being subsidised, may make it more likely that someone will initiate action
- S7 Action may be initiated as a result of promotional activities or general information provided by *Local Authorities*.
- S8 Action may be initiated by *head office* or a business unit may be more likely to initiate action if they know they have the support of their head office or if it is an explicit business target. A manager may only initiate action if they know they have the support of the business *owner(s)*. Business owners may over-rule a manager's decision to initiate action if they are not convinced of the benefits of becoming involved
- S9 *Family support* may make it more likely that a business will initiate action if they know they have the support network in place to help them. If the business is owned and run by a family the view of wider family members may be influential in whether or not action is initiated

Active participation

- I1 People with good *English language ability* and who employ staff with good English may be more likely to become active participants
- I2 People who *know how to access business support* may access agencies that can help them become active participants
- I3 Individuals who have a *particular motivation* for becoming involved in an initiative may be more likely to become active participants
- I4 People need to be *aware* of an initiative in order to make a conscious decision to participate in it
- I5 The more *knowledgeable* someone is about an initiative the more likely they are to have known what to expect from participation which may make them more likely to become an active participant
- I6 The original *motivation for migration* to the UK (the decision-maker's motivation if 1st generation or their relative's motivation) may affect the likelihood of them becoming an active participant. For example, economic migrants may be more likely to be an active participant than refugees.
- I7 People who run businesses that are in a strong *financial position* and are well remunerated may feel they have the *economic wealth* to risk participation. People who run businesses that are not economically stable may be motivated to become involved if they think it will help them to make their business successful.
- I8 Decision makers who have a high degree of *assimilation* into mainstream society may be more likely to become active participants. Businesses that have demonstrated *breakout* from niche ethnic markets may be more likely to become active participants
- I9 People from particular *ethnic groups, nationalities and countries of origin* may be more or less likely to become active participants than people in other groups.
- I10 The *length of time* the decision-maker and/or their family have been in the UK may affect whether or not they become an active participant
- I11 Decision-makers need to believe an initiative is *acceptable* before they can become an active participant
- I12 *Location* may affect the likelihood of an individual becoming an active participant, as there may be local promotions by agencies or initiatives may only be available in particular areas. It could prevent someone from becoming an active participant as the initiative may involve travelling outside the area, which may not prove to be acceptable to the individual
- I13 Individuals who only plan to stay *in the UK temporarily* may be less likely to become active participants than people who see themselves as staying permanently as they may be less inclined to become involved in mid to long term initiatives
- I14 If a decision-maker feels they have *ownership* of an initiative and are able to influence its design or delivery they may be more likely to become active participants
- I15 The *age* of the decision-maker or their staff may affect whether or not they become an active participant, as initiatives may only be available to people of a certain age or may be more attractive or applicable to particular age groups. Younger people may be more likely to participate than older people.

- I16 *Social class* may affect whether or not someone becomes an active participant, as particular social networks could encourage or discourage participation
- I17 If the person running the business resists external influences, they may be less likely to become an active participant as they may not want to involve external agencies in their business. Alternatively a feeling of isolation may be a trigger to them looking for outside assistance and advice which may result in them becoming an active participant
- I18 In addition to language skills, whether or not someone becomes an active participant may be affected by the extent to which the decision-maker has *skills* relating to reviewing their business, strategic planning and communicating with agencies
- I19 The individual's *education level* may affect whether or not they become an active participant, either because they believe in the benefits of continued education or because they feel the education they have received has already equipped them with sufficient skills to run their business
- I20 If the individual believes they will be able to *access additional resources* they may be more likely to become an active participant
- I21 If the *size* of the business has been a factor in the decision to participate it may make it more likely that it will affect active participation
- I22 Decision-makers may only become active participants when they are confident that they have time to devote to the initiative or if they think it will not take up much of their time
- E1 A *trigger* may prompt a decision-maker to become an active participant
- E2 If the organisation can convince the person that the initiative is *suitable* for them they will be more likely to become an active participant
- E3 If an individual experiences *cultural barriers* they may be less likely to become an active participant
- E4 *Public policy* to target a particular group of businesses or to invest in promotional campaigns may lead to businesses actively participating
- E5 Individuals are more likely to actively participate in initiatives that are explicitly *available* to them, either because they have been promoted to them more directly or because they are eligible to participate and the support systems are in place to facilitate their participation
- E6 Ongoing *information* and *communication* may be needed in order for a decision-maker to become an active participant
- E7 If the *system surrounding the initiatives is suitable* then businesses may be more likely to become active participants
- E8 The fear of experiencing *racism and discrimination* or actual experiences whilst at an earlier stage of participation could prevent people from becoming active participants
- E9 *Ethnic co-operation or competition* could make it more likely that someone becomes an active participant. Groups of businesses may decide to participate together or knowing that a competitor is participating may trigger involvement.
- E10 The *accessibility of the system* could affect whether or not someone becomes an active participant, as businesses that can access the agencies that promote the initiatives will have had more access to information and support
- E11 If the agencies that promote the initiatives have an *understanding of ethnic minority needs* they may be better able to support participants
- E12 If the agencies that promote the initiatives are *willing to accommodate ethnic minority needs* they may be more successful in convincing businesses that they can benefit from participation which could lead to them becoming active participants
- E13 External agencies can provide the *opportunity* for ethnic minority businesses to become active participants by offering them the chance to become involved
- E14 External agencies that employ staff who *share the same culture* as the decision-makers within ethnic minority businesses may be more successful at achieving involvement
- E15 External agencies that make *special provision* for ethnic minority businesses may be more likely to get these businesses to become active participants
- S1 Having a *Mentor* who can explain what can be expected in the initiative may make it more likely that someone will become an active participant
- S2 Knowing that *ethnic minority staff* will be available may make people more likely to participate actively

- S3 *Language support* received prior to a decision to participate as well as the promise of language support during involvement may make it more likely that someone will become an active participant
- S4 Decision-makers who have access to *peer and community support networks* may be more likely to become active participants
- S5 Agencies that use *cultural mediators* to reach ethnic minority businesses may be more successful at convincing businesses to become active participants
- S6 Receiving *Government support*, such as the cost of participation being subsidised, may make it more likely that someone will become an active participant
- S7 Promotional activities or general information provided by *Local Authorities* may make it more likely that businesses will become active participants
- S8 Active participation may be more likely where there is *head office* support or if it is an explicit business target. A manager may only actively participate if they know they have the support of the business *owner(s)*. Business owners may over-rule a manager's decision to participate if they are not convinced of the benefits of becoming involved
- S9 *Family support* may make it more likely that a business will actively participate if the decision-maker knows they have the support network in place to help them. If the business is owned and run by a family the view of wider family members may be influential in whether or not the business actively participates

Appendix 3A: Participation measures

AWARENESS: Interviewee has heard of the initiative(s) and can give a basic description of the initiative(s)

Initiative	Key words included in description
NVQs	Statement that they have heard of 'National Vocational Qualifications' and where they heard Qualification that you do at work or at college Government qualification
NTs	Statement that they have heard of 'National Traineeships' and where they heard Qualification that you do at work or at college Qualification for young people Government scheme
MAs	Statement that they have heard of 'Modern Apprenticeships' and where they heard Qualification for young people that they do at work Government scheme
Investors in People	Statement that they have heard of Investors in People and where they heard Government scheme Training
New Deal	Statement that they have heard of the New Deal and where they heard Government programme for unemployed people

KNOWLEDGE OF INITIATIVE: Interviewee can describe the key features of the initiative(s)

Initiative	Minimum knowledge	Good knowledge	Very good knowledge
NVQs	Vocational qualification	2 of following: Units Performance Criteria Range Underpinning knowledge Levels 1-5 Assessment Assessors	1 of the following: D32 / D33 Approved centre
NTs	1 of the following: Training programme Young people: 16-17 Government Programme Qualification	NVQ level 2	1 of the following: Made up of units and elements Key Skills NTO set framework
MAs	1 of the following: Training programme Young people: 16-19 Qualification	1 of the following: Government Programme NVQ levels 2 and 3 Different types – Restaurant, Chef Apprentice, etc.	1 of the following: Framework set by NTO Each NVQ is made up of units and elements Key Skills
Investors in People	Shows you train your staff	Promoted by each TEC	1 of the following: Award that shows you invest in your staff Run by Investors in People UK
New Deal	Get unemployed people back to work	1 of the following: Unemployed people who have not worked for more than six months Subsidy to employer	1 of the following: Under 25s, Over 25s Disabled people Four strands

KNOWLEDGE OF SYSTEM: Interviewee can explain what participation involves

Initiative	Minimum knowledge	Good knowledge	Very good knowledge
NVQs	<p>1 of the following:</p> <p>Candidate is watched / assessed / asked questions</p> <p>No exams</p> <p>Anyone can do them</p>	<p>2 of the following:</p> <p>Registering candidate (with awarding body if approved centre or with training provider or consortium agent)</p> <p>Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release)</p> <p>Implementing training plans (by providing training or by releasing candidate for training)</p> <p>Candidate is assessed</p>	<p>1 of the following:</p> <p>Getting approved centre status from one of the awarding bodies or forming a link with a college or provider or joining a consortium</p> <p>Assessing candidate against elements and units to make up the qualification (either directly following D32, D33 course, or indirectly by allowing training provider to conduct assessments or releasing candidate for day release)</p> <p>Candidate collects evidence</p> <p>Getting the portfolio internally verified if approved centre</p> <p>Having external verification visits if approved centre</p> <p>Applying for certificate for candidate</p>
NTs	<p>1 of the following:</p> <p>Employer talking to TEC or training provider</p> <p>Finding candidate</p>	<p>2 of the following:</p> <p>Signing agreement with candidate, training provider and candidate's parents</p> <p>Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release)</p> <p>Implementing training plans (by providing training or by releasing candidate for training)</p> <p>Candidate is assessed</p>	<p>1 of the following:</p> <p>Assessing candidate against elements and units to make up the qualification (either directly following D32, D33 course, or indirectly by allowing training provider in to conduct assessments or by releasing candidate for assessment on day release)</p> <p>Candidate collects evidence</p> <p>Getting the portfolio internally verified if approved centre</p> <p>Having external verification visits if approved centre</p> <p>Applying for certificate</p> <p>Based on occupational standards</p>
MAs	<p>1 of the following:</p> <p>Employer talking to TEC</p>	<p>2 of following</p> <p>Signing agreement with</p>	<p>1 of the following:</p> <p>Assessing candidate</p>

Initiative	Minimum knowledge	Good knowledge	Very good knowledge
	or training provider Finding candidate	candidate and training provider Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release) Implementing training plans (by providing training or by releasing candidate for training) Candidate is assessed	against elements and units to make up the qualification (either directly following D32, D33 course, or indirectly by allowing training provider in to conduct assessments or by releasing candidate for assessment on day release) Candidate collects evidence Getting the portfolio internally verified if approved centre Having external verification visits if approved centre Applying for certificate for candidate
Investors in People	1 of the following: TEC / TEC Adviser involved TEC workshop (or business link/chamber of commerce) Finding out about Investors in People Letter of commitment	1 of the following: Training Needs Analysis – business analysis then developing training and development programme for staff Implementing the programme Assessor visit Certificate of recognition	1 of the following: Reassessment against ongoing plan Valid for three years Can be re-assessed annually
New Deal	1 of the following:	2 of the following:	3 of the following:
	Telling the Employment Service you want to employ someone on the New Deal Advertise vacancy Sign agreement with Employment Service Unemployed person goes through Gateway period Interview and recruit someone Develop training plan with them Train them in doing the job Receive subsidy from Employment Service towards employing and training the New Dealer		

DECIDE TO GET INVOLVED: Interviewee made a concrete decision to get involved with the initiative(s), expressed their decision to the promoter(s) or told their staff

Initiative	Ways of demonstrating they have decided to get involved
NVQs	1 of the following: Approaching one or more of the awarding bodies to enquire about approved centre status or seeking / agreeing to form a link with a college or training provider or seeking / agreeing to join / form a consortium Agreeing to interview candidate from a training provider or college Briefing other decision makers in the organisation Talking to staff in the organisation about being candidates

NTs	<p>1 of the following:</p> <p>Contacting or being conducted by TEC, college or training provider and saying will get involved</p> <p>Briefing other decision makers in the organisation</p> <p>Talking to staff in the organisation about being candidates</p> <p>Identifying who will be a candidate</p>
MAs	<p>1 of the following:</p> <p>Contacting or being contacted by TEC, college or training provider and saying will get involved</p> <p>Briefing other decision makers in the organisation</p> <p>Talking to staff in the organisation about being candidates</p> <p>Identifying who will be a candidate</p>
Investors in People	<p>1 of the following:</p> <p>Contacting Investors in People UK or the local TEC</p> <p>Being contacted by local TEC and agreeing to get involved</p> <p>Attending a briefing session or arranging a visit from an advisor</p> <p>Briefing other decision makers in the organisation</p> <p>Talking to staff in the organisation about going for Investors in People</p>
New Deal	<p>1 of the following:</p> <p>Contacting the Employment Service about taking on a New Dealer</p> <p>Briefing other decision makers in the organisation</p> <p>Talking to staff in the organisation about working with a New Dealer</p>

INITIATE ACTION: Interviewee registered official interest in the initiative(s), took initial steps to get involved or formally registration

Initiative	Steps taken to get involved
NVQs	Registering candidates (with awarding body if approved centre or with training provider or consortium agent)
NTs	<p>Cumulative scale:</p> <p>Registering with TEC</p> <p>Advertising vacancy</p> <p>Signing agreement with training provider and candidate</p> <p>Health and Safety audit</p>
MAs	<p>Cumulative scale:</p> <p>Registering with TEC</p> <p>Advertising vacancy</p> <p>Signing agreement with training provider and candidate</p> <p>Health and Safety audit</p>
Investors in People	<p>Cumulative scale:</p> <p>Have made a commitment to Investors</p> <p>Developing training and development plan</p>
New Deal	<p>Cumulative scale:</p> <p>Signing up to the New Deal with the Employment Service</p> <p>Interviewing people under New Deal</p> <p>Taking on a New Dealer</p>

ACTIVE PARTICIPANT: Interviewee has taken significant steps to implement the initiative(s)

Initiative	Steps taken to implement the initiative(s)
NVQs	<p>1 of the following:</p> <ul style="list-style-type: none"> Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release) Implementing training plans (by providing training or by releasing candidate for training) Assessing candidate against elements and units to make up the qualification - questions / observation (either directly following D32, D33 course, or indirectly by allowing training provider in to conduct assessments or by releasing candidate for assessment on day release) Helping candidate complete their portfolio of evidence Getting the portfolio internally verified if approved centre Having external verification visits if approved centre Applying for certificate for candidate
NTs	<p>1 of the following:</p> <ul style="list-style-type: none"> Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release) Implementing training plans (by providing training or by releasing candidate for training) Assessing candidate against elements and units to make up the qualification (either directly following D32, D33 course, or indirectly by allowing training provider in to conduct assessments or by releasing candidate for assessment on day release) Helping candidate complete their portfolio of evidence Getting the portfolio internally verified if approved centre Having external verification visits if approved centre Applying for certificate for candidate
MAs	<p>1 of the following:</p> <ul style="list-style-type: none"> Developing training plans with candidate (or agreeing training plan with training provider such as by agreeing to day release) Implementing training plans (by providing training or by releasing candidate for training) Assessing candidate against elements and units to make up the qualification (either directly following D32, D33 course, or indirectly by allowing training provider in to conduct assessments or by releasing candidate for assessment on day release) Helping candidate complete their portfolio of evidence Getting the portfolio internally verified if approved centre Having external verification visits if approved centre Applying for certificate for candidate
Investors in People	<p>1 of the following:</p> <ul style="list-style-type: none"> Implementing the training and development programme or 'Investors Action Plan' Assessment for Investors (either had one or preparing for one) Accredited with standard Re-recognition after 3 years

Initiative	Steps taken to implement the initiative(s)
New Deal	1 of the following: Recruited New Dealer Develop training plan for New Dealer Train them in doing the job Receive quarterly subsidy from Employment Service towards employing and training the New Dealer

Appendix 3B: Information requirements for each variable

I1 – ENGLISH LANGUAGE ABILITY / FIRST LANGUAGE

- Whether or not the person's language ability and first language has a significant effect on their decisions regarding participation or on their ability to participate
- If it does, the extent to which it has an effect - Whether or not there is a point or a range within the spectrum of language ability that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation
- Whether or not the point or range is different for different initiatives
- Whether or not the availability of particular language support services has an impact on the point or range that makes it likely that a person will participate

I2 - KNOWLEDGE OF HOW TO ACCESS BUSINESS SUPPORT SERVICES

- Whether or not there is a significant difference in the extent to which people who participate are knowledgeable about the system compared with people who do not participate
- People's experiences in becoming knowledgeable about the system
- The extent to which people were knowledgeable of the system when they moved to the next stage of participation
- The level of knowledge in the Asian and Oriental restaurant community
- Whether or not there is a point or range on the spectrum of knowledge that makes it likely that a person will participate or not participate and the degree of certainty that can be applied to that point or range

I3 – PARTICULAR MOTIVATION

- The factors people feel motivated them to participate at different stages of the cycle
- The factors external agencies feel have motivated participants at different stages of the cycle
- The benefits people thought they would receive from participation and the benefits they have actually received
- The benefits external agencies think participants receive

I4 - AWARENESS OF THE INITIATIVE / INSTITUTION

- People's experiences in becoming aware of the initiatives / institutions
- The extent to which the media played a part in them becoming aware
- The extent to which people were aware of the initiative when they moved to the next stage of participation
- The level of awareness in the restaurant community
- Whether or not there is a point or range on the spectrum of awareness that makes it likely that a person will participate or not participate and the degree of certainty that can be applied to that point or range

I5 - KNOWLEDGE OF INITIATIVE / INSTITUTION

- People's experiences in becoming knowledgeable about the initiatives / institutions
- The extent to which people were knowledgeable of the initiative when they moved to the next stage of participation
- The level of knowledge in the restaurant community
- Whether or not there is a point or range on the spectrum of knowledge that makes it likely that a person will participate or not participate and the degree of certainty that can be applied to that point or range

I6 - MOTIVE FOR MIGRATION

- Why the person or their family chose to leave their country of origin and why they or their family chose to come to the UK
- Whether or not there is a difference between the extent or way in which political migrants and economic migrants participate, what that difference may be and why it may occur

17 – FINANCIAL POSITION

- The person's own or family wealth
- The economic condition of the business
- Whether or not there is a significant relationship between economic wealth and extent of participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the spectrum of economic wealth that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

18 – ASSIMILATION / BREAKOUT

- The person's degree of assimilation and integration - the extent to which they participate in other initiatives and institutions, including mainstream healthcare, politics, financial services
- The extent to which the business operates within or outside niche ethnic markets
- Whether or not there is a significant relationship between the extent to which a person is assimilated / integrated and participation or non-participation
- Whether or not there is a significant relationship between the extent to which a business has demonstrated breakout from a niche ethnic market and participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within a spectrum of assimilation / integration / breakout that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

19 - COUNTRY OF ORIGIN / NATIONALITY / ETHNIC GROUP

- The person's own or family country of origin
- Whether or not there is a significant relationship between country of origin and extent of participation or non-participation
- The person's nationality
- Whether or not there is a significant relationship between nationality and extent of participation or non-participation
- The person's ethnic group
- Whether or not there is a significant relationship between ethnic group and extent of participation or non-participation

110 - LENGTH OF TIME IN THE UK

- How long the person and / or their family has been in the UK
- Whether or not there is a significant relationship between the length of time a person has been in the UK and participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the time line that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

111 - ACCEPTABILITY OF INITIATIVE / INSTITUTION

- How people feel about the initiative and the extent to which it meets their needs and is acceptable to them
- Whether or not there is a significant relationship between the extent to which someone feels the initiative is acceptable and participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the spectrum of acceptability that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

I12 - LOCATION

- Where the business is located
- Whether or not there is a significant relationship between the location of the business and participation or non-participation
- Whether or not location is more or less important at different stages of participation

I13 - FEELING ONLY IN UK TEMPORARILY

- How long people feel they are going to be in the UK
- Whether or not there is a relationship between the length of time people intend to be in the UK and their participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the time line that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

I14 - OWNERSHIP OF INITIATIVE / INSTITUTION

- Whether people feel they have ownership of the initiative and the extent of their ownership
- Whether or not there is a significant relationship between having a sense of ownership of the initiative and participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the spectrum of ownership that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

I15 - AGE

- The age profile of the staff, manager and owner of the restaurant
- Whether or not there is a relationship between the age profile of the staff and participation
- Whether or not there is a relationship between the age of the decision maker and participation
- If there is, the extent to which it has an effect - Whether or not there is a critical age range (or ranges) when it is likely that a person will participate or not participate and the degree of certainty that may be applied to that range (or ranges)
- Whether or not there is a change in the range (or ranges) at different stages of participation

I16 - SOCIAL CLASS

- The social class of the staff, manager and owner of the restaurant
- Whether or not there is a relationship between the social class profile of the staff and participation
- Whether or not there is a relationship between the social class of the decision maker and participation
- If there is, the extent to which it has an effect - Whether or not people of a particular social class are more likely to participate or not participate and the degree of certainty that may be applied.
- Whether or not this changes at different stages of participation

I17 – ATTITUDE TOWARDS EXTERNAL INFLUENCE

- People's experiences and opinions about external influences on their business
- Whether or not there is a significant relationship between attitudes towards external influence and participation or non-participation
- If there is, the extent to which it has an effect - Whether or not there is a point or a range within the spectrum that makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that point or range
- Whether or not there is a difference in the point or range at different stages of participation

I18 - SKILLS REQUIRED

- What skills are required at different stages of participation
- The extent to which having the skills makes participation likely
- Whether or not there is a significant link between having the skills and participation
- Whether or not there is a significant link between not having the skills and no participation
- Whether or not there is a particular skill or range of skills that are essential to participation
- Whether or not there is a difference in the skills needed at different stages of participation

I19 - EDUCATION LEVEL

- The education level of the staff, manager and owner of the restaurant
- Whether or not there is a relationship between the education profile of the staff and participation
- Whether or not there is a relationship between the education level of the decision maker and participation
- If there is, the extent to which it has an effect - Whether or not there is a critical level of education which makes it likely that a person will participate or not participate and the degree of certainty that may be applied to that level
- Whether or not there is a change in the critical education level at different stages of participation

I20 - ABILITY TO ACCESS ADDITIONAL RESOURCES

- People's experiences in accessing resources for getting involved in different initiatives / institutions (sources of resources, extent of resources, problems encountered, support obtained)
- The extent to which people were knowledgeable of how to access resources when they moved to the next stage of participation
- People's views of the resources they were able to access in terms of whether or not they are sufficient, suitable, available (did the resources they were able to access meet their needs - if yes, how, if no, why not)
- Whether or not there is a difference in the resources or in the ability to access resources at different stages of the participation scale
- Who is able to access resources most effectively

I21 - SIZE OF BUSINESS

- Number of outlets in company
- Number of employees
- Number of covers
- Views on whether the initiatives are relevant to a business of their size

I22 - TIME

- Decision-makers working hours per week
- Perception of time available to spend on training and external initiatives

E1 - TRIGGER

- Whether a trigger is needed in order to make someone participate. If so, the extent to which it is essential.
- What types of trigger result in participation? What types of trigger make participation more likely?
- Whether the presence of a trigger is more or less important at different stages of the participation scale.
- Whether the types of trigger are different at different stages of the participation scale.

E2 – SUITABILITY OF INITIATIVE

- The essential features of a suitable initiative at each stage of the participation scale.
- The non-essential but helpful features of a suitable initiative at each stage of the participation scale.
- The features of an unsuitable initiative
- Whether or not the essential features are different for different groups of participants
- Whether or not the non-essential but helpful features are different for different groups of participants
- Whether or not the features of an unsuitable initiative are different for different groups of participants

E3 - CULTURAL BARRIERS

- What types of cultural barrier exist at different stages of the participation scale
- The extent to which they are barriers (ones which hinder participation and ones that prevent it).
- The effect of different barriers when they appear in combination.
- What causes the barriers and what can be done to successfully overcome them?

E4 - PUBLIC POLICY

- The positive elements of public policy which enhance participation at different stages of the cycle.
- The negative elements of public policy which hinder participation at different stages of the cycle.
- What influences public policy in relation to Asian and Oriental restaurants and education and training initiatives?

E5 - AVAILABILITY OF INITIATIVE

- The essential features that make the initiative available to participants at different stages of the participation scale.
- The non-essential but helpful features of an available initiative at each stage of the participation scale.
- The features of an unavailable initiative
- Whether or not the essential features are different for different groups of participants
- Whether or not the non-essential but helpful features are different for different groups of participants
- Whether or not the features of an unsuitable system are different for different groups of participants

E6 - INFORMATION / COMMUNICATION METHODS

- What information is essential for participation at different stages of the cycle?
- What information is desirable to enhance participation at different stages of the cycle?
- What communication methods are most successful in enhancing participation?
- What communication methods are least successful in enhancing participation?

E7 - SUITABILITY OF SYSTEM / DELIVERY

- The essential features of a suitable system at different stages of the participation scale.
- The non-essential but helpful features of a suitable system at each stage of the participation scale.
- The features of an unsuitable system.
- Whether or not the essential features are different for different groups of participants
- Whether or not the non-essential but helpful features are different for different groups of participants
- Whether or not the features of an unsuitable system are different for different groups of participants

E8 - RACISM / DISCRIMINATION

- People's experiences and perceptions of racism or discrimination in relation to participation
- The effect of racism or discrimination (perceived or actual) on participation for different groups or at different stages of the participation scale
- Types of racism or discrimination experienced

E9 - CO-OPERATION / COMPETITION BETWEEN DIFFERENT ETHNIC GROUPS

- The types of ethnic co-operation that help participation at different stages of the participation scale.
- The types of ethnic co-operation that hinder participation at different stages of the participation scale.
- The effect of ethnic competition on participation at different stages of the participation scale.

E10 - ACCESSIBILITY OF SYSTEM

- The essential features that make the system accessible at different stages of the participation scale.
- The features of the system that hinder accessibility at different stages of the participation scale.
- The extent to which different negative features are barriers (ones which hinder participation and ones that prevent it).
- The non-essential but helpful features of an accessible system at each stage of the participation scale.
- Whether or not the essential features are different for different groups of participants
- Whether or not the non-essential but helpful features are different for different groups of participants
- Whether or not the features of an unsuitable system are different for different groups of participants

E11 - UNDERSTANDING OF ETHNIC MINORITY NEEDS

- How needs are identified / communicated.
- The extent to which it is important for external agencies to understand the needs of ethnic minority participants at different stages of the cycle.
- Which needs must be understood to ensure participation, at different stages of the cycle.
- Which needs are helpful to understand to ensure participation, at different stages of the cycle

E12 - WILLINGNESS TO ACCOMMODATE ETHNIC MINORITY NEEDS

- The extent to which it is important for external agencies to have a declared willingness to accommodate ethnic minority needs at different stages of the participation scale.
- The degree to which the extent of the willingness is important to ensure participation at different stages of the cycle.
- The different ways in which willingness is demonstrated.

E13 - OPPORTUNITY PRESENTED

- People's experience in relation to whether there was a particular opportunity (or opportunities) that came their way that helped them to participate
- What types of opportunity arose for each person
- Whether or not it is a significant factor in relation to making people participate - does an opportunity need to arise in order to make different groups of people participate?
- Does a particular type (or types) of opportunity need to arise for participation to result? Is this different at different stages?

E14 - CULTURAL COMPATIBILITY WITH SERVICE PROVIDERS

- The extent to which cultural compatibility is a significant factor in helping participation.
- Whether cultural compatibility with service providers can ever be considered a negative factor in participation.
- What constitutes cultural compatibility (same broad culture e.g. Asian, specific region, country, caste etc?)

E15 - SPECIAL PROVISION FOR ETHNIC MINORITIES

- The extent to which it is important for external agencies to make special provision for ethnic minority needs at different stages of the participation scale.
- The types of special provision that are used and their relative effectiveness.
- The extent to which the type of special provision is important in ensuring participation at different stages of the cycle.

S1 - MENTORS

- People's experiences in having formal or informal mentors to help them participate, including the build up to having a mentor - how did it come about?
- What types of mentors have been used? What types of mentor make participation more likely?
- Whether some type of mentor is needed in order to make someone participate. If so, the extent to which having a mentor is essential.
- Whether the presence of a mentor is more or less important at different stages of the participation scale.
- Whether the types of mentor are different at different stages of the participation scale.
- The views of the providers of the initiative on the importance and effectiveness of mentors

S2 - ETHNIC MINORITY STAFF

- Whether having members of staff employed by the agency who are from the same minority group as the client is helpful in increasing participation. If so, the extent to which it is important.
- Whether having members of staff who are from another minority group is helpful or unhelpful in increasing participation, and the extent to which it is important.
- Whether having staff from a non-ethnic minority group is helpful or unhelpful in increasing participation, and the extent to which it is important.
- The views of the providers of the initiative on the importance and effectiveness of having ethnic minority staff

S3 - LANGUAGE SUPPORT

- People's experiences in receiving language support
- The extent to which the presence of language support services are important in influencing participation
- The types of language support that are utilised, including informal and formal, and the relative effectiveness of each
- Whether or not the types of language support that are utilised / effective are different at different stages of participation
- Whether or not the effectiveness of the support that is utilised depends on other factors, such as level of language ability, age, level of education etc...
- The views of the providers of the initiative on the importance and effectiveness of language support

S4 - PEER / COMMUNITY SUPPORT NETWORKS

- People's experiences in receiving peer and community support
- The extent to which the presence of peer and community support are important in influencing participation
- The types of peer and community support that are utilised, including informal and formal, and the relative effectiveness of each
- Whether or not the types of peer and community support that are utilised / effective are different at different stages of participation
- Whether or not the types of peer and community support that are utilised / effective depends on other factors, such as degree of assimilation, age, level of education etc...
- The views of the providers of the initiative on the importance and effectiveness of peer and community support

S5 - CULTURAL MEDIATORS

- People's experiences in having cultural mediators
- The types of cultural mediation that have been utilised / effective
- The extent to which the presence of cultural mediators makes participation more or less likely for different groups of participants and at different stages of the participation scale
- The views of the providers of the initiative on the importance and effectiveness of cultural mediators

S6 - GOVERNMENT SUPPORT

- People's experiences and perceptions of Government support
- The types of Government support that are available / effective
- The extent to which the presence of Government support makes participation more or less likely for different groups of participants and at different stages of the participation scale
- The views of the providers of the initiative on the importance and effectiveness of government support

S7 – LOCAL AUTHORITY SUPPORT

- People's experiences and perceptions of local council involvement
- The types of local council support that are available / effective
- The extent to which the presence of local council support makes participation more or less likely for different groups of participants and at different stages of the participation scale
- The views of the providers of the initiative on the importance and effectiveness of local council support

S8 – OWNER / HEAD OFFICE SUPPORT

- Employees experiences and perceptions of employer support
- The extent to which employer support is important in influencing participation amongst employees
- The types of employer support that are available / effective
- The extent to which the presence of employer support makes participation more or less likely for different groups of participants and at different stages of the participation scale
- The views of the providers of the initiative on the importance and effectiveness of employer support

S9 - FAMILY SUPPORT

- People's experiences and perceptions of family support, both in family and non-family businesses
- The extent to which family support is important in influencing participation
- The types of family support that are available / effective
- The extent to which the presence of family support makes participation more or less likely for different groups of participants and at different stages of the participation scale
- The views of the providers of the initiative on the importance and effectiveness of family support

Appendix 3C: Information requirements for the participation narratives

THE RESPONDENT AND THEIR BUSINESS

BUSINESS HISTORY

- Background to business
 - Who started the business, when and why (pull or push factors)
 - Are family members involved as staff or as managers (paid or unpaid)
 - Were parents in business or other relatives - Do you come from an entrepreneurial family background?
 - If manager, are the owners relatives involved in the business
- Extent to which women are employed in the business and run/manage the business (either openly or behind the scenes)
- Break-out analysis (Customer spend, ethnicity, customer proximity to restaurant, expansion record and plans)
- Did they use any business support services when the business was established?
- How was the business financed at the start-up stage?
- How has it been financed since?

BUSINESS SUCCESS

- Sense of whether or not the business is a success
- How does the respondent define success? (Financial, quality of life, number of restaurants, number of staff)
- Satisfaction or dissatisfaction with profits and personal incomes
- Economic history of business
- Hours worked by owner / manager – are the profits worth the hours worked?

FAMILY SUPPORT

- People's experiences and perceptions of family support to help run the business and to help them during education and training, both in family and non-family businesses

GOVERNMENT SUPPORT

- People's experiences and perceptions of Government support for their business and for the education and training of their staff

INTERACTION / ISOLATION

- People's experiences and opinions about the extent to which they interact with other businesses (incl. other ethnic minority businesses) and with other parts of society, particularly the mainstream (banking, insurance, accountants, solicitors, local government, home ownership, politics, business support services – enterprise agencies, TECs, business links)
- People's experiences and perceptions of racism or discrimination in relation to running the business (from customers, suppliers, support services, accountants, solicitors, banking, insurance)
- What types of cultural barrier exist between the business and business support services
- What causes the barriers and what can be done to successfully overcome them?

ETHNIC CO-OPERATION / COMPETITION

- The types of ethnic co-operation and competition that help / hinder participation
- People's experiences in receiving or providing peer and community support

CULTURAL COMPATIBILITY WITH SERVICE PROVIDERS

- The extent to which cultural compatibility is a significant factor in helping participation.
- Whether cultural compatibility with service providers can ever be considered a negative factor in participation.
- What constitutes cultural compatibility (same broad culture e.g. Asian, specific region, country, caste etc.)?

EMPLOYER /EMPLOYEE

- Employers relationships with staff (view of staff, view of their role in staff development)
- Experience of recruitment – agencies, word of mouth, who is employed (family, non-family, age profiles, ethnic origin)
- Education and training opportunities – what they provide, what they want to provide, views on education and training (them and their staff)
- The extent to which employer support is important in influencing participation amongst employees
- The types of employer support that are available / effective
- Managers experiences of working with owners (degree of autonomy or control, decision making)
- If manager, how involved is the owner in operational decision making and training?
- If owner, to what extent do they get involved in operational decisions and training?
- Who would make the decision to get involved with these initiatives?
- Where did the respondent learn their management / business ownership skills?

THE INITIATIVES

AWARENESS AND KNOWLEDGE OF THE INITIATIVES

- People's experiences in first hearing about and then finding out about the initiatives and how to access them
- What communication methods are used and what could be used?
- What information is essential and what information is desirable?

ACCEPTABILITY, SUITABILITY AND OWNERSHIP OF THE INITIATIVE

- How people feel about the initiative and the extent to which it meets their needs and is acceptable/suitable for them
- What makes each of the initiatives suitable for the participant?
- What makes them unsuitable?
- Whether people feel they are able to influence the initiative
- People's experiences in mobilising resources for getting involved in different initiatives / institutions (sources of resources, extent of resources, problems encountered, support obtained)
- Good and bad points about the system for promoting and implementing the initiatives
- The extent to which the financial condition of the business affects participation
- The extent to which the availability of financial support affects participation

PARTICULAR MOTIVATION

- Exploration of what did/would motivate them to participate in any of the initiatives
- The benefits people think/thought they would receive from participation and the benefits they have actually received

TRIGGER

- What types of trigger help participation and the extent to which they are important?
- People's experience in relation to whether there was a particular opportunity (or opportunities) that came their way that helped them to participate

LANGUAGE

- Whether or not language ability (for them or their staff) effects their decisions regarding participation or their ability to participate
- Whether or not the availability of particular language support services would have an impact
- People's experiences in receiving language support

UNDERSTANDING AND ACCOMMODATING ETHNIC MINORITY NEEDS

- The extent to which external agencies understand the needs of ethnic minority businesses and small businesses
- The extent to which it is important for external agencies to have a declared willingness to accommodate ethnic minority needs at different stages of the participation scale.
- The different ways in which willingness is demonstrated.
- People's experiences in having cultural mediators (if any)

PROVISION FOR ETHNIC MINORITIES

- The extent to which it is important for external agencies to make special provision for ethnic minority needs

MENTORS

- People's experiences in having formal or informal mentors to help them participate, including the build up to having a mentor - how did it come about?

ETHNIC MINORITY STAFF

- The extent to which having ethnic minority staff delivering the initiatives (from the same ethnic group or another) is important, compared with non-ethnic minority staff

id no.

GUIDED INTERVIEW SCHEDULE FOR RESTAURATEURS

Ask if there is a quiet room/area where the interview can be conducted without interruptions.

"Good Morning / Afternoon / Evening

I am a part-time student at the University of Surrey doing research on restaurants in London. Your restaurant was selected at random to be included in the study and that is why I have asked to interview you.

Everything you say will be treated confidentially and just say if you do not want to answer any question. I am not expecting you to know about all the things that are covered in the interview so please just be as open and honest as you can."

Name of restaurant:	
Contact name:	
Owner	<input type="checkbox"/>
Manager	<input type="checkbox"/>

MARGIN NOTES:

- R – repeated question H – interviewee hesitated
- W – re-worded question U – interviewee uncertain of terminology used
- F – interviewee asked follow-up question C – interviewee unclear about their response to the question or
- E – interviewee offers additional elaboration you are unclear about their answer (Flash card) = use flash card provided
- * - Definition available(*) – Definition available but don't offer at this point in questionnaire

SECTION A – GENERAL TRAINING INFORMATION AND AWARENESS TESTING

A1a. What type of food is served in your restaurant? (Flash card)

European	1	Filipino	5	Bangladeshi	9
American	2	Malaysian	6	Pakistani	10
Chinese	3	Japanese	7	No response	11
Thai	4	Indian	8	Other	12

Please specify _____

A1b. How would you describe the style of restaurant you are? (Flash card)

Fine dining*	1
Popular dining / mid-market*	2
Fast food	3
Don't know	4
Other	5

Please specify _____

A2. Does your organisation have...

	Yes	No	Don't know
A21 A written business plan*	1	2	3
A22 A written training plan*	1	2	3

READ: The next few questions relate to on-job-training undertaken by your business. This is training which takes place at the normal work place and not in a training centre or college.

A3. Has your business funded or arranged any on-the-job training for its employees, including yourself, over the past 12 months?

Yes 1 No 2 Don't Know 3

Go to A6

A4. How many of your staff, including yourself, have received on-the-job training over the past 12 months?

STAFF TRAINED _____ (If 0, go to A6)

SECTION A – GENERAL TRAINING INFORMATION AND AWARENESS TESTING

A5. How has this training been delivered? (Tick one only)

Staff are trained by another member of staff whilst working	1
Staff are trained by an external trainer whilst working	2
Both	3
Don't Know	4

READ: The following questions relate to off-the-job training, by which I mean any training given away from work. This includes full time, part time, correspondence or distance learning courses.

A6. Has your business funded or arranged any off-the-job training for its employees, including yourself, over the past 12 months?

Yes 1 No 2 Don't Know 3

Go to A10

A7. How many of your staff, including yourself, have received off-the-job training over the past 12 months? _____ (If 0, go to A10)

A8. Which of the following types of courses* have these staff members attended? (Tick all that apply) (Flash card)

		Uncertain of term	Seems unsure
A81 Short courses*	1	1	1
A82 Part-time* / day release* / evening courses*	1	1	1
A83 Full time*	1	1	1
A84 Correspondence / Distance learning*	1	1	1
A85 Don't Know	1		
A86 Other			

Please specify

2 if not uncertain or unsure

A9. Which of the following types of employees have received off-the-job training in the past 12 months? (Tick all that apply) (Flash card)

A91 Waiting staff	1	2
A92 Kitchen staff	1	2
A93 Supervisors	1	2
A94 Managers	1	2
A95 Don't know	1	2
A96 Other	1	2 Please specify

SECTION A – GENERAL TRAINING INFORMATION AND AWARENESS TESTING

A10. I am going to read out the names of some Government schemes. Please answer 'yes' or 'no' to show whether you have heard of them? (Flash card)

	Yes	No		Uncertain of term	Seems unsure
A101 National Vocational Qualifications	1	2	A1011	1	1
A102 National Traineeships	1	2	A1021	1	1
A103 Modern Apprenticeships	1	2	A1031	1	1
A104 Vocational Certificate	1	2	A1041	1	1
A105 Investors in People	1	2	A1051	1	1
A106 New Deal	1	2	A1061	1	1
					A1012
					A1022
					A1032
					A1042
					A1052
					A1062

2 if certain or sure

A11. If yes, where did you first hear of the initiative(s)? (Tick one only per initiative)

	A111 NVQs	A112 NTs	A113 MAS	A114 VC	A115 iIP	A116 ND
From TEC	1	1	1	1	1	1
From a Training Provider	2	2	2	2	2	2
From a College	3	3	3	3	3	3
From a Chef School	4	4	4	4	4	4
From the Careers Service	5	5	5	5	5	5
From the Employment Service	6	6	6	6	6	6
From another employer you have contact with	7	7	7	7	7	7
From Restaurant Association	8	8	8	8	8	8
From a member of staff in your company	9	9	9	9	9	9
From someone applying for a job	10	10	10	10	10	10
From a colleague (another Mgr. or Owner in your rest.)	11	11	11	11	11	11
From a member of your family	12	12	12	12	12	12
From a friend	13	13	13	13	13	13
Read leaflet	14	14	14	14	14	14
Saw poster	15	15	15	15	15	15
Saw advertisement in paper	16	16	16	16	16	16
Saw advertisement on television	17	17	17	17	17	17
Other (Please specify)	18	18	18	18	18	18
Don't know	19	19	19	19	19	19

SECTION A – GENERAL TRAINING INFORMATION AND AWARENESS TESTING

A12. Where do you get information to run your business? Tick all that apply.

A121 Family	1	A1211 Mainstream TV	1
A122 Friends	1	A1212 Asian specific TV	1
A123 Colleague (manager / owner in your company)	1	A1213 Mainstream papers and journals	1
A124 Staff at the restaurant	1	A1214 Restaurant / Trade Association	1
A125 Chamber of Commerce	1	A1215 A consultancy company	1
A126 Religious leaders	1	A1216 Contacts at religious events	1
A127 Banks	1	A1217 Local Council	1
A128 Other restaurant owners	1	A1218 Government Agency	1
A129 Accountant	1	A1219 Community leaders	1
A1210 Asian specific newspapers and journals	1	A1220 Contacts at community events	1
A1221 Training courses you go on	1	A1222 Other	1

2 if not marked

Please specify _____

SECTION B – NVQs

If answered yes to A101

B1. How would you grade your knowledge of National Vocational Qualifications?

Don't know anything about them	1
Basic – lower than most restaurant owners and managers	2
Average – about the same as other restaurant owners and managers	3
Advanced – better than most restaurant owners and managers	4
Don't know	5

Go to next section respondent is aware of

B2. Which of the following statements are true about National Vocational Qualifications and which are false? (Flash card)

An NVQ...	True	False	Uncertain
B21 Is a qualification promoted by the Government*	1	2	3
B22 Can be done at work	1	2	3
B23 Can be done in a college* or training centre*	1	2	3
B24 Involves candidates being assessed*	1	2	3
B25 Involves candidates sitting a formal written exam	1	2	3
B26 Involves candidates collecting evidence*	1	2	3

B3. How many levels of NVQ are there? (Flash Card)

One	1	Three	2
Five	3	Eight	4
Ten	5	Don't know	6

B4. Do you know the title of the person who decides whether or not the candidate can receive the qualification? (Flash card)

Teacher	1	Judge	3
Assessor(*)	2	Marker	4
Don't know	5		

SECTION B – NVQs

B5. Which of the following are parts of NVQs? (Flash card)

	Yes	No	Don't know		Uncertain of terms	Seems unsure
B51 Units(*)	1	2	3	B511	1	1
B52 Modules	1	2	3	B521	1	1
B53 Directions	1	2	3	B531	1	1
B54 Performance criteria(*)	1	2	3	B541	1	1
B55 Instructions	1	2	3	B551	1	1
B56 Range(*) statements	1	2	3	B561	1	1
B57 Situation lists	1	2	3	B571	1	1
B58 Underpinning knowledge (*)	1	2	3	B581	1	1

B6. Have you done or tried to do any of the following?

Have you ever...	Yes	No		Uncertain of terms	Seems unsure
B60 Made a decision to get involved with NVQs	1	2	B601	1	1
B61 Spoken to an awarding body*, college* or training provider* about NVQs	1	2	B611	1	1
B62 Agreed to interview a candidate* from a training provider* or college* – who will work for you and do a qualification at the same time	1	2	B621	1	1
B63 Talked to other employers about NVQs	1	2	B631	1	1
B64 Told other decision makers in your organisation about NVQs	1	2	B641	1	1
B65 Talked to any of your staff about doing NVQs	1	2	B651	1	1
B66 Employed someone who is doing an NVQ	1	2	B661	1	1
B67 Received government funding to implement NVQs	1	2	B671	1	1
B68 Accessed language support*	1	2	B681	1	1

B7. (If answered yes to any of the above) when did this first occur?

Over a year ago	1	Over 6 months ago	3
Within the last 6 months	2		

B8. Are you, or anyone else in your organisation, qualified as an assessor?

Yes	1	Don't know	3
No	2		

SECTION B – NVQs

B9. (If answered yes to B6-6) have you done any of the following?

Have you ever...	Yes	No	Uncertain of terms	Seems unsure
B91 Agreed a plan for training* an NVQ candidate*	1	2	1	1
B92 Agreed to an employee going to a college* or training provider* for training as part of their NVQ	1	2	1	1
B93 Provided training to an employee doing an NVQ	1	2	1	1
B94 Allowed an employee doing an NVQ to be trained externally*	1	2	1	1
B95 Assessed* a candidate* yourself	1	2	1	1
B96 Allowed an assessor* to assess an employee whilst they are at work	1	2	1	1
B97 Helped a candidate* to collect evidence*	1	2	1	1

B10. Is your restaurant an approved centre* for offering NVQs?

Yes	1	Don't know	3
No (Go to B12)	2		

B11. Have you done any of the following?

	Yes	No	Uncertain of terms	Seems unsure
B111 Become an internal verifier*	1	2	1	1
B112 Internally verified a candidates evidence*	1	2	1	1
B113 Had a visit from an external verifier*	1	2	1	1
B114 Applied for a certificate* for a candidate*	1	2	1	1

B12. Are you still involved in National Vocational Qualifications?

Yes	1	Don't know	3
No	2		

SECTION B – NVQs

B13. What reasons would most attract you to getting involved with NVQs? (tick all that apply) (Flash card)

B131 Way of getting new staff	1	B136 Framework* to help train staff	1
B132 Help staff develop better skills	1	B137 Improve own skills	1
B133 Give staff the chance to get qualifications*	1	B138 Get a qualification* yourself	1
B134 Funding was available	1	B139 Wanted to support a government initiative*	1
B135 Member of staff wanted to do one	1	B1310 Improve or maintain quality standards	1
B1311 Other 1			

B14. What reasons would least attract you to getting involved with NVQs? (tick all that apply) (Flash card)

B141 Cost	1	B146 No benefit to me	1
B142 Time	1	B147 No demand from staff	1
B143 Bureaucracy / administration	1	B148 Don't have a problem with recruitment or training	1
B144 Never been asked to be involved	1	B149 No interest	1
B145 Don't understand how to get involved	1	B1410 Other (Please expand below)	1

B15. Have you experienced any racial discrimination* whilst you have been involved in NVQs?

Yes	1	Please expand below
No	2	

If yes, please expand:

B16. Have you experienced any cultural barriers* whilst you have been involved in NVQs?

Yes	1	Please expand below
No	2	

If yes, please expand:

B17. I would like to speak to the people you have had contact with in the TEC, training companies or colleges. Could you give me contact names?

Name:

Company:

Location:

SECTION C – NTS

If answered yes to A102

C1. How would you grade your knowledge of National Traineeships?

Don't know anything about them	1
Basic – lower than most restaurant owners and managers	2
Average – about the same as other restaurant owners and managers	3
Advanced – better than most restaurant owners and managers	4
Don't know	5

Go to next section respondent is aware of

C2. Which of the following statements are true about National Traineeships and which are false? (Flash card)

A National Traineeship...	True	False	Uncertain
C21 Is a training programme and qualification* for young people	1	2	3
C22 Is a government scheme*	1	2	3
C23 Can be done at work	1	2	3
C24 Can be done in a college*	1	2	3
C25 Involves candidates* being assessed*	1	2	3
C26 Involves candidates* sitting a formal written exam	1	2	3
C27 Involves candidates* collecting evidence*	1	2	3

C3. What is the highest level of NVQ completed during a National Traineeship? (Flash card)

Level Two	1
Level Three	2
Don't know	3

C4. Which of the following are parts of National Traineeships? (Flash card)

	Yes	No	Don't know	Uncertain of terms	Seems unsure
C41 Units(*)	1	2	3	1	1
C42 Modules	1	2	3	1	1
C43 Induction	1	2	3	1	1
C44 Key Skills(*)	1	2	3	1	1
C45 Framework(*)	1	2	3	1	1

SECTION C – NTS

C5. Have you done or tried to do any of the following?

	Yes	No		Uncertain of terms	Seems unsure
C50 Made a decision to get involved with National Traineeships	1	2	C501	1	1
C51 Spoken to your local Training and Enterprise Council*, college* or training provider* about getting involved in National Traineeships	1	2	C511	1	1
C52 Registered* with the Training and Enterprise Council*	1	2	C521	1	1
C53 Told other decision makers in your organisation about National Traineeships	1	2	C531	1	1
C54 Talked to your staff about doing a National Traineeship	1	2	C541	1	1
C55 Advertised a vacancy for someone to do a National Traineeship	1	2	C551	1	1
C56 Found a candidate* to do a National Traineeship	1	2	C561	1	1
C57 Employed someone who is doing a National Traineeship	1	2	C571	1	1
C58 Received government funding for a National Trainee	1	2	C581	1	1
C59 Accessed language support*	1	2	C591	1	1

C6. (If answered yes to any of the above) when did this first occur?

Over a year ago	1	Over 6 months ago	3
Within the last 6 months	2		

C7. (If not answered in section B) Are you, or anyone else in your organisation qualified as an assessor*?

Yes	1	Don't know	3
No	2		

C8. (If yes to C5-7) have you done any of the following?

	Yes	No		Uncertain of terms	Seems unsure
C81 Signed an agreement* with the candidate and the training provider	1	2	C811	1	1
C82 Developed a training plan* for a National Trainee	1	2	C821	1	1
C83 Signed an agreement* for a National Trainee to go to a college* or training provider* for training	1	2	C831	1	1
C84 Had a health and safety audit* to allow you to employ a National Trainee	1	2	C841	1	1

SECTION C – NTs

C85 Provided training to an National Trainee within your restaurant	1	2	C851	1	C852	1
C86 Allowed a National Trainee you employ to go to college* or to a training provider*	1	2	C861	1	C862	1
C87 Assessed a candidate* yourself	1	2	C871	1	C872	1
C88 Allowed an assessor* to assess a candidate* whilst they are at work	1	2	C881	1	C882	1
C89 Helped a candidate* to collect evidence*	1	2	C891	1	C892	1

C9. (If not answered in section B) Are you an approved centre* for offering NVQs?

Yes	1	Don't know	3
No (Go to C12)	2		

C10. Have you done any of the following?

	Yes	No	Uncertain of terms	Seems unsure
C101 Become an internal verifier*	1	2	1	1
C102 Internally verified a candidate's* evidence*	1	2	1	1
C103 Had a visit from an external verifier*	1	2	1	1
C104 Applied for a certificate* for a candidate*	1	2	1	1

C11. Are you still involved in National Traineeships?

Yes	1	Don't know	3
No	2		

C12. What reasons would most attract you to getting involved with National Traineeships? (tick all that apply) (Flash card)

C121 Way of getting new staff	1	C126 Framework* to help train staff	1
C122 Help staff develop better skills	1	C127 Improve own skills	1
C123 Give staff the chance to get qualifications*	1	C128 Get a qualification* yourself	1
C124 Funding was available	1	C129 Wanted to support a government initiative*	1
C125 Member of staff wanted to do one	1	C1210 Other – Please expand below	1

If other, please expand:

SECTION C – NTs

C13. What reasons would least attract you to getting involved with National Traineeships? (tick all that apply) (Flash card)

C131 Cost	1	C136 No benefit to me	1
C132 Time	1	C137 No demand from staff	1
C133 Bureaucracy / administration	1	C138 Don't have a problem with recruitment or training	1
C134 Never been asked to be involved	1	C139 No interest	1
C135 Don't understand how to get involved	1	C1310 Other (Please expand below)	1

C14. Have you experienced any racial discrimination* whilst you have been involved in NTs?

Yes	1
No	2

Please expand below

If yes, please expand:

C15. Have you experienced any cultural barriers* whilst you have been involved in NTs?

Yes	1
No	2

Please expand below

If yes, please expand:

C16. I would like to speak to the people you have had contact with in the TEC, training companies or colleges. Could you give me contact names?

Name:

Company:

Location:

SECTION D – MAS

If answered yes to A104

D1. How would you grade your knowledge of Modern Apprenticeships?

Don't know anything about them	1
Basic – lower than most restaurant owners and managers	2
Average – about the same as other restaurant owners and managers	3
Advanced – better than most restaurant owners and managers	4
Don't know	5

Go to next section respondent is aware of

D2. Which of the following statements are true about Modern Apprenticeships and which are false? (Flash card)

A Modern Apprenticeship...	True	False	Uncertain
D21 Is a training programme* and qualification* for young people	1	2	3
D22 Is a government scheme*	1	2	3
D23 Can be done at work	1	2	3
D24 Can be done at college*	1	2	3
D25 Involves candidates* being assessed*	1	2	3
D26 Involves candidates* sitting a formal written exam	1	2	3
D27 Involves candidates* collecting evidence*	1	2	3

D3. What is the highest level of NVQ completed during a Modern Apprenticeship? (Flash card)

Level Two	1	Level Three	2	Don't know	3
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D4. Which of the following are parts of Modern Apprenticeships? (Flash card)

	Yes	No	Don't know	Uncertain of terms	Seems unsure
D41 Restaurant Apprenticeship	1	2	3	1	1
D42 Chef Apprenticeship	1	2	3	1	1
D43 Units(*)	1	2	3	1	1
D44 Modules	1	2	3	1	1
D45 Induction	1	2	3	1	1
D46 Key Skills(*)	1	2	3	1	1
D47 Framework(*)	1	2	3	1	1

SECTION D – MAS

D5. Have you done or tried to do any of the following?

	Yes	No	Uncertain of terms	Seems unsure
D50 Made a decision to get involved with Modern Apprenticeships	1	2	1	1
D51 Spoken to your local Training and Enterprise Council* or training provider* about getting involved in Modern Apprenticeships	1	2	1	1
D52 Registered* with the Training and Enterprise Council*	1	2	1	1
D53 Told other decision makers in your organisation about Modern Apprenticeships	1	2	1	1
D54 Talked to any of your staff about doing a Modern Apprenticeship	1	2	1	1
D55 Advertised a vacancy for someone to do a Modern Apprenticeship	1	2	1	1
D56 Found a candidate* to do a Modern Apprenticeship	1	2	1	1
D57 Employed someone who is doing a Modern Apprenticeship	1	2	1	1
D58 Received government funding for a Modern Apprentice	1	2	1	1
D59 Accessed language support*	1	2	1	1

D6. (If answered yes to any of the above) when did this first occur?

Over a year ago	1	Over 6 months ago	3
Within the last 6 months	2		

D7. (If not answered in sections B or C) Are you, or anyone else in your organisation qualified as an assessor*?

Yes	1	Don't know	3
No	2		

D8. (If answered yes to D5-7) have you done any of the following?

	Yes	No	Uncertain of terms	Seems unsure
D81 Signed an agreement* with the candidate* and the training provider*	1	2	1	1
D82 Developed a training plan* for a Modern Apprentice	1	2	1	1
D83 Signed an agreement* for a Modern Apprentice to go to a college* or training provider* for training	1	2	1	1
D84 Had a health and safety audit* to allow you to employ a Modern Apprentice	1	2	1	1
D85 Provided training to a Modern Apprentice within your restaurant	1	2	1	1

SECTION D – MAS

D86 Allowed a Modern Apprentice you employ to go to college* or to a training provider* for training	1	2	D861	1	D862	1
D87 Assessed a candidate* yourself	1	2	D871	1	D872	1
D88 Allowed an assessor* to assess a candidate* whilst they are at work	1	2	D881	1	D882	1
D89 Helped a candidate* to collect evidence*	1	2	D891	1	D892	1

D9. (If not answered in sections B and C) Are you an approved centre* for offering NVQs?

Yes	1	Don't know	3
No (Go to D11)	2		

D10. Have you done any of the following?

	Yes	No	Uncertain of terms	Seems unsure
D101 Become an internal verifier*	1	2	1	1
D102 Internally verified a candidate's evidence*	1	2	1	1
D103 Had a visit from an external verifier*	1	2	1	1
D104 Applied for a certificate* for a candidate*	1	2	1	1

D11. Are you still involved in Modern Apprenticeships?

Yes	1	Don't know	3
No	2		

D12. What reasons would most attract you to getting involved with Modern Apprenticeships? (tick all that apply) (Flash card)

D121 Way of getting new staff	1	D126 Framework* to help train staff	1
D122 Help staff develop better skills	1	D127 Improve own skills	1
D123 Give staff the chance to get qualifications*	1	D128 Get a qualification* yourself	1
D124 Funding was available	1	D129 Wanted to support a government initiative*	1
D125 Member of staff wanted to do one	1	D1210 Other – Please expand below	1

If other, please expand:

SECTION D – MAS

D13 What reasons would least attract you to getting involved with MAs? (tick all that apply) (Flash card)

D131 Cost	1	D136 No benefit to me	1
D132 Time	1	D137 No demand from staff	1
D133 Bureaucracy / administration	1	D138 Don't have a problem with recruitment or training	1
D134 Never been asked to be involved	1	D139 No interest	1
D135 Don't understand how to get involved	1	D1310 Other (Please expand below)	1

D14. Have you experienced any racial discrimination* whilst you have been involved in MAs?

Yes	1
No	2

Please expand below

If yes, please expand:

D15. Have you experienced any cultural barriers* whilst you have been involved in MAs?

Yes	1
No	2

Please expand below

If yes, please expand:

D16. I would like to speak to the people you have had contact with in the TEC, training companies or colleges. Could you give me contact names?

Name:

Company:

Location:

SECTION E – IIP

If answered yes to A105

E1. How would you grade your knowledge of Investors in People?

Don't know anything about them	1
Basic – lower than most restaurant owners and managers	2
Average – about the same as other restaurant owners and managers	3
Advanced – better than most restaurant owners and managers	4
Don't know	5

Go to next section respondent is aware of

E2. Which of the following statements are true about Investors in People and which are false? (Flash card)

Investors in People...	True	False	Uncertain
E21 Is a training programme	1	2	3
E22 Is a government scheme*	1	2	3
E23 Shows employers train their staff	1	2	3
E24 Judges the way a company treats its customer service	1	2	3
E25 Judges the way a company treats its staff	1	2	3
E26 Involves companies being assessed*	1	2	3
E27 Involves a formal written exam	1	2	3
E28 Involves companies collecting evidence*	1	2	3

E3. Which of the following are parts of the Investors in People scheme? (Flash card)

	Yes	No	Don't know	Uncertain of terms	Seems unsure
E31 Business plan(*)	1	2	3	1	1
E32 Customer survey	1	2	3	1	1
E33 Training plan(*)	1	2	3	1	1
E34 Staff appraisals(*)	1	2	3	1	1

E4. Have you done or tried to do any of the following?

	Yes	No	Uncertain of terms	Seems unsure
E40 Made a decision to get involved with Investors in People	1	2	1	1
E41 Spoken to an advisor from your local Training and Enterprise Council* about getting involved in Investors in People	1	2	1	1
E42 Attended a TEC workshop* or briefing session on Investors in People	1	2	1	1

SECTION E – IIP

E43 Told other people in your organisation about Investors in People	1	2	E431	1	E432
E44 Talked to your staff about Investors in People	1	2	E441	1	E442
E45 Submitted a letter of commitment* outlining that you will work towards achieving Investors in People	1	2	E451	1	E452
E46 Been in contact with Investors in People UK	1	2	E461	1	E462
E47 Accessed any funding to help implement Investors in People	1	2	E471	1	E472
E48 Accessed language support	1	2	E481	1	E482

E5. (If answered yes to any of the above) when did this first occur?

Over a year ago	1	Within the last 6 months	3	Over 6 months ago	2
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E6. (If answered yes to having got involved in Investors in People) Have you done any of the following?

	Yes	No		Uncertain of terms	Seems unsure
E61 Analysed your business and produced a business plan*	1	2	E611	1	E612
E62 Developed a training programme for your staff to help them deliver the business plan*	1	2	E621	1	E622
E63 Had a visit from an Investors in People Assessor*	1	2	E631	1	E632
E64 Implemented the training and development programme or Investors in People Action Plan*	1	2	E641	1	E642
E65 Prepared for or had an assessment* for Investors in People status	1	2	E651	1	E652
E66 Gained a certificate* of recognition as an Investors in People organisation	1	2	E661	1	E662
E67 Been reassessed for Investors in People status after 1 year or 3 years	1	2	E671	1	E672

E7. Are you still involved in Investors in People?

Yes	1	Don't know	3
No	2		

E8. What reasons would most attract you to getting involved with Investors in People? (tick all that apply) (Flash card)

E81 Gives you a framework to help train staff	1
E82 To improve the company's approach to staff and training	1
E83 To show customers you run a good business	1

SECTION E – IIP

E84 To support a government initiative	1	
E85 To show your staff they work for a good company	1	E86 Other – Please expand below 1

If other, please expand:

E9. What reasons would least attract you to getting involved with Investors in People? (tick all that apply) (Flash card)

E91 Cost	1	E96 No benefit to me	1
E92 Time	1	E97 No demand from staff	1
E93 Bureaucracy / administration	1	E98 Don't have a problem with recruitment or training	1
E94 Never been asked to be involved	1	E99 No interest	1
E95 Don't understand how to get involved	1	E910 Other (Please expand below)	1

E10. Have you experienced any racial discrimination* whilst you have been involved in Investors in People?

Yes	1
No	2

Please expand below

If yes, please expand:

E11. Have you experienced any cultural barriers* whilst you have been involved in Investors in People?

Yes	1
No	2

Please expand below

If yes, please expand:

E12. I would like to speak to the people you have had contact with in the TEC, training companies or colleges. Could you give me contact names?

Name:

Company:

Location:

SECTION F – ND

If answered yes to A106

F1. How would you grade your knowledge of New Deal?

Don't know anything about them	1	Go to next section
Basic – lower than most restaurant owners and managers	2	
Average – about the same as other restaurant owners and managers	3	
Advanced – better than most restaurant owners and managers	4	
Don't know	5	

F2. Which of the following statements are true about New Deal and which are false? (Flash card) New Deal...

	True	False	Uncertain
F21 Is a programme for people in work	1	2	3
F22 Is a programme for unemployed people	1	2	3
F23 Is a government scheme*	1	2	3
F24 Is for people who have been out of work for less than 2 months	1	2	3
F25 Is for people who have been out of work for more than 6 months	1	2	3
F26 Employers get paid a subsidy* for employing someone on the New Deal	1	2	3

F3. How many routes/options are there in the New Deal?

Two	1
Four	2
Six	3
Don't know	4

F4. Which of the following are parts of the New Deal? (Flash card)

	Yes	No	Don't know	Uncertain of terms	Seems unsure
F41 Gateway period	1	2	3	1	1
F42 New Deal for people under 25	1	2	3	1	1
F43 New Deal for people over 25	1	2	3	1	1
F44 Completion stage	1	2	3	1	1

SECTION F -- ND

F5. Have you done or tried to do any of the following?

	Yes	No		Uncertain of terms	Seems unsure
F50 Made a decision to get involved with New Deal	1	2	F501	1	1
F51 Spoken to the Employment Service about the New Deal	1	2	F511	1	1
F52 Advertised a vacancy	1	2	F521	1	1
F53 Told other decision makers in your organisation about New Deal	1	2	F531	1	1
F54 Signed an agreement with the Employment Service*	1	2	F541	1	1
F55 Interviewed people under the New Deal	1	2	F551	1	1
F56 Employed someone under the New Deal	1	2	F561	1	1
F57 Received a government subsidy* for employing via the New Deal	1	2	F571	1	1
F58 Accessed language support*	1	2	F581	1	1

F6. (If answered yes to any of the above) when did this first occur?

Over a year ago	1	Over 6 months ago	3
Within the last 6 months	2		

F7. (If answered yes to F5-6) Have you done any of the following?

	Yes	No		Uncertain of terms	Seems unsure
F71 Talked to your staff about working with New Deal	1	2	F711	1	1
F72 Developed a training plan* for a New Deal employee	1	2	F721	1	1
F73 Provided training for a New Dealer	1	2	F731	1	1

F8. Are you still involved in New Deal?

Yes	1	Don't know	3
No	2		

F9. What reasons would most attract you to getting involved with New Deal? (tick all that apply) (Flash card)

F91 Way of getting new staff	1
F92 Social obligation	1
F93 Wanted to support a government initiative*	1
F94 Subsidy* was available	1

SECTION F – ND

F95 Other – Please expand below

1

If other, please expand:

F10. What reasons would least attract you to getting involved with New Deal? (tick all that apply) (Flash card)

F101 Cost	1	F106 No benefit to me	1
F102 Time	1	F107 No demand from staff	1
F103 Bureaucracy / administration	1	F108 Don't have a problem with recruitment or training	1
F104 Never been asked to be involved	1	F109 No interest	1
F105 Don't understand how to get involved	1	F1010 Other (Please expand below)	1

F11. Have you experienced any racial discrimination* whilst you have been involved in New Deal?

Yes	1
No	2

Please expand below

If yes, please expand:

--

F12. Have you experienced any cultural barriers* whilst you have been involved in New Deal?

Yes	1
No	2

Please expand below

If yes, please expand:

F13. I would like to speak to the people you have had contact with in the Employment Service, training companies or colleges. Could you give me contact names?

Name:

Company:

Location:

SECTION G – BUSINESS DETAILS

RE-CONFIRM CONFIDENTIALITY

G1. Is the restaurant:

Family owned (solely or mainly)	1
Non-family owned	2
No response	3

G2. Is the restaurant:

A single business	1
Part of a chain	2
No response	3

Go to G5b

G3. How many restaurants are in the chain?

--

G4. Do you have a Head Office?

Yes	1
No	2

G5. How many employees are employed in the whole company?

(Flash card)

1-10 employees	1
11-24 employees	2
25-49 employees	3
50-99 employees	4
100+ employees	5
Don't know	6

G5b. Do you have any plans to open more restaurants in the next year?

Yes	1
No	2
Don't know	3

G6a. How was the business financed when it was set up? (Flash card)

Finance from owner	1	Personal loan	2
Finance from bank	3	Loan from family	4
Finance from shareholders	5	Loan from friends	6
Combination of external finance and loan	7	Don't know	8
Other	9		

Please specify _____

G6b. Who started the business? (Flash card)

The current owner	1
A member of the current owners family	2
Someone else who the owner bought the business from	3
Don't know	4

G6c. Were business support services used when the business was started? (e.g. enterprise agency, TEC, Business Link, local authority)

Yes	1
No	2
Don't know	3

SECTION G – BUSINESS DETAILS

G7. How is the business financed now? (Flash card)

Finance from owner	1	Personal loan	2
Finance from bank	3	Loan from family	4
Finance from shareholders	5	Loan from friends	6
Combination of external finance and loan	7	Don't know	8
From profits	9	Other	10

Please specify _____

G8a. If owner:

How involved are you in making day to day operational decisions, including deciding on the amount and type of training provided to staff? (Flash card)

I make all the day to day decisions	1
I usually make these decisions	2
I sometimes get involved in operational decisions	3
I never get involved in operational decisions	4

G8b. If manager:

How involved is the owner in making day to day operational decisions, including deciding on the amount and type of training provided to staff? (Flash card)

The owner makes all the day to day decisions	1
The owner usually make these decisions	2
The owner sometimes gets involved in operational decisions	3
The owner never gets involved in operational decisions	4

G8c. Who would make the decision to get involved with these initiatives?

Owner	1
Manager	2
Joint	3
Other	4

G9a. How many employees are employed in the restaurant...?

	a Male	b Female
G9a1 a/b Full-time		
G9a2 a/b Part-time		
G9a3 a/b Casual/seasonal		

G9b. How many people involved with running the restaurant are...?

	a Male	b Female
G9b1 a/b Owners		
G9b2 a/b Managers		
G9b3 a/b Supervisors		
G9b4 a/b Staff		

G9c. How many covers does the restaurant have?

--

G10. How old is the business? (Flash card)

Less than 1 year	1
Between 1 and 3 years	2
Between 3 and 5 years	3
Between 5 and 10 years	4
More than 10 years	5
Don't know	6

G11. How many of your employees are aged...? (Flash card)

	a Male	B Female
G111 < 16		
G112 16-19		
G113 20-24		
G114 25-39		
G115 40-59		
G116 60+		

SECTION G – BUSINESS DETAILS

G12a. Do any of your staff have no qualifications?

Yes	1
No	2
Don't know	3

G12b. Do any of your staff have basic (school leaver) qualifications?

Yes	1
No	2
Don't know	3

G12c. Do any of your staff have advanced (post school) qualifications?

Yes	1
No	2
Don't know	3

G12d. Do most of your staff have...?(Flash card)

No qualifications	1
Basic qualifications	2
Advanced qualifications	3
Mixture	4
Don't know	5

G13a. Do any of your staff speak no English or speak English poorly?

Yes	1
No	2
Don't know	3

G13b. Do any of your staff speak English very well?

Yes	1
No	2
Don't know	3

G13c. Do most of your staff speak English....?(Flash card)

Poorly or not at all	1
Well	2
Very well	3
Don't know	4

G14a. Do any of your staff write English poorly or can any of them not write in English at all?

Yes	1
No	2
Don't know	3

G14b. Do any of your staff write English very well?

Yes	1
No	2
Don't know	3

G14c. Do most of your staff write English...?(Flash card)

Poorly or not at all	1
Well	2
Very well	3
Don't know	4

G15a. Do any of your staff not read English or read English poorly?

Yes	1
No	2
Don't know	3

G15b. Do any of your staff read English very well?

Yes	1
No	2
Don't know	3

SECTION G – BUSINESS DETAILS

G15c. Do most of your staff read English....?(Flash card)

Poorly or not at all	1
Well	2
Very well	3
Don't know	4

G16. What is the restaurant's annual turnover? (sales per year) (Flash card)

Under £100,000	1
£100,000 - £299,99	2
£300,000 - £499,999	3
£500,000 – £749,999	4
£750,000 and over	5
Don't know	6

G17. (If chain) What is the annual turnover of the company? (sales per year) (Flash card)

Under £500,000	1
£500,000 - £999,999	2
£1million - £4.99 million	3
£5million - £9.99 million	4
Over £10million	5
Don't know	6

G18. How would you describe your profit levels last year? (Flash card)

Large loss	1
Small loss	2
Break-even	3
Small profit	4
Large profit	5
Don't know	6

G19. Are you a member of a professional body?**

Yes	1
No	2
Don't know	3

G20. Are you a member of a trade association?**

Yes	1
No	2
Don't know	3

G21. Do you belong to a restaurant association?**

Yes	1
No	2
Don't know	3

G22. Is the business involved in any charity of local community activities?

Yes	1
No	2
Don't know	3
Please specify	

G23. What is the average spend per customer, including drinks? (Flash card)

Under £10	1
£10 - £19.99	2
£20 - £29.99	3
£30 - £39.99	4
£40 - £49.99	5
Over £50	6
Don't know	7

SECTION G – BUSINESS DETAILS

G24. What ethnic groups do your customers come from? (Flash card)

Most are Asian	1
Most are Oriental	2
Most are from another ethnic minority group	3
Most are White / Caucasian	4
Mixture of ethnic groups	5
Don't know	6

G25. How far do most of your customers travel to get to your restaurant? (% spread) (Flash card)

	%
G25a Within borough	
G25b Within area of London	
G25c Within London	
G25d Further afield	
G25e Don't know	1

SECTION H – PERSONAL DETAILS

H1. Position in company:

Sole Owner	1	Go to H4
Co-Owner	2	Go to H4
Manager	3	

H2. Are you related to the owner?

Yes	1
No	2

H3. How long have you been employed in this restaurant?

Less than 1 year	1
Between 1 and 5 years	2
More than 5 years	3

H3b. (If chain) Since joining the company, have you always worked in the same restaurant?

Yes	1	Go to H4
No	2	

H3c. How long have you worked for the company?

Less than 1 year	1	Go to H5
Between 1 and 5 years	2	Go to H5
More than 5 years	3	Go to H5

H4a. Are other members of your family involved in running the business, either paid or unpaid?

	Paid	Unpaid
H4a1 Siblings / cousins	1	2
H4a2 Spouse	1	2
H4a3 Children	1	2
H4a4 Parents	1	2

H4b. If manager:

Are other members of the owner's family involved in running the business, either paid or unpaid?

	Paid	Unpaid
H4b1 Siblings / cousins	1	2
H4b2 Spouse	1	2
H4b3 Children	1	2
H4b4 Parents	1	2

H5. Age: (Flash card)

< 16	1
16-19	2
20-24	3
25-39	4
40-59	5
60+	6

H6. What nationality are you? (Flash card)

British	1
Chinese	2
Thai	3
Filipino	4
Malaysian	5
Japanese	6
Indian	7
Bangladeshi	8
Pakistani	9
Other	10

Please specify

SECTION H – PERSONAL DETAILS

H7. Which ethnic group do you belong to? (Flash card)

Indian	1
Pakistani	2
Bangladeshi	3
Chinese	4
White	5
Irish	6
Black	7
Other	8
Mixed origin	9

(Please state) _____

H8. How long have you lived in the UK? (Flash card)

Entire life	1
More than 20 years	2
Between 10 and 20 years	3
Between 5 and 10 years	4
Between 1 and 5 years	5
Less than 1 year	6

H9. In which country were you born? (Flash card)

Britain	1
China	2
Hong Kong	3
Thailand	4
Philippines	5
Malaysia	6
Japan	7
India	8
Bangladesh	9
Pakistan	10
Other	11

(Please Specify) _____

H10. Who was the first member of your family to move to the UK? (Flash card)

You	1
Sibling/Cousin	2
Parents	3
Aunt/Uncle	4
Grandparents	5
Great Grandparents	6
Other (Please state)	7

999 if British for generations back

H11. Why did you or your family originally chose to migrate to the UK? (Tick all that apply) (Flash card)

H111 Seeking better quality of life	1	2 if not marked
H112 Join other family members	1	
H113 Employment	1	
H114 Refugees	1	
H115 Seeking political asylum	1	
H116 Education	1	
H117 Other	1	

Please specify _____

H12. How many of your close family members are in the UK (spouse, children, parents, siblings)? (Flash card)

All immediate family	1
Some immediate family	2
No immediate family	3

SECTION H – PERSONAL DETAILS

H13. How long do you think you will continue to live in the UK?
(Flash card)

Less than 1 year	1
Next 1-2 years	2
Next 2-5 years	3
Next 5-10 years	4
More than next 10 years	5
Permanently	6
Don't know	7

H14. What is your first language? (Flash card)

English	1
Bengali	2
Urdu	3
Hindi	4
Punjabi	5
Sindhi	6
Gujarati	7
Cantonese	8
Mandarin	9
Thai	10
Japanese	11
Malay	12
Other	13

_____ (Please state)

H15. How well do you speak English? (Flash card)

Very well	1
Quite well	2
Not particularly well	3
First language	4

H16. How well do you read English? (Flash card)

Very well	1
Quite well	2
Not particularly well	3
First language	4

H17. How well do you write English? (Flash card)

Very well	1
Quite well	2
Not particularly well	3
First language	4

H18. What is the highest level of education you have reached?

School	1
College	2
University	3

H19. What is the highest qualification you have?

Postgraduate degree / diploma / certificate	1
Degree	2
Diploma / Certificate taken in University	3
A-Levels or equiv. – qualifications taken at school that allow you to go to University	4
O-Levels or equiv. – qualifications taken just before you can leave School	5
Professional Body Qualification	6
Qualification you did at work	7
None	8

H20. Can you describe your career history? (Flash card)

All within hospitality industry	1
Practical experience in another industry	2
Professional training in another industry	3
Practical and professional in another industry	4
Other	5

SECTION H – PERSONAL DETAILS

H21a. How would you describe your style of management? (Flash card)

Hands on	1
Strategic	2
Combination	3
Don't know	4
Other	5

H21b. How many hours a week do you work? (Flash card)

Less than 30 (P/T)	1
30 – 39 (F/T)	2
40 – 49	3
50 – 59	4
60 – 69	5
70 – 79	6
80 and over	7
Don't know	8

H21c. Where did you learn your management/business ownership skills? (Flash card)

Employment in family firm	1
Employment in co-ethnic firm	2
Employment in non-ethnic firm	3
Through education	4
Combination of employment and education	5

H22. What is your own annual income from the restaurant?

a. Manager: (Flash card)

Under £10,000	1
£10,000 - £14,999	2
£15,000 - £19,999	3
£20,000 - £24,999	4
£25,000 - £29,999	5
£30,000 - £34,999	6
£35,000 - £39,999	7
Over £40,000	8

b. Owner: (Flash card)

Under £20,000	1
£20,000 - £29,999	2
£30,000 - £39,999	3
£40,000 - £49,999	4
£50,000 - £59,999	5
£60,000 - £69,999	6
£70,000 - £99,999	7
Over £100,000	8

H23a. What class group would you put yourself in? (Flash card)

Working class	1
Lower middle class	2
Middle class	3
Upper middle class	4
Upper class	5
Not appropriate	6
Don't know	7

SECTION H – PERSONAL DETAILS

H23b. Are you registered to vote?

Yes	1
No	2
Don't know	3

H24. Did you vote in the London election?

Yes	1
No	2

H25. Did you vote in the last general election?

Yes	1
No	2

H26. Are you registered with a Doctor?

Yes	1
No	2

H27. If you needed to borrow money who would you ask?(Flash card)

Family	1
Bank	2
Building Society	3
Community contact	4
Other	5

Please specify _____

H28. Do you get involved with your community?

Yes	1
No	2

H29. If yes, in what way? (Flash card)

Religious group	1
Community group	2
Charity work	3
Political representative	4
Voluntary sector	5

Combination of above	6
Other	7

Please specify _____

H30. Do you attend a religious centre regularly?

Yes	1
No	2

H31. Do you attend a community centre regularly?

Yes	1
No	2

H32. After I have finished this set of interviews I will need to talk to some people again to ask more open questions and have a broader discussion. If necessary can I interview you again?

Yes	1
No	2
Don't know	3

Thank you for taking the time to be interviewed

Appendix 3E: Qualitative interview crib sheet

Business history – who started it, why, support services, women, managers business background, history of business, help obtained in setting it up

Why are they working in/running the business – why work for this business, why work for the family business, why did they want to run a business, what they want in the future

Success – how they define success, satisfaction with finance, quality of life, staff, hours of work and pay

Family – involvement in business, managers' family, supportive of education?

Government – sense of support/hindrance/neutral, role in education & training.

Interaction with other businesses, suppliers, agencies, government – in what aspects of business, why they interact, when, why not.

Cultural compatibility – important?

Employees – style of mgt., recruitment, training, business role in staff development, do employees want education and training, manager/owner interaction on staff issues.

Awareness and knowledge of initiatives

Acceptability, suitability and ownership of initiatives

Motivation and benefits of involvement – would they ever get involved?

Trigger – in what circumstances?

Language – is English levels of staff a factor in involvement? Would language support be important?

Agencies meeting the needs of ethnic minority businesses – view?

Special provision or support for ethnic minority businesses – would he be more likely of less likely to get involved in something that was presented as an initiative for ethnic minority businesses?

Mentors – useful?

Ethnic minority trainers – useful?

External support - If they were to be offered any support from outside the business what would they like support with (e.g. marketing, expansion, product lines, use of new technology, people management, financial management).

Appendix 3F: Interview schedule for organisations

- Explain nature of study
- Introduce the variables that are being included in the study
- Introduce the participation scale
- Explain that for each question I am interested in the difference between dealing with restaurant owners and managers and dealing with Asian and Oriental restaurant owners and managers
- Confirm which initiatives they cover

ORGANISATION'S ACTIONS AND EXPERIENCES

Can you tell me about your experiences of working with Asian, Oriental and non-Asian restaurants?

AWARENESS OF THE INITIATIVE / INSTITUTION

- To what extent are clients aware of (your initiative) when you first meet them?
- How do clients become aware of (your initiative)?
- Do the media play a part in them becoming aware?

KNOWLEDGE OF INITIATIVE

- What do clients tend to know about (the initiative) when you first meet them?
- Where will they have got information from before coming to you?
- How do you then help Clients find out more about (the initiative)?
- To what extent are clients knowledgeable of (the initiative) when they actually decide to get involved?

KNOWLEDGE OF HOW TO ACCESS THE SYSTEM

- How do you help clients understand how to get involved with (the initiative)?
- To what extent are clients knowledgeable of the system when they decide to get involved?

INFORMATION / COMMUNICATION

- What communication methods are used to get information to clients and potential clients?
- What information is essential for participation?
- What information is desirable to enhance participation at different stages of the scale?
- What communication methods are most successful in enhancing participation?
- What communication methods are least successful in enhancing participation?

RACISM / DISCRIMINATION

- What are your experiences of clients experiencing or perceiving racism or discrimination in relation to participating in (the initiative)?
- What are the effects of racism or discrimination (perceived or actual) on participation for different groups or at different stages of the participation scale?
- What types of racism or discrimination are experienced?

ETHNIC CO-OPERATION / COMPETITION

- Have you any experience of seeing co-operation or competition between different ethnic groups, which has affected their participation in (the initiative)?
- What types of ethnic co-operation have helped participation at different stages of the participation scale?
- What types of ethnic co-operation have hindered participation at different stages of the participation scale?
- What effect has ethnic competition had on participation at different stages of the participation scale?

UNDERSTANDING OF ETHNIC MINORITY NEEDS

- How have you (or your organisation) identified what ethnic minority clients need from your initiative?
- To what extent do you believe it is important for you and other agencies to understand the needs of ethnic minority clients?
- Which needs must be understood to ensure participation, at different stages of participation?
- Which needs are helpful to understand to ensure participation, at different stages of participation?

WILLINGNESS TO ACCOMMODATE ETHNIC MINORITY NEEDS

- Does your organisation have a declared willingness to accommodate ethnic minority needs at different stages of participation?
- How have you demonstrated your willingness to the client group?

CULTURAL COMPATIBILITY WITH SERVICE PROVIDERS

- Does your organisation employ people from the same ethnic groups as the clients you are trying to reach?
- Is cultural compatibility a significant factor in helping participation? In what way?
- Can cultural compatibility between clients and service providers ever be considered a negative factor in encouraging participation?
- What in your mind constitutes cultural compatibility (same broad culture e.g. Asian, specific region, country, caste etc.)?

SPECIAL PROVISION FOR ETHNIC MINORITIES

- Do you believe it is important for external agencies to make special provision for ethnic minority needs at different stages of the participation scale?
- Do you make any special provision? What types are used and what is their relative effectiveness?

MENTORS

- Do you use mentors to help make participation more successful?
- Are they formal or informal mentors and how did the idea come about?
- What types of mentors have been used? What types of mentor make participation more likely?

If organisation delivers training: ETHNIC MINORITY TRAINERS

- Is it helpful to have trainers who are from the same minority group as the client? If so, to what extent is it important in aiding participation?
- Is it helpful to have trainers who are from a different minority group as the client? If so, to what extent is it important in aiding participation?

CULTURAL MEDIATORS

- Have you ever used any type of cultural mediator to communicate with the client group?
- What types of cultural mediation have been utilised / effective?
- What are your views on the importance and effectiveness of having cultural mediators?

CLIENT'S BACKGROUND

What do you know about the people who get involved with (the initiative)?

LANGUAGE ABILITY / SUPPORT

- Do you feel the client's language ability has a significant effect on their decisions regarding participation or on their ability to participate?
- If it does, to what extent does it have an effect?
- Does the availability of particular language support services make it likely that a client will participate?

- Do you use or promote any particular types of language support, including informal and formal?
- Can you comment on the relative effectiveness of each?
- Does the type of support that is utilised or effective depend on other factors, such as level of lang. ability, age, level of education etc?
- What are your views on the importance and effectiveness of language support?

MOTIVE FOR MIGRATION

- Is there a difference between the extent and way in which political migrants and economic migrants participate in (the initiative)?
- What is the difference and why do you think it occurs?

ECONOMIC WEALTH

- Do you think the client's own or family wealth influences their participation?
- Does the economic condition of the business affects participation?

EXTENT OF ASSIMILATION

- To what extent are clients who participate in education and training also active in other ways – like healthcare, politics etc.?

COUNTRY OF ORIGIN

- Does the client's own or family country of origin affect the likelihood of them getting involved with (the initiative)?

LENGTH OF TIME IN THE UK

- Does the length of time clients or their families have been in the UK affect the likelihood of participation?

FEELING ONLY IN UK TEMPORARILY

- Have you noticed a difference between clients who feel they are going to be in the UK for a long time and those who intend to be here a short time?

AGE

- In your experience do you think the age profile of the staff, manager and owner of the restaurant affects the decision to get involved in (the initiative)?

SOCIAL CLASS / CASTE

- Do you think the social class / caste of the staff, manager and owner of the restaurant affects their participation?

ATTITUDE TO EXTERNAL INFLUENCE

- Have you found potential clients' resistant to talking to you because they do not like involving other people in their business?

SKILLS REQUIRED

- What skills are required at different stages of participation?
- What skills do clients have?

EDUCATION LEVEL

- Do you think the education level of the staff, manager and owner of the restaurant affects participation?

TRIGGER

- Is a trigger needed in order to make someone participate? To what extent is having a trigger essential?
- What types of trigger result in participation?
- Are the types of trigger different at different stages of the participation scale?

OPPORTUNITY PRESENTED

- What types of opportunity make it likely that a client will participate?
- Does a particular type (or types) of opportunity need to arise for participation to result?
- Is this different at different stages or for different client groups?

CLIENT'S FEELINGS

PARTICULAR MOTIVATION

- What do you think motivates clients to get involved with (your initiative)?
- What benefits do you think clients get from being involved with (your initiative)?

ACCEPTABILITY OF INITIATIVE / INSTITUTION

- Have you received feedback from clients relating to how they feel about the initiative?
- Have they commented on the extent to which it meets their needs and is acceptable to them?

SUITABILITY OF THE INITIATIVE

- Have you received feedback from clients relating to how they feel about the initiative and the extent to which it meets their needs and is suitable for them?

OWNERSHIP OF INITIATIVE / INSTITUTION

- Do you think clients feel they have ownership of the initiative?

ABILITY TO MOBILISE AVAILABLE RESOURCES

- What do you know about your Clients' experiences in mobilising resources for getting involved in (the initiative) - (sources of resources, type of resources needed, type of resources available, problems encountered, support obtained)?
- Were your clients knowledgeable of how to mobilise resources when they moved to the next stage of participation?
- What do you think your clients' thought of the resources they are able to mobilise in terms of whether or not they are sufficient, accessible, suitable, available (did the resources they were able to mobilise meet their needs - if yes, how, if no, why not)?

SUITABLE INITIATIVE / INSTITUTION

- What are the essential features of a suitable initiative at each stage of the participation scale?
- What are the non-essential but helpful features of a suitable initiative at each stage of the participation scale?
- What are the features of an unsuitable initiative?

CULTURAL BARRIERS

- What types of cultural barrier exist at different stages of the participation scale?
- To what extent are they barriers (do they hinder participation or do they prevent it)?
- What effect do different barriers have when they appear in combination?
- What causes the barriers and what can be done to successfully overcome them?

AVAILABILITY OF INITIATIVE / INSTITUTION

- What are the essential features that make the initiative available to clients who participate at different stages of the participation scale?
- What are the non-essential but helpful features of an available initiative at each stage of the participation scale?
- What are the features of an unavailable initiative?

SUITABILITY OF SYSTEM / DELIVERY

- What are the essential features of a suitable system at different stages of the participation scale?
- What are the non-essential but helpful features of a suitable system at each stage of the participation scale?
- What are the features of an unsuitable system?

ACCESSIBILITY OF SYSTEM

- What are the essential features that make the system accessible at different stages of the participation scale?
- What are the features of the system that hinder accessibility at different stages of the participation scale?
- To what extent are the negative features barriers (ones which hinder or prevent participation)?
- What are the non-essential but helpful features of an accessible system at each stage of the participation scale?

PEER / COMMUNITY SUPPORT

- What do you know about clients' experiences in receiving peer and community support?
- To what extent is the presence of peer and community support important in influencing participation?
- What types of peer and community support are utilised, including informal and formal?
- What is the relative effectiveness of each?
- Are the types of peer and community support that are utilised / effective dependent on other factors, such as degree of assimilation, age, level of education etc.?
- What are your views on the importance and effectiveness of peer and community support?

OWNER / HEAD OFFICE SUPPORT

- What are your experiences and perceptions of the support employers offer their employees in relation to (the initiative)?
- To what extent is employer support important in influencing participation amongst employees?
- What types of employer support are available / effective?
- What are your views on the importance and effectiveness of employer support?

FAMILY SUPPORT

- What are your experiences and perceptions of the support clients' get from their family, both in family and non-family businesses?
- To what extent is family support important in influencing participation?
- What types of family support are available / effective?
- What are your views on the importance and effectiveness of family support?

EXTERNAL BODIES

PUBLIC POLICY

- What effect does public policy have on participation in the initiative at different stages of the cycle?
- What influences public policy in relation to Asian restaurants and education and training initiatives?

GOVERNMENT SUPPORT

- What are your clients' experiences and perceptions of Government support?
- What types of Government support are available / effective in promoting participation in (the initiative)?
- To what extent does the presence of Government support make participation more or less likely for different groups of clients and at different stages of the participation scale?
- What are your views on the importance and effectiveness of government support?

LOCAL COUNCIL

- What are your Clients' experiences and perceptions of local council involvement?
- Is local council support available / effective in promoting involvement in (the initiative)?
What types of local council support are available?
- What are your views on the importance and effectiveness of local council support?

Appendix 3G: Telephone selection script

Good morning / afternoon / evening

Could I speak to (contact name) please?

If yes...

Thanks.

If no...

Oh dear. When would be the best time for me to call back?

When you get to speak to the owner/manager...

Good morning / afternoon / evening

My name is ... I wrote to you a few days ago from the University of Surrey to ask if you would get involved in some research I am doing on restaurants in London. I am talking to restaurant owners and managers. The research is part of a degree course and I would really appreciate your help. All it would involve is me visiting your restaurant and doing a short interview with you. Would you be willing to help?

If yes...

Thank you very much. How about the (date). What time is best for you? That's lovely.

Do you have a fax?

(If no fax) I'll put a letter in the post to confirm that.

If no...

Oh dear. I understand. It would however help my research if you could answer just four questions over the phone. It will only take two minutes. Is that OK?

If asked why say: Because I am following up on a letter I sent a few days ago about some research I am doing

If you are asked what the research is about say:

It is about finding ways to make it easier for (Asian/Oriental) restaurants to access support to run the business

[Agree the date & time]

[If yes- get fax number and send fax]

[If no send confirmation by post]

[Administer non-response questionnaire]

Appendix 3H: Questions for non-respondents

Borough

Random No.

Name of restaurant

1. Reason given for non-participation:

No time	
Not interested in subject	
Other	

Please specify _____

2. Is the restaurant:

A single business		Family owned	
Part of a chain		Non-family owned	
No response			

3. If part of a chain - How many restaurants are in the chain?

4. How many employees are employed...?

...in the restaurant		...in the whole company (if chain)	
1-10 employees		1-10 employees	
11-24 employees		11-24 employees	
25+ employees		25-49 employees	
No response		50-99 employees	
		100+ employees	
		Don't know	
		No response	

5. What type of restaurant do you run?

European		Malaysian	
American		Japanese	
Chinese		Indian	
Thai		Bangladeshi	
Filipino		Pakistani	
No response		Other	

Please specify _____

That is really helpful. Thank you very much for your time.

Good-bye

At this stage please complete the following question:

How well did the owner/manager speak English?

Very well – fluent	
Quite well – broken or strong accent but comprehensible	
Not particularly well – very broken or hard to understand	

Appendix 8A: Factors identified in existing literature

Factors identified in other studies and confirmed by this one:

Factors affecting participation	Ram & Jones '98	Marlow '92	Ram and Sparrow '93	HtF '97	Curran et al. '97	North et al. '97	Ram '00	Hill & Stewart '99	CfE '03	Smith et al. '99	Sims et al. '00	Kitching & Blackburn '02	Oc & Tiesdell '99	Dhaliwal '00	Ram & Smallbone '01	Ram & Smallbone '03
Decision-maker's profile																
Gender (I23)															⊙	
Education level (I19a)						⊙								⊙		
English lang. ability (I1ai)				⊙									⊙	⊙	⊙	⊙
Generation (I10)														⊙		
Decision-maker's attitudes																
Awareness (I4)		⊙				⊙			⊙			⊙	⊙	⊙	⊙	
Knowledge (I5)									⊙		⊙	⊙	⊙		⊙	
Belief that the initiatives are necessary (I33)									⊙		⊙	⊙				
Acceptability of initiative (I11)															⊙	
Attitude towards cost (I7)		⊙	⊙		⊙	⊙	⊙	⊙	⊙		⊙	⊙		⊙	⊙	⊙
Time available (I22)			⊙		⊙	⊙	⊙	⊙	⊙			⊙	⊙	⊙		
Particular motivation (I3)		⊙		⊙	⊙	⊙	⊙		⊙		⊙			⊙		
Attitude to external influence (I17)		⊙	⊙		⊙									⊙		
Business profile																
Size of business (I21)					⊙	⊙	⊙		⊙	⊙			⊙	⊙		
Age of business (I28)													⊙			
Approach to training (I30)										⊙		⊙		⊙		
Financial position (I7a)		⊙	⊙		⊙	⊙	⊙		⊙		⊙	⊙		⊙	⊙	⊙
Breakout (I8b)													⊙	⊙		
Location (I12)						⊙							⊙			
Staff profile / attitudes																
Age of staff (I15b)											⊙			⊙		
English language ability of staff (I1b)				⊙												
Staff views (I29)							⊙									
Social networks																
Peer and community support (S4)						⊙								⊙	⊙	
Family support (S9)			⊙											⊙	⊙	

Factors affecting participation	Ram & Jones '98	Marlow '92	Ram and Sparrow '93	HtF '97	Curran et al. '97	North et al. '97	Ram '00	Hill & Stewart '99	CfE '03	Smith et al. '99	Sims et al. '00	Kitching & Blackburn '02	Oc & Tiesdell '99	Dhaliwal '00	Ram & Smallbone '01	Ram & Smallbone '03
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Wider environment

Government support (S6)				⊙							⊙	⊙				
Info./Com. methods (E6)		⊙						⊙			⊙	⊙	⊙		⊙	
Trigger (E1)							⊙				⊙		⊙			
Availability (E5)														⊙		
Suitability of initiative (E2)		⊙	⊙	⊙	⊙		⊙	⊙	⊙	⊙	⊙	⊙		⊙	⊙	
Accessibility (E10)				⊙									⊙	⊙	⊙	
Suitability of delivery system (E7)	⊙			⊙	⊙	⊙	⊙	⊙	⊙		⊙	⊙	⊙	⊙	⊙	⊙
Language support (S3)				⊙												
Understanding of e.m. needs (E11)				⊙										⊙		⊙
Willingness to accom. e.m. needs (E12)	⊙			⊙										⊙		⊙
Special provision (E15)	⊙	⊙		⊙												⊙
Cultural compatibility (E14)				⊙										⊙		
Cultural barriers (E3)				⊙											⊙	⊙
Ethnic minority staff (S2)		⊙		⊙										⊙		

Factors identified in other studies but not covered by or confirmed in this one:

Factors affecting participation – Identified in other literature but not covered / confirmed by this study	Ram & Jones '98	Marlow '92	Ram and Sparrow '93	HtF '97	Curran et al. '97	North et al. '97	Ram '00	Hill & Stewart '99	CfE '03	Smith et al. '99	Sims et al. '00	Kitching & Blackburn '02	Oc & Tiesdell '99	Dhaliwal '00	Ram & Smallbone '01	Ram & Smallbone '03
Sector						⊙	⊙					⊙				
Lack of confidence																⊙
Ethnic group (I9)														⊙		
Discrimination (E8)													⊙			⊙

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