The Value of Values:

A study of three-generational Italian-Australian family businesses in Victoria

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ABSTRACT

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Around the world, it is estimated that over two-thirds of businesses are family businesses. Well established research in family business reveals that only 30 per cent of all family businesses survive into the second generation, with most intergenerational transitions failing after the second generation (only 10-15 per cent continue into the third generation, and 3-4 per cent into the fourth generation). This thesis elaborates on how family businesses emerge, how they consolidate and expand, and finally how they continue to survive into the third generation.

This research studies seven Australian family businesses with an Italian background, starting with the founding generation which, through the process of migration to Australia in the first half of the 20th century, set a long-lasting culture for the following generations. It is a three-generational study that stretches over a period of almost one hundred years, starting with the founding generation, aiming to identify possible elements (values) that bridge the generations, thus building the conditions for the continuity of a successful family business. The thesis elaborates on how the values of the first generation (the entrepreneurial generation) made the creation and development of these family businesses possible. The issue of values in family business has recently received increasing attention within the literature particularly as a number of scholars insist on a more sustained analysis of the role of the family within a family business. The thesis, however, takes this discussion a step further by explaining why and how values become so important, and have acted as the _glue_ between generations by bridging the first and the second generations, and then the second and third, thus building the conditions for the continuity of a successful family and business succession.

The values that have been identified through the narrative of three-generational family members in this thesis are: personal values - trust, respect, responsibility, honesty and loyalty; family values - family unity, succession, membership and humility; and business values - work ethic, loyalty, professionalization and risk-taking.

This thesis further brings some new powerful insights into the practice and theory of family business through its proposition that family and business need to be considered as equal domains and that the individual needs to be seen as the bridging force linking family and business productively together. Entrepreneurship is understood as the *condition sine qua non* for family business inasmuch as the first generation is the entrepreneurial one. However, the very notion of a family business weakens the idea of entrepreneurship in the subsequent generations insofar as the second and third generation understand themselves in terms of continuity, and their narratives are linked to the accomplishments of the first generation. The second and third generations are willing to follow in the steps of the first generation revealing, by so doing, a wish to maintain continuity, also in terms of the type of business. This continuity is represented by a discourse about the values set by the first generation that are transmitted across to the next generations. Values are identified as the linking element between the three generations, which keeps competition between (and within) the generations to a minimum for the sake of the family and business.

A blend of qualitative methodologies based on life history/oral history and phenomenography has been used to elaborate on the participants' self-understanding and perception of reality. In-depth interviews have been used to gather data in the form of the narratives of the three generations. Theoretically, the notion of discourse has been applied to reconstruct the creation of a generational discourse in the narratives and oral histories of the participants inasmuch as it is their talk about their personal values and the values of their family businesses that is captured in this thesis.

This thesis contributes significantly to knowledge about entrepreneurial activity in family business and contributes to an understanding of how values in family business support its continuity.

ACKNOWLEDGEMENTS

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This thesis has been a long-term life project that has been my companion every day over the last few years. I am deeply and forever grateful to my first supervisor, Dr Michela Betta, for her constant encouragement, commitment and insightful and dedicated supervision. Her inspirational and constructive comments and significant knowledge have not only been invaluable, but have also challenged me in all phases of the thesis. Thank you Michela for your friendship, and for inspiring me with your wisdom. I wish to also thank my second supervisor, Prof Robert Pascoe, who consistently and eagerly followed my progress and gave me practical encouragement and helpful advice at every stage.

I wish to acknowledge my deep gratitude to the members of the Italian-Australian family businesses in Victoria who comprise the case studies for this research, whose generosity and trust in participating and sharing their family and personal stories underpinned the richness of the data and hence the success of the study. Sharing conversations with these special families about their lives, experiences and values, often in their own homes, was a great privilege for me as researcher. I sincerely hope that this research, and anything stemming from it, does justice to their stories, views and voices.

On a more personal note, this important body of work would never have been undertaken without the understanding, love and unwavering support of my husband, friend and partner Louis and my two wonderful and caring children, John-Paul and Maxine, who have shared their lives, over the last few years, with this thesis. Your love is very precious in my life, and your exceptional patience and constant encouragement have been pivotal to the success of this work.

My sincere gratitude also to my brothers, Skender and Allan Bregu, and my extended family: I thank you all for your ongoing love and support. I also thank my close friend Eileen Scott Stokes for her contribution as editor of this thesis.

This thesis is dedicated to the memory of my late parents, Manilia Gavazzeni and Bahri Bregu. My mother in particular, has always been my wonderful mentor and close friend, whose inspiration and encouragement have brought me so far. I am and will always be extremely grateful to her for instilling in me the sense that I can achieve anything that I set my mind to.

To all my special friends, near and far, who have travelled this journey with me, thank you for your care, support and belief in me. I love you all and thank you.

DECLARATION

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I, Laura Hougaz, declare that this thesis is original and contains no material which has been accepted for the award of any other university degree or diploma, except where due reference is made in the text of the thesis. To the best of my knowledge, this thesis contains no material previously published or written by another person except where due reference is made in the text of the thesis. In relation to articles where I was a joint author, this has been clearly indicated in the citation and only the material for which I was personally and directly responsible has been included in this thesis.

Signed:

Laura Hougaz

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Chapter 1

Purpose, Significance and Context of the Study

This introductory chapter examines the background of the thesis and relates to the purpose, scope, significance, and context of the research. The analysis undertaken here aims to highlight the major issues related to the thesis such as the notion of genealogy which points to a development that takes place over a longer period of time and which, in this thesis, is particularly expressed through three generations; the notion of family, business, and the individual as a complex enmeshed reality which points to the importance of considering these three dimensions as interdependent. The chapter highlights how these elements are joined together by forces that I have called values. The chapter concludes by pointing to the contribution of my work and by providing a brief outline of the structure of the thesis.

Purpose and scope of the thesis

Around the world, it is estimated that over two-thirds of businesses are family businesses (Dreux 1990; Gersick, Davis, McCollom Hampton & Lansberg 1997). In Australia, approximately 70 percent of all businesses are family businesses (Getz & Carlsen 2000; KPMG & FBA Report 2009), with an average turnover of A$12 million per annum (MGI & RMIT Report 2010). According to Smyrnios and Walker "family businesses generate more than half of Australia's employment growth" (2003, p. 10) and contribute around $4.3 trillion to the Australian economy (MGI & RMIT Report 2006). In 2009, 121 family firms (24 per cent) were listed in the Top 500 private Australian firms. On average, they contributed approximately A$42m (12 per cent) more revenue per firm than their nonfamily counterparts and employed around 30 per cent more employees (Glassop 2009). Well established research in family business reveals that only 30 per cent of all family businesses survive into the second generation, with most intergenerational transitions failing after the second generation (only 10-15 per cent continue into the third generation,

and 3-4 per cent into the fourth generation) (Astrachan & Allen 2003; Everett & Watson 1998; White, Krinke & Geller 2004). In Australia, this pattern appears to be identical (Glassop, Ho & Waddell 2005). There are no clear answers as to why this happens. It is suggested that this happens because family business expands to such a degree into family branches that it becomes impossible to maintain it intact and successful for three generations, let alone four. This research and the findings it produces do not differentiate between mainstream family business and ethnic family business. It is therefore difficult to say whether the collapses are a general phenomenon or whether there are examples of family businesses which survive and prosper beyond the third generation without losing the very nature of the family business. In an attempt to find out whether Australian family businesses with an ethnic background may offer some clue or help to reset some assumptions recurring in the literature, I have researched seven Italian-Australian three-generational family businesses, starting with the founding generation. The aim was to identify possible elements that could bridge the first and the second generations,[1] and then the second and third, and thus build the conditions for the continuity of a successful family and business succession.

An initial assumption was that there were perhaps some elements that had the power to resist the challenges of time as well as of social and market changes, and represent the genealogical glue between three generations. The interviews were framed according to this initial assumption and it soon became apparent that there was something very powerful connecting these generations, allowing them to build their business and economic strengths. These elements were values: the values underpinning family, the values underpinning personal agency, and the values underpinning business. It became

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[1] By *first-generation* I refer people born overseas who underwent the process of migration and settled in Australia (Bertelli 1986). In regard to the *second-generation* I accept the three-pronged definition provided by the sociologist Vasta (1992, 1993): firstly using a statistical definition, as Australian-born children of overseas parents; secondly, the social definition includes overseas-born who arrived in Australia in infancy or early childhood; or the third definition may be a concept of identity, how they consider themselves, for example Italian, or Australian, or Italian-Australian (Vasta 1992, pp. 156-157; Vasta 1994, pp. 21-22). Such understanding of what a second-migrant generation is, may include various concepts of multiple identities. By *third-generation* I mean descendants of a migrant family, with at least one grandparent born in Italy, largely integrated in mainstream society (Baldassar 2004, Khoo, McDonald, Giorgias & Birrell, 2002).

clear that the values of the first generation had an enormous influence on the second and third generations, that the founding generation and their entrepreneurial spirit were driving and helping the following generations to stay focussed, to give meaning to what they were doing and to keep a perfect balance between family and business. After the conclusion of the first round of my interviews, the research question was fine tuned: *How do values create value within a family business?* Why this research question? Values are emotional, personal, behavioural assets; as such they are intangible and difficult to see or to empirically assess and access. But values can also be practical and they concern an activity and its effects. Thus, values represent here both the intangible/tangible capital of a person and that of an enterprise. By saying this I mean that such values have a business and social value that allows a family business to emerge, consolidate and expand. The values of the people interviewed are intrinsically related to the businesses in which they are involved. They build the basis for their decisions, and acquire a value that is extrinsically important for the business and its market position. I am aware that the notion of values is not a neutral one (Down 2006, p. 51). Values can be used to propagate a certain ideology (Ogbor 2000, p. 610) related to family business and/or entrepreneurship. However, in order to overcome this difficulty, this study also proposed to look at values formation across three generations as a discourse (see chapter 5), that is, initiated, strengthened and further perpetuated by the people involved in the narratives about their family businesses. How people understand their personal values and the values of their businesses certainly reflects their worldviews which I have captured in this study without any manipulation or additional analysis. Hence, the notion of discourse allows for these worldviews to emerge and remain intact throughout the thesis.

Personal, family and business values

In this thesis, values are not confined to just one part of the family business (the family) (see Craig & Lindsay 2002, p. 416) but are present across three domains, the individual, the business and the family. Craig and Lindsay have addressed values as an element capable of disturbing the entrepreneurial, innovative, initiatives of the business (2002, p.

417; see also Schulze, Lubaktin, Dino & Buchholz 2001, pp. 102-103). This position, however, seems to emerge from the assumption that all family businesses are inherently entrepreneurial and that family has the power to (often negatively) influence the entrepreneurial process. Such interpretation is based on the observation that it is especially family business originating from "multiple family generations" (Craig & Lindsay 2002, p. 419) - that is from the cousin (second) generation to the next - which presents inherent governance difficulties in the running of the business. The importance of such research is beyond doubt. However, there is the danger that it may be influenced by the notion of separation and dissociation, where the family is seen as an intruder rather than a vital element of the family business. Hence, it is removed from its centrality and shifted to the margin of the entrepreneurial activity while, at the same time, it is replaced by a board in order to enhance the viability of a family business (Craig & Lindsay 2002, p. 428; also see Gomez-Meja, Núñez -Nickel & Gutierrez 2001; Hoy & Verser 1994). These authors are preoccupied with the governance of the family, because family is seen as the enfant terrible within family business. The notion of a board, however, especially when it is imported from the corporate world, may split the family and the business, and oppose the notion that family and business are "inextricably intertwined" and represent dynamics which are "highly interrelated" (Aldrich & Cliff 2003, pp. 573-574). Some scholars understand governance as a means by which business change is made possible (Brunninge, Nordqvist & Wiklund 2007); however, according to these authors, in order to activate change, corporate governance needs to be sophisticated, and link together ownership, boards of directors and top management in an attempt to address "adverse environmental conditions or new opportunities" (p. 305). However the level of change that small and medium sized family firms would face is such as to make it difficult for them to react productively. Whether an expansion "of the circle of people involved in decision-making" (ibid.) would be appropriate for family businesses would therefore need some further consideration because family businesses are, by definition, closely held firms.

Notwithstanding the importance of the notion of governance, there is a need to critically elaborate on it, otherwise we may risk importing notions of governance created under corporate conditions into contexts determined by family conditions. And while the notion of a board may make sense with the third, or perhaps the fourth generation, particularly within family businesses which are expanding globally, it appears an intrusion in the first, second and perhaps even the third generation. In fact some of the data in this study confirm this interpretation as some family members see the need to professionalise their family business as they are approaching the fourth generation, in order to operate in a global market.[2] However, the question arises as to whether such a move may not alter a family business in such a way as to seriously undermine the very notion of family business. As important as it is, the notion of governance reveals a wish for perfection and faultlessness that might be appropriate for corporations and their functions. To expect a family to function like a corporation would seriously blur the difference between the two. Indeed, the main difference between family businesses and corporations is provided by the family. If we accept this, we need to accept imperfection and limits, but also chaos and its creative force.

As explained in the literature review relating to family business (chapter 3), the notion of family business is still open to debate. However, while it made sense in the 1990s (Lansberg, Perrow & Rogolsky 1988; Neubauer & Lank 1998; Westhead & Cowling 1998; Winter, Fitzgerald, Heck, Haynes & Danes 1998) and early 2000 (Birley 2001; Craig & Lindsay 2002; Dyer 2003) to lament that there was no consensus on what constitutes a family business, and calls were made for improving theoretical and conceptual knowledge (Chrisman, Chua & Steier 2003; Chua, Chrisman & Sharma 1999; Dyer 2003; Shane & Venkataraman 2000; Sharma 2004), recent research has enriched our understanding of it (Moores 2009; Moores & Barrett 2003; Ward 2008b) and changed the quality of that debate without, however, removing the sense of complexity surrounding family

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[2] See comments by Daniel Genovese (Quote Box 7.32), and Adam Genovese and Michael Vaccari (Quote Box 8.57).

businesses. A family business is a complex reality – but how complex is it? Drawing on Wortman (1994), Litz, Pearson and Lichtfield (2011, p. 3) state that this complexity is "overwhelming" and that research in family business needs to acknowledge this by developing longitudinal studies of families and by including family science in research. According to these authors, research needs "to more deliberately include the family, enlarge its temporal boundaries to more reflectively appreciate the past, open its international boundaries to welcome findings from a growing array of international and ethnic contests, and enrich its inherent complexity" (p. 15). But how is family business made complex? It is made complex not only through the fact that the family is "a love system extending through time" (Boulding 1970, quoted in Litz et al. 2011, p. 13) but also because it is a system that is under perennial change and modification, which some have compared to "a house that rises, stands, falls and sometimes rises again (Litz 2008, quoted in Litz et al. 2011, p. 13). But whatever falls and rises is not a compact entity but the individuals who populate that entity. Thus, I propose to understand this complexity as resulting from the enmeshing and interaction of three, and not just two, domains: the individual, the family and the business. By inserting the individual as a distinctive dimension of the family business it becomes possible to identify how family and business interact and influence each other.

Entrepreneurial or innovative action is always active and destructive within given conditions, and the drive can only reside within the individual. To Chrisman, Chua and Steier (2005) family values and aspirations are the means by which resources are managed; but this understanding seems to underpin the assumption that resources just exist as well as values just exist. This might be a difficult proposition because values are taken out of the resources domain and understood in functional terms. Instead, it is important to set the starting point: the founding generation becomes a point of reference for future "strategies, processes and structures" (Aldrich & Cliff 2003, p. 590). But because the founding generation in this thesis has no financial, mainstream social and cultural resources, its only capital is given by its labour and its values, norms, and attitudes, which

build the condition of possibility of the future family business. Is it then possible to understand values as types of resources used/managed by the individual within both the family and the business? This could imply that the individual uses/manages family and business resources at the same time and with the same impetus.

It is therefore proposed to look at the individual from the perspective of assigned roles: the entrepreneurial founder (first generation), the consolidating manager (second generation), the innovative manager/agent (third generation) within a model of interdependence of family, business and individual. But in order to demystify the notion of the individual, I propose to look at its values system and how it interacts with the values of the family and the values of the business. The individual will not be considered in terms of its heroism, the heroic entrepreneur for example (see Ogborg 2000, p. 607), but rather as somebody who brings others, things and domains together. There is nothing heroic in the story of those first-generational migrants, the founders of the family businesses in this thesis, who sometimes stole chickens and scrounged for food at the Victoria Market in Melbourne in order to survive;[3] there is nothing heroic in the way in which the younger generation entered the business with high expectations, soon realising that the road to a management position was longer and harder than first thought, having to start from the bottom, chopping vegetables in the back of a greengrocer shop.[4] These are not stories of heroism, but stories of perseverance, compromise, inner strength and humility, A family business is a complex reality because *family* is a complex reality made of individuals, but also multifaceted relationships, interactions, hopes, dreams, expectations, love, hate, parents, children, present, future, words, gestures and so forth. Family cannot be understood as the other side of business – it is in fact a completely different side; the two, however, belong to the same phenomenon (Litz 2008).

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[3] See the story of Luigi Grollo in chapter 6 (Quote Box 6.16).
[4] See the story of Simon Costa in chapter 8 (Quote Boxes 8.20 and 8.21).

And perhaps it is not just the resources of a family which are VRIN, that is valuable, rare, imperfect and (in)imitable, and nonsubstitutable (Moores 2009, p. 173), but family itself. Emerging research about the real role of the family in family business points to the necessity to integrate other disciplines concerned with family theory and analysis (James, Jennings & Breitkreuz 2011). This would allow scholars in the family business field to open up to perspectives which are more at home in sociology for example and which could help to enrich the meaning of the word 'family'. "One simplistic assumption evident within certain strands of research is the tendency to portray members of business owning families as being predisposed to behave in a homogeneous manner" (p. 8). This tendency might be dictated by a lack of knowledge of how a family forms, expands, and lives as a place of emotions and differences influencing assumptions based on family as a compact block. "The striking diversity of family structures, values and interaction patterns evident to even the casual observer calls into question the validity of such a grounding assumption" (p. 8).

Two interconnected areas of research

This thesis is positioned in the two major areas of family business and entrepreneurship. The very notion of family business presupposes a starting point at which family and business do not exist yet, but are created through the initiative of one/some family member/s. Because in my study I am considering three generations spanning over a period of approximately one hundred years, the founders of the family business are the grandparents of the third generation that is currently in charge of the business together with the outgoing second generation. The grandparents started from zero by taking advantage of an opportunity, or by identifying a market niche, or by creating a completely new business. This means that the founders must be seen as entrepreneurial agents who alter a business/economic status quo by establishing a new business. The entrepreneurs establish both a family and a business, which do not reach a high level of stability during the life span of the first generation. In fact, it is the second generation that consolidates both business and family. The third generation, however, may add another layer to their

family business in so far as they can, following further consolidation, initiate a new expansion or modifications of the business. With the third generation, however, new risks emerge for the family in business as managerial conditions and shareholding relations may alter the power and control of the original family.

Whenever the third generation expands and changes the family business, there is a renewal of entrepreneurial activity. Consequently, in order to capture the differences between three business generations, I refer to entrepreneurship in relation to the first generation, and to family business with regard to the second generation. As stated above, the third generation may remain within the parameters of the inherited family business and only further consolidate it; alternatively it may introduce innovation, new ways of doing things, thus initiating family entrepreneurship. This shows that entrepreneurship and family business are possibly interlinked across the generations. It is widely acknowledged that family businesses possess specific resources and capabilities (Dyer 2006; Sirmon & Hitt 2003) that may promote and/or restrain entrepreneurial behaviour (Habbershon & Williams 1999; Habbershon, Williams & MacMillan 2003; Nordqvist, Habbershon & Melin 2008). These resources and capabilities have been termed the familiness of the business (Cabrera-Suárez, Saá-Pérez & Garcia-Almeida 2001). However, by viewing entrepreneurship and family business as interlinked, I am also proposing the notion that entrepreneurship is not necessarily a determinant of family business as some scholars suggest (Craig & Lindsay 2002; Holland & Boulton 1984) but the result of a necessity that in this thesis is attributed to the first generation. It follows that family businesses are not entrepreneurial per se, but only when, for the necessity of survival (Eddleston, Kellermanns & Sarathy 2008; James 1999a), they introduce new ways of doing things at the level of innovation which in this thesis becomes an issue related to the third generation.

It is important to highlight here that by speaking of entrepreneurship I refer to an event that triggered 'creative destruction' in personal (migration) and economic terms

(entrepreneurial activity after settlement). Unavoidably, this notion of entrepreneurship refers to the individual and his (mainly men were involved at this stage of migration) journey of change. This idea is further nourished by the notion of personal resources (values) that help the migrant to fulfill the change process initiated through migration. The notion of resources is central to entrepreneurship (Schumpeter 1934), however this notion encompasses not only external resources (Craig & Lindsay 2002, p. 418) but essentially internal resources as well, that help the migrant to become someone else (see Betta, Jones & Latham 2010) and so become capable of discovering new opportunities within oneself and in the marketplace.

The genealogy of family business

Generations represent different sets of experiences, skills, educational levels, expectations, business acumen and so forth. For that reason, there is a need to establish a common element that helps to identify the thread that links one generation to another and elaborate on issues of continuity and commonality in spite of the differences just mentioned. It is, therefore, important to develop a genealogical approach to family business. By speaking of genealogy I mean the reconstruction of the emergence of a family business, its development and consolidation over a longer period of time. In determining a definition of genealogy, I looked into how this term has attracted the writing of philosophers. Nietzsche (1969), for example, developed a compelling definition of genealogy in his work on the emergence and establishment of moral values. More precisely, he investigated how human values, and more generally worldviews and identities are the product of specific historical contexts and conditions. Drawing on this, I have researched how values emerge, develop and change within specific family businesses over a longer period of time. By doing so, I have questioned a tendency recurring in the family business literature with regard to the values of family business, where they seem to be taken for granted. The notion of genealogy, or the origin of something, gives me the opportunity to strengthen the starting point of a family business and reconstruct the path of development and change related to values across three generations. Genealogy is

related to a historical perspective that involves not only the individuals and the generations as well as the family in which they are embedded, but also the very business itself. History is increasingly attracting more attention in business research inasmuch as 'in one sense or the other all firms have a history'. Therefore history could be considered as an "ominipresent firm feature" that not only helps to reconstruct individual identity but also the organisational identity (Blombäck & Brunninge 2009, p. 405).

An enmeshed reality

The idea of the genealogical family business and its values needs a further theoretical link. This is given by the notion that family and business are not just linked but they are enmeshed. Some of the authors who first proposed the notion of enmeshing (Davis 1983; Kepner 1983) intended to capture the very idea that there is a tight, interwoven relationship of dependence and interdependence between a family and its business, or between a business and its family. However, as convincing as this notion is, it fails to shed light on how enmeshing takes shape and where it starts. This difficulty is due to various reasons: usually quantitative research about family businesses tends to focus on the economic side of the whole enterprise, subjugating the family to the business. It also points to economic factors and outcomes as proof of the existence of a family business. However, some qualitative empirical research also continues to see a downside to family governance due to the unchallenged control of the family owner-CEO (Faccio, Lang & Young 2001; Morck & Yeung 2003; Schulze, Lubaktin & Dino 2003) and the family as a problem factor, as a possible interference that needs to be checked through the introduction of external governance (Craig & Lindsay 2002, pp. 416-417; see also Anderson & Reeb 2004).

Notwithstanding the importance that family has acquired over the decades, authors and scholars tend to set a sort of invisible hierarchy that puts the business first. However, more recently, scholars have started criticizing the neglect of the family in family business research and expressing the need to address such deficiency (James et al. 2011; Moores 2011). In fact, as long as the family remains an appendix to business it becomes

impossible to conceptualise a family business as an enmeshed reality, where the family has as much say, or more, as the business drivers. Hence, in this thesis, the notion of enmeshed is further developed with the purpose of highlighting how the overlap between these two types of reality happens, and by pointing to their deep interconnectedness based on a genealogical understanding of family business as enmeshed personal, family and business values.

Three interlinked generations

When speaking of the first generation, personal resources are linked with personal values within their entrepreneurial action of establishing a new business. For the two subsequent generations in this thesis, these personal values become a valuable point of reference – a sort of remote personal capital resource which serves the perpetuation of the genealogical self-understanding of the second and third generations. This means that the second and third generations keep referring back to the personal resources of the first generation to make sense of their origins, and to strengthen their present. Thus personal (individualistic) values become common to the three generations; however, during this process they undergo some alteration: resilience, patience, courage, and will to succeed become adapted to new conditions; and although the words remain the same and their content unchanged, their context changes. In other words, the second and third generations keep reaffirming the sacrifices and the strength of the first generation, the value of their investment and of their values for them. The legacy of the first generation is discursively reaffirmed by the following generations, and the discourse that emerges from this represents a main resource of the second and third generations. In spite of the expansion and changes that they have introduced to the original matrix of their family business, the values discourse remains within the family business boundaries set by the first generation.[5] It is a closed circuit, so to speak, that encloses three generations located

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[5] The fourth generation, which I have not surveyed directly but which I am following in their development, may however decide to move into new business fields, completely shifting away from the original focus of the business.

in the same century. Such a circuit, however, might not survive into the fourth generation. It is at this generational level that I have noticed that not only the context, but also the content and wording related to values, are undergoing a profound alteration.

Migration as a starting event

Since the earliest British colonization of Australia, the influx of Italians towards this vast and unknown continent has always been a feature. A brief history of the Italian migration to Australia is presented as Appendix 2.

The act of permanent migration represents the triggering event in the history of the family businesses studied in this thesis. It was migration that brought the change that would lead to entrepreneurial activities of the first generation setting the structure for the subsequent development of these into family businesses. By speaking of migration I unavoidably refer to the background that is embedded in Italy, and that still forms part of the culture of the family businesses in this thesis. The fact that these businesses are linked to their Italian origins still affects the way the following generations continue to speak and feel about their business, even in the third generation. This is the reason this thesis makes explicit reference to Italian-Australian family businesses and pays due attention to the ethnic background of the families. I am aware that there is an intrinsic difference between the Italian origins of the family and the Australian origin of the businesses, and in the direction in which different businesses may have evolved over the generations, but for the purpose of this thesis I prefer to link these realities and speak of Italian-Australian family businesses.

Significance of the thesis and application of findings

As stated above, generally only 10 per cent of all family businesses survive into the third generation (White, Krinke & Geller 2004) and very few, it is estimated around 3-4 per cent, ever reach the fourth generation. The literature has identified a series of reasons as to why this happens but the debate is still ongoing. The significance of this research consists in elaborating on issues related to the way members of a family business

understand their own role, the centrality of the family and the importance of their businesses. By working on values and their value for family business I have proposed a groundbreaking analysis which may help to address some of the issues related to the survival of family businesses beyond the second generation. A further significant aspect consists in identifying the importance of the three dimensions underpinning a family business which are personal values, family values and business values. The strength of this research is that it covers three generations which is something new within the family business research and literature, due predominantly to the difficulty of collecting historical documents and data related to the founding generation. Reconstructing the founding period, and how the entrepreneurial enterprise emerged out of nothing is a finding of significance in terms of theory and practice. The way in which the first generation passes the businesses on to the second generation is also crucial. This study captures this process and puts it into perspective, as well as analysing the conditions for the subsequent succession from the second to the third generation. Quantitative research has so far been unable to shed light on how family businesses survive across three generations or how they flourish. This is because quantitative data tend to focus on business data and financial budgets but they do not capture the intrinsic elements that make the survival of businesses beyond capital possible. Finally, this thesis has shed light on an issue which has not been analysed before: namely how intangible values can form the value of a family business and help it to navigate through the agitated waters of the market. This issue is of great significance in understanding the longevity of family businesses.

Contribution to the academic community

Collins' research in Australia has identified that already in 1991, first-generation immigrants owned 28.9 per cent of all small business in Victoria (2003, p. 140).[6] The

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[6] The term i*mmigrant* is someone who relocates from one country to a new country. An *emigrant* is someone who is in the process of leaving a country. A *migrant* is a general term used to refer to a person who moves from place to place, or from country to country. In this thesis I have used the term *migrant* to refer to a person who has emigrated from Italy, and immigrated to Australia.

research that I have undertaken during the past few years takes up this issue, and expands it into a longitudinal study of how migrant family businesses form from humble entrepreneurial activities, and may develop into powerful dynastic organisations. This was achieved by focussing on three generations of family business. In the theory of family business, the focus on the founding generation has been on their personality traits as entrepreneurs (Low & MacMillan 1988), and on their influence on the culture and performance of their firms during and beyond their tenure (García-Álvarez, López-Sintas & Saldaña-Gonzalvo 2002; Schein 1983). This research confirms the assumption in relation to entrepreneurship in the starting phase of a family business; the data from this study also confirm the powerful influence of the founding generation on the business and the families that follow in the second and third generations.

Until the present there has been scarce research into multigenerational family businesses (Sonfield & Lussier 2004). Overall, research has considered issues related to multigenerational family firms only as a peripheral part of other more prevalent family business issues. However, *how* the founders (first generation) established the business, and *how* they built up the business with the support of their family, has been largely neglected because it is not easy to reconstruct the historical conditions that led to the formation of a family business. A three-generational family business usually spans over a period of one hundred years making it sometimes difficult to gain access to the first generation.

In addition, research in *how* multigenerational family businesses successfully survive, some into thriving family dynasties, continues to remain embryonic (Jaffe & Lane 2004; Sonfield & Lussier 2004; Sten 2001). Through extensive research and reading prior to the beginning of my PhD candidature I identified a shortcoming in the literature in which longitudinal research consisted of two generations, and when, on rare occasions, the third generation was mentioned, it was grouped together with the second generation, as a subsequent or succeeding generational group of a family business. No research has concentrated on undertaking an extensive study of each generation. By addressing this

issue this study adds value to research and theory, and contribute to the wider academic community by being able to fill a niche or gap, and reset some fundamental assumptions recurring in the literature. A further contribution is related to the notion that family and business are equal domains with the power to influence each other through the individuals involved in them, revealing a complex form of enmeshing. Finally, by elaborating on values, I have identified a powerful intangible element capable of creating value for a family business.

Figure 1.1 captures the three interlinking elements of a multigenerational family business presented in this chapter (family, business and the individual). The vertical axis (on the left) represents the genealogical lineage (continuity of generations), highlighting the historical context of a family business. The horizontal axis represents the timeline – a time span of approximately one hundred years. The intention is to represent continuity (including the process of succession) from the founding generation to the second and third generations – this is represented by overlapping ascending circles. Figure 1.1 depicts the development of the family and the business, as overlapping domains. In addition to these two domains, another perspective is evident in the form of a third overlapping circle, that of the individual. The individual plays a prominent and important role in the development of the family and business domains, and in the succession process. This is clearly depicted in the figure, by the third circle which overlaps the two domains of family and business, but also acts as an element that directly and indirectly connects the first and the second generations, and then the second and the third, thus building the conditions for the continuity of a successful family and business succession.

Figure 1.1: Interlinking elements of a multigenerational family business (family, business and the individual)
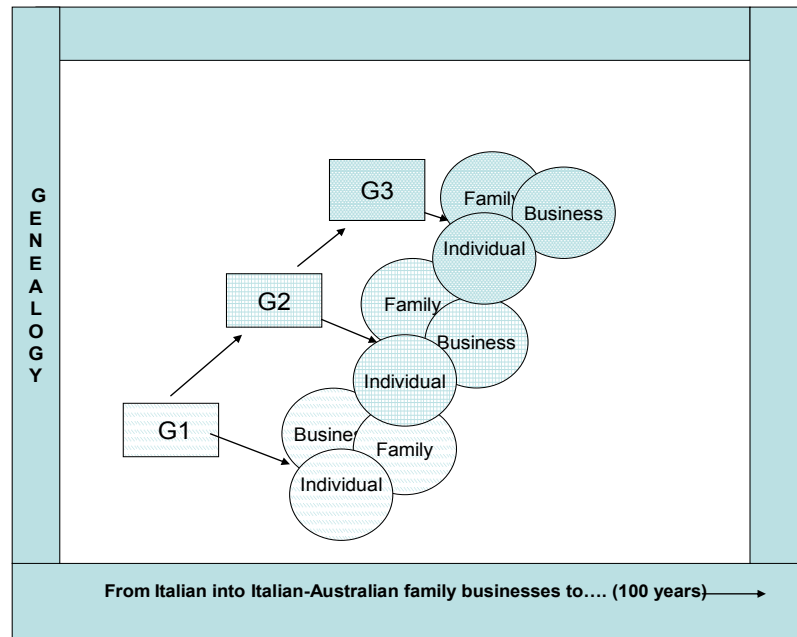
In addition to the above, Figure 1.2 below shows the evolution of the family business as affected by the complex enmeshing of three equal dimensions (family, business and the individual) across the multiple generations of the family business (FB). This evolution begins with the initial creation of a family business through an entrepreneurial action, moves on to the consolidation of family business through managerial skills, and, finally, moves once again to a process of innovation of the family business through learning and globalization. The enmeshing of the individual, the family and the business over the years and across the generations is captured in the vertical axis on the right (complex enmeshing).

Figure 1.2: Generational evolution of the family business supported by complex enmeshing of family, business and the individual
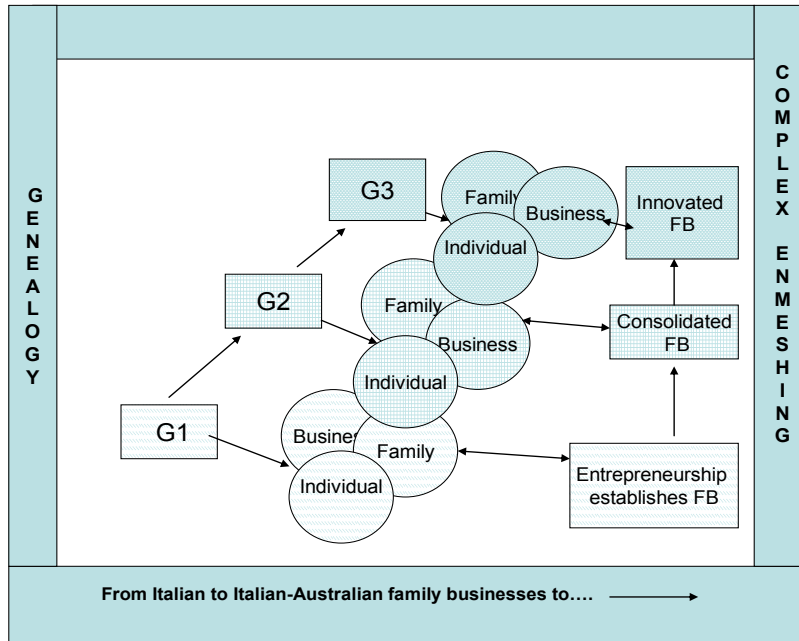
Apart from being connected through a complex web of enmeshing (family, business, and the individual), the three generations are also linked by a set of values that more importantly defines their characteristics and nature, and successfully integrate the family, the business and the individual. The importance of introducing the individual lies in the very fact that the terms family and business always presuppose plural, homogeneous and compact agencies (see James et al. 2011), making it difficult to deconstruct them. It is therefore the individual that allows for such deconstruction of the two domains allowing for new insights into how they work. The founding generation (G1) sets these values; the following generations (G2 and G3) capitalize on the work done by, and on the values set by the previous generation. This new additional perspective has been added to Figure 1.3 below. Thus, the boxes along the top of the figure represent the interlinking values that underpin the family members' actions within the family and towards their business. The complete process of development of the three-generational family businesses in this study, depicted in Figure 1.3, began with the migration of the first generation that created businesses characterised by an Italian background, and servicing an Italian economic

niche. Slowly, over time, they became Italian-Australian businesses by adapting to their context without, however, losing their historical and ethnic continuity. At some subsequent point in time, through the expansion or evolution of the family, these ethnic businesses may lose their Italian flavour altogether and become mainstream businesses. The generations are closely linked by a complex system of enmeshed relationships (family, business and the individual) and by strong and long-lasting values set by the founder. The final picture thus portrays the multifaceted and entrenched aspects of multigenerational family businesses.

Figure 1.3 – The complex reality of seven Italian-Australian family businesses
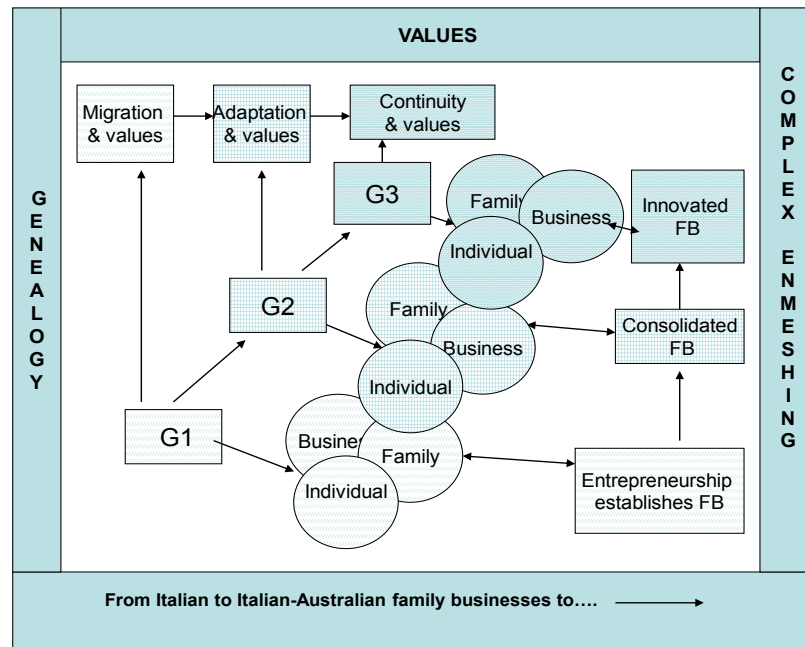
I now turn to summarising how this conceptual framework will be explicated over the next eight chapters.

Structure of the thesis

This thesis is divided into 9 chapters.

To recapitulate, **chapter 1** has dealt with the p**urpose, significance and context of the study**. This initial chapter includes an introduction to the type of research and research question; it discusses the meaning of genealogy and how it allows to link together three subsequent generations; it further elaborates on the two areas involved in this research: entrepreneurship and family business; it mentions a brief contextual background related to migration as the event that triggered the birth of the family businesses considered in this thesis; finally, it presents the theoretical background formed by the notions of the complex enmeshing of family, business and the individual, and the values inherent in the family business.

Chapter 2 – Values in the literature practice. In this chapter I provide a rationale for the use of values as a means by which three generations of family businesses have managed to create, maintain and cement value through values. More precisely, I reconstruct how the notion of values in the literature is used to strengthen the business side of a family business and by so doing, it confines the family to a very narrow domain. I propose to address the gap and problems related to this unbalance by pointing to the role of the individual and the family in forging and maintaining values which have great impact on the business. I provide a good argument as to why values need to play a major role inasmuch as they create value for business and for personal relationships within the family and the people involved in the business.

Chapter 3 – Family business as an enmeshed reality. In this chapter, I reconstruct how the notion of family business has developed over the past 50 years and become a very strong field in the business literature. However, the review of the literature provided reveals the difficulty in grasping the complex reality represented by a family business. The literature agrees that family businesses are different from non-family ones; it also

provides arguments and undisputable insights into how the two work differently. However, in this perspective there is a risk that the family is taken over by the business especially because quantitative analyses driving the research and literature tend to focus on tangible factors and outcomes in order to say something about a family business. In this chapter I provide reasons as to why a qualitative analysis targeting values and individuals can help to capture the powerful characteristics of family businesses which quantitative analyses cannot detect and process. In this chapter I propose to understand family and business as two equal domains.

Chapter 4 – The entrepreneurial origin of family business. In this chapter, I reconstruct the birth of seven family businesses in the State of Victoria, Australia, that stretch over three or even four generations. Three of these four generations were studied, and the very moments of their creation reconstructed. Hence, this chapter studies the origin of my family businesses. I have described such origins as entrepreneurial as they represent an innovation introduced by the first generation. I propose that this innovation happens on two levels: a personal innovation through the process of migration that changed the lives of the Italian migrants who arrived in Australia in the first half of the twentieth century, and a business innovation inasmuch as it established a new business through entrepreneurial activities which led later to the formation of family businesses.

Chapter 5 – Methodology, data analysis and conceptual framework. This chapter explains the methodology underpinning the theory and the empirical data. Qualitative studies differ from quantitative ones by focussing on the individual and its sense of reality at any given time, on the meaning that individuals give to social and personal interaction, and on their understanding of their own role in constructing the reality in which people live. To this purpose I provide a rationale as to why life history/oral history narrative is used to capture the self-understanding of the people involved in the family businesses which are part of this thesis. The use of phenomenography in conjunction with life history/oral history facilitates the analysis of the gathered data and their meaning as a phenomenon produced by a group of people who share past present and future. The

story-telling builds a coherent discourse embedded in the history of the families and their members, and in the history of the businesses and their activities. Hence I connect the life history/oral history to discourse analysis. Discourse analysis will provide the theoretical background to the narratives of the participants.

Chapter 6 – The creation of an entrepreneurial enterprise: The first generation – The Entrepreneurs. This chapter elaborates on the first generation and its members. It reconstructs the entrepreneurial activities of the men and women who created a business out of nothing and through hard work. It is proposed to call the first generation the entrepreneurs because of their initiating structure and the entrepreneurial spirit that accompanied their personal and economic changes. It is in this founding generation that the notion of values is articulated in such a way as to become a resource for survival and later success.

Chapter 7 – From a business for a family to a family business. The second generation – The Consolidators. This chapter reconstructs the passage and initiation rites by which the second generation was introduced into the business via family bonds and experiences embedded in father-son/daughter, mother-son/daughter relationships. It reveals how the second generation is still bonded to the founders in a humble and yet dignified way. It also points out how this generation has paid a double price in terms of being the bridging point between foundation and continuation of the family and of the business. It is here that the sense of being enmeshed is vigorously represented within the family business context.

Chapter 8 – Longevity and success in family business. The third generation – The Custodians of a legacy. This chapter elaborates on the newcomers and their role within the family businesses. In the third generation the genealogical sense of belonging becomes more sublime as it takes the form of a special identity and flavor. It is here that a sense of Italianness reemerges as an expression of respect towards the work done by the founding generation as migrants from Italy and as an expression of identity in a globalized world. In the third generation the family business is still an enmeshed reality full of

complexities and emerging challenges; but it is still driven by values that, although adapted to their time, strongly reflect the matrix that generated them.

Chapter 9 – Conclusion: Findings, uniqueness, significance, implications, limitations and future research. This chapter highlights the main elements developed within the preceding chapters and points to the significance of the study in terms of its uniqueness and implications. It summarises the personal and familial elements that led to the formation of the family businesses studied in this thesis, the conditions that allowed for their survival and consolidation over a period of almost one hundred years. The thesis concludes in this chapter by discussing the limitations of the study and the potential areas for future research.

Chapter 2

Values in the Literature

This chapter encompasses a literature review of the concept of *values*. This section of the thesis is structured under ten headings, paying attention to the role of values during the starting-up of a family business; general notions of values in the family business literature; specific notions of values in the family business literature; the holistic meaning of values in family business; the idea of basic values in family business; and the individual and its personal values. Although separate, the topics of this chapter are interrelated to the extent that some overlapping of issues is inevitable.

Starting-up a family business

This thesis researches three-generational family businesses from the perspective of the values underpinning them. It may be argued that the values of the Italian-Australian family business studied may be ethnically based and culturally determined, linked to particular historical, social and economic aspects which shaped these resources and formed the social capital of immigrants which provided support and economic opportunities (Portes & Zhou 1993). It is not the aim of this thesis to examine this issue, but to study values in family business from the perspective of the family members' own self-perception and self-understanding, as constructions made in hindsight. Hence this study starts by examining the antecedent conditions that lead to the formation of the family businesses, its main theoretical thrust centred around the question of how these family businesses came about, consolidated and expanded. This implies a concentration of research work on the founding generation, which in this thesis is considered the first generation, those men and women who created the business and built it up from nothing by using personal and family resources. This generation represents the starting point, the very matrix of a family business. Gersick, Davis, McCollom Hampton and Lansberg (1997) argue that "the founder's beliefs, business acumen, decision-making rules of thumb, and values are part of the basic structure of the enterprise". Their inheritance remains with their descendants,

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and is perpetuated through the business developmental cycles. "In that way founders can remain a presence for generations beyond their lifetime" (p. 135). The literature about personal styles, goals and motivations related to starting a business (Birley & MacMillan 1995; Brockhaus & Horwitz 1986; Gartner 1988, 2001) or a family business (Dyer 1992; Dyer & Handler 1994; Kets de Vries 1977, 1993, 1996; Naldi, Nordqvist, Sjoberg & Wiklund 2007; Upton & Heck 1997) is very rich. However, in the theory and literature of longitudinal family business *how* the initial business is established by the first generation is often neglected (Lubaktin, Ling & Schulze 2007; Ward 2008a). Studying the conditions that lead to the creation and establishment of the multigenerational family business by the founding generation is no easy task, due to the difficulty of reconstructing the historical events involved. But as long as the starting generation remains invisible it will be impossible to form a clear picture of how a family business came about and by what means. Colli (2010) argues that history offers an important perspective to the study of family business as "family firms are notoriously and largely 'cultural artefacts', that is the product, in their nature and structure, of a certain context." (p. 74). History and tradition are very important not only in terms of understanding the very essence of family businesses but also because they constitute one of the differentiating elements between family and non-family businesses (Ward 2008a, p. 4).

The notion of values in the family business literature

Values are "the bedrock of primary socialization" (Garcia-Alvarez, López -Sintas & Saldana 2002); they shape the behaviour of people from a young age, and determine the way people interact with others in the social system (Berger & Luckmann 1966). The transmission of sound values is fundamental in families and in society inasmuch as they "inspire people to do things that are difficult, to make commitments that require discipline, to stick to plans for the long haul" (Aronoff & Ward 2000, p. 1). A value can be defined as "a conception, explicit or implicit, distinctive of an individual or characteristic of a group, of the desirable which influences the selection from available modes, means and ends of actions" (Kluckhohn 1967, p. 395). This concurs with Rokeach's definition of values

as "an enduring belief that a specific mode of conduct or end-state of existence is personally and socially preferable to alternative modes of conduct or end-states of existence" (Rokeach 1972, p. 5). Or, more simply, as "a broad tendency to prefer certain states of affairs over others" (Hofstede 1980, p. 19). Values are "what we believe to be important or morally worthy" (Ciulla 1999, p. 166); they are implicit, not spoken, yet completely shared (White 1993). Values are passed on from one generation to the other influencing "modes of relationships between family members" (Sharma & Manikutty 2005).

Attempts to classify values have been made by various scholars. Rokeach (1972, p. 160) has distinguished terminal values from instrumental values. Levitin (1973, p. 494) has distinguished telic, ethical, aesthetic, intellectual, and economic values. Hofstede (1980) found three types of values: those dealing with our relationships with (1) other people, (2) things (our nonhuman environment), and (3) our own inner selves and God. Values are perceived as desirable trans-situational goals that serve as guiding principles (Schwartz 1992, 1994), shape attitudes, motivate and regulate the behaviour of individuals (England & Harpaz 1983; Giddens 1984; Posner & Munson 1979; Schwartz 1994). Some authors argue that strong values are rooted in family members' emotional and blood ties, and through their shared history. "Shared values enable family members to derive pleasure and meaning from sustaining cross-generational relationships and striving toward mutual goals" (Aronoff & Ward 2000, p. 1). Miller and Rice (1967) understand unity through relationships as an important value within a family business. Family members experience close psychological attachments to one another that are tacitly implied rather than taught (White & Klein 2002). Such closeness has been described as *familism* values (Triandis 1995). Yang (1988, p. 97) understands familism as "a set of values, and their associated attitudes, beliefs, and behavioural norms that are family dominated in the sense that people holding these values adopt family as the basic social unit".

Due to the inseparability and synergy between family and business in family firms, family relationships as well as family resources are increasingly understood as crucial elements in a family business dynamics: relationships values keep the family and the business as interdependent domains. Such overlap renders it increasingly difficult to speak of separate principles, values and obligations (Aldrich & Cliff 2003; Astrachan 2003; Distelberg & Sorenson 2009; Harvey & Evans 1994; Kepner 1983; Lambert 1990). Accordingly, some authors suggest that from family values can arise "some vital synergies" for business (Aronoff & Ward 2000, p. 1). These authors argue that a persisting commitment to values is the greatest value a family can bring to business ownership inasmuch as values can function similarly to "glue that bonds family and business" (p. 1).

Some authors consider cohesion as strongly related to family dynamics. Accordingly, family cohesion is understood as a value that strengthens mutual support to family among family members facilitating decision making and contributing to the success of the family business as a whole (Olson 1988). Strong family cohesion among family members, which involves a high level of closeness and emotional bonding, creates the opportunity to function as a team (Adler & Kwon 2002), providing emotional support and identification to its individual members (Oh, Labianca & Chung 2006). Tsai and Ghoshal (1998) propose that due to the strength of ties among family members over time, shared interactions and experiences contribute to the development of norms, trust, a strong group identity, a common vision and sense of purpose. Some authors (Sharma & Manikutty 2005, p. 294) suggest that family values and norms can have a "significant influence" on "key strategic decisions made in these firms". This is so because family values and norms have the power to influence "behavioural expectations of family members". On the other hand familial norms are, in turn, guided by the "underlying beliefs in a family regarding the relationships across generations and between siblings". Recently, Pearson, Carr and Shaw (2008) defined familiness as a resource that encompasses a series of norms and values capable of having a serious impact on the behaviour of family members. Earlier, other authors pointed to various values to describe the culture of a family firm. They identified

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cooperation, openness, teamwork and reciprocity (Adler & Kwon 2002; Dess & Shaw 2001), egalitarianism, teamwork, a focus on developing synergy from collaboration (Lansberg 1999), as well as obligations to both the family and business enterprise (Gersick, Davis, McCollom Hampton & Lansberg 1997).

Values, however, are not seen as being confined only to the family members. Some authors argue that leaders and founders transmit their values into the organisational culture directly (Aronoff & Ward 2000; Ciulla 1999; Corbetta 2008; Corbetta & Montemerlo 1999; Gardner 1995; Hambrick & Mason 1984; Hofstede 1983, 1994; Kets de Vries 1993; Nanus 1992; Schein 1983).[7] More precisely, family values are understood as fluid and capable of seeping into the "management of the business" (Cappuyns 2002). These values can then set a "permanent stamp on its continued existence" (Lambrecht & Donckles 2006, p. 393). Ciulla (1999) and Nanus (1992) concur with this, arguing that leaders translate values into action, and are responsible for promoting values across their organisation, through their vision and goals. Founders of family firms establish codes of behaviour by acting as role models (Adams, King & King 1996; Brunaker 1996; Ciulla 1999; MacGregor Burns 1978; Nanus 1992). The notion that founders set the pace and conditions for writing "the story of the organisation's values" implies a genealogical understanding of values insofar as it can pave the way for the next family business leaders (Ciulla 1999, p. 170). This means that the research literature acknowledges the role of values in family business, how these support the family business and pave the way for successive generations. Values are transmitted from founders to potential successors, thus facilitating a successful succession process (Brunaker 1996; Corbetta & Montemerlo 1999; Gallo & Cappuyns 1999; Garcia-Alvarez & López-Sintas 2006; Kets de Vries 1993). Santiago (2000) goes further, suggesting that the values held by the incumbent and possible successor are more important than formal planning in the succession process.

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[7] This argurment contradicts the theory of *amoral familism* proposed by Banfield (1958), who argued that in a society of amoral familists, people work solely for the direct, material benefit of the nuclear family, disregarding the needs of society.

"The earlier a business leader begins tapping the potential strength of shared values in the family and the business, the better chances of harmony and success" (Aronoff & Ward 2000, p. 2). Aronoff and Ward consider "a dynamic, resilient value system" within a family business as "the most enduring living legacy one generation can leave the next" (p. 2).

In her research on family firms in Portugal, Ussmane (1994) found that potential successors learnt vital business values from their parents which supported them when they entered the family business. "Unconsciously but inevitably, each generation absorbs parental values that define acceptable modes of relationships between family members" (Sharma & Manikutty 2005). More recent research conducted by Garcia-Alvarez and López-Sintas (2001) emphasises the heterogeneous nature of the founder's values, which they divide into two separate dimensions: the business value dimension and the psychological dimension. Their ongoing research in this area (Garcia-Alvarez & López-Sintas 2006) found a close correlation between the values held by founders and the values that they want to transmit to their successor, thus supporting Santiago's research (2000). In their conclusion, they emphasise the importance of the legacy of the family values, and propose that when considering the issue of family business continuity, future research should concentrate on studying family value systems. Aronoff and Ward (2000, p. 5) further suggest twelve ways in which the power of values plays out in business:

1. Laying the bedrock for corporate culture
2. Providing a template for decision making
3. Inspiring top performance
4. Supporting a patient, long-term view
5. Reducing the cost of capital
6. Challenging conventional thinking
7. Adapting to change
8. Improving strategic planning
9. Executing strategy

10. Forging strategic alliances

11. Recruiting and retaining employees

12. Lending meaning to work.

This list strengthens the notion that the family system and its values have the power to make a business.

Specific values in the family business literature

Over the years some researchers have concentrated on identifying specific values prevalent in family business. This discussion has focused on three major values: trust, altruism and loyalty. Each is briefly discussed below.

Trust

A significant body of research emphasises the role of trust, which is considered indispensable in family firms and is a source of competitive advantage. According to Fukuyama (1995, p. 26), trust fosters cooperation and reciprocity inasmuch as it represents "expectations" forming within communities of people with regard to commonly shared norms. Such norms either refer to deep moral issues such as the nature of God, justice or to more secular questions related to professional behaviour. Increasingly, an immaterial good such as trust is seen as having a major impact on business transactions by being acknowledged as a relational mechanism rooted in deep structures of social relations (Granovetter 1985, p. 491). Trust acquires a regulatory force because people involved in business exchanges "will make a sincere effort to uphold their commitments" as an expression of "one's willingness to rely on others" (Sundamurthy 2008, p. 89). Rousseau, Sitkin, Burt and Camemer define trust as "a psychological state" (1998, p. 395) that results in a "trustful behaviour intimately related to relationships between individuals" (Neergaard & Ulhoi 2006, p521). Williamson (1993, 1996) focuses on various types of trust, distinguishing personal trust from risk-related and institutional trust which are found in economic transactions. Trust is seen by some other authors as dynamic: it evolves through phases within relationships, with multiple dimensions

developing through structures and processes in the family firm (Child & Mollering 2003; Lewicki & Bunker 1996; Steier 2001b; Sundamurthy 2008; Welter & Smallbone 2006).

Lewicki & Bunker (1996) maintain that there are three kinds of trust: calculus-, knowledge-, and identification-based trust. Members of family firms may fear the consequences of breaching trust or rely on the rewards that stem from preserving it (calculus-based trust), they may highly respect the integrity or competence of the other party (knowledge-based), or may have similar goals to the other party and understand, and share their desires and wants (identification-based trust). Identification-based trust (or personal trust (Williamson 1996), is commonly found in family firms where the family and business spheres overlap, members share norms and values based on familiarity, kinships, or interests (Fukuyama 1995; Lane & Bachmann 1998), "implying mutual confidence that no party will exploit another's vulnerabilities" (Salvato & Melin 2008, p. 261). "Trust is central to family businesses – where a group of individuals affiliated with the enterprise are connected through common ancestry or marriage – because their existence goes well beyond economic rationale" (Sundamurthy 2008, p. 89).

Altruism

Davis (1983) and others emphasise the role of trust and altruism in protecting family interests, providing unconditional support to the family members and business, mitigating conflict, thus maintaining family firms competitive (Chrisman, Chua & Litz 2004; Freeberg & Stein 1996; Lee 2006a; Schulze, Lubaktin & Dino 2002; Steier 2001b; Tagiuri & Davis 1996; Ward & Aronoff 1991, 1994). A high level of mutual trust is viewed as "intra-family altruism in its purest sense (ie. unselfish concern and devotion to others without expected return for oneself), and clan-based collegiality" (Corbetta & Salvato 2004, p. 356). Altruism is generally understood as closely aligned to trust. It refers to a moral value that leads individuals to work collaboratively with others, supporting and acting in the interests of others, without expecting rewards or positive reinforcement in return (Karra, Tracey & Phillips 2006). The concept of altruism features prominently in family firms where the family members often share the same interest (Fama & Jensen 1983, 1985). It is not only

in terms of parents caring for their children but an attitude towards valuing family membership in a way that promotes and reinforces the family bond (Schultze, Lubaktin, Dino & Buchholtz 2001, p. 102). These authors understand the family bond as something that is strictly connected with family history, language, identity, and knowledge about others. Seen in this way, altruism becomes a value that fosters other values such as loyalty and commitment. Some authors (Neergaard & Ulhoi 2006) perceive trust and altruism within family firms as capable of preventing the spread of unreliable information or the breaching of agreements reducing the level of opportunistic behaviour, conflict and distrust.

Loyalty

Parents trust that their children work hard, are loyal to their parents and family, and generally act honourably in the family firm, all working for the best interests of the family business; in exchange parents care and support their children (Barach & Gantisky 1995). High levels of trust, loyalty and commitment within a family firm dispense with the need for parents to monitor the work of their children, or to rely on incentive-based compensation (Rosenblatt, de Mik, Anderson & Johnson 1985; Ward 1988). Such generosity and trust may however, at times, be taken advantage of by the children (Schulze, Lubaktin & Dino 2003). Research has shown that a high degree of loyalty to family members and to the business tends to unite members in time of difficulty (Olson 1988). Loyalty is a good indicator of commitment to the family business. It generates a sense of security, and mitigates the high level of tension that may at times be prevalent in family business. Loyalty to the family culture and family values enhances family harmony and family love which in turn support the family business (Gersick et al. 1997). Loyalty from employees points to a commitment to the family business, is built up within an organisation on a long-term basis, over a period of years, ensuring that the business continues to be efficient and successful.

Other values

Thus, it seems that trust, altruism and loyalty are perceived as values that can bind family members close together and make family membership valuable (Schulze, Lubaktin, Dino & Buchholz 2001). Such values reveal shared common realities and rituals, they bond closely, build close social ties and "a deep reservoir of common history" (Broderick 1993, p. 189). These are, however, not the only values that have engaged scholars in the family business field. Other core values such as honesty, respect and responsibility are often bundled together. These values are called "modal values" and are found in the means of an act (Ciulla 1999). Honesty is said to reflect "the degree to which family members tell and expect the truth" (Gersick et al. 1997, p. 85). A high level of honesty is perceived as supporting good family relationships and encouraging trust and respect. Responsibility is understood as reflecting the high level of commitment of family members to the family firms (Cater & Justis 2009). Hence, this discussion has revealed that the notion of values in business is not new especially from the perspective of the interactions between family and business (Corbetta & Montemerlo 1999; Corbetta & Salvato 2004; Dyer Jr. 1986; Garcia-Alvarez & López -Sintas 2006; Gersick et al. 1997; Hall, Melin & Nordqvist 2001; Kets de Vries 1993; Klein 2008; Ling, Zhao & Baron 2007; Santiago 2000; Sharma & Norqvist 2008; Tagiuri & Davis 1992, 1996; Ward 2008a, 2008b). However, most authors tend to subordinate non-economic values to economic processes, outcomes, and performance; the risk is that values become an appendix to business plans and activity (Chirico & Laurier 2008; Chrisman, Chua & Zahra 2003; Gomez-Mejia, Hynes, Núňez-Nickel & Moyano-Fuentes 2007; Klein 2008; Koiranen 2002; Miller & Le Breton-Miller 2005; Tagiuri & Davis 1996).

A holistic approach

A holistic approach is to be found in Ward (2008). This author attempts to free values from their subordination to economic imperatives by suggesting that it is the family values that drive business; they are so strong as to influence the size of the enterprise, the degree of risk-taking, the organisational structure (p. 3). Ward considers three types of

values: basic values, fundamental values, and practical values. Basic values are determined by what he calls "familiness" (p. 5) which represents the unique strength of the system of the family in family businesses in terms of workplace style, atmosphere, and priorities. Others have cultivated a more functional understanding of familiness as a coming together of "resources and capabilities related to family involvement and interactions" (Chrisman, Chua & Litz 2003, p. 468). Some authors, however, seem to suggest that if basic values are not balanced properly they risk exposing the business to a perennial dilemma between "family-first" and "business-first" (Ward 2008a, p. 5; 1987, p. 142). Fundamental values characterise the culture of the family business and determine the way businesses recruit, compensate and train employees (p. 3). They also emphasise the salience of family businesses in terms of being "more human" and "more emotional", and more engaged/committed (fundamental) (Ward 2008, p. 4), whereas practical values are rather more related to attitude insofar as family firms tend to emphasise "past and future", collectivism rather than individualism, and generally assert the "natural goodness of man".

Basic values in the enmeshed family business

A consideration of this research literature suggests that the notion of basic values within the family business literature is still a matter for debate. The notion of basic values, as utilised in the family business literature, suggests that family and business are two separate fields which are doomed to compete for supremacy; often such supremacy is not possible, as neither of the involved sides, family and business, has a strong argument to justify its dominance. When this is the case, family firms are caught in dilemmas which either remain unsolved, or result in an "alternate leaning" from one position to the other, or remain open until the dilemma "resolves itself" (Ward 2008, p. 122). However, it might take considerable time for a dilemma to resolve itself. During such a time the conditions under which the dilemma emerged might change, giving rise to unpredictable risks. Other scholars tend to view a family business as the overlap of two separated organisations, family and business, which determine the basic nature of the family business and make

each family business unique (Davis 1983; Dyer 2003, Habbershon, Williams & MacMillan 2003; Rogoff & Heck 2003). The idea here is that the two domains, family and business, are perceived as closely entwined, or "enmeshed", meaning a high level of family cohesion and emotional closeness among family members (Olson 1988; Olson, Zuiker, Danes, Stafford, Heck & Duncan 2003).

To be enmeshed means that family and business are reciprocally involved in a sustained interlinking connection between the two areas of the family firm resulting in productive cooperation (or possible conflict). This overlap is understood as a fundamental characteristic of family business, where both business outcomes and family outcomes are determined by factors from and within both the family and firm domains. This connection, however, remains a little abstract in the literature, as it is not explained how it works and when it starts having an influence on the family business. In other words, it is not clear how and when the two domains, the family and the business, come together and by which means. This difficulty hides another one. By speaking of family values the impression arises that business has no values and that it is the family that brings them into the business. This leads to another major difficulty related to issues of reciprocal influence and values between the two fields. From this review it appears that business is generally perceived as the place where the action takes place; its nature is defined from the new points of performance, efficiency and effectiveness. One consequence is that business is not seen as capable of having, or generating, values on its own. It is considered rather passive and reactive to the values of the family. It would be therefore interesting to analyse the business part of a family firm as a dimension capable of having independent values which are in turn capable of influencing the family.

The individual and its values

In this thesis I attempt to address these gaps and difficulties by pointing to the centrality of the individual in family business. The individual represents the third dimension that keeps the other two (family and business) together as a living, feeling, aspiring, and

engaged glue. The individual is in both the family and the business and represents a bridging living element in family business because as the individual has the capacity to translate one set of values driving one domain into meaning in the other domain (Fairclough 1992). Such transference of meaning from one dimension to the other creates social practices (p. 75) inasmuch as their unfolding helps to construct social or personal reality (Philips & Hardy 2002) for those involved in social practices. However, because the multigenerational family business is an enmeshed – that is complex - system with numerous levels of relationships, responsibility and loyalties across generations there is a need to identify how values work across time and space. To this purpose I propose the notion that the three generations surveyed have developed their own discursive formations to make sense of their belonging together and of the genealogical continuity. As foreshadowed in chapter 1, the use of the notion of discourse in relation to the notion of the enmeshed family business, and the notion of values, provide the theoretical grid through which it is possible to analyse how the same values engage people across three generations, maintaining their high degree of social and personal cohesiveness.

Following the lead given in the literature, I have identified some of the values discussed above (trust, altruism, loyalty). In addition, new ones have been discovered, and some values, generally perceived as family values, have been reclassified as business values. By proposing the individual as a third dimension, it has also been possible to assign to it values that are generally perceived in the literature as belonging to the family. As stated above, I have also discovered that business has its own values, capable of engaging the individual and the family. Hence, my research has identified a strong commitment to the following personal, family and business values among first, second and third generations, values that have created the reputation of the family and of the family business. In this thesis, each generation's discourse about values has been discussed separately (refer to chapters 6, 7, and 8). In the following Table 2.1 I have summarised the values that I have identified:

Table 2.1: Values identified in this study

Personal values	Family values	Business values
Trust	Family unity	Work ethic
Respect	Succession	Loyalty
Responsibility	Membership	Professionalisation
Honesty	Humility	Risk-taking
Loyalty		

In their discourses, the three-generational family members reveal that these three groups of values overlap and are interconnected: this builds the understanding that underpins family businesses from the perspective of their members.

In this thesis I highlight how values become visible and tangible to those who can see beyond hard data and who, therefore, understand how data and values are historically contextualised. This is important because there is a tendency to think that values just simply exist. Instead, it seems to me that values, like any other resources in life, are the result of a tacit understanding between people with regard to the contents and actions that form their daily life. Where do the values of family businesses come from? Genealogically, they come from the entrepreneurial generation, the first generation; but what are they and how do they become and remain part of a family business? Although it is generally conceded that values underpin the strength of the family and therefore also of family business (Chrisman, Kellermanns, Chan & Liano 2010; Nicholson & Bjornberg 2008; Sharma & Nordqvist 2008; Ward 2008a, 2008b), limited research has been dedicated specifically to how family and business values emerge, are shared and transferred across from generation to generation in family businesses. This thesis addresses these issues, in an effort to identify the role that family and business values play in the maintenance of long-term family businesses, particularly from an intergenerational perspective.

Chapter 3

Family Business as an Enmeshed Reality

This chapter discusses the literature on family business relevant to my research. The literature review provides a thorough discussion of the main issues of concern to family business scholars. These are considered in a systematic way because they also recur in the research findings. In the first section, the risks challenging the very existence of family businesses and their generally short lives are explored. This section truly exposes the fragility of family business. I then briefly discuss definitional problems within the literature. Following this, I review issues related to performance and the family focus; the resource-based view; work-family interaction; the overlapping of family and business; familiness and human capital; the attitude of the family members in a family firm; long-term orientation of family business and intergenerational transition; succession; career development within a family business; training and mentoring; multigenerational family businesses; and finally familiness across generations. However, the very nature of the topic unavoidably causes some overlap between sections.

The short life of family businesses

Over the last three decades there has been a growing interest in the valuable contribution of family firms to the local and global economic landscapes (Astrachan & Shanker 2003; Danco 1980; Gomez-Mejia, Núñez -Nickel & Gutierrez 2001). Although statistics are not available, it is generally acknowledged that over two-thirds of businesses around the world are family businesses (Dreux 1990; Gersick, Davis, McCollom Hampton & Lansberg 1997). The economic impact of the family firms in the **United States** is significant, accounting for approximately

- 80 per cent of all firms,
- 40-60 per cent of the gross national product (Astrachan & Shanker 2003; Gomez-Mejia et al. 2001; Ward & Aronoff 1990),

- one third of family firms having "continued founding family ownership, with families on average holding about 19 per cent of the firm's shares" (Anderson, Mansi & Reeb 2003, p. 264).

In the **European Union**, family firms are estimated to be

- 85 per cent of the total number of firms (Flintoff 2002; Harvey 1994),
- while in Italy, 92 per cent (more than 3.3 million) (Gnan 2000),
- and in the UK, 75 per cent (Dunn 1995).

In **Europe**,

- the majority of the top 500 firms are either owned or managed by the family, and family enterprises control over half of the economies (Becht & Mayer 2001).

Both **China and Japan**'s economies have been strongly shaped by family enterprises (Goetzmann & Koll 2003)

- with 99 per cent of businesses in Japan considered family firm (Birley 2001),

whilst in developing countries such as **India**, family businesses play a significant role (Basu 2000).

In **Australia**, it is estimated that approximately

- 70 per cent of the existing businesses are founded by a family (Getz & Carlson 2000; KPMG & FBA Report 2009),
- the wealth of the sector is AUD$4.3 trillion,
- the average turnover is AUD$12 million per annum (MGI Australian Survey 2010),
- the average age of a family business is 32 years (MGI Australian Survey 2010).

The low survival rate of these types of businesses is also a well known fact, with only a small percentage (often quoted as 30 per cent) surviving into the second generation, with most transitions into the third generation failing not long after this succession (generally

quoted as 10-15 per cent) (Astrachan & Allen 2003; Beckhard & Dyer 1983b; Everett & Watson 1998; Handler 1990, 1992; Ward 1997a, 1997b; 2004; White, Krinke & Geller 2004). Lansberg (1999) comments that success in business is often an exception, but successful family companies "represent an even greater achievement" (p. 1).

Definition of family business

Although there is a large body of literature on family business, there appears to be little consensus on the definition of what exactly constitutes a *family business*. Extensive literature reviews on this topic have been conducted by family business scholars (Astrachan, Klein & Smyrnios 2002; Chrisman, Chua & Sharma 2005; Chrisman, Kellermanns, Chua, Chrisman & Sharma 1999; Sharma 2004). Sharma (2004) classifies the literature by focussing on individuals in family firms, interpersonal relationships, family organisations, and the role of family firms in society. Generally, there is agreement that a family business can be loosely classified as one in which family members have ownership or management of the organisation (Shanker & Astrachan 1996), but researchers also agree that family firms cannot be regarded as an homogeneous entity (Chrisman, Chua & Sharma 2005; Peredo 2003; Stewart 2003). Traditional definitions tend to be fragmented, each concentrating on a combination of components of a family's involvement in the family business: ownership, succession, management and governance. These definitions do not provide clear insight into why these components are relevant, and why family involvement leads to behaviours that differ from nonfamily firms. According to Chua, Chrisman and Steier (2003), the most important issue to be addressed in order to develop a theory of the family firm, is "how and why this form of organisation behaves and performs in a distinguishably different way from a nonfamily firm" (p. 334). Researchers do agree that family business is distinct from a nonfamily business although exactly *how* remains partly unanswered.

Family focus and performance

Recent studies suggest that family firms outperform nonfamily firms (eg. Anderson & Reeb 2003a; Chrisman, Chua & Kellermanns 2009; Kets de Vries 1993; McConaughy, Matthews & Fialko 2001; Miller & Le Breton-Miller 2005) and that their long-term orientation, culture, flexibility and resilience provide them with natural advantages. Others note that family firms are poor performers as they are hindered by internal conflicts that emerge from family tensions arising from attempts to manage the enterprise (Danes, Zuiker, Kean & Arbuthnot 1999; Faccio, Lang & Young 2001). Dyer (2006) has conducted various studies aimed at identifying the precise characteristics and nature of a family business, but acknowledges that he came to contradicting findings with regard to the performance of family and nonfamily firms. As he could not identify clear reasons as to why this is the case, the author concluded that the contradictory findings may be due to differences in methodological approaches employed across the studies.

Families are believed to influence firm performance principally by the family goals, the family relationships, and by the resources or assets they possess (Dyer 2003, 2006; Steier 2001a, 2001b). Family firms therefore have different characteristics, adopt different priorities, in pursuit of different goals, including non-economic goals (Astrachan & Jaskiewicz 2008; Chrisman, Chua & Sharma 2005; Gersick et al. 1997; Gomez-Mejia, Hynes, Núňez -Nickel, & Moyano-Fuentes 2007; Lee & Rogoff 1996; Miller & Le Breton-Miller 2005; Sharma, Chrisman & Chua 1997; Steier 2003; Tagiuri & Davis 1992, 1996; Zellweger & Astrachan 2008; Zellweger, Nason, Nordqvist & Brush 2011). Other studies focused on the performance of family firms in relation to a variety of topics such as: ethics and social responsibilities compared to non family firms (Adams, Taschian & Shore 1996; Gallo 2004); size and financial structure (Romano, Tanewski & Smyrnios 2000; Westhead & Cowling 1998); corporate governance (Anderson & Reeb 2003a, 2003b; Carney 2005; Chrisman, Chua & Litz 2004; Randoy & Goel 2003), and international strategies (Zahra 2003).

It is recognised that family firms also have a number of definite disadvantages compared to nonfamily firms. Due to the close relationship of family members, conflicting interests and behaviours may create inefficiencies such as psychological issues, nepotism and paternalistic practices that can nullify the advantages. Businesses may become stagnant, may need to regenerate their distinct familiness or resources (Cabrera- Suárez, De Saá-Pérez & Garcia-Almeida 2001; Habbershon & Williams 1999; Kets de Vries 1993; Morck, Shleifer & Vishny 1988; Morck & Yeung 2003; Steier 2001b, 2003; Stewart 2003). Research that focuses on the negative aspects of family involvement adopt the *agency cost* approach (for example, Gomez-Mejia, Núňez -Nickel & Gutierrez 2001; Schulze, Lubaktin & Dino 2003) which aims to explain how, and at what cost, dysfunctional behaviours and attitudes, such as altruism and entrenchment due to concentrated ownership, may emerge in family business, slowing the development of new capabilities and leading to poor performance (Anderson & Reeb 2003; Fama & Jensen 1983, 1985; Gomez-Mejia et al. 2001; Gordon & Nicholson 2008; Schulze, Lubaktin, Dino & Buchholz 2001; Schulze, Lubaktin & Dino 2003). Altruism can become a problem of self-control, and lead to issues of free riding, prejudiced parental perceptions of the performance of next generations, and difficulty in enforcing contracts (Schulze, Lubaktin, Dino & Buchholz 2001; Schulze, Lubaktin & Dino 2003). However, as explained in chapter two, altruism may also have positive effects, and favours competitive advantage, when it is reciprocal (between the family owner and other family members) and symmetrical (equally strong reciprocal altruism) (Lubaktin, Schulze, Ling & Dino 2005).

The resource-based view (RBV)

Researchers that focus on the benefits of family involvement adopt the resource-based view (RBV) of the firm, as originally conceptualised by Dierick and Cool (1989), Barney (1991) and elaborated later by other scholars (Cabrera-Suárez et al. 2001; Chrisman, Chua & Litz 2003; Chua, Chrisman & Sharma 1999; Habbershon & Williams 1999; Habbershon, Williams & MacMillan 2003; Moores 2009; Sirmon & Hitt 2003). These authors suggest that there is a reciprocal relationship between economic and non-economic factors made

possible by a combination of family and business systems. This RBV perspective implies that the confluence of the two systems leads to hard-to-duplicate capabilities or familiness (Habbershon et al. 2003; Habbershon & Williams 1999) that make family business peculiarly suited to survive and grow. Furthermore, a family's vision and intention for transgenerational sustainability may lead to the institutionalization of the perceived value of the combined family and business systems (cf. Selznick 1957), suggesting that cooperation in and of itself may create utilities for members of a family business and shape their behaviours and decisions (Chrisman, Chua & Sharma 2005, p. 557).

The RBV approach concentrates on the capabilities and resources that differentiate family firms from nonfamily firms, and helps to identify those resources that may be handed down from one generation to the next, so that the potential of family business may be realised (Wortman 1994). Family businesses have a particular family culture that plays an important role in determining the success of a family firm. Such culture is said to influence goal-setting (Sharma et al. 1997), strategy (Hall, Melin & Nordqvist 2001) and performance (Chrisman et al. 2009; Chrisman et al. 2005; Ram & Holliday 1993). Culture is understood as an element that further contributes to the complexities of the family dynamics that support the management of the business operations. Accordingly, it is understood as capable of nurturing and supporting the family members and strengthening the success of the firm by promoting the development of positive relationships equally inside the organisation as well as with outsiders. To substantiate such assumptions, some authors point to senior managers in family firms, usually family members, who have a strong commitment to the successful long-term performance of the business (Davis 1983; Mattessich & Hill 1976), and who are said to remain in the business for periods longer than professional managers (a generation) (Song 1999; Wong 1988) and have a long-term visionary outlook aimed at long-term goals, thus exploiting commercial opportunities for longer periods.

Family firms are also described as business units committed to providing quality and value to customers (Davis 1983). They are considered as more humane places to work, places where care and concern for the family members and other employees prevail, compared to large organisations, thus inspiring strong employee allegiance (Ward 1988) and promoting better performance in their employees (Moscetello 1990). Such working conditions are considered as enhancing the performance and efficiency of the firm (Chami 1999; Davis 1983), supporting higher profitability than businesses owned by diverse shareholders (Anderson & Reeb 2003a; Lee 2004) particularly if founding family members participate in management (Anderson & Reeb 2003a; Burkart, Panunzi & Shleifer 2002). During difficult times of economic downturns, research also indicates that family firms are committed to maintaining long-term employment stability and continuity over time, thus avoiding downsizing and layoffs of employees (Lee 2006a). Hence, family business researchers generally acknowledge that family business owners aim to find a balance between economic and non-economic goals when making decisions that affect their family business (Chrisman, Chua & Sharma 2005; Sharma et al. 1997) even if non-economic returns result in lower financial returns (Chua & Schnabel 1986). In spite of this, Chua, Chrisman and Steier (2003) propose that the RBV theory may be expanded to incorporate other goals apart from wealth creation. For example, some studies (Chrisman, Chua & Sharma 2003; Chrisman et al. 2010; Sirmon & Hitt 2003;) extend the RBV theory to family business with the purpose of researching how family resources and capabilities (eg. familiness and values) may be acquired through family involvement and provide family firms with non-economic benefits which may lead to competitive advantages.

There is growing evidence that non-economic goals in family firms have a dynamic effect on the behaviour of the family members and the firm (Carney 2005; Gomez-Mejia et al. 2007; Lee & Rogoff 1996), and may act as "distinctive or constrictive family firm resources" (Chrisman et al. 2010, p. 21). Carney (2005) and Giorgias (2000) point to the positive effects of social capital accumulated by family firms through long-term relationships with internal and external stakeholders. Non-economic goals can create an

environment in which family firms are more open to opportunities (Chua & Schnabel 1986) by identifying innovative areas for investment (James 1999a; Zellweger 2007). However, they may also cause firms to act conservatively as investments may be perceived as a threat to maintaining transgenerational control (Gomez-Mejia et al. 2007). As suggested by Chrisman and colleagues (2010), Gomez-Mejia, Makri and Larraza Kintana (2001), and Sirmon and Hitt (2003), further research on the non-economic objectives of family business is needed to help explain family firm performance. In line with this new approach, Lubaktin, Ling and Schulze (2002) suggest that family values may be driving forces behind the goals in family firms. Hence, the valuable contribution of family values needs to be further explored and be better understood (Chrisman et al. 2010).

Work-family interaction

One of the most frequently addressed topics in family business is the close interaction of the family members with the business itself. "For a business to be sustainable as a family firm in the highly competitive global market of the twenty-first century, there must be a synergistic and symbiotic relationship between the family and the business" (Chua, Chrisman & Steier 2003, pp. 331-332). According to Chua, Chrisman and Steier, business must achieve its outcomes and goals in a way that creates value for the family; on the other hand, the family too "must add value to the business in a manner that is impossible without family involvement" (idem., p. 332). Family businesses differ in structure, attitudes, behaviour and leadership to nonfamily businesses as the family members work together across two separate but converging domains, the social/emotional domain (the family) and the economic domain (the business) (Aldrich & Cliff 2003; Campbell Clark 2000; Dyer 2006; Habbershon et al. 2003). A common representation of the complexities associated with the family business is the three-circle model proposed by Tagiuri and Davis (1996) with three interacting systems: business, family, and ownership. The interesting aspect here is that ownership originates from the genetic ties of the family members and yet influences the very structure of the business. Gersick and colleagues (1997, 1999) have used this concept to trace the development of a firm across three

stages, from its start-up, through to succession, and to its maturity stage, with particular interest in the critical transitions between these stages. Although the three-circle model may not be an effective theory for smaller family businesses, where the separation between the family and the owners is more formal than real, this framework continues to provide a solid foundation for the field (Distelberg & Sorenson 2009; Sharma & Nordqvist 2008).

The most commonly held view of what a family business is suggests that "when one looks at a family firm, one is really looking at the interaction of two complex social systems" (McCollom 1990, p. 251). This means that "businesses and families are invariably and inextricably interlocking and overlapping" (Rogoff & Heck 2003, p. 560*).* This interaction is regarded as "the basic character of the family business and defines its uniqueness" (Davis 1983, p. 47). A considerable amount of research therefore focuses on the interface between work and family (for example, Aldrich & Cliff 2003; Edwards & Rothbard 2000; Greenhaus & Beutell 1985; Lansberg 1983; Loscocco 1997; Loscocco & Roschelle 1991). A comprehensive review of the related literature is provided by Karofsky, Millen, Yilmaz, Smyrnios, Tanewski, and Romano (2001), and by Smyrnios, Romano, Tanewski, Karofsky, Millen and Yilmaz (2003). The general consensus is that family and business have a reciprocal role: one of mutual interdependence, with two separate, but overlapping systems (Beckhard & Dyer 1983b; Kellermanns & Eddleston 2004; Lansberg 1983, 1999; Smyrnios et al. 2003), each with its own structures, norms, obligations and values.

Two overlapping systems

The two overlapping systems of the family and the business are considered by Rogoff and Heck (2003) to be as closely connected as "oxygen and fire", and their family embeddedness perspective particularly recognises the importance of the family dimension in family business. The family nucleus is seen as dynamic rather than static, as fluctuating rather than stable. It is viewed as a form of energy, metaphorically pictured as

fire (Rogoff & Heck 2003). But it may also become unstable energy, viewed as generative but also potentially destructive. For example, on the one hand the family, or the family business, provides nurture, guidance, investment and workforce, while, on the other, it may inject partnership tension that separates the family and the business in terms of practices and outcomes. If confronted and dealt with it can enhance creativity and productivity, and further nurture the family relationship; if ignored, or suppressed, it becomes self-defeating (Cosier & Harvey 1998). A family business is therefore viewed as "the interplay of a number of variables such as family values and culture; work–family demands, relationships, and rewards; and affective, behavioural, and performance outcomes" (Stafford & Tews 2009, p. 235). Astrachan (2003) emphasises the distinctive reciprocal interdependence of the two separate units that may display a great variety of social and economic factors. Understanding the norms and principles that steer the activities and dynamics of the family system and how these may impact and differ from the principles that regulate the business operations is a complex issue which is fundamental to understanding family businesses (Cole 1997; Kepner 1983). More recently, Kreiner has further investigated the theory of integration of the work-home domains suggesting that "integration […] represents the merging and blending of various aspects of work and home" (2006, p. 485).

According to Dunn (1995), in some families, the business serves the family, as opposed to the family serving the business. This author argues that these business-first families have greater opportunities to achieve business growth and success. Tagiuri and Davis (1992) however believe that family businesses have multiple goals, which include financial security, high quality products, personal and social advancement,   job security, corporate citizenship and innovation.

The two overlapping spheres of work and family may, however, at times not exist in harmony and may be a source of contradictions and tensions (Haas 1999; Lee & Rogoff 1996; Poutziouris & Chittenden 1996). As Ward puts it (1987, p. 54), "the nature of

business often seems to contradict the nature of the family" because families are the domain of the emotional while businesses are objective, and "families are protective of their members; businesses much less so". Research suggests that social interaction between family members who are involved in the business can lead them to experience closeness and understanding, thus reducing the levels of conflict (Ward & Aronoff 1994). Since families usually "seek to avoid conflict at all costs" (Ward & Aronoff 1994, p. 55), there is an imperative guiding family members to maintain "ties of kinship and get along well with each other" inasmuch as "social interaction will reduce the overall level of substantive conflict present in family businesses" (Davis & Harveston 2001, p. 18).

Evidence from a recent study by Smyrnios, Romano and colleagues (2003) of 1476 American and Australian family businesses indicates that work-interpersonal conflict is associated significantly and negatively with family cohesion, which in turn is related negatively to owners' reports of anxiety. These findings are supported by previous research that indicated that high family cohesion reduces family conflict by supporting individuals to deal with the conflict (Beehr 1995; Frone, Barnes & Farrell 1994), and by minimising the possibility of transferring family problems into the business (Olson 1988). Family cohesion refers to the degree of emotional closeness between family members (Gersick, et al. 1997; Lee 2006b; Olson 1988; Olson, Zuiker, Danes, Stafford, Heck & Duncan 2003): this may vary from very low to very high (*enmeshed*). An enmeshed family business will therefore display very high levels of emotional engagement, closeness and trust among family members, which is positively associated with a high degree of job satisfaction and commitment to the family business organisation (Davis 1983; Handler 1989b; Iverson & Maguire 2000; Kepner 1983; Kossek & Ozeki 1998; Lee 2006; Loscocco & Roschelle 1991; Sharma et al. 1997).

Recently, researchers have increasingly begun to observe the positive effects of combining the two roles of family and work through theories of enrichment and positive spillover (Grzywacz, Almeida & McDonald 2002; Loscoscco 1997; Loscocco & Roschelle

1991), in which the satisfaction gained in one domain (work), spills over into the other domain (family) and vice versa. This approach is in line with recent emerging trends in psychology and family studies that concentrate on strengths rather than weaknesses (Judge, Locke, Durham & Kluger 1998; Patterson 2002). Smyrnios and Romano (1999) observe that a considerable number of business owners strongly involved in their families and businesses state that they have positive feelings towards their business, which provides them with a sense of achievement.

Familiness and human capital

The importance of the family and family business culture is being re-evaluated. Family business culture is based on valuable resources and capabilities that have been termed the familiness or family capital of the firm (Cabrera-Suárez et al. 2001; Habbershon & Williams 1999; Pearson, Carr & Shaw 2008; Sirmon & Hitt 2003). The term *familiness* is used in a rather pervasive manner in the current literature, and may cause confusion (Vought, Baker & Smith 2008). It was first introduced by Habbershon and Williams (1999) to describe various relationships within family businesses. It has been further described as "the unique bundle of resources a particular firm has because of the systems interaction between the family, its individual members, and the business" (p. 11) which create value and a competitive advantage for the family firm (Barney 1991; Barney & Arikan 2001; Habbershon et al. 2003; Pearson et al. 2008). This concept was later described by Chrisman, Chua and Litz (2003) as "resources and capabilities related to family involvement and interactions" (p. 468). Some of these unique resources are motivated and committed to human capital, reliable and strong social capital, survivability capital based on pooled personal resources, and a desirable governance structure with low agency costs (Sirmon & Hitt 2003). Each of these resources can differentiate family firms from nonfamily firms, have a positive effect on family firms and be a source of competitive advantage. Dyer (2006) described this advantage as the "family effect" (p. 253) on organisational performance, suggesting that the skills and attributes that a family brings to

a business directly affect its performance. Some researchers, however, point to the potential negative effects (Habbershon et al. 2003).

Family business members' attitudes

A particular strength of family firms is that they are understood as having a distinctive and valuable human capital "that allows for unique and novel actions" (Sirmon & Hitt 2003, p. 341). This consists in the capabilities, skills, attitudes, strong work ethic and other intangible resources of family members employed in the firm (Barney 1991; Hitt, Bierman, Shimizu & Kochar 2001). Family members share the founder's family business culture: strong values, visions and behaviour. They take pride in preserving the family name, as it is closely linked to what it symbolically represents, and has great emotional significance. It stands for the long family history and its achievements, it represents the sacrifices made by the founding generation, and reflects the feeling of pride that family members feel, and the quality and excellence of the products made by the family firm (Cooper, Upton & Seaman 2005). Therefore family members have a high level of motivation and extraordinary commitment to the business (Donnelley 1964; Horton 1986; Rosenblatt, de Mik, Anderson & Johnson 1985; Sharma & Manikutty 2005; Ward 1988); they are loyal to the family and the firm, and feel a strong sense of belonging (Ward 1987).

Being introduced to the family business from a very early age, family members identify closely with the nature of the business. They are trained by skilled and knowledgeable family leaders (Dyer 1992), producing deep levels of firm-specific human tacit knowledge (Barney 1992; Cabrera-Suárez et al. 2001; Chirico & Laurier 2008; Grant 1996; Lambrecht & Donckels 2006; Nonaka & Takeuchi 1995; Smith 2001), which in turn enables a firm to be innovative and remain competitive in the marketplace (Grant 1996; Nonaka & Takeuchi 1995; Sirmon & Hitt 2003). Family members are willing to make sacrifices, work long hours, be flexible in their work roles, so as to make their business succeed (Rosenblatt et al. 1985). Strong family connections and warm and close family relationships (Horton 1986) inspire loyalty, and a sense of pride and shared purpose, which take precedence

over corporate values (Lyman 1991). These characteristics bind each family member together to form the implicit social ties of the family system. Davis (1983) and Lansberg (1983) highlight the way that a family business shares values and attributes with both the family and the business entities.

Intergenerational transition

One of the distinguishing characteristics of a family business is its long-term orientation, reflecting the founder's view of the business continuing beyond the lifetime of one generation. Anderson and Reeb (2003) identify this as a major performance advantage of family firms: "founding families view their firms as an asset to pass on to their descendants rather than wealth to consume during their lifetime" (p. 1305). Since recent literature indicates that only a small percentage of family firms survive transition to the second generation, their lack of longevity is a serious concern as family businesses contribute in a significant way to the social and economic well-being of developed economies around the world,. Smaller family businesses are particularly at risk, and statistics reveal that they generally survive only five to ten years (Perricone, Earl & Taplin 2001). Schumpeter (2004) highlighted succession risks in family businesses as early as 1928 when he wrote about the rise and decay of industrial family firms of the third generation which tend to lose market positions no matter how conscientiously they may be managed.

Succession

Succession is the transfer of leadership from one family member to another, often across generations. Handler (1994) describes this process as a "mutual role adjustment" (p. 136) between the incumbent and the successor, with mutual respect, trust and understanding between the two generations. Successful succession is determined through satisfaction of family members with the way in which the process is carried out, and at a later stage, through the effectiveness of the succession decision on the performance of the firm (Handler 1989a; Le Breton-Miller, Miller & Steier 2004; Morris et al. 1997). A successful

transmission of leadership can support a family business in maintaining its competitive advantage over other family and nonfamily firms (Bigliardi & Dormio 2009; Cabrera-Suárez et al. 2001; Galvin, Astrachan & Green 2007) by preserving its sense of familiness (Habbershon & Williams 1999) and its "idiosyncratic knowledge of family character" (Bjuggren & Sund 2001, p. 11). Although numerous elements influencing succession have been suggested (for example, Handler 1989a; Handler & Kram 1988; Harveston, Davis & Lyden 1997; Lansberg & Astrachan 1994; Morris et al., 1997; Sharma et al. 1997), knowledge of how multigenerational family businesses successfully survive, some into thriving family dynasties, remains embryonic and fragmented (Lansberg 1999; Sten 2001). Sharma, Chrisman, Pablo and Chua (2001) state that "the family business literature contains a plethora of studies about factors that could influence the succession process" (p. 17). Lambrecht and Donckles (2006) maintain that "the [succession] process requires the perspective of a multigenerational time frame and takes place in a rich stew of social, cultural, financial, legal, strategic, moral, and other dimensions that resist linear thinking" (p. 388).

Thus, it appears that succession is a lengthy extended process, and not a single event, perhaps as long as 20 years (Handler 1994). Handler (1990) describes this process as a slow, informal process of adjusting to new roles, involving a change in responsibilities and decision-making authority for the successor, and a parallel decrease in terms of authority for the incumbent. In the succession cycle, the successor usually enters the family firm at a low level, working his/her way up the ranks and learning about the daily operations and about the other co-workers, as s/he gains experience within the firm (Cabrera- Suárez et al. 2001; Churchill & Hatten 1987). The successor then moves into a lower management position, rising to a top management position until the founder is ready to "pass the baton" (Gersick et al. 1997, p. 92) to his/her successor, which may not occur until his/her retirement or death (Gersick et al. 1997; Lansberg 1999; Stafford, Duncan, Danes & Winter 1999). This cycle then begins again (Dyck, Mauws, Starke & Mischke 2002; Handler 1989a; Lansberg 1999).

The traditional approach to succession has tended to concentrate of the founder/owner (Goldberg 1996; Handler 1990), proposing that the founder sets a particular culture for the business which tends to overshadow the following generations (Davis & Harveston 2001; Eddleston 2008; Kansikas & Kuhmonen 2008; Kelly, Athanassiou & Crittenden 2000; Levinson 1971, 2002). The founder is often labelled as the entrepreneurial person responsible for the successful start-up of the business. They may also have unique skills and valuable tacit knowledge to manage the family firms. They have a distinctive leadership style, characterised by achievements, innovations, strategies, family traditions that shape and directly impact the family business (Garcia-Alvarez & López-Sintas 2001). When businesses achieve a high growth stage, they may face considerable difficulties due to lack of strong management skills (Fischer & Reuber 2003) which reinforces the founding generation in their belief that they are indispensable. The practice of letting go may be particularly difficult for the founder (Dyer 1986; Dyck et al. 2002; Kets de Vries 2003) and is often viewed as the biggest problem in succession (Davis 1982; Handler 1989a, Kepner 1983; Kets de Vries 1993). Equally important to the founder/owner's willingness to relinquish his/her leadership position at the helm of the family business is that the successor must have an interest in being involved in the family firm, and be willing to manage the family business (Berenbeim 1990; Dickson 2000; Handler 1994; Sharma 2004; Sharma, Chrisman & Chua 1997). Numerous studies have shown that the successor's willingness to take over the leadership of the family business supports the successful transition from one generation to the next (Bjuggren & Sund 2000; Neubauer 2003; Stavrou 1999).

More recently, the transition process has come to be viewed from multiple perspectives, from the perspective of the incumbent, the successor as well as the other family members (Sharma et al. 1997). Sharma and colleagues (2001) have developed a conceptual model drawing on the stakeholder theory (Freeman 1984; Mitchell, Agle & Wood 1997) and a number of behavioural, organisational, and economic theories, which integrates the multitude of studies on factors that may influence the succession process.

This model outlines the multifaceted interaction of five core factors: (1) propensity of the incumbent to step aside, (2) the successor's willingness to take over, (3) agreement among family members to maintain family involvement in the business, (4) acceptance of individual roles, and (5) succession planning. Sharma's important studies (Sharma et al. 2001; Sharma, Chrisman & Chua 2003b) provide valuable insights into the importance of the elements that influence the succession process. Her studies confirm the work by Handler (1989a) who suggests that incumbents and successors have different perceptions about each other and about the relationships among family members in relation to the succession process (Birley 2002; Eddleston 2008; Sharma & Irving 2005). The succession process is a complex and challenging task that imposes numerous changes simultaneously at the family, management and ownership levels (Handler 1992). Recent research has highlighted the lack of preparation and planning in the succession process (Aronoff 1998; Astrachan 2001; Lambrecht 2005; Lansberg 1999; Ward 1987). This failure to plan appropriately for succession is cited a major impediment to survival and longevity (Beckhard & Dyer 1983a, 1983b; Handler & Kram 1988; Murray 2003).

Knowledge, human tacit knowledge in particular, is regarded as the most valuable strategic asset that family businesses possess (Barney 1991; Conner & Prahalad 1996; Grant 1996; Lambrecht & Donckles 2006; Sirmon & Hitt 2003). The literature emphasises the role of the senior generation, which is to provide knowledge and experiences that provide the next generation with the ability to develop new strategies and recognise new opportunities for the business (Davis, Allen & Hayes 2010; Drozdow 1998; Eddleston 2008; Eddleston & Kellermanns 2007, Miller & Le Breton Miller 2006, Zahra, Hayton, Neubaum, Dibrell & Craig 2008). Cultivating the successor's knowledge and skills needs to be viewed as a lifelong, continuing process, beginning from an early age, culminating in the transfer of knowledge from the owner/founder to successor(s) (Cabrera-Suárez et al. 2001; Denis 2010). As Lansberg (1999) explains, "continuity in a family company depends on instilling a sense of stewardship in every generation" (p. 9). This means that the same factors which can help to create a sense of continuity can, if neglected, "conspire against continuity

unless the lesson is instilled in young people from an early age that the family business is not there to be milked for all it's worth" (Lansberg 1999, p. 9). This author points to the importance of tradition and involvement in the business from an early age. Children "learn about family traditions and values. The idea is ingrained that because of this tradition they will be held to high standards of conduct in their community" (p. 159).

Career development

Management scholars have taken an interest in studying the career development of family members, exploring how future generations make their decision to join, or not join, the family business (Dyer 1986, 1992; Rogal 1989; Stavrou 1996; Stavrou & Swiercz 1998). The motivation for the second- or third-generational successor to join or remain in the family firm is different from the first generation (Birley 1986; Handler 1992). According to Lambrecht and Donckles (2006), there are five ways in which the family business is transferred to a potential successor. Some successors join because they want to, by taking the initiative because they regard themselves as the suitable successor. In other cases, they are requested to join the family firm by an incumbent who wants the business to continue under the management of a family member. Others feel a moral sense of obligation, duty, or a sense of need to remain involved in the family business (Sharma 2004, 2006). Still others feel that they were predestined, nurtured, and the transfer is perceived as inevitable. The fifth way is by the transferors influencing a potential successor indirectly, and giving them a soft push which will encourage them to take the step.

Family businesses have long-term orientations: thus successors must be willing and fully committed to pursuing long-term careers in the family business (Barach & Gantisky 1995; Handler 1989a, 1992; Sharma & Irving 2005; Irving, Marcus & Sharma 2007). They need to determine whether joining the family business will develop or stifle their personal and career growth (Avila, Avila & Naffziger 2003; Venter, Boshoff & Maas 2005). Sharma and colleagues (1997) found that the successor is more interested in pursuing a career in

the family business when his/her career interests align with the opportunities available in the business, whether these opportunities are related to the influence that they may be able to exercise in the business, or to the possible rewards from the business. Based on research findings, it is important for the continuation of family firms to encourage next-generational family members to understand their life goals, and develop a commitment to the family and the business (Avila et al. 2003; Gilding 2000; Handler 1989a; Keating & Little 1997).

> If family businesses will survive from generation to generation, it is imperative to understand how the family business is selected as a life goal and how that goal is internalized for action (Moyer & Chalofsky 2008, p. 20).

Training and mentoring

Training is considered one of the key processes in planning and preparing the family firms for succession (Cabrera-Suárez et al. 2001; Handler 1989a, 1992; Lambrecht & Donckles 2006; Perricone et al. 2001; Ward 1987). This is said to be an ongoing and long-term process. Training of the next generation is fundamental for the development of the new family business leader. The family determines how best to implement training and mentoring (Boyd, Upton & Wircenski 1999). The next generation is groomed or mentored by spending time with the family, outside and inside the business, gradually developing "managerial human capital as a by-product of growing up" (Lentz & Laband 1990, p. 564). Mentors act as instructors or counsellors, "[they] use their knowledge of the culture of the business, the governing board, and the family to teach the neophyte all the subtle nuances associated with being the manager in the family dominated enterprise" (Dyer 1986, p. 128, in Le Breton-Miller et al. 2004, p. 309). Mentors assist in creating a link that helps to pass on knowledge, skills and organisational culture, and instils in the future successor a sense of confidence and belief that s/he has the aptitude and capability to succeed (Moyer & Chalofsky 2008) "The dialogue with the next generation should also cultivate the futuristic mindset and orientation" (Moyer & Chalofsky 2008, p. 48).

The next generations are socialised into the family business organisational culture from a young age by being included in business discussions at the dinner table and through shop-talk (Dyer 1986, 1992; Handler 1994; Stavrou & Swierz 1998), by visiting and doing small, but useful jobs in the business, and through part-time or holiday employment within the firm (Davis & Harveston 1998; Lansberg 1999; Lee, Lim & Lim 2003; Le Breton-Miller et al. 2004; Sharma et al. 1996, 2003a). Being exposed directly to the business, they develop the skills required by the firm (Barach & Gantisky 1995; Cabrera- Suárez et al. 2001) and grow up understanding the business, its customers, its competitors and most importantly, its economic advantage (Dyer 1986, 1992). Potential successors are encouraged to undertake higher professional qualifications (Danco 1980; Gallo 2002). Formal education is highly valued, and has been found to support a smooth transition and a higher level of post-succession performance (Morris et al. 1997). They may also be encouraged to work outside the family firm for a period of time, in other companies and jobs, in order to gain management experience, industry knowledge, build credibility and legitimacy (Barach, Gantiski, Carson & Doochin 1988; Dyer 1986; Morris et al. 1997), and develop a stronger sense of identity and self-confidence (Barach & Gantisky 1995). These are all skills that will help the family business survive in the future (Chrisman, Chua & Sharma 1998).

Successors generally hold very similar attitudes and characteristics to those of their parents (Birley 2002; Handler 1994; Kanter 1977), have a strong work ethic and are willing to work long hours, often unpaid, in order to help the business to succeed (Rosenblatt et al. 1985). Long term training and mentoring promotes their sense of close attachment to the business, the product, the family and non-family employees, forming a close relationship with what the business represents, and strengthening their sense of ownership and commitment to both the family and the business (Horton 1986; Lambrecht & Donckles 2006). Being a firm of the family, transmission of the family business involves not only passing on a financially successful business, but also transmitting skills,

knowledge, as well as attitudes, an understanding of the idiosyncratic organisational culture and valuable family and business traditions (Kansikas & Kuhmonen 2008; Kellermans & Eddleston 2004; Rosa 2008).

Multigenerational family businesses

Multigenerational family businesses are not a new phenomenon. Some are old, some ancient, real family business dynasties that have been continuing for centuries, for example the Rothschild family (in Germany), Schindler (Switzerland), Mars and Cargill (US), Agnelli (Italy), Smorgon and Myer families (Australia) and many other barons of European and US industry as well as ancient Asian dynastic businesses. However, until the present there has been very little research into multigenerational family businesses (Sonfield & Lussier 2004). Overall, academic research in the field of business has considered issues related to multigenerational family firms only as a tangential part of other more prevalent family business issues. As effective transmission is generally regarded as critical in the transfer of the family business from one generation to the next, the topic of succession, accompanied by issues related to family dynamics and relationships, dominates the literature on multigenerational family firms.[8] Handler's doctoral thesis (1989a) on the issue of succession is of particular interest as it sheds new light on this issue by viewing the process from the perspective of the second-generation family member. Lee's study (2006b) of two generations of family firms offers a valuable insight into the complex family relationships, showing that although family cohesion is important, family adaptability in particular significantly affects the work satisfaction and organisational commitment of the second generation. Hamilton's recent work (2011) contributes towards understanding how entrepreneurial learning is reproduced and transformed over two generations. Other studies have suggested a variety of possible differences between first generation and subsequent generation family firms (Beckhard &

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[8] Davis 1983; Davis & Harveston 1998; Gersick et al. 1997; Handler 1994; Jaffe & Lane 2004; Lambrecht 2005; Lambrecht & Donckels 2006; Miller et al. 2004; Murray 2003; Sten 2001; Upton & Heck 1997; Venter et al. 2003, 2005.

Dyer 1983b; Davis & Harveston 1998, 2001; Dyer 1988; Schein 1983). Most of these studies span across two generations, with only very few studying three or more generations.

Familiness across generations

Sonfield and Lussier's (2004) large-scale quantitative analysis of similarities and differences among 161 first-, second-, and third-generational family firms in the US has discovered that the various generations share the same characteristics and behaviour patterns. This study emphasises the strength of familiness across generations. Other researchers, however, have found differences between generations. Schein (1983), Dyer (1988), and McConaughy and Phillips (1999) found that first-generational managers have a paternalistic culture and style, which becomes more professional in succeeding generations, due to the increased size of the firm, rather than due to the generational factor. However others suggest that conflict among family members increases in relation to the larger number of family members involved in the business in subsequent generations, and the type of relationship they share (Beckhard & Dyer 1983b; Davis & Harveston 1999, 2001; Lansberg 1999; Montemerlo 2005). As family businesses enter the second or third generations, the number of family members involved multiplies (children, grandchildren, cousins, in-laws). Therefore family complexity increases with each subsequent generation (Gimeno Sandig, Labadie, Saris & Mayordomo 2006; Miller & Le Breton- Miller 2006). Accompanying this there is a dilution of shareholdings that may impact negatively on the family members' relationships (Thomas 2002; Ward & Dolan 1998). Labaki (2007) found that although family ties appear to strengthen in the second generation, they then weaken significantly in the third. Vilaseca (2002) attributes this to the decreasing amount of equity owned by the shareholder: the lower the equity, the lower the family member's commitment to the business. Family members who maintain an active presence, as well as a relative amount of equity in the firm, have a higher commitment and an economic incentive to diminish conflict and maximize firm value (Demetz & Lehn 1995; Sorenson 1999). Lambrecht and Lievens (2008) suggest that in

order to avoid the negative effects of family complexity, and regain family cohesiveness and harmony, as well as business performance, simplicity needs to be reintroduced into the family business governance and ownership in subsequent generations by "pruning the family tree" (p. 295). Alternatively the family business may be broken up into separate units, with family members in charge of each unit (Pascoe, 2002). The need for effective ownership and governance structures and processes across generations is considered crucial for the continuation of family firms across multiple generations, and this topic is currently receiving attention (Hutcheson, Lane & Jaffe 2003).

A new perspective on three-generational family firms, dealing with immigrant self-employment across three generations of male immigrants and male natives in Sweden, has recently been offered by Andersson and Hammarstedt (2010). The study supports previous research (Dunn & Holtz-Eakin 2000; Fairlie 1999; Fairlie & Robb 2007; Hout & Rosen 2000; Lentz & Laband 1990) on two generational studies that shows that having a self employed parent, as well as having a self-employed grandfather, has a positive effect on self-employment (two-three times more likely to be self-employed). Although researchers have called for a better understanding of multigenerational family firms, the dearth of qualitative, as well as quantitative literature on this topic is of grave concern to researchers in family business (Morris et al. 1997; Sonfield & Lussier 2004).

Setting the pace

This literature review on family business has identified a series of gaps and problems: (1) the difficulty for family businesses to survive beyond the third generation; (2) the difficulty to identify the degree of interaction between family and business: while it is increasingly accepted that family influences business, it is still unclear how business affects family; (3) although it is accepted that there is a synergetic interaction between the two systems, it is not yet clear where the point of convergence is; (4) the notions of the overlapping systems and of the enmeshed system highlight an integrative view, but it is still not clear how this coming together of family and business occurs; (5) the concepts of familiness and human

capital further add to the notion that family determines the fate of the family business, but data about how precisely this happens is still missing; (6) the literature and scholarly work have provided new insights into these issues, and pointing to the level of personal involvement and responsibility of family members also in relation to issues of intergenerational transition, succession, career development and training and mentoring within the family business; (7) finally multigenerational familiness and family business across generations are increasingly alerting scholars to the necessity to elaborate on the conditions that favour them beyond the second generation. Although important in their singularity, these seven points have, however, something in common: they all depend on each other. This means that it is necessary to identify the linking element that would allow to address them singularly but also in their interdependence. As proposed in chapter 2, this element is given by the notion of values as the glue that keeps together the first, second, and third generations of a family business. As stated in chapter 2, values are intangible, or non-economic, elements; however, their influence on individual family members and businesses is such that they produce value across three generations. The model proposed in this thesis (see model in chapter 1, figure 1.3) starts with the input of the first generation. This generation is considered the founding entrepreneurial generation, the genetic matrix that sets the pace, the system and structure for all subsequent generations. Therefore, before entering into the discussion of the values across generations, we need to have a closer look at the first generation and the entrepreneurial dimension of their action and legacy.

Chapter 4

The Entrepreneurial Origin of Family Business

In this thesis, I investigate three-generational family businesses. As explained in chapter 3, there are very few studies and research that cover three generations, and where they have been conducted, the process of research appears to be rather more focused on the organisational management of the family business. The first generation is usually taken for granted, and little or no detailed research is available about how this generation came to be in the position of establishing a family business, and how they initiated an entrepreneurial action out of nothing. The reason for the neglect of the first generation is due to a lack of historical material and facts that could provide a realistic reconstruction of the entrepreneurial action of the founder of a family business. It is one important objective of this thesis to shed light on the origin of a family business. The first generation is understood as the entrepreneurial generation, hence this chapter provides a selective literature review of the main issues surrounding entrepreneurship and ethnic entrepreneurship relevant to our discussion.

Defining the boundaries in entrepreneurship research

Surprisingly, to date, a generally accepted interpretation of what entrepreneurship is, and what/who an entrepreneur is, has not yet been developed. The field continues to show differing paradigms (Bygrave 1989a, 1989b; Bygrave & Hofer, 1991; Ireland, Webb & Coombs 2005; Shane & Venkataraman 2000; Steyaert & Katz 2004; Venkataraman 1997) and to be highly fragmented (Fayolle, Kyrö & Ulijn 2005; Gartner 2001; Landström 2005; Wiklund, Dimov, Katz & Shepherd 2006), often due to researchers' roots in different disciplines (Filion 1988, 1998; Hagstrom 1965; Harrison & Leitch 1994). Bygrave and Hofer have noticed "in general, a lack of preciseness starting at the very root of the paradigm, the definition of an entrepreneur" (1991, p. 13), and argue that theorising about entrepreneurship has been stifled by: (1) lack of definitional consistency; (2) overemphasis

on the entrepreneur to the detriment of the entrepreneurial process; (3) methodological approaches that are not suited to the realities of the entrepreneurial setting. Numerous researchers have expressed their concern that the lack of clear and precise definitions has impeded progress in this, and associated fields (Blackburn & Smallbone 2008; Bruyat & Julien, 2000; Gartner 1985, 1989, 1990, 2001, 2004, 2008; Low & MacMillan 1988; Lumpkin & Dess 1996; Sexton & Smilor 1986; Venkatamaran 1997; Vesper 1983). Venkataraman suggests that "the future of entrepreneurship field is limited only by our inability to build cumulative knowledge", a limitation that he considers as originating from "incompatible theoretical viewpoints" (1997, p. 136).

Low and MacMillan (1988) suggest that "the [entrepreneurship] field would be better served in the future if the issue of theoretical perspective is addressed directly and unstated assumptions avoided" (p. 146). Gartner (2001) supports this view, recognizing that the differences in beliefs about entrepreneurship are splintering the field into numerous different "parsimonious and coherent research foci" (p. 27). It is therefore difficult to develop a "science of entrepreneurship", as scholars are still attempting to achieve (Butler 2003, p. 44). Filion (1998) asserts that confusion arises due to the fact that entrepreneurship attracts specialists from different disciplines; but he also observes that amongst the confusion, there exists some agreement amongst scholars of the same discipline: "On the other hand, if we compare the definitions produced by specialists within the same field, we find a quite astonishing consensus" (p. 10). He joins the choir of those who think that "the apparent confusion basically reflects the differing logic and cultures" of these various disciplines involved in entrepreneurship research.

The first theoreticians

Following on from the very early pioneering work of Cantillon (1755) and Say (1803; 1815; 1839), who concentrated on the entrepreneur-business organiser, the influential work of Schumpeter in the 1930s and 1940s is considered fundamental in launching the field of entrepreneurship by linking it to innovation achieved through episodes of creative

destruction. His impressive work shows entrepreneurship exclusively embedded in economic contexts (Casson 1982; Hebert & Link 1988; Schumpeter 1935, 1949), where entrepreneurs were understood as innovators in a business activity, emphasizing the role of entrepreneurs in the process of economic development. Schumpeter interprets entrepreneurship from the perspective of innovative combinations of available resources and portrays the figure of the entrepreneurial type as "peculiar and rare by nature" (1934, p. 85). The Schumpeterian entrepreneur reacts against the inertia that "lies in the psyche of the businessman himself" (1934, p. 86). The innovative process results in the creation of a new business which may develop successfully (Kirchoff 1991, 1994). Most of the economists that followed Schumpeter have continued to associate entrepreneurship with innovation (Baumol 1968, 1993; Leibenstein 1978; Schloss 1968).

Schumpeter's theories build on Mill's work (1948) that brought the term entrepreneurship into the field of the economists, concentrating on the entrepreneur as a risk-bearer. Schumpeter's theory of entrepreneurship, however, disagreed with the characteristic of risk-bearing: risk-bearing, he argued, was associated with ownership (or investors of capital), and that entrepreneurs were not necessarily owners/capital investors.

> First, risk bearing is no part of the entrepreneurial function. It is the capitalist who bears the risk. The entrepreneur does so only to the extent to which, besides being an entrepreneur, he is also a capitalist, but *qua* entrepreneur he loses other people's money (Schumpeter 1939, p. 104).

The individual and its traits

Research in family firms reveals a positive relationship between an entrepreneurial orientation, including risk-taking, and the performance of the firm, partly because management and ownership are jointly held in family firms (Daily & Dollinger 1992; Schulze, Lubatkin & Dino 2003; Zahra 2005). Numerous other researchers continue to maintain that risk-bearing is a prevalent characteristic of the entrepreneurial function

(Cummings 1980; Knight 1921, 1942; McClelland 1961, 1986; Timmons 1978, 1994; Welsh & White 1981). From the mid-1960s the literature began to propose new perspectives, suggesting that entrepreneurship is a result of psycho-dynamic processes (Carland, Hoy, Boulton & Carland 1984), or is driven by cognitive activity (Kruger 2003, 2007; Kruger & Brazeal 1994; Mitchell 2005, Mitchell, Busenitz, Bird, Gaglio, McMullen, Morse & Smith 2007). These behaviourist approaches, proposed by psychologists, psychoanalysts, sociologists and other researchers from the human behaviour field, are similar in that they reposition the debate by proposing the notion that entrepreneurship is in the mind of the entrepreneur.

McClelland (1961, 1967) is recognised as the author who launched the traits approach by identifying the personal traits and behaviours manifested by individuals, in an attempt to differentiate between entrepreneurs and non-entrepreneurs. His line of thinking (which echoes the ideas proposed by Maslow 1943) has been supported and further expanded by numerous authors over the years.[9] Some of the key personality traits of entrepreneurs (compared to non-entrepreneurs) have been identified as:

- a high need for achievement (Borland 1974; Hornaday & Aboud 1971; McClelland 1967; McClelland & Winter 1969; Mescon & Montanari 1981),
- a propensity for risk-taking (Brockhaus 1980; Cummings 1980; Glassman 1986; McClelland 1961, 1986; Timmons 1978, 1994; Welsh & White 1981),
- a pronounced need for autonomy and independence (Hornaday & Aboud 1971),
- innovation and creativity (Hornaday & Aboud 1971; Kirzner 1999; Welsh & Young 1982),
- having an "expert mind-set" (Krueger 2007, p. 123).

[9] Baron 1998; Brockhaus 1980; Carland, Hoy, Boulton & Carland 1984; Chell, Haworth & Brearley, 1991; Collins & Moore 1964; Hornaday & Abound 1971; Kets de Vries 1977; McClelland 1961; McClelland & Winter 1969; Mitchell, Busenitz, Lant, McDougall, Morse & Smith 2002; Palmer 1971; Timmons 1978.

Other researchers suggest that entrepreneurs have confidence in their own capabilities and abilities to commence and conclude actions through their own doing, and feel a sense of responsibility for their own success (Amit, Glosten & Muller 1993; Borland 1974; Brockhaus & Nord 1979; Low & MacMillan 1988; Mescon & Montanari 1981; Rotter 1966; Timmons 1978). By focussing on the alert discovery of profitable opportunities as the key to understanding entrepreneurship, Kirzner (1999) argues that entrepreneurs possess psychological qualities such as self-confidence, determination, boldness and creativity, traits which support them in making discoveries as well as profiting from these discoveries. Through his notion of 'effectual reasoning', Sarasvathy (2001b) argues that entrepreneurs are effectual thinkers who make use of their means or personal resources to start entrepreneurial actions. In describing an entrepreneurial mind, Timmons (1994) concentrates on the attitudes and behaviour of successful entrepreneurs (in a similar vein to Murray 1938). An attempt to compile a comprehensive list of entrepreneurs' characteristics is offered by Ward (2005). However, efforts to describe the entrepreneurial personality, and to isolate a set of personality traits that are unique to entrepreneurs have not succeeded (Brockhaus & Horwitz 1986; Mitchell, Busenitz, Lant, McDougall, Morse & Smith 2002; Sexton & Bowman-Upton 1991; Shaver 1995).

The traits approach was challenged on the basis that the social context confronting the individual is ignored: according to Gartner, the entrepreneur cannot be "assumed to be a particular personality type, a fixed state of existence" (1989, p. 48). He argues that the question "who is an entrepreneur?" which forms the basis for the trait theory is not correct and that it should rather be "how do organisations come into existence?" (1989, p. 62), thus shifting the emphasis to the behaviour of the entrepreneur within a given context, rather than the psychological characteristics. Gartner (1989) suggests that entrepreneurship involves new organisations being created. Others view the crucial dimension as being that innovation (or entrepreneurial discovery) has occurred (Brazeal & Herbert 1999; Covin & Miles 1999; Ireland & Webb 2007; Kirzner 1997). Sharma and Chrisman (1999) summarised the definitions that appeared in the literature to that time,

and proposed an inclusive definition of entrepreneurship as "acts of organisational creation, renewal or innovation that occur within or outside an existing organisation" (p. 17).

The social context in entrepreneurship

Since the 1980s, an increasing number of studies have continued to explore the social context as the productive dimension of entrepreneurship (Downing 2005; Ellis 1982; Filion 1991; Goss 2005a; 2005b; Johnson 1990; Julien & Marchesnay 1996; Reynolds 1991; Shapero 1982; Steyaert & Hjorth 2006; Toulouse 1979). This has led to a contestation of approaches positioned in entrepreneurial cognitions research, focussing on aspects of information processing and decision making (Busenitz 1992; Busenitz & Barney 1997; Daniels, Harris & Briner 2004; Hitt, Ireland, Camp & Sexton 2001; Ireland, Hitt, Camp & Sexton 2001; Ireland, Hitt & Sirmon 2003), and in the area of psycho-cognitive personality traits (Ashkanasy, Härtel & Zerbe 2000, Ashkanasy, Härtel & Daus 2002; Fineman 1996, 2000; Goss 2005a, 2005b, 2007). Mitchell, Busenitz and colleagues (2002), have defined entrepreneurial cognitions as "the knowledge structures that people use to make assessments, judgements or decisions involving opportunity evaluation and venture creation and growth" (p. 97), in an effort to answer the fundamental question "how do entrepreneurs think?" as interpreted within the social context of new value creation.

Cognitive strengths

New entrepreneurial cognitive constructs have been developed to explain how entrepreneurs make strategic decisions (Alvarez & Busenitz 2001) and decisions related to new venture formation (Herron 1990; Shane & Venkataraman 2000), particularly in cross-cultural settings (Mitchell, Smith, Seawright & Morse 2000; Mitchell, Smith, Seawright, Morse, Peredo & McKenzie 2002). Approaches used include the entrepreneurial heuristics-based approach (Baron 1998, 2004; Busenitz & Barney 1997; Simon, Houghton & Aquino 2000), the entrepreneurial alertness theory (Gaglio & Katz 2001; Kirzner 1979, 1985), the entrepreneurial information processing-based expertise approach (Gustavsson

2004; Mitchell 1994; Mitchell et al. 2000; Mitchell et al. 2002), and the effectuation theory (Sarasvathy 2001a, 2001b; Sarasvathy & Simon 2000). These approaches, which are complementary, focus on the ways in which entrepreneurs identify opportunities, how they pursue venture start-ups, and how the situation affects the entrepreneur's thinking and decision-making. Developments in cognitive appraisal approaches concentrate on understanding the link between social interaction and individual emotional responses (Scheff 1990; see also Goss, Jones, Betta & Latham 2011) and how the role of emotions in entrepreneurial motivation and leadership can become a valuable entrepreneurial resource (Brundin 2002; Brundin, Patzelt & Shepherd 2008; Goss 2005a, 2005b, 2007; Jayasinghe, Thomas & Wickramasinghe 2008).

Social interactions in entrepreneurship

Accounts of these approaches propose a critical understanding of the social entrepreneurial identity: this perspective, referred to by Fletcher (2003) as the "fifth movement in entrepreneurship research", emphasises how social interactions are fundamentally important in the entrepreneurial process and in perceiving opportunities (Downing 2005; Goss 2005a; Gaglio & Katz 2001; Jones, Latham & Betta 2008). This approach perceives entrepreneurial activities and characteristics as continually evolving, "dynamic and constantly emerging, being realised, shaped and constructed through social processes" (Fletcher 2003, p. 127), such as language (through discourse analysis) (Mills & Pawson 2006; Rigg 2005). Presently the field of entrepreneurship is rapidly expanding in a wide array of disciplines, with an increasing number of new directions for theory and research developing from multidisciplinary and interdisciplinary perspectives (Mitchell, Busenitz et al. 2007), even though a certain amount of polarisation between economic/commercial and social entrepreneurship (Austin, Howard & Wei Skillern 2006) has occurred.

Linking entrepreneurship theories to the first generation in this research

These theories shed light on interpreting the entrepreneurial actions of the first generation Italian-Australians in my study. These are the people who are considered *the entrepreneurs* in two different ways: firstly because the process of change activated by their decision to migrate represents a form of entrepreneurial effort to create something new in *personal* terms, and secondly because the first Italian-Australians created something new in *economic* terms. The theories of entrepreneurship have neglected an important dimension related to personal entrepreneurship resulting from the life of individuals. Betta, Jones and Latham (2010) have tackled this topic, predominantly from a theoretical perspective. My study however deals with this topic from a different perspective, analysing the practical consequences of personal entrepreneurship which arise as an outcome of the process of migration, of transitioning from the old to the new, breaking out of the old life, into a new life, with new emerging opportunities and conditions, relying on their personal resources. In this thesis, I propose to interpret personal entrepreneurship as an action that makes use of personal resources in a new condition which may lead to innovative activity and the creation of a new enterprise, such as a family business. Although some work has been conducted on how individual opportunity thinking emerges under certain conditions (Sarason, Dean & Dillard 2006), this does not explain how people manage to transform a process of personal change into a positive entrepreneurial outcome. This notion of change links back to Schumpeter (1935, 1949, reprinted in 2004; see also Heertje 2004). According to Schumpeter, the entrepreneur possesses personal qualities which assist him/her challenge conventions which shape their lives (1934, p. 85) and gain new experiences and perceptions, thus facilitating the disconnection from society and the conventions that surround him/her. His emphasis on the individual as an innovator, one who breaks out of the mould created by society with his/her skills and experience, to create innovatory processes within the sphere of the economic domain is shared by other economic theorists who follow him (Baumol 1968, 1990, 1993; Higgins 1959; Kent, Sexton & Vesper 1982; Leibenstein 1968, 1978; Schloss 1968).

Ethnic entrepreneurship

The family businesses that I have researched in this thesis were founded by Italian migrants (refer to Appendix 2 for a brief history of Italian migration to Australia); consequently, their contribution can also be studied from the perspective of that field described by scholars involved in migration theory as ethnic entrepreneurship. Aldrich and Waldinger (1990) define ethnic entrepreneurship as "a set of connections and regular patterns of interaction among people sharing common national background or migratory experiences" (p. 112), and is regarded as "a possible outcome of the patterns by which intra- and inter- group interactions are structured. […] Ethnicity is acquired when the social connections among ethnic group members help establish distinct occupational, industrial or spatial concentrations" (p. 132).

Concepts and terms

In the study of ethnic entrepreneurship, it is necessary to clarify some basic concepts and definitions. *Ethnic* is generally used interchangeably throughout the literature with the term immigrant and sometimes with minority (ethnic business, immigrant business, and minority business, as well as ethnic entrepreneurship, immigrant entrepreneurship, and minority entrepreneurship), often without attempts at definition. Although the distinction is not always apparent, there are subtle differences between the three categories. Immigrants are a distinct group of people who undertake the process of migration and establish themselves in a different native community. They generally form informal, as well as sometimes more formal networks, structures and organisations in the new country of various types: religious, recreational, educational and professional (Breton 1964; Chan 2000; Fuglerud & Engebrigtsen 2006; Light 1993; Portes 1995; Zimmer & Aldrich 1987). The term *ethnic* refers to differences between groupings of people, and when used in reference to a group, it implies that the members of such a group possess attributes in common according to their origin and culture (Reitz & Sklar 1997; Yinger 1985). This may include citizens of a country, first-generational immigrants, and may be extended to their offspring of second, third generation, who all share "a set of common cultural traits"

(Oommen 2001). *Ethnicity* is defined by Aldrich and Waldinger as "self-identification with a particular ethnic group, or a label applied by outsiders" (1990, p. 131), and may refer to a particular ethnic group deriving from a definite country of origin, or to a larger grouping of peoples who share a similar background or culture, such as Hispanics and Blacks (Light & Gold 2000). Other common markers of ethnicity include culture/country of origin, for example Chinese/Indians in Singapore (PuruShotam 1992). *Minority* is a term that refers to the indigenous population, as well as immigrant and ethnic populations. Studies show that immigrant and ethnic entrepreneurs differ from the indigenous population (Kloosterman & Rath 2001, 2003; Rath 2000), and the entrepreneurial experiences of African-Americans has dominated in this field (Butler 1991; Waldinger 1996).

From immigrant to ethnic entrepreneurship

The two terms that are more often co-mingled are *ethnic* and *immigrant*, and there appears to be no definite agreement on the use of these terms. Light (1972) adopts the term *immigrant entrepreneur* to refer to first-generational immigrant entrepreneurs, whilst referring to the second generation as *ethnic entrepreneurs.* Chaganti and Greene (2002) use ethnic entrepreneur to refer to individuals who identify, at a personal level, with a cultural community or grouping, regardless of generation, so the focus is on "the owner-manager's level of personal involvement in the ethnic community" (p. 139). Lampugnani and Holden (1989) maintain that the term *ethnic business* is the term conventionally used for businesses created by non-English speaking background (NESB) immigrants and subsequent generations. In general, ethnic entrepreneurship is widely used to refer to businesses owned by immigrants and members who share similar ethnic origins, culture and ethnic structures. In this thesis I use the term *ethnic entrepreneurship* loosely as business ownership by immigrant and ethnic-group members. As the first generation is the migrated generation, this term clearly refers to it. Hence, because the first generation in my thesis were immigrants in Australia, it is appropriate to have an overview of the various aspects of their experiences. These are captured in the theories that focus on ethnic entrepreneurship. However, the second and third generation need to

be considered descendants of migrants, inasmuch as they were born in their country of residence it is difficult to speak of them as migrants.

Some researchers argue that ethnic or immigrant entrepreneurship is a distinct field of intellectual enquiry in the broad area of entrepreneurship study due to the specific conditions that these entrepreneurs face, such as migration experiences and the adaptation to new countries and new political, economic and cultural environments. Significant studies in North America,[10] Canada, and more recently in Britain and other European countries, have demonstrated that enterprises established by immigrants have made valuable contributions to the economy of the host country. Ongoing research in different countries and regions is being directed to explaining how and why members of some immigrant minorities have made "unrelenting efforts [...] to surmount obstacles impeding their entry into the mainstream of American society" (Portes & Manning 1986, p. 47). These and other authors investigate why these migrants engaged in business formation and ownership in higher numbers than in the host society (Clark & Drinkwater 2000; Fairlie 1999; Fairlie & Meyer 1996; Ley 2006; Razin 1993), in an effort to answer the question "why some visibly identifiable and stigmatized groups make it through business and others do not" (Carter & Jones-Evans 2000, p. 185).

Research also shows that there are differences in the entrepreneurial behaviour, activities and performance of various ethnic groups within a country as well as internationally.[11] Ethnic entrepreneurship is recognised as a distinct form of entrepreneurship that has developed diverse conceptual approaches concentrating on the entrepreneurial personal and business characteristics of groups of immigrants. In the following Table 4.1 I have listed several references related to ethnic/ immigrant entrepreneurship which although not directly connected to my thesis, I would like to acknowledge because of their importance in the field.

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[10] The seminal work by Ivan Light, *Ethnic Enterprise in America* (1972) is a major early contribution to the field of entrepreneurship in the US.
[11] The best known and documented examples are the Chinese, Koreans and Japanese in the USA, South Asians in Britain, and the North Africans and Turks in France.

Table 4.1: References on ethnic / immigrant entrepreneurship

Entrepreneurial personal and business characteristics of groups of immigrants	Aldrich & Waldinger 1990; Barrett, Jones & McEnvoy 1996, 2001;Bonacich, Light & Wong 1977; Chavan 2000; Collins & Castles 1989; Collins, Gibson, Alcorso, Castles & Tait 1995; Kesteloot & Mistiaen 1997; Ma Mung & Simon 1990; Min 1988; Perreault, Brenner, Menzies, Filion & Ramangalahy 2007; Peters 1999; Portes & Manning 1986; Portes & Zhou 1992; Smallbone, Bertotti & Ekanem 2005; Waldinger 1986a 1996; Ward & Jenkins 1984; Wilson & Portes 1980; Zhou 1992, 1995. 2004b.	High presence of ethnic business	Carter & Jones-Evans 2000; Clark & Drinkwater 2000; Fairlie 1999; Fairlie & Meyer 1996; Portes & Manning 1986; Razin 1993.
		Disadvantages & discrimination	Berthoud 2000; Carmichael & Woods 2000; Gans 1992; Heath & McMahon 1997, 2000; Perlmann & Waldinger 1997; Portes & Zhou 1993; Waldinger & Feliciano 2004; Zhou 1995.
Resources of ethnic groups	Aldrich & Zimmer 1986; Boissevain & Grotenbreg 1985, 1987; Bonacich 1973; Greene & Chaganti 2004; Light 1972, 1980, 1984; Light & Gold 2000; Waldinger, Aldrich & Ward 1990b; Waldinger & Der-Martirosian, 2001; Ward & Jenkins 1984; Zhou 2004a, 2004b.	Transnational activities	Aldrich 1980; Basu 1998, 2004; Barrett et al. 2001; Bonacich et al 1977; Betta 2003; Boubakri 1999; Chan 1997; Cordero-Guzman, Smith & Grosfoguel 2001; Fuglerud & Engebrigtsen 2006; Lever-Tracy, Ip, Kitay, Phillips & Tracy 1991; Li 1992; Light 1972, 1980; Light & Bhachu 1993; Ma Mung & Dihn 2007; Ma Mung & Guillon 1986; Ma Mung & Simon 1990; Min 1988; Morawska 2004; Peters 2002; Peterson & Meckler 2001; Portes & Bach 1985; Portes & Rumbaut 1990; Ram & Jones 1998; Rieff 1987; Waldinger, Aldrich & Ward 1990a, 1990b, 1999; Waldinger & Der-Martirosian, 2001; Ward & Jenkins 1984; Werbner 1990.
Ethnic networks	Aldrich, Rosen & Woodward 1987; Aldrich et al. 1997; Aldrich & Zimmer 1986; Aldrich & Waldinger 1990; Bonacich, Light & Wong 1977; Chaganti & Greene 2002; Chu 1996; Granovetter 1973, 2003; Kim & Aldrich 2005; Light 1972; Light & Gold 2000; Ram 1994; Waldinger et al. 1990a; Werbner 1990; Wilson & Martin 1982; Wilson & Portes 1980; Zhou 1992.		
		Ideologies and ethnic entrepreneurship	Greenhalg 1994; Lee & Tan 2001.

Three theoretical approaches

Over the past 30 years, numerous theories and concepts on ethnic entrepreneurship have been developed and argued. The three major theoretical perspectives to explain ethnic entrepreneurship are: the cultural, the structural, and the interactive. Robichaud (1999) provides a thorough overview of these theories.

The culturalist approach

The *culturalist approach* has various anthropological, sociological and psychological approaches that focus on the concept of ethnicity rather than on economic factors, arguing that some ethnic groups are endowed with social institutions and cultural values (ethnic resources) that promote entrepreneurial spirit and talent (Wilson & Portes 1980). Some cultural theorists argue that the individual psychological traits and the group behaviours have supported their development of small business. Blackburn (1993) maintains that the primary motivational factors for people from ethnic minorities to enter self-employment are linked to their desire for independence and autonomy. Others maintain that the collective solidaristic and psychological cultural attributes of some immigrant groups are valuable resources that aid them in establishing entrepreneurial business activities in the host country (Boissevain & Grotenbreg 1985; Bonacich 1973; Caudill & de Vos 1956; Light 1972; Ward & Jenkins 1984). They argue that religious beliefs or ideologies, such as Confucianism (Greenhalg 1994; Lee & Tan 2001), strong family values, and ethnic group solidarity arising from kinship and ethnic community ties are valuable resources that contribute to their entrepreneurial drive and success.

In his groundbreaking work *Ethnic Enterprise in America*, Light (1972) proposes that ethnic groups are able to collectively organise connections and resources (money, labour, advice etc.) required to establish small businesses are overrepresented in the self-employed sector of the US economy. Some researchers suggest that ethnic entrepreneurship supports upward mobility among immigrant minorities achieved in the course of their working careers (Gans 2007; Iganski & Payne 1996; Light & Roach 1996;

Nelson & Tienda 1985; Portes & Bach 1985; Portes & Jensen 1989; Portes & Zhou 1992; Valenzuela Jr 2001; Wilson & Martin 1982). Others however contest this, arguing that immigrants still face disadvantages and discrimination, which sociologists call *ethnic penalties* which hinder their progress (Berthoud 2000; Carmichael & Woods 2000; Gans 1992; Heath & McMahon 1997; Portes & Zhou 1993; Zhou 1995). This issue is still open for debate and some studies have reassessed some of the premises used to formulate its premises and propositions (Perlmann & Waldinger 1997; Waldinger & Feliciano 2004).

While the culturalist approach may be useful due to its emphasis on the family and cultural environment of the country of origin which may predispose particular immigrant groups in initiating entrepreneurial activity, it has numerous limitations. It is contested as it does not consider the role of the economic environment in which the ethnic business operates (Min 1988; Waldinger 1986a; Waldinger, Aldrich & Ward 1990a). Ethnic businesses concentrate in niche markets with low costs of entry which are generally abandoned or not exploited by mainstream communities and business. However it is recognised that dependence on ethnic resources may eventually restrict the economic freedom of the ethnic business (Light & Gold 2000) as the constrained ethnic networks may reduce the opportunities for potential growth and expansion (Chaganti & Greene 2002; Light & Gold 2000; Ram & Deakins 1996; Waldinger et al. 1990a), and stifle attempts to "make the transition to membership in the larger, more extensive, and sophisticated exchange networks coordinated by formal institutions and the rule of the law" (Woolcock 1998, p. 163).

The structuralist approach

The *structuralist theory* places emphasis on the social, political and economic structures of the host society in order to explain the high concentration of immigrants in self-employment. The structuralist approach considers the socio-economic phenomena that hinder opportunities for upward mobility that contribute to the establishment of a particular model of entrepreneurial activity as an alternative to unemployment or as a last

resort in response to blocked opportunities in the labour market due to lack of education, lack of language proficiency, non-recognition of qualifications in the new setting, and the problems associated with having skills that are not required in the host's labour market. This blocked mobility approach investigates the discrimination that exists against immigrants on the labour market, which leads to segregation and ghettoization (Collins, Gibson, Alcorso, Castles & Tait 1995): this form of self-protection or insularity is characteristic of intra-community commerce. A substantial body of research supports this theory that due to blocked mobility opportunities of many NESB migrant workers in the USA, Canada, Western Europe and Australia, small business becomes a viable option that offers financial rewards as well as independence and a work environment free from discrimination and prejudice (Boissevain, Blaschke, Grotenberg, Joseph, Light, Sway, Waldinger, Ward & Werbner 1990; Castles & Collins 1989; Castles, Collins, Gibson, Tait & Alcorso 1991; Collins et al. 1995; Waldinger et al. 1990a, 1990b; Ward & Jenkins 1984).

Variations of the blocked mobility model include the status gap theory and the split labour approach (Bonacich 1973; Light & Wong 1977; Min 1988). In her seminal study, Bonacich (1973) outlines the middleman minority theory in which entrepreneurs trade between a society's dominant group and the masses, characteristic of sojourning immigrants interested in making a quick profit. Bonacich and colleagues (1973, 1977) use this theory to link the self-employment of Korean immigrants in the garment industry in Los Angeles to the large corporations who sub-contracted immigrant middlemen to organise the production and distribution of their products. Similar patterns have been identified among Jewish and Chinese in the US, arguably due to the wide status gap between Whites and Blacks (Bonacich 1972; Bonacich & Modell 1980).

Portes and his colleagues pioneered the ethnic enclave economy concept, drawing on the split labour market approach, and applying it to a study of Cubans in Miami (Portes & Bach 1985; Wilson & Portes 1980). Their work emphasises the importance of ethnic enclaves (self-enclosed inner-city minority communities), where the ethnic business deals

mainly in ethnic goods that are consumed prevalently by co-ethnic consumers. This approach argues that the initial economic niches held by immigrants who posses sufficient capital and entrepreneurial skills, as well as cheap enclave labour due to sustained migration, provide opportunities for economic advancement (Bonacich 1973; Portes & Jensen 1989; Waldinger et al. 1990a, 1990b). Through hard work, recruitment of cheap, trustworthy, loyal labour by family members (close and distant), reliance on their ethnic networks and social structures for business information, inexpensive capital as well as reliance on the intra-community consumer niche, ethnic family businesses can become more competitive than other businesses in the mainstream economy (Benedict 1979; Boissevain & Grotenbreg 1985; Lovell-Troy 1981, Min 1988, Ong 1984; Waldinger et al. 1990b; Werbner 1984, 1990). Work by Wilson and Portes (1980) and Wilson and Martin (1982) suggests that the size of the ethnic niche of the Cuban community in Florida provided a strong base for the establishment of numerous small businesses. This work is supported by Harney's niche, or *ambiente* theory (1984) based on his research on the Little Italies in North America.

Werbner (1990) draws on the enclave concept by emphasizing the importance of ethnic social networks. Networks provide an efficient social structure that supports immigration, supply labour in cost-efficient and risk-minimising way, thus providing the basis for economic networks. Aldrich and Waldinger (1990) define these as "networks of kinship and friendship around which ethnic communities are arranged, and the interlacing of these networks with positions in the economy (jobs), in space (housing), and in society (institutions)" (p. 127). Zhou (1992) argues that ethnic enclaves promote trust, enforce fairness and contractual honesty, and create communities of bounded solidarity in which the immigrants tend to affiliate with others of their own ethnic group or national origin. Others however view ethnic enclaves as being linked to hardship and discrimination faced by immigrants due to lack of language skills, work experience and local knowledge, and is not part of a group's cultural baggage (Aldrich, Zimmer & McEnvoy 1989; Light 1979; Portes & Bach 1985). Light refers to this as *reactive solidarity* (1980, 1984).

The ethnic enclave issue has moved on to become the ethnic niche debate which links together both the middleman minority and the ethnic enclave phenomena (Waldinger & Der-Martirosian 2001). In this debate, general concern is expressed (Ram & Hillin 1994) in relation to the inability or unwillingness of ethnic firms to attract custom from outside the local ethnic community, and therefore the sustainability of these businesses is questioned. In addressing this issue, researchers stress the need to break out of ethnic niches, and break into mainstream markets in order to continue to be successful (Ram & Hillin 1994; Waldinger 1986a). Increasingly, the structuralist/social perspective has caused a certain polarisation between economic/commercial and social entrepreneurship (Austin et al. 2006).

The interactive approach

The *interactive perspective* developed by Waldinger (1986) combines the culturalist and structuralist approaches, acknowledging that a continuous interaction exists between the opportunity structure in the host country (such as market conditions, government policies for business development, and social and cultural values and norms) and the ethnic resources of an immigrant group (such as kinship and family ties and networks) (Boissevain & Grotenbreg 1987; Chan, 1997, 2000; Chan & Chiang 1994; Waldinger et al. 1990b; Waldinger & Der-Martirosian 2001). Waldinger's approach sets the foundation for the publication *Ethnic Entrepreneurs* by Waldinger, Aldrich and Ward (1990a), in collaboration with other researchers in France, The Netherlands, Germany, the United Kingdom and the United States. In this integrating model, the structure provides the context, while culture (a group's characteristics) shapes the way in which supply is provided. This approach captures the interactive and adaptive nature of ethnic entrepreneurship: "Ethnic businesses proliferate in industries where there is a congruence between the demand of the economic environment and informal resources of the ethnic population" (Chan & Hui 1995, p. 524).

Aldrich and Waldinger (1990) provide a valuable framework for understanding ethnic entrepreneurship consisting of the following three elements: opportunity structures, group characteristics, and strategies. Opportunity structures consist of market conditions that support the provision of products or services to co-ethnics (protected market, as interpreted by Aldrich, Cater, Jones, McEvoy & Velleman 1985) and/or non-ethnics; group characteristics include predisposing factors which comprise the personal skills, experiences, motivations and aspirations of individuals, as well as the resources (personal, family and community ties) such as social networks of family, kinship and class resources including human capital, investment money, values and attitudes (Light 1984). Ethnic networks have been recognised as a vital component of business success of immigrant entrepreneurs, whose social capital includes ethnic business associations, a co-ethnic clientele, and co-ethnic employees (Aldrich & Zimmer 1986; Bonacich, Light & Wong 1977; Dyer & Ross 2000; Light 1972, 1984; Light & Gold 2000; Menzies, Brenner, Filion, Lowry, Perreault & Ramangalahy 2000; Ram 1994; Teixeira 1998; Waldinger 1988). The significant work on networks by Granovetter (1973) has coined the terms *strong ties* and *weak ties* to describe the different types of networks and their usefulness.

Ethnic entrepreneurs also rely on their co-ethnic group as a market (Menzies, Filion, Brenner, & Elgie 2003). In a study of immigrant Chinese entrepreneurs in the Vancouver area, Wong and Ng (1998), found the use of Chinese staff in 81 per cent of cases. These networks provide what Granovetter (1985) refers as *embeddedness*, that is networks comprising social relations that provide mutual trust, obligation, cooperation and reciprocity (Light & Gold 2000; Portes 1995). One weakness of the interactive approach, and consequently of the culturalist and structuralist approaches, is that they tend to assume ethnic homogeneity, and ignore inter- and intra-ethnic diversity. Drawing on the work of Weber (1930), some scholars contend that the inconsistency in entrepreneurial behaviour varies significantly due to culturally determined beliefs and values, such as individualism, achievement, independence, and masculinity (Hofstede 1980, 1983, 1994; Lipset 2000), and that entrepreneurship is a function of cultural perceptions of

opportunity, rather than a function of opportunity itself (Dana 1996; Model & Ladipo 1996).

Recent studies therefore have been concentrating on examining diversity in self-employment patterns *within* and *between* different ethnic groups in terms of region, language, religion, class and education attainment levels and demonstrated how the sub-groups within specific communities can foster solidarity and economic success (Hammarstedt 2004; Knocke 2000; Kotkin 1993; Markovits 2000; Tsui-Auch 2005; Wang 1996, 1999; Zapalska & Edwards 2001). In order to better understand the representation of an ethnic group in self employment, Ibrahim and Galt (2003) propose to investigate "the complex interrelationship between historical, economic, and cultural factors that underpin the social context in which individuals live" (p. 1113). A longitudinal study by Platt (2005) adopts this approach when examining the experiences of immigrant populations, and their second-generational children in Britain, identifying a great diversity in terms of income, employment, educational attainment and life chances. "This diversity will be in part a consequence of factors associated with the process of migration: the reasons for migration; the different economic, social and human capital that the migrant brought with them; the stage of life and the point in time at which migration occurred and the opportunities available at that time" (p. 1).

This prompts the question as to whether the experience of the first generation influences the following generations. "When exploring the experience of the second (non-migrant) generation this leads to a consideration of whether different groups' social and economic origins – the situation of their parents and what their parents brought with them in terms of economic resources and human capital (education/ qualifications) – are crucial in explaining their outcomes, and the diversity between groups" (Platt 2005, p. 1). Platt's study offers a sociological explanation of patterns of intergenerational social mobility among different ethnic groups, based on the achievements of immigrants and the second generation in the UK within the educational and occupational sectors.

A renewed research agenda in entrepreneurship

Due to the changing historic contexts -- including new political, economic and technological conditions -- debates on migration are reemerging, with renewed research interest in the integration of new groups of recent immigrants, including issues of ethnicity, and ethnic or cultural identity (Jimenez 2004; Min 2004; Min & Bozorgmehr 2003; Yuval-Davis 2001). [12] These studies focus on the structural integration of the second generation, but to a lesser extent on cultural integration which includes ethnic identification (identity choices) and language maintenance (Jimenez 2004). Virtually no scholarly attention has been paid however to the third generation, especially its socio-economic acculturation,[13] comprising self-identity, expectations and achievements (Farley & Alba 2002).

This thesis therefore makes an important and valuable contribution in this area by investigating the cultural integration of the third generation, focussing on the role of their self-identity as well as their family and business values which shape their self-perception and achievements. So entrepreneurship and ethnic entrepreneurship literature, with all the variances we have described above, is fundamentally relevant for this present research. The Italian-Australian entrepreneurs and their families in this thesis are represented in this literature insofar as they created economic wealth, made use of social networks, and built up family businesses which initially serviced the ethnic (Italian) community. They faced adversities that arose from the immigration experience: a new socio-political environment; lack of finances housing and transport; English language incompetence; hostility and discrimination by the host society. Their frequent interaction with ethnic (Italian) social networks occurred predominantly in the first generation, and to

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[12] According to Zubrzycki (1977), cultural identity is "the *sense of belonging and attachment to a particular way of living* associated with the historical experience of a particular group of people" (p. 3). Viewed 10 January 2011 at http://www.multiculturalaustralia.edu.au/doc/auscouncilpop_2.pdf .

[13] *Acculturation* is a term that refers generally to cultural integration. In my thesis I use this term according to Gans' interpretation "Acculturation is largely up to the immigrants (and their descendents), happens virtually automatically and is usually unintentional. Still it can be intentional or purposive, as when parents push their children to do well in school or status-seekers learn the lifestyles of those whose status they seek to achieve" (2007, p. 153).

a lesser extent in the second and third generations as the family business gradually broke out of its ethnic niche and broke into mainstream business. Although ethnic networks assisted the establishment and development of these family businesses, they do not emerge from my data as a catalyst for the entrepreneurial activity and outcomes that set the foundations for successful multigenerational family businesses. Across the generations, as ethnic networks have a diminishing influence on the family business, they demonstrate how social or human capital may be an important factor in successful business formation and maintenance, together with other variables that determine productivity, such as formal education (schooling), and informal education (such as work experience) (Chiswick 1983; Light & Gold 2000; Sowell 1980). Ethnicity can be a valuable form of social capital which may include obligations and expectations, information and social norms. The migrant's ethnic identity may prove to be of crucial assistance in drawing on their ethnic social capital and social networks that support the development of successful multigenerational family business.

Ethnic entrepreneurship in Australia

Because my thesis researches family businesses of an ethnic origin (Italian), it is important to devote some attention to the specific Australian context of ethnic entrepreneurship. Recent research on ethnic entrepreneurship indicates a high level of self-employment among immigrants in the US, Canada, and other countries including Australia, and reveals that some ethnic groups in particular are generally over-represented in this grouping. However, in Australia, research on the growing participation of ethnic minorities in self-employment, and on the rise of entrepreneurship in ethnic cultures, lags behind overseas countries, with very limited work undertaken in attempting to understand this phenomenon[14]. This perhaps explains why the strong contribution of immigrant

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[14] Agrawal & Chavan 1997; Castles & Collins 1989; Castles, Collins, Gibson, Tait & Alcorso 1991; Chavan 2000; Collins 1989; Collins, Gibson, Alcorso, Castles & Tait 1995; Constance, David, Jim & Tracy 1991; Hearn 1982; Holton 1988; Johns, Dunlop & Sheehan 1983; Krasnostein & Pecotich 1988; Lampugnani & Holton 1989; Lever-Tracy, Ip, Kitay, Phillips & Tracy 1991; Marceau 1989; Peters 1999, 2002; Strahan & Williams 1988; Tait & Gibson 1987; Williams 1987.

entrepreneurs in creating wealth, jobs and exports in Australia, in particular within the small business sector, has been underestimated (Miller 1999).

The post-war immigrants

The increase in entrepreneurship in Australia is predominantly attributed to the post-war immigrants, almost half being from non-English speaking background (NESB's) (Theophanous 1987). Their contribution to the Australian economy, in particular to the small business sector, needs to be appropriately recognised (Collins 1989, 1999; Collins & Castles 1989). Research conducted in Australia emanates largely from the social sciences disciplines, including sociology and anthropology, mainly compiled in the 1980s and the early 1990s, describing trends in ethnic business and dealing with the topic of minorities in the national context. Virtually no studies have specifically investigated the contribution of ethnic business and ethnic family business to the economy of the country. Another relatively unexplored dimension is the ethnic small business sector (Agrawal & Chavan 1997; Campbell, Fincher & Weber 1989; Castles & Collins 1989; Castles, Collins, Gibson, Tait & Alcorso 1991; Chavan 2000; Collins 1989, 1992; Pascoe 1990b; Peters 1999, 2002).

Australian research acknowledges that particular ethnic groups have become self-employed or employers after an arduous initial period, following their arrival into a hostile social environment during which most worked as 'factory fodder' (Bertone 2008; Collins 1992; Lever-Tracy 1984, Lever-Tracy & Quinlan 1988; Tait & Gibson 1987). In their study undertaken in Sydney, Castles and Collins (1989) found that immigrants moved into the small business sector so as to gain independence and financial security, and for a better future for their children. As Baldassar (1994) highlights, this was the main motive for their migration.

Longitudinal studies in Australia

A unique longitudinal study compiled by Strahan and Williams (1988) traces the activity of 10,570 new businesses and 22,034 owner/managers over time, including a range of basic

data on the social, educational and family background of owners/managers, their motivation, and the type and mode of business. This study, focussing on first-generational immigrant enterprise, shows that businesses established by immigrants generally have a significantly better success rate and a higher level of sustained growth than those of the native-born. Other Australian researchers (Collins et al. 1995; Holton 1988; Lampugnani & Holton 1989; Lever-Tracy, Ip, Kitay, Phillips & Tracy 1991) adopt a holistic approach in analysing the relative contribution of the individual, collective resources available from the ethnic group and the Australian market place. Collins and colleagues (1995) conducted the largest survey of Australian ethnic business (245 businesses) in Sydney's most multicultural municipality, Leichardt. Their study found that success or failure of family enterprises is affected by the economic conditions of the time. For example, the Greek Karanges family in milk bars were able to reap relative success, yet the Chinese Chin family failed after a rapid, but short success (Collins et al. 1995, p. 9). A study by Constance, David, Jim and Tracy (1991) on Asian entrepreneurship in Brisbane and Sydney aimed at finding an explanation of why those born overseas have lower rates of failure and more sustained growth than the norm. Their study, focussing primarily on the Chinese and Indians, relatively recent arrivals to Australia, interviewed 144 individual independents and 138 businesses. They found similarities between the Chinese and the Indians: a high proportion of successful, innovative and export-oriented businesses. Their reasons for establishing independent activity was generally because of blockages they faced as employees, due to non-recognition of qualifications, ethnic discrimination, or lack of work in their field.

Italian entrepreneurship in Australia

The Italian ethnic group in Australia has significantly contributed to the growth and entrepreneurial profile of the Australian economy. Studies of post-war Italian immigration have concentrated on the role of Italian migrant work as factory fodder, particularly as the Italian immigrants entered Australia as unskilled migrants (Collins 1992; Panucci, Kelly & Castles 1992). Their "traditional desire for peasant independence became, in Australia, a

'craving for an independent small business'" (Price 1963, p. 142). Italians who migrated pre-WW1 and post-WW1 were farmers who cultivated their own land; they brought with themselves an entrepreneurial attitude which helped them in the establishment of small enterprises across Australia (Collins 1992). A dearth of research however exists about the contribution of Italian entrepreneurs and their business to the Australian economy and society. Collins (1992) draws a sociological picture of the Italian immigrants taking a small business perspective: he describes their early experience in Australia and their initial entry into traditional areas such as farming, fishing, food, clothing and construction. "By 1947", Collins notes, "a surprisingly large proportion of Italians had moved from wage labour to small business" (1992, p. 75).

Three major research projects of Italian-Australian small business

To date, there have been three major research projects on Italian-Australian small business in Australia. Lampugnani and Holton (1989) conducted a significant study on 98 Italian small firms (fewer than 50 employees) in South Australia across a range of industry types that indicated a thriving Italian-Australian business sector which was a valuable human capital asset in Australia, contributing to the development of a more productive business culture. This work identifies a "strong ideology of independence characteristic of Italian-Australian business operators" (Lampugnani & Holton 1989, pp. 13-14). It also found that although the immigrant entrepreneurs generally entered the small business sector by serving the Italian community, "Italian ethnic business did not stay in the enclave or ghetto, but moved beyond it" (ibid., p. 19). Castles and colleagues (1995) surveyed 45 small firms (fewer than 20 employees), mainly retail business, in the Leichhardt area in Sydney and found that most interviewees established their own small business in order to follow the family business tradition, whilst others wanted to move from the downward occupational mobility and prejudice that they encountered from their bosses and fellow workers (Collins 1988).

Peters (1999) studied two generations of self-employed Italians, Vietnamese and Dutch in Western Australia. Her work shows that individual immigrants frequently initiate entrepreneurial activity within immigrant groups and confirms the findings of Lampugnani and Holton (1989) that the first generation is attached to the enclave economy, while the second generation has a broader business vision due to their higher level of education, and their bilingual and bicultural skills.

Although there are some individual histories and autobiographies, no significant work has been conducted on Italian small business in Australia as a collection, and no significant studies at all have been found to have been undertaken on Italian and Italian-Australian entrepreneurs, with the exception of Hougaz and Betta (2008, 2010, 2011). No research has been devoted to Italian-Australian family entrepreneurship and the entrepreneurial role that the first, second and third generation Italians/Italian-Australians (Australian-born children of Italian-born parents/grandparents) play in the maintenance or diversification of their family business within the Australian economy.

Entrepreneurship and family business

In this chapter I have pointed to various approaches within the entrepreneurship field which address the phenomenon of entrepreneurship from the perspective of individual traits determined by socio-cultural conditions, cognitive traits influenced by psychological knowledge, the social approach that considers entrepreneurship as emerging from the social context in which the entrepreneur lives, and the interactions that s/he instigates. Although developed as part of the mainstream theory of entrepreneurship, these approaches also inform theories looking at immigrant entrepreneurship, otherwise called ethnic entrepreneurship. Here too behaviour and performance are understood as determined by the social contexts of ethnic networks, families and communities (the culturalist approach). However, discussions around the notion of entrepreneurship as a vehicle out of social exclusion have added value to the theory in general, suggesting how entrepreneurial activities may have social integrative effects where social and

governmental policies fail to provide the wholesale integration of newcomers into a host country.

In this thesis the topic of entrepreneurship overlaps with family business, in particular with the founder of the family business. By changing the conditions in his/her personal life and changing his/her context (through the process of migration), the founder becomes the innovator who identifies opportunities and at the same time establishes a new enterprise supported by his/her family. With his/her personal resources the family business founder plays a fundamental role in the creation of the family firm, setting a legacy that might perpetuate across generations.

Chapter 5

Methodology, Data Analysis and Conceptual Framework

This chapter outlines the elements of the methodological approach adopted in this study. More specifically, it outlines the various qualitative methodologies and the research procedures employed in this study, providing a justification for the use of life history and oral history as well as phenomenography, and their interpretive rigour for the exploration of numerous experiences related to multigenerational family business. It also explains the theoretical background related to discourse analysis in which the methodology is embedded. These blended research methodologies allowed me to capture the meanings of the life histories of the participants in my study, and elaborate on their worldviews, experiences and self-perception.

The qualitative research method

The qualitative research approach used for this thesis supports the selection of a relatively small sample of respondents (seven families comprising individuals across three generations) who agreed to participate in this research. The approaches employed in this thesis involved a combination of methodologies: life history/oral history narrative and phenomenography. This blend of methodologies has facilitated the collection and interpretation of data through semi-structured in-depth interviews, as well as the use of written primary and secondary source material. Using several different methods of observation is considered a positive way of avoiding tunnel vision when undertaking qualitative research, as each method reveals its own aspects and particular aspects of social reality (Creswell 1994; Denzin & Lincoln 1994, Ragin 1989; Yin 1989). Within business organisation and management research the idea that "one best method" serves the purpose of a research project has been contested by researchers who support the idea that "research is best served by a plurality of methods and theories" (Clegg & Hardy 1996, p. 3).

The researcher's involvement

My personal background and experiences are of relevance in this study and need to be considered. As a second-generation Italian-Australian who shares the experience of migrating to Australia in my youth, I can identify with the participants on several levels: firstly, I share their language and culture, through my familiarity with their history; secondly, I share the experiences of being a second-generation Italian in Australia conforming to two different cultures; thirdly, by being aware of Italian / Italian-Australian verbal and non-verbal language. I have also personally participated in the migration experience: in my childhood, at the age of six, my parents and family remigrated to Italy and lived there for a period of six years, returning once again to Australia with us when I was aged twelve, with no conscious competence of the English language, reliving once again the experiences as an immigrant. In addition, I have a background as a senior academic who has lectured in Italian Studies at university level for over 20 years, and through my wide and well established network, I have developed a historically situated understanding of the Italian community in Melbourne and Victoria: I have therefore developed certain viewpoints on the issues under consideration. This is particularly relevant, as the interpretive approach adopted in this study recognises that "in the moment of asking a question and listening to the answer, the researcher has created, collected and already commenced the process of interpreting the data, and may even be in the process of developing a theory about it" (Cherry 1999, p. 72). Each researcher brings his/her own personal contextual factors to their research project, which may include cultural, historical, social and political contexts in which the researcher is immersed, consciously or subconsciously (Ellis & Bochner 2000).

The risk of my involvement

I acknowledge that there are potential risks in being involved in the study of one's close community group both as a researcher and a co-participant. One such risk could be a possible distortion to the interpretation of the data collected. It is expected that the researcher would have some views about the issue of migration which may affect the

conduct of the study. However, my theoretical grounding, together with my practical and relevant experience may be viewed positively, as a "preunderstanding" (Gummesson 1991, p. 12) which may in fact facilitate the development of the research, rather than hinder it. After giving this issue due consideration, I concluded that the advantages to be gained from the study would largely outweigh the risks. As an insider there are clearly possibilities for developing new angles to a project and details which may be missed by the outsider researcher. As Maynard (2002) suggests, "matching interviewer and interviewee has been seen as one way of minimising exploitative power relations in qualitative research. These are serious issues in terms of good research practice" (p. 36). As an insider I had first-hand experience with, and had shared the reality of the migration process. My involvement would not be an imaginary leap into the community of interest so highly regarded by researchers in anthropology (MacFarlane 1977) as I was already inside and belonged to the group. Being an insider, I was familiar with the community's culture and aspirations, which made me confident that I would be able to conduct, transcribe and analyse the interviews faithfully and effectively.

The advantage of prior knowledge

Being a member of the community meant that I was able to gain access to the participants, and gain their confidence and trust, while, at the same time, developing a good rapport which was crucial to the success of the research. As a fluent Italian speaker I was also able to easily relate to the participants in both the English and Italian languages, including understanding on occasions when the respondents used particular culture-bound idioms or terminology that do not exist, or easily translate or convey in English, or expressions in Italian with implicit cultural connotations and messages. In addition, being fully familiar with both languages and the cultures, I was able to competently respond to and interpret the implicit tonal and facial expressions and body language that unobtrusively form part of personal communication. Being fluent in Italian also gave me the opportunity to interview one elderly first-generation participant completely in Italian, the language in which he felt most comfortable to be interviewed, without the need for an

interpreter, and then translate the interview into English without requiring the services of a translator. Both these services would have added complex layers to the interviewing and data analysis processes, with more chance of unfaithful and/or inaccurate translation.

As a researcher interested in life history, having an Italian background and being part of the community means that I aimed not only to understand my participants, but also "understand the powers of culture that define those particular ways that enable people to act and not to act in specific ways" (Tierney 1998, p. 54). I can identify with Tierney's viewpoint particularly when he states "I undertake life stories… so that I might be able to come to terms with how they see the world and how their stories of their histories have shaped the world in which they live" (1998, p. 55). I too, was motivated to undertake this research in order to discover, or more precisely, uncover the personal experiences behind those young people of the first generation who took the definitive decision, with great courage, to leave their families and friends, their *paese* (home town), their country, and everything familiar, and migrate to a new country, to a new and unfamiliar environment and community in order to start a new life and a new future.

A blend of methodologies

The methodology underpinning this thesis results from a blend of several methodologies. In order to capture the narratives of the participants I have used an approach embedded in phenomenography, life history/oral history and discourse analysis. This combination helps to address the complexity of the subject matter where individuals and their lives interconnect with their social contexts in a perennial attempt to bring coherence into their self-understanding. But once captured, this self-understanding needs to be put into a context that is common to the members of the respective generations and analysed in terms of its constructive meaning. To this purpose I turned to discourse analysis, which structures the participants' narratives in terms of discourse in which the speaker constructs its own reality. In the following three sections I will discuss these methodologies.

Phenomenography

Phenomenography is the study of how people experience, understand and conceptualise aspects of the world around us. Phenomenography "aims to find and systematise different forms of thought in terms of which people interpret aspects of reality - aspects which are socially significant and which are at least supposed to be shared by the members of a particular kind of society" (Marton 1981, p. 180). This research approach assists in considering the various ways in which "people experience, interpret, understand, apprehend, perceive or conceptualise various aspects of reality" (Marton 1981, p. 178). As Bowden explains, the focus of phenomenography "is not the phenomenon being discussed per se, but rather the relation between the subjects and that phenomenon. So the focus of the research is on the researcher trying to find out about the object of study which is the relation between the subjects and the phenomenon" (Bowden 2005, p. 12). Hence, this approach centres on the difference between reality and the perception of reality, on how reality is experienced, compared to how reality is perceived and conceptualised. Therefore both the content and the process of producing it are important perspectives in this methodology. Marton argues that "phenomenographers do not make statements about the world as such, but about people's conceptions of the world" (1986, p. 32). His interpretation (Marton 1981) introduces the notion of first- and second-order perspectives in phenomenography. The first-order perspective relates to various aspects of the world, the second-order perspective describes people's experiences of various aspects of the world.

The first methodological objective of this study was to seek information from and about those Italian migrants who lived through the early years of migration to Australia, and identify those events, feelings and thoughts which shaped their character and their future. The second objective was to identify those experiences and behaviours that have facilitated the foundation of successful family businesses which have grown and prospered across three generations. A phenomenographic approach distinguishes between research undertakings that belong to either the *first order* or the *second order*

perspective (Marton 1981). In this thesis the first order perspective would be interested in capturing the experiences of the Italian first-generation entrepreneurs and founders of the family business, and the experiences of the second and third generations who chose to continue to participate in the family business; the second order perspective would ask how the first-generation entrepreneurs and founders of the family business perceive their entrepreneurial experiences, and how the second and third generations perceive their participation in, and contribution to the family business, that is, what are their ideas and conceptions about it. A phenomenographic approach therefore supports the author in being self-reflexive as well as reflective of her subject matter.

The phenomenographic method is complementary to other kinds of approaches, such as life history (see next section in this chapter). The scope of this thesis includes an historical (three generations) viewpoint of family business. Colli (2010) argues that history offers an important perspective to the study of family business as "family firms are notoriously and largely 'cultural artefacts', that is the product, in their nature and structure, of a certain context" (p. 74). History and tradition are alive in multigenerational family business, they are the product of a complex interplay between past and present: this is a very important point, not only in terms of understanding the very essence of family businesses but also because it constitutes one of the differentiating elements between family and non-family businesses (Ward 2008a, p. 4). Therefore a historical perspective is part of the sphere in which family businesses live and survive, and it can contribute a clearer, richer, though more complex interpretation of the present. Phenomenography recognises that the world is not constructed solely by the individual, nor is it imposed exclusively by external forces: "it is constituted as an internal relation between them. There is only one world, but it is a world we experience, a world in which we live, a world that is ours" (Marton & Booth 1997, p. 13, cited in Bowden 2005, p. 12). The identity of the collective can therefore be seen as a pool of ideas, memories, thoughts and beliefs underlying the interpretation of possible individual constructions of reality.

Phenomenography involves a small sample of people (commonly 20-30) across a wide range of variation (eg. age, backgrounds, experiences), in order to amplify the variation in the perception of experiences, which is the case with this research (seven families of three generations). As the aim in phenomenography is not to gather particular individuals' perceptions or interpretations, but to capture similarities across a range of subjective realities and perceptions of a group of individuals, data collection happens through one round of interviews with the same protocol for all. The primary means of data collection in phenomenography is interviewing. The analysis is restricted to the interviews transcripts and research findings are gathered through an inductive process, through a bottom up process grounded in interviews which have been transcribed ad verbatim. Categories of description that arise from analysis are rigorously checked against across and between all interview transcripts so that they do not represent only the individual meanings, but the meanings of a group, in line with the phenomenographic approach. The outcomes of this process therefore are descriptive and/or analytical and refer to a collective.

A phenomenographic methodology supports small sample sizes across key indicators. In this thesis, one individual from each family in each generation was interviewed, and seven families of three generations were selected to participate. The purpose was to capture multiple conceptions of the realities of each generation, where each generation represented a holistic group, rather than the individual conceptions. This provides a snapshot of the multiple ways in which similar phenomena are experienced by a particular group of people in a particular context and at a particular time, representing the collective experience of each generation, rather than focusing on the rich experiences and perceptions of each individual, which are best captured by a different methodology, through a series of in-depth interviews.

As is the case with all theses, a choice of methodologies and participants needs to be made by the researcher, with some voices inevitably included, others left out. In this thesis, the CEO or Director in each of the three generations was selected to be

interviewed as the representatives of each of the seven participating family businesses. In line with phenomenographic research, therefore, the stories of three individuals per family were studied in this thesis. Their stories however are not studied or interpreted in isolation, but as part of a group representing three-generational Italian-Australian business families.

By adopting the principles of life history/oral history and phenomenography the researcher is able to understand, through the personal stories, accompanied by historical facts and memories narrated for this thesis, how the interviewees reconstruct their own individual identity, and at the same time, reconstruct the identity of the collective (Clary-Lemon 2010; Portelli 1981). A combination of methodological approaches allows the researcher to investigate a *variation* in the interpretation of the same phenomena (Åkerlind 2005, p. 64).

Life/oral history

Life history (also termed life story, storied narrative, and oral history/narrative) is based on the participants' representation of his/her lived experiences, giving them a voice, providing a context. "Life history projects are a mediated space that require a socio-cultural construction of an individual's life/identity" (Cary 1999, p. 417). Goodson (1998) interprets life history as a glimpse into the life story of the research participant which needs to be put into context so that we can establish more truth: "To establish the broader picture we need to locate the stories and collaborate in the discussion and understanding of stories and narratives. A life, it is assumed, is cut of whole cloth, and its many pieces, with careful scrutiny, can be fitted into proper place. But this writing of a life… is constantly being created as it is written" (p. 10). Life history needs to have a factual base in order to be interpreted as authentic, as "without a factual base, narrative inquiry would run the danger of wild speculation" (Blumenfeld-Jones 1995, p. 27). Facts need to be presented within context and through the inclusion of multiple voices and collaboration, in order to check the accuracy of the participant's story: "The key for

transformation through narrative lies in collaboration, of constantly testing our meaning against that of others, building consensus around shared meaning, and ensuring that as many voices as possible are included." (Emilhovich 1995, p. 45). The issue of factual accuracy suggests that stories have the power to command respect: "stories ask readers to feel their truth and thus to become fully engaged – morally, aesthetically, emotionally and intellectually" (Richardson 1994, cited in Bochner 1997, p. 434). This view is in line with Polkinghorne's suggestion that "a storied narrative is the linguistic form that preserves the complexity of human action with its interrelationship of temporal sequence, human motivation, chance happenings, and changing interpersonal and environmental contexts" (1995, p. 7).

Presenting stories introduces the issue of whether we are actually presenting facts. Cary reminds us that story telling is always subjective: "life history method allows the research participants' voice to be heard, a life history is a concrete and neutral, yet subjectively mediated event" (1999, p. 417). This author further suggest that this approach has some limitations in that it may not be an appropriate narrative strategy for complex life stories, which may require alternative approaches. Geertz points out the danger of misunderstanding or misinterpretation: "What do we claim when we claim that we understand the semiotic means by which […] persons are defined to one another? That we know words or that we know minds?" (1983, p. 68). Story telling is always a subjective process: the story is the selective memory of the story teller, interpreted and retold by the researcher, and finally, once again interpreted by the reader. I accept that there may be some limitations with this research approach, however I resonate with Tierney's (1998) perspective on this issue:

A life story is neither a project in which I focus exclusively on the narrative self, nor is it an analytic technique that points out character flaws or shortcomings and enables the clinician's analysis. Instead, the life story is a personal narrative whose ontological status as a spoken interaction between two (or more) individuals helps create, define, and, hopefully, change reality (p. 63).

Titon (1980) engages in an etymological clarification of the terms by pointing out that a story is not the same as history. Story is fiction, not a lie, its meaning derives from the Latin *facio* which means a *making*, while history, *istorin*, means *found out* (Titon 1980, p. 278). Hence "a story is made, but history is found out. Story is language at play, history is language at work. [...] Story is a literature of the imagination; history, though it may be imaginative, drives toward fact" (ibid., p. 278).

Family narrative is oral history that "captures storied lives that largely go unwritten" (Clary-Lemon 2010, p. 21). As Portelli states "oral sources [. . .] are a necessary (if not sufficient) condition for a history of the non-hegemonic classes, while they are less necessary for the history of the ruling class who have had control over writing and therefore entrusted most of their collective memory to written records" (1981, p. 104). Portelli's work on historical narrative sources emphasises the relationship of the individual to public life (1981, 2004). He is concerned with integrating "a large quantity of available knowledge about the historical sources and the background of the social and political fields in which discursive 'events' are embedded" (Wodak 2001, p. 65). The stories and memories narrated by the first generation about their migration experience and early years in Australia, for example, are largely their own subjective interpretation. As they unleash the personal voice of the protagonists, they "invite us to enter horizons of the human condition in which lived life is shown as comic, tragic, and absurd, and in which endless opportunities exist to create a reality and live it" (Bochner 1997, p. 434). Stories tell us "not only what people did, but what they wanted to do, what they believed they were doing, what they now think they did" (Portelli 1981, p. 100). This author further suggests that their stories are also, at the same time, a reflection of the subjectivity of a group, or cross-section of people: "Subjectivity is as much the business of history as the more visible 'facts'. What the informant believes is indeed a historical *fact* (that is, the *fact* that he or she believes it) just as much as what 'really' happened" (ibid., p. 100).

Creating a theoretical context: Discourse analysis

Life stories and oral history capture complex meaning by highlighting the variation of human experience. In order to capture this notion of variation it is important to turn to discourse analysis as the methodology that aims to capture the multiple perspectives of a phenomenon as it appears to a number of people and how it is used to construct a certain social reality. Hence, discourse analysis attempts to "uncover the way in which [social reality] is produced" (Phillips & Hardy 2002, p. 6), adopting a social constructivist approach to link together text, discourse and context (p. 4). By texts of the narratives one refers to written texts, spoken words, pictures, symbols, artefacts and so forth that are used by people to describe and interpret their life; by discourse one refers to the social understanding surrounding an issue with shared, contested norms and values; and finally, the context of discourse analysis refers to a social and historical location where the people involved, their relationships and practices take place (p. 4). The interconnectedness between these three elements makes it difficult to extricate discourse from text and context. "As researchers, we are no longer interested simply in what the social world means to the subjects who populate it; we are interested in how and why the social world comes to have the meanings that it does" (ibid., p. 13). This unavoidably implicates the researchers and their involvement in what they do (Clegg & Hardy 1996; Hardy, Phillips & Clegg 2001). This is why I explained above my own involvement in this research. Thus, discourse analysis is therefore reflexive and interpretive.

Creating a discursive formation

In this thesis I make use of narrative methodologies such as life history/oral history to capture the feelings and thinking surrounding a family business across three generations. Such feelings and thinking take the form of a discourse about the values that keep the generations linked to each other. Family history is rich in details about events, dates, places, entrepreneurial actions, people, business decisions and so forth; however, the element that keeps all these dimensions linked together are the values that influence and drive them. Narratives are initially constructed by the first generation and inherited by the

second generation as a form of intangible capital on which the whole sense of family and its achievements is based. But this inheritance is not passive; indeed the second generation revitalizes the whole story by adding their own interpretations, retrospectively strengthening the original sources. For that reason I speak of discourse in order to underline the level of construction of meaning emerging from their narratives. Thus, the second generation becomes not only the custodian of this narrative, but also its interpreter. This interpretation adds value to the values of the first generation, expanding their meaning in order to appeal to the next generation.

These values and meanings are then passed on to the third generation where they become a resource for the family business, part of its historical and intangible patrimony - the unchangeable family history. But even here (in the third generation), this history does not remain a passive relict of the past. I have found that the third generation needs to make sense of their involvement in both family and business, and at the same time assert their own individual ethics. They further enhance the discourse of the values surrounding their family, business and the individual agents by giving the discourse a new meaning capable of satisfying the expectations of their time. Values become a source of pride, providing a sense of origin and belonging for all generations, creating the basis for the discourse that keeps the family together. And values become a resource especially for the second and third generation inasmuch as their reassertion of the values of the founding (entrepreneurial) generation becomes a means of continuous improvement and moral self-monitoring.

In Figure 5.1 below, values are portrayed as interdependent and interrelated within each generation. They are also passed on, and integrated into the subsequent generation, contributing to the identity and culture of the next generation's individual, family and business. This evolution continues across generations, and the discourse about values becomes a source of meaning and a resource for the multigenerational family business. But while the small arrows depict the micro context of the inter-relationship between

family, business and the individual, the larger arrows represent the macro context of evolving family businesses which operate within a community, a state, a country, and fast-changing globalized market conditions.

Figure 5.1 – Values feed into the next generation in multigenerational family business
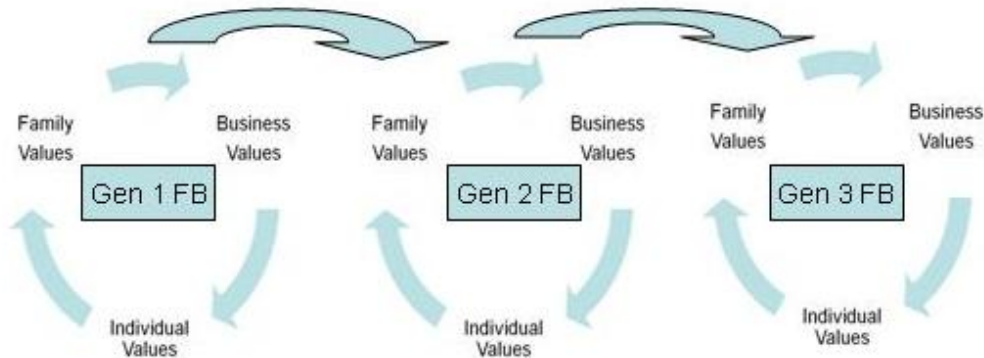
The discursive approach

Values represent the strongest element of any family, hence, of any family business. Yet it is not clear how values come about, how they are transmitted from generation to generation, and how they really influence business decisions. In the empirical data collected through my interviews, values emerge as a defining character of the three generations. The narratives of the participants keep reverting back to them in order to address three needs: reassert the sense of genealogical origin of the family; reassert the history of the business; reassert the self-understanding of the family business members. It is a form of sense-making (Weick 1993) that adds value to the whole family business. These narratives create the objects and subjects that populate the history of these family businesses; through these narratives the participants create a "general history" (Foucault 2003, p. 10) based on relationships dispersed in space and time. I therefore analyse their narratives as a type of discursive formation that creates its own objects and subjects, recognising that "particular actions serve(s) particular interests" (Cameron 2001, p. 123). In all his early works Foucault adopted a genealogical method of reconstructing how,

through discourse, statements are continually made about people and their knowledge, and certain concepts and notions become important and are retained, whilst others are excluded. The notion of general history helps to avoid fixing on one subject, the "foundational subject" (Foucault 2003, p. 13), facilitating instead the notion of group/family relationships. And although I have chosen to take single individuals (listed in chapters 6, 7 and 8) as points of departure, their narratives are always related to their family and future family. They do not represent subjects but rather group leaders, team leaders. Even the members of the first generation who tend to elaborate on their sacrifices and difficulties, always remain strictly anchored to a perception of family, where their entrepreneurial action is soon absorbed into the idea of a family business.

Foucault argues that discourses, while composed of signs, do more than use these signs to designate things. "It is this *more* that renders them irreducible to language (*langue*). It is this 'more' that we must reveal and describe" (ibid., p. 54; italics in original text). Discourse is concerned with objects that represent moral, ethical or social values. These objects, however, are not independent from the discourse that makes them possible in so far as they are to be found in a given space and period and are therefore to be described as meaningful objects. To exist as such objects need the discourse that talks about them. Hence to see the objects one has to understand the discourse. The discourse is not language (*langue*) or a place where objects have been placed one after the other "like words on a page" (ibid., p. 47) by an anonymous power. To understand discourse it is necessary to "remain at the level" (ibid., p. 53) of pure discourse itself.

I have drawn on Foucault's notion of discourse and its objects to give meaning to the narratives of the interviewees and their life histories. In their discourses objects with ethical meaning emerge, which I describe as values. These values are not simple objects called upon by the interviewees to embellish a piece of family history. Values do appear in their discourses but they are located in precise segments in order to respond to conditions of existence under which the family, the individual and the business live and operate.

Foucault's theoretical approach requires from the researcher the ability to be positioned within the discourse and not as an external indifferent observer. As I have explained in this chapter, my own experiences with migration and growing up as an Italian in Australia have given me powerful insights into how migrants and children of migrants elaborate on their past, present and future. I believe that my ability addresses Foucault's criterion of "being at the level of pure discourse and within discourse" (ibid., p. 85) in order to capture its complexity and distinguish language (as a speaking tool) from discourse (as a resource). The three generations have articulated their own discourse about the values of their family business and the people working in it. They have created discursive formations about their values and how these give meaning to what they do within the boundaries of their family businesses.

These three discursive formations reflect the conditions in which the respective generations live; in other words, the first generation based their values on the notion of hardship, courage and perseverance; thus, their discursive formation created objects (values) that reflected the conditions in which they lived, such as poverty (reason for migration) on the one hand, and new opportunities in an emerging modern economic order in Australia on the other. The discursive formation of the second generation reflects the objective of continuity and consolidation under the conditions of an emerging post-war free market economy and the modernization of social relations in Australia. The discursive formation of the third generation is influenced by changed economic and business conditions through globalization and the opening of new markets which points to the expansion of the business and new succession issues (larger families). The fascinating stories that emerge from the interviews acquire consistency through the values attached to family and business. From a genealogical point of view they all refer to the same values, but these may acquire different meaning through the conditions and expectations that characterise the single generations.

Selection of the sample

Setting the criteria for the selection of the sample was valuable in order to identify the most appropriate individuals and clarify the bounding variables, and also in order to ascertain the validity of the results of the study. This proved to have definite benefits, but also some obvious limitations. The first criterion was that participants selected were members of three-generational[15] Italian-Australian business families in Victoria, Australia. This would need to comprise a first generation that had migrated to Australia, established a business enterprise in Victoria, which continued to be led and managed successfully by a member of the same family, over the following two generations, thus remaining classified as a family business. Thus, the sample consists of three different age groupings: the first generation now in their 80s or 90s, or recently (in some cases) deceased; the second generation in their 50s or 60s; and the third generation in their 20s or 30s. In some cases, I identified some fourth generational business family members, but for the purposes of this thesis, they were not included in the study sample. In cases where the first generation was deceased, valuable information was gathered from primary and secondary sources - Tobin (2007) for Tony Costa; Pascoe (1988, 1992a, 2002) and Ruzzene Grollo (2004) for Luigi Grollo; Pascoe (1990b) and Easdown (2006) for Gualtiero Vaccari .

For this study, only one member from each generation was selected to be interviewed, the founder, or Director, Manager, or CEO of the family business, as appropriate (refer to pp. 87-88).

The criteria for the selection of the sample

A limitation of the study is that the sample is obviously skewed as it is male-dominated,

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[15]By *first-generation* I mean people born overseas who underwent the process of migration and settled in Australia (Bertelli 1986). In regard to the *second-generation* I accept the three-pronged definition provided by the sociologist Vasta (1992, 1993): firstly using a statistical definition, as Australian-born children of overseas parents; secondly, the social definition includes overseas-born who arrived in Australia in infancy or early childhood; or the third definition may be a concept of identity, how they consider themselves, for example Italian, or Australian, or Italian-Australian (Vasta 1992, pp. 156-157; Vasta 1994, pp. 21-22). Such understanding of what a second-migrant generation is, may include various concepts of multiple identities. By *third-generation* I mean descendants of a migrant family, with at least one grandparent born in Italy, largely integrated in mainstream society (Baldassar 2004; Khoo, McDonald, Giorgias & Birrell 2002).

with 20 males, and only one female in my study sample. A special attempt was made to identify additional three-generational family businesses led by women, but this proved difficult, reflecting the very small number of women in leadership roles in family businesses (Brush 1992; Cole 1997; Danes & Olson 2003; Gillis-Donovan & Moynihan-Bradt 1990; Hollander & Bukowitz 1996; Lyman, Salganicoff & Hollander 1985). An important criterion for this research was that the family business needed to be currently ongoing, and still comprise members of the original family (nuclear, or extended), thus meeting the criteria for being regarded as a family business. In brief, the definition adopted for the selection of the sample follows the definition promoted by Handler who interprets family business as one owned and managed by family member(s) (Handler 1989b), and may be extended in definition to include a family successor. The term family encompassed mainly nuclear family members, although in one case (Costa family) the business family successor was a member of the extended family due to particular reasons that have been explained in chapter 7.

Originally it was foreseen that the sample of participants would be spread across a variety of different business niches. This criterion was difficult to follow, as the sample of three-generational family businesses from which to draw was small and limited. As the search for families that met the criteria continued, it became apparent that the majority of these firms fell into two particular occupational groupings, hospitality/food and construction. A likely explanation is the fact that the first generation of Italian migrants of the 1920s and 1930s were largely unskilled, of rural background (refer to Appendix 2). In Victoria, they settled either in the countryside, working in agriculture as fruit and vegetable growers and marketers, for example in Geelong, Mildura, Kyabram and Shepparton, or cultivating tobacco and in viticulture in Myrtleford; or on railway or road building sites, in quarries such as in Cooper's Creek. For those who settled in Melbourne the jobs were more varied: they worked as chefs, waiters, hotel keepers, builders, tradesmen, concreters (including terrazzo workers), with a great number of Italians working in factories. Few Italians of the first generation had any formal qualifications post-

primary school, as these were not encouraged by the Italian, nor the Australian Governments, as they were not regarded as being required in Australia at the time of their arrival in the first half of the 20th century. This had some effect on the type of activities and business niches in which the Italians worked, and established their enterprise. For a more exhaustive description of the occupations held by Italians in Australia, refer to Appendix 2. All businesses selected were long surviving private enterprises. Due to the limited number of multigenerational family businesses in Victoria, firms differed in size, with some being classified as small (up to 20 employees), medium (20-200 employees), others large (200+ employees), some international. This variable will not limit the generalisation of the results of my study, however. The selection criteria are summarized in Table 5.1.

Table 5.1: Criteria for selection of sample of case studies in this thesis

Criteria for family members	Criteria for businesses
- three generations in same family	- ongoing three-generational family firms
- only one member in leadership role	- location: in Victoria, Australia
- either gender	- varied occupational groupings
- nuclear or extended family members.	- any size.

In Table 5.2 below I have reproduced the name of the families (after permission was granted by the participants), their type of business and the family representative who was part of the interview process. The businesses are all located in the State of Victoria, most with their headquarters in Melbourne. In total, there were 20 male and one female participant.

Initial contact with participants

Initially the families were selected through personal contacts, through people well connected in the Italian community, or by directly approaching a family representative by

email or phone. On some occasions, following the interview, the participants volunteered suggestions from among their own contacts who fitted the criteria of successful Italian-Australian three-generational business families.

Table 5.2: The sample of the seven family businesses

Family	G1	G2	G3
Carrazza (*Mildura, north west Victoria*) Mildura's Grand Hotel, Mildura Brewery, Stefano's Café'. Stefano's Restaurant. Type of business: Hospitality, food, property investment & development.	Giuseppe	Domenico (Don)	Donata
Costa (*Geelong and Melbourne*) Costa Group, Costa Exchange, Costa Logistics, Costa Properties. Type of business: Distributors of fruit & vegetables, property development and investment.	Antonino (Tony)	Francis (Frank)	Simon
Genovese (*Melbourne*) Genovese Coffee. Type of business: Coffee producers and distributors.	Alfio	Danilo (Daniel)	Adam
Grollo (*Melbourne and Mount Buller (Alpine region in eastern Victoria).* Grocon, Grollo Australia, Grollo Group, Gro-Set, Equiset. Type of business: Construction, property development and investment. Hospitality/Tourism.	Luigi	Rino	Lorenz
Piedimonte *(Melbourne).* Piedimonte Supermarkets, Coreco Fine Foods, Hilliers Chocolates. Type of business: Importers and distributors, and manufacturers of food and supermarkets.	Giuseppe	Salvatore (Sam)	Joseph
Pizzini *(King Valley (near Alpine region in eastern Victoria)* Pizzini Wines. Type of business: Wine production and distribution.	Roberto	Alfredo (Fred)	Joel
Vaccari *(Melbourne)* G. Vaccari & Co Pty Ltd. Type of business: Property investment and development.	Gualtiero	Franco	Michael

The network of contacts proved to be a successful strategy to follow, and it was a positive way of gaining the initial trust of the people I approached. Two unforeseen consequences of this snowball technique proved to be interesting. Expecting that some of the family representatives that I had contacted would not accept to participate in my

study, I continued to make new initial approaches. Due to the unexpectedly high acceptance rate (100 per cent), I was obliged to apologise and cancel some prospective interviews as my sample of families had grown too large for the qualitative project I was developing. A second unpredicted consequence was that as a result of gaining access to interviewing one representative of the family, I was then successful in undertaking a number of additional interviews with other members of the family, in particular with women (wives, sisters, daughters) who work and support the business behind the scenes. As a tangible outcome of this, a number of conference papers have been published during the course of this thesis, some which examine the roles that women play in family business and their dynamic contribution to its success (Hougaz & Betta 2008, 2009).

The relationship between researcher and participants

During the data collection stage, it is important that the relationship between the researcher and the participants be controlled so as not to influence the research outcomes (Bowden 2005). Particular care was therefore taken by the researcher that all subjects were approached in a similar manner, and received the same information. The participants were initially invited to be part of the study via a personal email or a phone call during which I introduced myself and briefly explained the nature of my study, thus establishing an initial rapport with them. If the people approached displayed an interest (which proved to be so, in most cases), a letter was then forwarded providing an overview of the project, and outlining the individual's degree of involvement, accompanied by a questionnaire and a stamped, self-addressed envelope to facilitate its return. Inevitably this proved to be the best and most successful method of approaching these very busy people, and gaining their support for, and participation in my research. One difficulty encountered in the collection of the field data, was the fact that due to the very busy lifestyles of the participants, which include very long working days in addition to frequent overseas travel, the period over which the interviews stretched out was longer than I had anticipated. Occasionally, follow-up phone calls were made, and emails sent as reminders,

which were generally kindly acknowledged, and acted upon. When the questionnaire was returned to me, a meeting was scheduled to conduct the interview.

The geographical location of the participants

During the data collection period, I decided that it would be valuable to include a sample of Italian-Australian business families who live and work in regional Victoria. This would provide the opportunity to apply the finding across both metropolitan and regional settings, thus making the study more relevant, and the results more significant. I was successful in finding samples in Mildura, King Valley and Geelong, quite different parts of the state. Even though this involved travelling long distances to undertake the interviews, this provided me with the opportunity not only to have a broader sample in this study, but also to visit some beautiful areas in Victoria which I had not seen before, and gain a deeper appreciation of how and why some Italian migrants settled in those areas, and their families continue to live there.

The data collection

Questionnaires

Initial data was gathered through the administration of a questionnaire designed by the researcher (Appendix 6). Originally it was foreseen that the questionnaire would be administered during the first meeting with the participant. However, due to their busy work commitments, it was resolved that it would be forwarded by mail, together with the informed consent form and a stamped, self-addressed envelope to facilitate their return to me. In all cases this proved to be a successful strategy. The questionnaire was relatively brief, seeking general demographic information concerning the participant and the business, which would be useful for the upcoming interview. It was divided into two parts and, where appropriate, was supported by closed and multiple choice questions in order to more easily collect the target information. This format was also found to facilitate the responses of the participants, so that it did not become a long, tedious and unpleasant task for such busy people. Part one set out to gather personal data such as place of birth,

nationality, age group and language skills, and information about the family and the education level reached. Part two requested information about the size and type of business, and some basic details related to the participant's entry into the business (age, other siblings etc.). Following the return and processing of the questionnaire and the consent form (Appendix 5), an appointment was made for an in-depth life interview with the participants.

Interviews

According to the life history and phenomenography approaches, the semi-structured interview process is the preferred data collection method (Marton & Booth 1997). The interviews format and questions were designed by me specifically for this study (Appendix 7). Upon meeting each participant and beginning the interview, the ethical considerations were clearly spelt out to the research participants who had given their informed consent in writing, and they were asked once again for permission to tape record the interview. The tape and digital recordings and hard copies are held by me. It was stressed that the information given during the interview would be discussed and their permission sought before any information would be disclosed: "…researchers have an obligation to protect people from being managed and manipulated in the interest of research" (Measor & Sikes 1992, p. 211). An interactive in-depth interview on a one-to-one basis with the interviewees was conducted generally in their office, although on some occasions in their home or in a quiet, reserved part of the café they owned, all places where the interviewees felt comfortable, in situations that developed mutual trust. "Familiar territory generates confidence, the interviewer is invited in as a guest and the balance of power is more likely to tilt in the interviewee's favour" (Rhodes 1994, p. 354), making them feel that what they were saying was important and valued.

Since life history/oral history and phenomenography methodologies were used, I was aware of the importance of providing all subjects with the same information before and during the interviews. The same kind of semi-structured questions were asked, with the

same number of questions. The researcher's comments and questions were limited to simple and impersonal requests for additional information, or encouragements for more detailed, or clearer information, focussing the interview towards extracting underlying meaning in the experiences being recounted. The beginning of the interviews took the form of an open-ended discussion between the interviewer and interviewee. Douglas (1985) refers to this as *creative interviewing*, which encourages a close rapport of trust to develop, promotes mutual disclosure between the interviewer and interviewee, and a mutual understanding between both. Burgess (1988) refers to the free-flowing discussion during interviews as "conversation with a purpose" (p. 153).

The central part of the interview took the form of set semi-structured questions. All three generations were asked the same questions so that a comparison of answers could be made of these, thus more easily identifying the fundamental themes that arose. These questions related to their family background, the importance of maintaining their Italian culture and customs, their early involvement in the family business, as well as the philosophy of family business and role of values in their family and business. In conclusion they were asked to reflect on the success of their family business, and on the contribution that they had made to it. In addition to these questions, the first generation was initially asked to speak about their pre-migration background and their post-migration experiences, focussing on the reasons for taking the decision. As a researcher I was careful to create ample space and opportunity for the interviewees to tell their special stories, share the experiences and feelings that have shaped their lives, without interruptions. My role was to probe, with questions and brief comments, such as asking for examples, in an effort to draw out the underlying meaning in their stories. Each interview was recorded, notes were written following the interview, and the interview was later transcribed. The duration of the interviews varied between one and a half and two hours, and transcripts averaged 20-30 pages in length. Particularly in the initial stage of the interviewing process, a preliminary thematic analysis was conducted following the interview in order to identify new themes that had emerged, or if any interview questions had to be modified.

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In general, I found that a number of the questions that I had set were answered spontaneously by the interviewees during the course of the free-flowing conversation, providing the context of the *story* that they were telling me. For some interviewees, some aspects and issues were more important than others. The interview as a whole offered not only an individual story of migration, or of their life and experiences as an Italian-Australian, but one was able to gain a sense of the social history of these families as they developed and grew over the years and generations. As Malinowski, one of the founders of social anthropology, points out, "We are not interested in what A or B may feel qua individuals, in the accidental course of their own personal experiences – we are interested only in what they feel and think qua members of a given community" (1922, p. 23). The interviews were then read and analysed for themes, and the themes identified were studied within the context of the social and cultural background of the respondents.

The process of transcription

Each interview was carefully transcribed *ad-verbatim* by me, including unfinished utterances, paying particular attention to the style and expression of each individual speaker, so as to capture as precisely as possible, the atmosphere of the meeting, and the subtle and implicit meanings. I accept that written transcripts have limitations (Samuel 1998), as they neither convey in depth the nuances and idiosyncratic characteristics of the interviewees, nor the rapport that built between the researcher and the interviewee, which is an important element that determines the success or otherwise of an interview.

Written sources

The oral testimonies collected for this study were supported by written sources of both a primary and secondary nature. Primary sources were autobiographies and biographies. Secondary sources, such as family documentation, published articles in media outlets and the web proved important as they supplemented, and verified the oral testimony of the participants. This was particularly true when discussing the reasons for migration, their experiences as new arrivals in Australia, and the conditions that paved the way for the

entrepreneurial activities of the first generation. This data also provided valuable background information about the business, and a number of prominent members of the families in my study. Among others, the most prevalent primary sources related to the Grollo family (Baldassar & Pesman 2005; BRW 2009, 2011; Pascoe 1988, 1992a, 2002; Ruzzene Grollo 2004), the Costa family (BRW 2009, Tobin 2007), the Vaccari family (Pascoe 1990b; Easdown 2006). Other studies offered valuable information related to a range of business themes about these families (Hougaz & Betta 2008, 2009, 2010, 2011).

A primary source in the form of the personal memoirs of one of the participants was offered to me. As a written personal testimony of his stories, this proved invaluable to my thesis, as it documented his life story, focussing on numerous aspects that were central to my thesis.

All the data collected and analysed helped the researcher in forming a more detailed and complete picture of the families studied.

Approach to analysis of data

The analysis of data presupposes a process by which sense-making occurs. I am using the notion of making sense as developed by Weick (1993) who highlights the process of becoming aware of problems, difficulties, lack of understanding with the purpose of mapping an event. Thus, after gathering the data, I began by transcribing the interviews. It was a lengthy and laborious stage that required patience and perseverance, particularly as I transcribed not only words, but also aimed to include notes on the tone used, symbols reflecting pauses, and words to capture emotions of each interviewee, so as to gain a deeper perspective of how he/she felt about issues discussed (see Portelli 1981). The recordings of the interviews have been retained by the researcher in a safe and secure place after transcription, in case any significant part of the interview may need to be checked. Each interview was originally conceived around some general concepts which were identified by me as possible themes to be explored. In relation to the analysis process, Bowden (2000) argues that a phenomenographic analysis should not commence

until all the transcripts are completed and ready to be read as a whole, so as to maintain the researcher's approach to the interviews constant and with a larger context. Therefore, when the transcript of all the interviews was completed, I proceeded to read and re-read each interview numerous times, keeping constant focus on the research question, noting the main emerging themes. In line with a phenomenographic methodology, the challenge faced in recognising major categories of description was to allow the transcripts to generate the themes, rather than to impose my own personal preconceived ideas. The aim was to identify the commonality in meaning across all interview transcripts, which would lead the researcher to isolate a small number of key categories of experience and meaning which interlinked across all interviews. To achieve this, Barnacle suggests "to look for relationships between transcripts while maintaining the integrity of each phenomenal experience, as well as accounting for the commonality as well as diversity of experience" (2005, p. 49).

By reading and re-reading the transcripts numerous times, and by concentrating on only one phenomenon in any one reading of all transcripts, it gradually became possible to shift the research focus from the story telling of the interviewees to the underlying meaning in their story, thus capturing their understanding and attitudes towards the phenomenon they were describing. By undertaking a rigorous process consisting of iterative cycles between reading whole transcripts, interpreting the data, allowing the data to suggest categories of description, then re-reading the transcripts to check the interpretations, over and over again, the focus gradually narrowed to one/two major themes. Closure of this process was achieved when no new themes and meanings emerged from continuing iterations, and when I felt confident that the theme(s) identified provided clear answers to the research question. The process of data analysis is very time consuming, but as Bowden (2000) argues, in qualitative research it is important to maintain a consistent and transparent approach within a coherent framework in order to maximise the validity of the outcomes. Figure 5.2 below captures in abstract terms the process of analysis as experienced by me after the gathering of the data.

Figure 5.2 – Process of data analysis
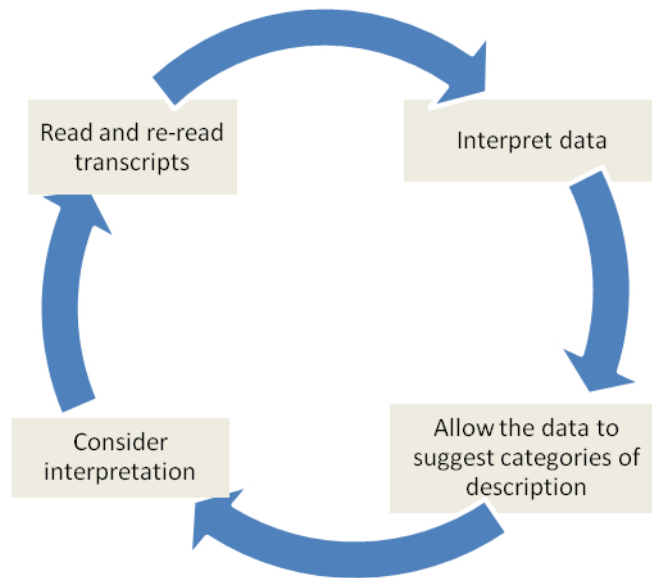
Technical process

In order to provide consistency and support throughout this process, I decided to explore the potential of the computer software program NVivo8. Computer-assisted qualitative data analysis software (CAQDAS) has been available and used in research for some time (Richards & Richards 1988; Wolfe, Gephardt & Johnson 1993; Bourdon 2002). Wolfe and colleagues (1993) in particular describe how this interface can reduce the tedium involved in data analysis, and improve the quality and speed of this process. It is generally acknowledged that the use of computer-facilitated qualitative data management speeds up the analytical process as it replaces the steps that are traditionally undertaken manually. It is a tool recommended for organising and analysing complex qualitative data that requires thematic coding. It is the responsibility of the researcher how s/he wishes to undertake the task of coding and examining the data. A range of tools systematically codes the data that is inputted by the researcher, and upon completion of this stage, it provides deep levels of analysis, linking ideas and themes from textual and multimedia sources, helping to classify, sort and arrange the information collected. This program

supports the researcher in understanding the qualitative data collected, discovering patterns, and providing a deep insight in the emerging themes.

Initially, all the materials that I had gathered in relation to the study were loaded into the NVivo8 program: the interview transcripts, any notes that I had taken following the interviews, images such as photographs and scanned pictures, links to useful websites, media articles. I then began a very broad thematic sorting of all these materials in key categories, which were based on the main themes that I had explored in the questionnaires and interviews: personal data, migration experiences, maintenance of the Italian culture, involvement in the family business, values and philosophy of family business, expectations of one-self/family members, issues related to succession, personal reflections on the success of the family dynasty. NVivo8 offers flexibility with the possibility of creating a system of categories, or nodes (*independent nodes*, or *tree nodes* comprising main categories and sub-categories), which are "a bona fide new configuration of the data that may be handled just like a reconstructed original, allowing selections of data within a node to be further investigated and assigned some other code" (Bourdon 2002, p. 6). All the relevant material related to a node (or theme) was coded in this node, analysed in depth, and recoded as necessary into other relevant nodes. The nodes were not inclusive of all the material covered in the interviews, but, at the same time, I found that very little material was left uncoded. At the same time, some material could be coded in a number of different nodes, if relevant (Refer to Figure 5.3 below).

A four-stage process

In line with my qualitative data analysis, I followed a comparative method, assisted by NVivo8, which consists of a four-step process. Firstly I identified *general categories* of themes (nodes), input the information into these, and compared across the categories. These categories, or nodes, can be arranged hierarchically or left unstructured. Secondly, I ran some text searches in order to identify all the passages (transcribed from interviews) that particular key words or phrases: this was done to identify *recurring themes*, and also

to ascertain where they occurred in the text. During this process it became evident that I needed to refine the categories, a process which is easily executed and achieved when using computer-assisted software. The third stage of *delimiting the theory* required more conceptual insight into the relationships and patterns that emerged across the categories, or nodes. Fourth, finally the data was tested against my presuppositions and hypotheses, and finally integrated into the writing of the theory (Glaser & Strauss 1974, pp. 105-115; Maykut & Morehouse 1994, pp. 134-145; Bong 2002, p. 8). Figure 5.3 below represents parts of this lengthy process and highlights the emergence of themes into various categories across the three generations.

Figure 5.3: Hierarchic structure of themes (tree nodes). Sections of separate interviews are coded into different relevant categories, or nodes

Migration
- background in Italy
- decisions to migrate
- early experiences in Australia
- entrepreneurial activity
- founding of family

Business culture
- family involvement in business
- Italianness of business
- starting the business
- making business decisions
- keys to success
- company culture
- values

Family culture
- expectations of parents
- Italianness of family culture
- self-identity of family members
- overlap family-business
- family unity
- values

Interview transcript A

"xxxxxxxxxxxxxxxxxxxxxxxx xxxxxxxxxxxxxxxxxxxx"-------

Interview transcript B

"yyyyyyyyyyyyyyyyyyyyyyyyyy yyyyyyyyyyyyyyyyyyyyy"

NVivo8 proved to be a very useful analysis tool as it allowed quick multiple coding of the same text; easy revision of the coding and recoding of the categories, facilitating the ongoing process of reducing both the categories and the data; an easy search facility to recall information at any stage, particularly during the writing up of the thesis. In addition, following each interview and throughout the data analysis stage, notes based on ideas and interpretations were written and filed in a folder specifically prepared for each person, where hard copies of media reports, photographs, in addition to the participant's questionnaire, consent form and transcription have been filed.

Data analysis

The data analysis was a laborious process that took a couple of months of concentrated effort. During this time, as I coded and recoded the data, I became more familiar with the participants and their stories, making links, finding similarities and differences, and was then more aptly able to refine the themes, create sub-themes, in response to the research question. During this period, the research question, which had initially appeared vague and distant, became clearer, more focussed and relevant. The NVivo8 software proved invaluable during this process: it was relatively simple to learn and to use, and speeded up the whole analysis process, ensuring that I had control over the large amount of data that I had input into the program. To code all the material that I had collected, in particular the interview transcripts would have been a very long, time-consuming process, not easy to control, and error-prone. NVivo8 ensured that the process of data analysis was as simple and speedy as could be.

Ethics approval

Ethical issues generally arise in the conduct of research projects on human subjects, and in the reporting stage of the results. According to Ticehurst and Veal (2000) some of these issues include the voluntary participation of research subjects, that stressful experiences and conditions should be avoided, and that no harm should come to the participants. In undertaking such research it was therefore important to ensure that permission was granted by the respondents for interviews to be recorded, transcripts to be made of the recordings, and for the participants to authorise their contribution to the research, as well as the use of their name and the name of their companies in this thesis to be used in any publication about this research. A written statement was therefore forwarded to the participants with a letter requesting their participation, which outlined the purpose and nature of the research project. The objective was to assist the participants in making an informed choice as to whether or not they wished to participate. Appropriate action was taken by the researcher to ensure that the participants were made clearly aware of their

rights, and that during the whole period relating to the research, all data collected was handled in a confidential and professional manner.

The researcher ensured that ethics approval was granted by the Human Research Ethics Committee (HREC) of the Swinburne University of Technology before commencing the data collection process. Approval was granted on 19 October 2007 (Appendix 3).

An introduction to the qualitative data analysis: Values across three generations of family business

The following three chapters (6, 7, and 8) focus on the participants and the data collected, thus reporting on the results of my research. The findings refer to seven family businesses that I selected to study for this research. The presentation of the qualitative data gained from questionnaires, interviews, as well as unpublished family documentation, autobiographies, biographies, oral testimony in addition to other secondary sources, reveal intensity and depth in the life and work of the members of these three-generational families which span across a period of approximately one hundred years.

The results are presented in a structured manner over three separate chapters. Each chapter is dedicated to one single generation: chapter 6 refers to the founding generation (G1), chapter 7 to the second generation (G2) and chapter 8 to the third generation (G3). Although the three generations are dealt with separately, they are also overlapping generations. This aspect is highlighted in the findings.

A short history of the seven three-generational business families selected for this study is presented as Appendix 1. It provides a profile of each family and a brief outline of each generation, which helps to understand and appreciate the background and the development of the families over the years.

The story of the seven families in this study is interlinked to the migration movement of the first generation from Italy to Australia, which sets the historical starting point for

the genealogical work of this thesis. The G1, the entrepreneurial founders of the family businesses that I have studied, were Italian migrants who left Italy either prior to, or following World War 2. Appendix 2 provides a brief history of the Italian migration to Australia, giving a general overview of the migration process of the first generation and the effects on its descendants.

Chapter 6 therefore begins by focussing on the migratory entrepreneurial journey of seven Italians to Australia, highlighting the fundamental role of this generation in setting the conditions for the creation of multigenerational family businesses. The chapter emphasises how the culture and values of the founders continue to be a strong and long lasting presence in shaping and sustaining the family business beyond their lifetime.

Chapter 7 presents data related to the G2 and chapter 8 follows, with data about the G3, presenting a picture of each generation and providing an understanding of their identity, their role in the family and the business, and of their values. The first part of these two chapters deals with personal aspects related to the evolving identities of the Italian-Australians who gradually integrate more and more into mainstream culture, just as their business does. Their reflections about intergenerational transfers are presented, including their commitment as successors to the family business. The second part of chapters 7 and 8 examines the personal, family and business values, set by the founders, which continue to play a fundamental role in the succession process and in the family business across the generations.

The following chapters analyse the participants' narrative which has been collected mainly through semi-structured interviews with members of the three generations. Their discourse unveils the manner in which each speaker constructs his/her own reality, capturing the multiple perspectives of their personal experiences.

Chapter 6

The Creation of an Entrepreneurial Enterprise:

The First Generation – The Entrepreneurs

This chapter reconstructs the experiences of a small number of early pioneers, first-generational (G1) Italian migrants, highlighting the fundamental role of this generation in generating the conditions for the establishment of family businesses, through their own personal resources. This part of my research will concentrate on the individualistic values and personal resources that supported the migrant in overcoming the difficulties faced in the migration process. They built a sort of system of strengths. This system of strengths promotes the development of entrepreneurial behaviour, shapes entrepreneurial activity, and becomes translated into entrepreneurial business formation once the migrant settles into the new country.

Who are these migrants?

Constructing a picture of the Italians who migrated to Victoria in the first half of the previous century and laid the foundations to a successful three-generational business family is no easy task. It forms part of the bigger picture of the Italian migration to Australia (refer to Appendix 2), a movement that has been well captured and interpreted through both statistics, oral/written documents by historians, anthropologists and sociologists,[16] who documented the origins and traditions of communities of Italians who worked and settled in various parts of Australia.[17] The story of a number of individual

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[16] Alcorso 1992; Alcorso & Alcorso 1992; Baldassar 1994, 2001, 2004, 2008; Bertelli 1986; Borrie 1953, 1954; Bosworth 1988; Bosworth & Ugolini 1992; Castles, Alcorso, Rando & Vasta 1992; Collins 1988; Cresciani 1985, 1986, 1988, 2003; D'Aprano 1995; Gentilli 1973, 1983; Jupp 1995, 2001, 2002; Lancaster Jones 1964a; Lorigiola 1997; MacDonald 1956; MacDonald & MacDonald 1964; O'Brien 1988, 1989; Pesman 1993, 1999; Price 1963, 1975; Randazzo & Cigler 1987; Rosoli 1978; Ware 1981 among others.

[17] Baldassar 2001; Baldassar & Pesman 2005; Bivona 1994; Bosworth & Bosworth 1993; Bozzato 2004; Davine 2006; Douglass 1994; Gamba 1952; Gentilli 1983; Gobbo 1991, 1998; Hampbel 1984; Huber 1977; Iuliano 2010; Jones 1962, 1964; Lancaster Jones 1964a, 1964b; Loh 1980; O'Brien 2000a; Papalia 1985; Pascoe 1987, 2000; Peters 1999; Phillips 1970; Rando 1990; Reynolds 2000; Ruzzene Grollo 2004; Segafreddo 2000, 2005; Ware 1981 among others.

Italian migrants to Australia has also been recorded, as biographical or autobiographical accounts of their life, with a focus on their migration experience and their accomplishments in their new country.[18] This chapter will focus on the G1 members of seven Italian families who started a migration journey, entered into a new reality and initiated an entrepreneurial process that sowed the seeds for the creation of families and multi-generational family enterprises. The members of the G1 included in this study[19] are:

- Giuseppe Carrazza
- Antonino (Tony) Costa
- Alfio Genovese
- Luigi Grollo
- Giuseppe Piedimonte
- Roberto Pizzini
- Gualtiero Vaccari

The following section outlines a profile of the G1 in this thesis, focussing on their motivations for migrating and on the impact that the act of migration and the challenges associated to this process had on their lives.[20]

Profile of the first generation (G1): Being Italian

Migration was a self-selective process, as individuals made a personal decision to leave their country of origin. Italians migrated predominantly from a relatively small number of provinces and regions, often from specific villages, and the exodus of Italian migrants was not evenly distributed over the 40 year period. As Lancaster Jones (1964a) has reconstructed by chartering the rates of migration from Italy to Australia, the region of Sicily (in the south of Italy, in particular the Aeolian Islands and small towns around

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[18] Easdown 2006; Harden 2003; O'Brien 2000b, 2000c; Pascoe 1988, 1990b, 1992a; Ruzzene Grollo 2004; Tobin 2007; Volpe 2005.
[19] Further details of members of each family are provided in Appendix 1.
[20] A technical note: longer quotes have been placed in boxes to facilitate their reading, while shorter ones remain dispersed throughout the text.

Catania), and the Veneto region (in the north-east of Italy, especially areas such as Treviso, Belluno and Vicenza), have contributed a relatively large number of Italians to Australia, and in particular to the State of Victoria. This is supported by Baldassar and Pesman's research (2005). My sample reflects these general migration trends with four individuals from the south of Italy, (three from Sicily and one from Basilicata), one from the centre-north (Emilia Romagna) and the other two from the north (Veneto and Trentino).

Table 6.1 below shows the members of this generation: they arrived at various points in time, within a 40 year period spanning between 1912 and 1952, some migrating alone, others with relatives, friends, *compaesani* (or *paesani*, fellow villagers or townspeople) and one with his family. Their age at the points of migration ranged from the young age of 16 to a more mature age of 38. The periods of migration represented in the sample fit into the two greatest period of migration from Italy: between the two World Wars, and following World War 2. One exception is Gualtiero Vaccari who migrated earlier, in 1912 prior to World War 1.

Table 6.1: Socioeconomic data of the first generation[21]

Name	Year and birth place	Pre-migration occupation	Year, age and place of migration	Professional background and education	Year of death (age)
Carrazza Giuseppe	1914. Montemurro (Potenza, Basilicata).	Merchant and trader.	1952 (38) Mildura (north-east Victoria). Alone.	Farmer and merchant. Primary education.	1988 (74).
Costa Antonino (Nino -Tony in Australia)	1909. Salina (Lipari, Aeolian Islands, Sicily).	Farmer and winegrower	1926 (16) Geelong (Victoria). Alone.	Wine growers and fruit merchants. Completed secondary education.	1985 (74).
Genovese Alfio	1921. Randazzo (Catania, Sicily).	Trader.	1950 (29) Perth (Western Australia) then Sydney (NSW) and Melbourne (Victoria). Alone.	Farmer. Some primary education.	1995 (74).
Grollo Luigi	1909. Cusignana (Treviso, Veneto).	Agricultural background	1928 (19) Melbourne and other places in Victoria. Alone.	Agricultural family. Primary education.	1994 (85).
Piedimonte Giuseppe	- Montalbano Encona (Messina, Sicily).	Shopkeeper	1950 Melbourne (Victoria). Alone.	Trader in food wholesale business, fruit shop. Primary education.	-
Pizzini Roberto	- Rovereto (Trento, Trentino Alto Adige).	Qualified tradesman (fitter and turner).	1956 Myrtleford, (eastern Victoria), with family.	Agricultural background. Qualified trade apprentice	-
Vaccari Gualtiero	1894. Sant'Agostino (Ferrara, Emilia Romagna).	Bank clerk.	1912 (18) Melbourne. Alone.	Middle class farmers and merchants. Qualified accounting clerk.	1978 (84).

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[21] Note: personal data such as dates of birth and age of living participant members have been omitted from the publication in order to preserve their privacy.

In the pre-World War 1 period, Italian migration to Australia was sporadic, and consisted of pioneers who found little or no supporting networks to help them settle and find a job. They were early pioneers who relied on some very basic, sometimes inaccurate, but valuable information about the new land that a small number of adventurers, prior migrants or temporary sojourners had provided them either by letter or word of mouth (Templeton 2003). Those who followed, between the wars, or after World War 2, relied on personal contacts or network of *compaesani* (fellow villagers) for support because Australian government regulations required them to have a sponsor (through the *atto di richiamo* - sponsorship), thus creating a process of chain migration which often resulted in concentrations of Italians and regional groupings in particular localities. A brief history of the Italian migration to Australia is provided as Appendix 2.

The notion of value in family business

The main purpose of this chapter is to reconstruct the migration experience of the G1 in an attempt to capture the elements that made it possible. Such elements I have called values. Values have been studied largely within the area of individual and organisational ethics, but work undertaken by family business researchers reveals that a family business culture is the outcome of values and goals intimately linked to its history and social ties (Aronoff & Ward 2000; Hall, Melin & Nordqvist 2001; Ward 2008a), that family values take precedence over corporate values, that family-business managers display a high level of integrity (Lyman 1991), and that values driving family business diverge from the values of non-family managers (Brice & Richardson 2009). It is also acknowledged that "the values of founders and current leaders shape the values of their own organisations, can shape the values of the industries in which they operate" (Ciulla 1999, p. 166). This means that family firms differ from non-family firms because family principles and values overlap into the business sphere (Aldrich & Cliff 2003; Harvey & Evans 1994).

> With the reputation of your family on the line, with your personal integrity behind every handshake, and with the economic future of your heirs at stake, owning a family business

is not only a significant responsibility but also an opportunity for an increasingly valuable competitive advantage (Ward & Aronoff 1991, p. 43).

A family firm places a high priority on building and maintaining a strong long-term stable relationship among family members (who are also employees) that is based on trust and a sense of belonging, particularly across multigenerational family businesses (Sirmon & Hitt 2003). This approach positively affects family firm performance (Arregle, Hitt, Sirmon & Very 2007; Pearson, Carr & Shaw 2008), and as a result, family members tend to be more committed and loyal to the business, with a higher career satisfaction than people working in non-family organisations (Beehr, Drexler & Faulkner 1997; Chrisman, Chua & Kellermans 2009). This chapter analyses the values that the G1 brought with them though the migration process. More precisely it attempts to reveal how these resources set the foundations of their family and their family business.

Values of the first generation

"Values are what we believe to be important or morally worthy" (Ciulla 1999, p. 166), they are implicit characteristics that are beneficial to the family grouping and individual members, they set the basis for the informal relationships within families, support the family dynamics, and form tacit social contracts among members. They are usually strong and long lasting, not enforced, but implicitly acknowledged, handed down from one generation to the next. In family business, these implicit social ties often overlap into the business processes, and can become the dominant feature of the family governance system, rather than the explicit, formal contractual relationships normally found in other business structures. It is well known that business leaders determine the values of the business; in family business the family leader establishes the fundamental values that guide the decisions and operations of the organisation.

During the migration process to Australia, the G1 migrants not only brought their skills to Australia, but also brought with them their own personal resources, including their personal values. In turn, as they founded their own family, they shared these values,

helped their family members to develop their own, and transmitted them to the following generation(s). Through the interviews conducted with the G1, I identified a strong value system that has been implicitly accepted within each family, a system which has continued across the three generations studied. Some of the values are the personal values of the founder, and some play an important role in the development of the family, others support the development of the business. As the individual, family and business spheres overlap (Lambrecht & Donckles 2006) it is often difficult to clearly separate the sets of values which may be transferred from the founder and family members into work and business situations. However for the purposes of this study, an attempt has been made to identify three categories of values: the *personal values* of the founder, values that support the creation and maintenance of the family that I have termed *family values*, and values that are important for the establishment, and successful continuation of the business organisation, that I have termed *business values.* These three systems of values will inevitably closely intertwine, and often overlap within the context of the family business.

"Values are static concepts" (Ciulla 1999, p. 169), they serve as guiding principles, and regulate the behaviour of individuals (England & Harpaz 1983; Posner & Munson 1979; Schwartz 1994). One cannot assume however, that because one has values, that one will always live by them, or put them in action. My thesis does not attempt to make a judgement about how the individuals studied connect with their actions or behaviour. That would involve making a moral and ethical judgement about the words and actions of the individuals, which is not within the scope of my thesis. Rather, I will identify those implicit and tacit values that the individuals and families in this study may have considered, but may never have articulated publicly, how these have become an integral part of the constitution of the family, have shaped the family members' lives, and eventually the values of their business. This study also aims to discuss how the individuals perceive and describe their values, their expectations in relation to family members, and give examples, as reported by them, of how their values are reflected in their actions. The interviewees were asked to consider what their personal values were, their expectations

of their family members in relation to these values, and provide examples of how these values motivate them to act.

Pre-migration conditions

The migration of the G1 was a voluntary diaspora: history explains that their decision to relocate was generally attributed to economic factors, attracted by the possibility of a better life in Australia (the *push-pull* migration factors[22]). Growing up in Italy in the period following World War 1, or World War 2, they faced severe economic difficulties due to the unstable economic situation that existed in these times. Many lived in conditions that were just sufficient for themselves and their family. Their decision to migrate was encouraged by a network of family and friends, who were prepared to guarantee them immediate support and some type of employment. "Chain migration ensured sustenance, networks and, hopefully, also work and lodging for the newly arrived" (Baldassar & Pesman 2005, p. 35). Luigi Grollo was sponsored by his brother and Giuseppe Piedimonte by his uncle; Giuseppe Carrazza joined his uncle in Mildura; Tony Costa his two older brothers in Geelong; Roberto Pizzini and his family joined his three brothers in Myrtleford; Alfio Genovese initially joined his uncle in Western Australia;, and Gualtiero Vaccari his great-uncle's, emphasizing the dynamic and important role that chain migration played in the relocation of thousands of Italian migrants to Australia.

This fundamental point in understanding the motivations of migrants has often been underestimated in the migration literature which tends to generally assume that working migrants left their homeland because "they were lacking something quantitative – bread, work, etc." (Cronin 1970, p. 145). My data, supported by Cronin's research, indicates instead, that "many individuals left because their lives were not qualitatively satisfactory" (p. 145). What does this qualitative limitation refer to? Their stories speak of their

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[22] Migration, whether voluntary or forced, can be explained in terms of the push-pull model, which relates to economic, social, political, religious hardships that encourage emigration from poorer countries (push factors) and comparative advantages that encourage immigration in more economically advanced and politically stable countries (pull factors) (Bonacich 1993; Portes & Borocz 1998).

motivations, their expectations and goals, and their perception of how to achieve them: all these point to a difference in types of individuals who migrated, yet their wish to break away from the economic and social limitations imposed by their social class, and improve their lives, were a reflection of the homogeneity of their group. The stories of the G1 reveal a deep dissatisfaction with their life prospects in Italy, confronted by political, economic and social powers which were outside of their control. They were disappointed and frustrated that they could not achieve more, and looked for other possible responses. Theirs was an individual, sometimes localised response to the existing conditions of unemployment, exploitation and bad government, often not extending beyond the family or the village. They were encouraged by the dream of independence, of a fulfilling job and existence, and in particular by the dream of ownership, which was "intrinsic to peasant culture" (Pascoe 1987, p. 131). Australia was perceived as the land of opportunities (as America had been viewed prior), where success, wealth and upward social mobility could be achieved by hard work and self-sacrifice.

Roberto Pizzini's migration story is linked to his three brothers who had already migrated earlier, and were living and working in Myrtleford,[23] in the Alpine region in north-eastern Victoria. Roberto did not leave his country because he had no job: he was a qualified fitter and turner and had a steady job in the workshop of a leather tanning factory. His wife, Rosa, recounts their story: "We hadn't considered migrating. His job was good, but we had had three children in four years and our living quarters were very small. …. When Roberto's brother arrived in Italy and said 'Come and join us!'…. In truth I didn't want to go because I was leaving behind my mother and two brothers. But we then took the decision and within three months we left!"(interview with Rosa, wife of Roberto Pizzini).[24]

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[23] Myrtleford is on the Great Alpine Road, approximately 300 kms north-east of Melbourne. This locality became a focus area for migrants originating from the Veneto and Trentino (Baldassar & Pesman 2005, p.73).

[24] Roberto was accepted by the Australian authorities as a migrant in the category 'specialized tradesman – semi-skilled worker', so the migration process was brief, and he qualified for an 'assisted passage' to Australia, which involved assistance with the cost of passage from the Australian Government as an inducement to migrate. Only a small number of Italian migrants were offered assistance.

The interviewees of the G1 elaborate on their past by embedding details of their old life in Italy, and of their migration to Australia, within their story telling: their family, town, home, friends, but also their hardships. Their decision to migrate is linked to their stories about the lack of educational opportunities, frustration of being locked into the social class in which they were born, which offered no chance for personal improvement. But there were also dreams, and longing for a better life in a new and unexplored country that offered boundless opportunities. Their stories show their awareness that if they had stayed in Italy, they would have to conform to the limitations of their social class. Education was not an option. Migration was their only alternative for breaking out of their old life and existence.

Although Gualtiero Vaccari had completed secondary school and a diploma in accounting, and aspired to a good career in Italy, his chances were few as he lacked the appropriate social connections:

Quote Box 6.1: Lack of opportunities in Italy

> "He had good credentials from his college in Bologna where he had studied accountancy. But he didn't have the *promessa* (connections)…. unless you had the *appoggio* (support) of some count or marquis, you could never aspire at being more than a bank manager… you know, the Italian system…. One of the reasons why he did migrate to Australia was because in Italy he could only aspire to being a manager of a bank, perhaps" (interview with Gualtiero's son, Franco Vaccari).

Gualtiero was ambitious to improve his social and economic status, so reluctantly chose migration to Australia, aspiring to new, unlimited opportunities in a new land.

These limitless opportunities drew Giuseppe Carrazza to Australia, following World War 2. Giuseppe, aged 38, left his wife and young children in Sicily, and joined his uncle in Mildura, in north-eastern Victoria: "There was no future, things were really tough in the whole of Italy straight after the war. So as a young person, and having a family he felt that he wanted to explore the rest of the world to see if he could improve his life. Having the contact here made it a lot easier for him" (interview with Giuseppe's son, Don Carrazza).

Alfio Genovese's migration was also driven by a sense of adventure: "At the time he left, there was an adventure in his mind, he was going to a completely new country, not knowing what he was going to find, but in the hope that he would find something that was going to make his life and his family life a lot easier than it was where he was" (interview with son, Daniel Genovese).

Luigi Grollo's early life in Italy includes images of his tough peasant background, as a *mezzadro*[25] in the Veneto region. From his biography emerges how war, drought, storms, and particularly the premature death of his mother, aged 52, affected his life; all these misadventures formed part of a difficult and unsustainable existence from which he yearned to escape. He decided to follow his brothers' footsteps to Australia.

Quote Box 6.2: Memories of bad conditions

> "Whenever I was working somewhere away from our hometown, I was thinking of going abroad, to America or to Australia.. […]…The following year, 1928, I saw that things were still going bad there. There was another storm that carried off everything. It left only the soles of our feet! Here were some new debts to pay off. […] My father said nothing to me. I was 18 years old, hale and hearty. I was young but I was plucky" (Grollo, in Pascoe 1988, pp. 40-41).

These stories of the G1 are stories of difficulties, but they are also stories of courage, perseverance, strength, dreams and ambitions. Through their story telling we are able to focus not only on their specific reasons for migrating but also on their positive expectations of what they would find in Australia. With determination and a hardy spirit, they willingly left their hometown, and with great courage and high hopes, embarked on a long migration journey across the ocean, into a new and strange environment. I have captured these feelings and sentiments in the next section which describes the pain of being an entrepreneur in status nascendi in a new country where the knowledge of the past needed first to be translated into a new language and a new reality.

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[25] A peasant who cultivated the land for a landlord, on condition of receiving a share of the farm produce, or as a tenant, paying a fixed rent on the land that he and his family worked.

The pains of entrepreneurship

Although the individual stories may vary, they all have something in common in that migration had an enormous impact on the lives of the migrants. On leaving Italy the migrants had enthusiastic expectations of the new country, and envisaged that their expectations would be quickly and easily fulfilled, as they had been led to believe by the string of letters and personal news recounted by other *compaesani* who had preceded them abroad (Templeton 2003). Upon arrival, however, many of their initial impressions and experiences were negative as they came in contact with a different culture in the receiving society, based on differing values, social structures, economies, political systems, customs and so forth. Their visions and hopes were quickly shattered as they faced such problems as discrimination, poverty, oppressive living conditions, lack of access to basic services, unfamiliar habits, confronting and sometimes threatening situations, often worsened by the lack of language competence. It was a new alienating world, different from the familiar one they had left behind. International research on immigration has investigated the difficulties that immigrants face in adapting and integrating in the new society, their exclusion, isolation and everyday challenges, concluding that the new country is not always the promised land (Gabaccia 1984; Laws 1997; Sherlock 2004; Waldinger 1996; Waters & Eschbach 1995).

Two initial and immediate problems of concern were a place to live and a means of support. Typical of the Italian migrants who arrived in Australia, they initially found immediate refuge among relatives, and other members of their own ethnic community, counting on their support for accommodation and communication in the new foreign language, living in shared accommodation with other families or individuals, They joined small community groups in Melbourne and in regional Victorian centres, such as Geelong, Myrtleford and Mildura, on which they relied for their survival in the early months of settlement. These informal personal networks provided them intermittently with a support mechanism through which they found work and accommodation opportunities, as well as personal security, sharing the same cultural and traditional values. It was through

these concentrations of *compaesani* that their local, regional and Italian identity (or sense of *Italianness*[26]) was to be maintained. This also included as the maintenance of their dialect/language and customs, which would continue later, through marriage, often within the same community group, and the formation of family groups.

As recounted in his biography, Nino (Tony) Costa disembarked at Station Pier in Melbourne in February 1926, aged 16, and was met by his two much older brothers who had migrated over 20 years before, prior to his birth, and who were strangers to him. "He was approached by two men of vaguely familiar appearance who introduced themselves as his brothers, Mick and Joe and took him to Geelong, where he lived and worked long hours, initially in his relative's fruit and vegetable shop, a niche commercial sector which attracted many Italian migrants over the years" (Tobin 2007, p. 23).

Luigi Grollo arrived aged 18, in July 1928, was met by his cousin Carlo Zanatta, who did not recognise him, as he had not seen him since he was a boy. "He was a good man to me. Zanatta took me to a *boarding house* in Russell Street, Melbourne city. There we stayed all one day and one night. The next morning we left for Healesville to go to work" (Grollo, in Pascoe 1988, p. 73).

Work was not as easily accessible as they had been led to believe by the publicity that the Australian authorities and the informal networks promoted. For those who arrived just prior, or during the great Depression, such as Luigi Grollo, work consisted of anything one could find anywhere around the state, sometimes across borders in other states, and included backbreaking jobs such as building roads, loading gravel, chopping or collecting wood in the forests, repairing bridges, cleaning iron in the furnaces, loading wheat,

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[26] The concept of *Italianness* (Alexakis & Janiszewski 1998; Pascoe 1992a) is used in this thesis in a broad definition, to refer to a set of values and characteristics generally considered as Italian. This notion may have variances according to differences in regional, class and educational background. The concept of *Italianness* used abroad may encapsulate an ethnicised perception of Italians and/or Italian culture and include stereotypical representations. For a discussion on the notion of the representation of identities, refer to Hall 1996.

milking cows, picking potatoes or peas and general farm work. In the depression years, even in Australia, the land of plenty, work was scarce and hard. Reflecting on this, Luigi Grollo recalls what he was told not long after his arrival: "This is Australia, [...] If you want to (*work*), it's fine. If not...starve" (Grollo, in Pascoe 1988, p. 85). That was the reality they encountered, and many of their dreams were shattered.

For those who arrived after World War 2, there were more abundant employment opportunities, but faced equally disadvantaged, at times demoralizing and isolating experiences. Roberto Pizzini's skills and training as a qualified tradesman were required by Australia, so he was given an assisted passage. However, upon arrival, he chose to join his brothers on a farm near Myrtleford, cultivating tobacco, the very job that he had avoided doing in Italy. He had been accustomed to a different life, and felt resentful: he had lost status, had lost his trade and his job: "I had tears right down my face... I had been cheated in having to do that work, you understand? I had never held a hoe or a shovel in my hand" (Roberto Pizzini).

Such was their new reality, confronted by the problems and confusions of a new unfamiliar environment, surrounded by a new strange society and strange language: these proved challenging, no matter how mature, well prepared and brave they were.

Alfio Genovese had spent long periods outside his hometown, abroad, while serving in the Italian Navy, travelling to northern Africa and other Mediterranean countries. This experience supported him in the initial adjustment. In Italy, Alfio had an import-export business, mainly exporting oranges from Sicily to Malta. But in Australia, due to his inability to speak English, he was disadvantaged, and obliged to accept low paid jobs: he worked in a timber mill, then in a dairy, later at the railways, and from there, worked his way up, becoming a ticket inspector. He learnt to drive articulated buses, until, years later, started his own business as a wheat contractor, then carting oil refinery pipes across

Western Australia, until more opportunities opened up. He learned to bend, take whatever came his way, and make a virtue out of necessity.

Giuseppe Carrazza had also served in the Italian army for six years and became accustomed to being away from his family and his hometown. He arrived In Australia in February 1952, was met at Station Pier by his uncle, Giovanni Sinisgale, travelling directly to Mildura where he initially worked on the land with him. There he did some share farming, then purchased his own property and vineyard, whilst living at times on his own, or with his cousins for five years before his wife and two sons were able to join him.

Although there was quite a sizeable community of migrants from Montemurro (province of Potenza, Basilicata region) in Melbourne in those early years, there were very few in Mildura, so his support network was limited.

Quote Box 6.3: Living conditions upon arrival

"The difficulties that they had? The language was number one, and the distance from their loved ones, from his wife and children, that put a lot of pressure on him. I suppose these days we call it depression…[..].. The loneliness of having to cook for yourself and wash for yourself on a day to day basis, because he lived by himself. After a while with some of the cousins that arrived, they got a house together and they all lived together, sort of lived as a team, to help each other" (interview with Giuseppe's son, Don Carrazza).

Regardless of their age, the G1 all felt an overwhelming sense of isolation and unimportance, and their days, particularly in the first 3-4 years consisted almost exclusively of the same itinerary home-work, with little or no time for social or recreational activities.

Gualtiero Vaccari had migrated young, aged 18, from a region in Italy with a low level of emigration to Australia. His great-uncle in Australia had died, and he had no clustering network to support him. He found work as a backroom clerk, working for the Italian Honorary Consul in Melbourne who owned an importing business. Gualtiero had very few

friends, only a couple of distant relatives and little money. He would spend his nights and week-ends reading and improving his command of the English language in the public reading room of the State Library "because there was heat and light and it was free" (Vaccari, in Easdown 2006, p. 6).

Luigi Grollo experienced enormous difficulty coping with loneliness and isolation. He missed his family, friends, *compaesani,* and that acute sense of despair and emptiness remained with him throughout his life:

Quote Box 6.4: Hard work in Australia

"I had no friends. I had no brothers, no mother, no father. I was alone! I worked two or three months in a place and then I would change. I made friends in the field who shifted like me and had nothing there. It was sad and hard. Australia has been hard for me, very hard. I worked in the fields, with the rain and the wind, without eating. I worked all day and then I went home in the evenings to make myself something to eat" (Grollo, in Pascoe 1988, p. 78).

While most Italians were able to find work and accommodation, in most cases, and in the early years in particular, they worked and lived in clusters among their close kin, extended family, *compaesani* or other Italians, which provided limited contact and little opportunity to integrate with the host culture. They found it difficult to be a foreigner in a new country, and their exclusion from mainstream Australian culture and life was deeply felt. They faced discrimination in terms of their race and birthplace, and their lack of English competence. And yet their persistence was a common thread to all of them.

Alfio Genovese always reminded his son, Daniel about the difficulties he encountered in finding a job when he first arrived in Fremantle (Western Australia):

Quote Box 6.5: The lack of integration policies

"Looking for work was very difficult for him because of the language barrier…mmm.. He always remembered something that always stayed imprinted in his brain, that when he looked for work in the newspaper in Western Australia, it had actually said "Must be Australian". He couldn't understand how the Australian Government was inviting people to migrate to Australia and then when you went looking for a job it said "Must be Australian" (interview with Alfio's son, Daniel Genovese).

Gualtiero Vaccari vividly remembers the discrimination that he encountered when he arrived: "When I came, Italian could not be spoken in the street. People would look at you and tell you to go back to your country…. Australia was really insular" (Vaccari, in Easdown 2006, p. 17).

The interviews emphasise the deep effects of the migration process and let emerge a cathartic sense of desperation mixed with humiliation. Their words reflect the cultural and psychological shock of arriving in a new country where language, customs, and even food, were vastly different. They were ill prepared to face this shock, and the effects were ever-lasting.

The reflections presented on the early experiences of the G1 who leave their familiar surroundings, leap into the unknown, and arrive in a new unfamiliar, disorientating and threatening environment in Australia, paint a picture of the dynamics of migration and the challenges associated with this process. Autobiographies, oral life histories, and reports written by migrants are clear evidence of the challenges faced in the new reality, trying to establish roots in a new country. Their stories speak of their painful experiences determined by uncertainties, risks, total personal investments, fears, hardship and loneliness. But they were adventurous and enterprising young people, and their stories also tell us about their courage, determination, perseverance, patience and strength, in other words, personal qualities that built the resources of their personal life. Throughout their journey from the old to the new country, the migrants came equipped with personal resources as well as skills, which formed part of their identity. This diasporic experience is

a transitory aspect of life for migrants, but it can also be viewed as a resource for the G1 migrants, a resource that instigated an entrepreneurial process, supported the development of their self-employment, eventually leading to the establishment of a family and family business.

In the following section I dig deeper in these stories and narratives to extrapolate their concealed meaning. To this purpose I will develop a taxonomy of values which includes personal, family and business values. As described in Table 6.2, I have identified a strong commitment to the following personal, family and business values among interviewees of the G1, values that have created the reputation of the family and of the family business. Each value will be discussed separately. To this purpose, I will refer to the single members of the G1 in no particular order. These values recur in their narratives often not understood or acknowledged by them as such. Through the interpretive work of my research it is possible to give meaning, and allow for sense-making within their narratives.

Table 6.2: Values of the seven family founders and their family business

Personal values	Family values	Business values
Trust	Family unity	Work ethic
Respect	Succession	Loyalty
Responsibility	Membership	Professionalisation
Honesty	Humility	Risk-taking
Loyalty		

Personal values

Trust

Business scholars acknowledge that trust is a source of competitive advantage for family firms; they recognise that it has a significant role in their governance (Carney 2005; Corbetta & Salvato 2004; Steier 2001b; Sundaramurthy 2008), and that "trust should be of

interest to all of those concerned with firm performance" (Steier 2001b, p. 354). Yet little qualitative research has been undertaken to understand how trust is maintained and optimized in multigenerational family businesses.

Trust is embedded in social relationships (Fiet 1995; Granovetter 1985), and according to Arrow (1971) "Trust is an important lubricant of a social system. It is extremely efficient; it saves people a lot of trouble to have a fair degree of reliance on someone else's word" (p. 23). Families are regarded as *high trust* organisations as the members in a family unit share the same common characteristics, such as history, culture, experience and family rituals which create a common bond that promotes interpersonal trust (Gersick, Davis, McCollom Hampton & Lansberg 1997). It is a central and vital family value, so that members may collaborate effectively, with "the expectation that the other will perform a particular action important to the trustor, irrespective of the ability to monitor or control the other party" (Mayer, Davis and Schoorman 1995, p. 712). It is an attribute that affects the social relationship between individuals, "implying mutual confidence that no party will exploit another's vulnerabilities" (Salvato & Melin 2008, p. 261), and among family members it "often represents a fundamental basis for cooperation" (Steir 2001b, p. 354).

My research identified interpersonal trust as an implicit and fundamental expectation of family members across the three generations studied, crucial at all stages of the development of the family and the family business. Roberto Pizzini, for example, would "close one eye" when partnership and personal issues with his brothers arose, trusting that they would be dealt with justly and fairly, without formal contracts and expensive legal costs. Trust between parents and children, and among siblings was also paramount in the Piedimonte family. As Sam Piedimonte (generation 2), son of Giuseppe, comments, "[my parents] always trusted us, and always thought highly of us". As Sam Piedimonte says, trust is embedded within the family, it is a common bond that facilitates cooperation, and can be the strength of a family and its business. But trust also assumes

making a full commitment to the family and the business, perhaps to the expense of the self. Or it may become an expectation that cannot be lived up to. If the family members do not comply, then too much trust may also be a weakness, allowing problems to set in.

As the family and business spheres overlap largely in family business, personal trust extends from the family unit across into the business sphere, where business relationships "are based on trust and reciprocal patterns of communication and exchange" (Grabher 1993, p. 13). Trust then sets certain expectations of each family member, but also certain personal limitations. Trust in the family exists only if the family members want to be part of the family. The same applies to the family business. Daniel Genovese (generation 2) recalls that his father Alfio would formalise trust by a handshake or simply his word: "Dad's word was a contract and he never ever backed out on his word. Even though he knew he was losing money he would still follow through. That's one of the principles that he taught us, never to go back on your word" (interview with Alfio Genovese's son, Daniel).

Honesty, respect, responsibility and loyalty

Honesty, respect, responsibility and loyalty are fundamental personal traits, highly valued, deeper-lying expectations within the families that I have interviewed. Honesty, for example, is "the degree to which family members tell and expect the truth" (Gersick et al. 1997, p. 85), and a high level of honesty supports good family relationships and encourages trust and respect.

Honest and truthful communication, respect and responsibility build a sense of commitment and loyalty in the family. Closely aligned to the value of trust, interviewees identified loyalty as a very important value that helps the family to stay together, and the business to grow. Loyalty to the family culture and family values supports family harmony and family love which in turn support the family business (Gersick et al. 1997, p. 253). Fred Pizzini recognises the trust, loyalty and respect that his father Roberto felt towards his three brothers: this was one of the keys to the success of the Pizzini business.

> "If I look back into when they (the four brothers) were a partnership ... mmm, it probably reflected the honesty, loyalty, commitment, and following the leader… I think my parents played a big part in that partnership, they were strong in keeping that going, they played a big part in the family relationship with the four brothers" (interview with Roberto's son, Fred Pizzini).

Senior family members expect that their children will respect them, be loyal to them, as well as to each other, and in turn parents have the responsibility to look after the needs of all family members, in particular their children. These values are the glue that keeps the family, and the family business, together and successful. Alfio Genovese is fondly remembered by his family as a man of integrity and practical wisdom. He is remembered as always standing by his word and showing respect and loyalty to all:

Quote Box 6.7: Respect for others

> "Don't ever commit yourself to anything unless you're going to carry it out. Don't ever shake a person's hand if you don't mean it". … His greatest saying was one of those Bible sayings "Don't do onto others what you don't want them to do to you" His word was a contract, and he never ever backed out on his word. Respect was of the upmost, integrity was of the upmost… […].. You know, he was so honest, highly principled." (interview with Alfio's son, Daniel Genovese).

Franco Vaccari (second generation) remembers his father, Gualtiero, as a moral and just man: "His ethics, he placed his ethics above everything else, you know…" (interview with son, Franco Vaccari).

The stories told speak about the personal integrity of the G1, about their sense of honesty, their responsibility and loyalty to the family and the business. These were the values that the G1 had learnt when they were young, that had guided them through their highs and lows, and by transmitting these to the second generation, they steered the family, and the business, in the direction that they had set. A simple handshake had a particular, long-term meaning which family members recognised and understood. The values of the founders formed the family name and its reputation: it was expected that the family members would accept these values and live by them. Values are reciprocal:

accepting to be part of a family and a family business means abiding by these values and sharing them with others. Honesty, respect, responsibility and loyalty are values that ensure a close interlinked relationship and positive dynamics among family members, which spill over into the management business. The founder thus sets the values of the family and ensures that they apply to the family business (Cappuyns 2002).

Family values

The family is often neglected in research on family business (Dyer 2003; James & Breitkreuz 2011; Moores 2011). Thus the values of the family in family firms are generally underrated. Ward (2002, 2004, 2008a) links the family values to the values of the family business. In this research, the values attributed to the family are: a strong sense of family unity and cohesion, a low resistance to succession, the humility, commitment of participation and membership of individuals and successors in the family and the business.

Family unity

Hofstede's (1991) multinational study reveals that some societies tend to have individualistic characteristics (United States & Australia), others, such as Italy, tend to have more collectivist societies, in which a person's identity is associated to a group.[27] In the Italian culture, the extended family unit, including grandparents, aunts and uncles, cousins of first and second degree, is fundamental, it provides one's identity and offers protection and support. Family solidarity and harmony is central to its survival and self-preservation. Migrating from a strong collectivist society to an individualistic society created a void in the lives of the migrants. Gualtiero Vaccari missed his family during his early days in Australia "Everything seemed to be missing from my life. I would have gone back, but I was too proud. Family bonds were not as strong as in Italy." (Vaccari, in Easdown 2006, p. 16).

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[27] For a full discussion of differences in Collectivist and Individualistic societies, refer to Hofstede 1994, pp. 57-78.

The difficult decision to migrate was usually made for the benefit of the family. The act of migration however, characteristically undertaken by young males, whether single or already married, left them isolated and lonely, longing for the stability, security and companionship of a partner and family. Luigi Grollo recalls the new stability he found when he became engaged to his future wife Emma: "First it was a life of the bush, without a job: cutting timber, making roads, getting a little bit drunk in the pub etcetera. When I found my fiancée I became calm… I learned to live" (Grollo, in Pascoe 1988, p. 92) and "for the first time he [Luigi Grollo – *note of author*] began to think of himself not as an itinerant individual worker but rather as part of a social and family network" (ibid., p. 107). Sometimes the men left Italy already married, ahead of their family, they worked hard for long hours, living frugally and saving money so they could send for their wives, children, and sometimes relatives, in order to reunite their family as soon as possible.

In the new country, "the family continued to be the focus of their most intense loyalties" (Vecoli 1964, p. 409), and family cohesion regained its importance. Roberto Pizzini worked and lived for years on a farm together with his three brothers and their families:

Quote Box 6.8: Family relations

> "For my brothers and me, unity made us strong. There were many that started off just like us, that worked hard, like us…But you need to get on…one time I'll close one eye, another time you do… that way we can get along…" (interview, Roberto Pizzini).

Regardless of the adversities that life brought in the new country, Roberto Pizzini always aimed to keep his family together, and both Rosa and Roberto are proud that their four grown up children are all close. Over the years, as many of the second generation Italians from rural Victoria moved to Melbourne to study, work, and find other opportunities, their elderly parents were left by themselves, or they decided reluctantly to join their children in the city. For the Pizzini, their family business has encouraged the three generations to remain on the land. When Roberto's friends ask them why they still live in King Valley (in the State of Victoria), their immediate answer, with pride, is always:

"We love it here. We have our children here. We also have our grandchildren. Why should we leave?" (interview, Roberto Pizzini).

The family is a central unit that combines human as well as financial and material resources that ensure its survival, self-preservation, and provide a strong base to support the establishment of the children's families. The Italian perspective on family also includes an extended web of cousins, uncles, in-laws, often working together, sometimes living next door or in the same neighbourhood, that provides a strong link to the family's supporting network. It also supports the preservation of the Italian culture and traditions.

Alfio Genovese who established a successful coffee producing company in Melbourne, was always driven by his family:

Quote Box 6.9: Family unity

> "He just wanted to take care of his family, that was all he ever wanted to do…. He never ever started the business with a view that in four or five years' time we'd sell it. That never came into it. It was giving a future to his family…. I think dad's most important attribute was the family, the family unity and strength was always there, especially the traditions of being Sicilian. We would always sit down at the table at night and have a meal together and talk. .. […]…. Dad was a very strong person and he gave you that sense of security. That family unity and strength was always there, always there …" (interview with Alfio's son, Daniel Genovese).

This sense of family implies continuity. The founders understood their own entrepreneurial actions as paving the way for the next generation.

Succession

The family business created by the Italian migrants was created specifically for the benefit of the family, in particular the children, who from a young age, were encouraged to participate in the business after-school, part-time, in order to get to know the business which they would eventually inherit. Succession is a lengthy process that begins at home, in the family nest, by inclusion of the next generation from a young age, it establishes an environment of cooperation, loyalty and trust, encourages a strong feeling of obligation to

maintaining family unity (Gallo 2002). This culminates in the act of succession generally with little or no resistance from the founder. In this manner the founders would ensure that the next generation had the willingness and the skills to participate in the family business. Embracing or rejecting the family business at the same time meant embracing or rejecting the family expectations.

Roberto Pizzini's children helped out on the tobacco farm after school, often on week-ends:

Quote Box 6.10: Working very hard

> "To tell the truth, they worked very hard when they were young… From the time we started the farm, they all worked hard, there was no time for holidays. Even after school they would help out…. Fredi would help out the share workers, and they would pay him like a young man, because he was strong, even Rinaldo, they were both strong… Elena used to work in a shop and then she would help pick the tobacco when the season came, as well as on Sundays, because we used to work on Sundays too" (interview with Roberto Pizzini).

Bruno Grollo and his brother Rino both helped out from a young age in the family business, gaining the necessary skills, knowledge and experience working with their father over the years, and were able to take over the reins completely with minimum disruption to the business when their father collapsed suddenly in 1968 and was forced to retire completely.

Alfio Genovese involved his son Daniel in the business from the very beginning, it became a joint enterprise: "I was heavily involved with my father right from day one in starting this business… mmm… even prior to the business actually being registered, and the thoughts that went into this business." (interview with son, Daniel Genovese).

In that time, Italian families in Italy were male dominated, with an emphasis on succession of male children. This pattern tends to continue abroad within the Italian-Australian culture. The G1 in my study began a process designed to train the children,

from a young age, particularly favouring the sons, to contribute to the family business, and to step into a leadership role when the time was right. This helped to relieve the father and mother of much hard work, helped to advance the family financially, occupationally and materially, and paved the way for succession.[28]

Membership

The stories of the G1 are stories about the close relationship among family members, about working hard and "making sacrifices for their children", about their motivation and commitment to the family and the business. But they are also stories about what it means to belong to the family, the expectations of the G1 of their children who should feel a sense of membership and moral duty to both the family and the business. For the Italian migrants, family unity, work and *sistemazione*[29] *(*settling in/establishing oneself*)* of the family members are all intertwined, one driving the other, comprising mutual obligations and responsibilities, with each new generation having responsibilities towards the other family members through respect and trust, and supporting the family business from a young age: "The basis of the family is that you must be united and work hard" (Roberto Pizzini).

The strong, unwavering and valuable role of the women in these families has been recognised by most of the interviewees in my study. It is not within the scope of this thesis to study this aspect in depth. It is important however to acknowledge the dynamic role that the women (wives, sisters, daughters) have played in the families and the firms studied. In particular, they have made a substantial and caring contribution to the family, by providing to their daily material needs, and promoting its personal, cultural and moral values. In addition, they have contributed actively to the business sphere, providing a strong and supportive hand in the establishment and running of the business, usually hidden behind the scenes, almost as an invisible presence (Gillis-Donovan & Moynihan-

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[28] The hidden role of women in family business has been discussed by Hougaz & Betta (2009).
[29] "*Sistemazio*ne means having a place and a sense of belonging in Australia. It is a sense of citizenship" (Sagazio, in Yule 2004, p. 90).

Bradt 1990). Interviews conducted in this study with a number of women, partners and sisters of the interviewees, reveal that they actively work and contribute in both spheres, usually without due recognition and appropriate financial compensation for the benefits of the support and experience that they regularly bring to the family and the business.[30] Emma Grollo, Luigi's wife, is remembered with these words by her son Bruno: "My mother had a unique ability to keep us united. She managed to keep us united right up until the very end… and sometimes this was not easy… […].. Of all her merits, this for me was the greatest." (Bruno Grollo, in Giordano & McGregor 2008, p. 20).

Being a member of a business family inevitably means having a high level of emotional involvement and intense social interactions with other family members. It also means believing in, respecting, and being committed to the values and traditions set by the founder, being willing to contribute to the goals and vision of the family organisation, accepting the overt and hidden obligations that are conditions of the family membership. This strong sense of membership established by the founder is part of the dynamics of the family; it is a value that generates motivation and commitment to both the family, and its business.

Humility

The G1 were humble, patient individuals forced to undergo the difficult and degrading process of migration to a distant unknown land due to poor socio-economic conditions or unstable and dangerous political conditions in their homeland. In order to survive through the early years in Australia, they adapted to lowly and tough working conditions, a rough and primitive lifestyle, sometimes working isolated in forests, underground, excavating, cutting timber, breaking stones in quarries:

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[30] Acknowledgement to these women has been given through the presentation of two papers at international conferences , published in the conference proceedings, listed in the attachment to this thesis (Hougaz & Betta 2009, 2010).

Quote Box 6.11: Lonely and degrading early years in Australia

"I worked like a slave, slave, disinherited, without love, without any affection, nothing…[…]… I was young and pulled ahead. I was brave; I was never left 'begging' from anyone" (Grollo, in Pascoe 1988, p. 93).

Jobs were scarce in Melbourne throughout the Depression; Luigi Grollo and his cousin Carlo Zanatta went to search for work in remote country areas across Victoria, often accepting any type of work, including heavy physical labour, working in squads of three or four to 20 or more, often with *compaesani* or other Italians. Luigi Grollo recalls vividly the struggle of his early years:

Stealing chickens, and pleading for food in order to survive was a humiliating experience for Luigi Grollo. Yet his narration of living in hardship and poverty, mixed with extended times of isolation, also demonstrates his personal strength and determination.

Quote Box 6.12: Arriving in Australia

"Here in Australia it was hard, with little work and little money. They were hard those early years, really hard.…[…]… I decided to work in the forests, in the woods, going from here to there. It was tiring, but I wanted to be able to work. There was little money, but we found the work…[…].. From 1928 to 1940 I lived in a tent: [twelve years under canvas, 12 years spent in all sorts of places, always looking for work which, when the depression arrived, became even more rare. In fact I always managed to find work. I always had strength and determination. When one finished you used to set out to look for another one. Sometimes we had to steal chickens, or scrounge food at the Victoria Markets, but we survived]" (Grollo, in Pascoe 1988, pp. 75-76).

Roberto Pizzini remembers not being able to communicate in English, and how the pain of such a limitation left an indelible mark: "I was frightened by the language. I didn't know the language… I couldn't understand anything at all" (Roberto Pizzini).

The act of migration required courage, and the early years in Australia were harsh and full of disappointments, as the G1 adapted to a new, often rough and primitive life that was so distant from their village life in Italy. However they are also stories of strength, courage and determination that have set a good example for family members to follow.

The stories of the G1 talk about the difficult challenges that they faced in their new reality; they also point to the importance of unity, closeness, and emotional attachment between family members: these support the family unit and encourage continuing participation of family members in the family and the business and the integration of the next generation, notwithstanding the compromises and obligations that may form part of this process.

This idea of participation has been captured below in what I have called business values. Although this term is not new in the literature, the meaning I assign to it is new as it refers to intangible means by which economic activity becomes possible.

Business values

The establishment of a family by the G1 often went hand in hand with the creation of a business, and the family business became a productive boundary that integrated the individual G1 migrant and their family. "First generation progenitors tend to be risk takers who are tenacious, strong willed, exceptionally hard working, innovative, goal directed, and determined to succeed" (Kaslow & Kaslow 1992, p. 313). Unavoidably, "businesses and families are invariably and inextricably interlocking and overlapping" (Rogoff & Heck 2003, p. 560). Personal and family values therefore play a very important role and make a substantial contribution to the creation and growth of the firm (Aldrich & Cliff 2003). In addition, other cultural characteristics that I will term the *business values* of the founders, form part of their heritage. These factors contribute to the success of the business by shaping the interpersonal patterns that contribute to positive succession and continuity of the business. The key business values displayed by the G1 were hard work, a high level of cooperation achieved through loyalty, a high appreciation of professional and educational achievements, as well as the element of risk-taking.

Work ethic

Writing specifically about the Veneti[31] who migrated to Australia, Baldassar states: "Work was their first priority. Underpinning the working lives of the Veneti, regardless of occupation, time and place, was a very strong work ethic sustained by the cultural ideal of attaining a successful *sistemazione*" (2005, p. 60).

Castles, Collins, Gibson, Tait and Alcorso (1991), and Collins (1989) support this view in their studies of Italians in Sydney: "The picture that emerges is one of success through hard work over long hours and family labour" (Collins 1992, p. 80). This quality came through in all the stories of the G1 in my research, regardless of their region of origin, and it was this value that enabled them to provide for themselves and their families, and prosper.

Some worked long days on the land, from morning to night, including week-ends, "never having a break" (Roberto Pizzini), others worked hard, till their late years: "I could see my father in his eighties still going to work everyday" (interview with Franco, son of Gualtiero Vaccari).

Daniel Genovese spoke of his father's work ethic:

Quote Box 6.13: The first generation in control

"Dad never stopped. If something needed to be done he would do it, simple as that. My father was not the type of person that would let go easily. He worked till very late in his life…. As a matter of fact he never retired. He died at the age of 74. The week before he died, when I took him into hospital, he was still working" (interview with Alfio's son, Daniel Genovese).

The founders of the family business have a very strong commitment to make a success of the business they have established from nothing: they work hard and strive for many years for their family and children, to make it successful and long lasting. A strong work ethic is one of the central characteristics of family business culture, and as such, the

[31] Veneti are Italians of the Veneto region, situated in north-east Italy.

example of the founder is expected to be supported and followed by other family members. From a young age, the children work alongside their parents, gradually learning the trade. Together the family works hard for the success of the family and of the family business.

Although a strong work ethic is considered a positive value that adds to the competitive advantage of family business, it may also be a disadvantage if the founders persist in holding the reins of the business, even when the next generation is ready to take over the business, waiting in the wings. This issue is closely related to the issue of succession: how and when is it the right time to let the next generation take over the business?

The strong work ethic in family business therefore highlights the double-edged sword of family business: on one hand the G1 sets an example of strong work ethic that encourages other family members, including the subsequent generation to embrace and follow; on the other hand, it also holds the expectation that the subsequent generation must follow if they want to be part of the family business. These are the boundaries of a family business, clearly delineated by the values and culture set by the founder.

Loyalty

Loyalty has been identified in this research as an individual value, but it also forms part of the culture of the family and extends into the family business, where it is shared with employees, and is built up within an organisation on a long-term basis, over a period of years. Luigi Grollo greatly relied on the loyalty of his employees for the success of his business over many years, the same employees supporting not only one, but sometimes two generations of family business: "The same 20 foremen stayed with the company throughout the 1960s, 1970s and 1980s" (Grollo, in Pascoe 1988, p. 121).

Family businesses that build up loyalty and trust among family members, tend to share these values with their employees and clients. This is part of the success of the family

business. Daniel Genovese, son of Alfio, remembers with appreciation the loyalty that their business suppliers demonstrated towards his father during the early, difficult days of the family business: "The people could have come to pick up their stock, and sold it the next day for a lot more money than what we had paid for it, right? But not one of them came to pick it up... it just shows you how people had built up that sort of trust." (interview with Alfio Genevese's son, Daniel Genovese)

Loyalty is an important attribute for the family and the business: it promotes family unity, and keeps the family, in particular the present and subsequent generation(s), as well as employees and clients, closely linked, increasing their moral sense of duty to be involved with both the family and the business.

Professionalisation

In the Italian culture, education is perceived as a major avenue to achievement, success and wealth, a means to access a higher social and economic standard. This opportunity was denied to the G1, when they were in Italy. The only other path open to them for changing their existence and providing better opportunities "for their children" was migration (Baldassar 2005, p. 159). Among the G1, some had only gained full or partial primary school qualifications, others had also received some form of professional education and training. However, their valuable training qualifications were tragically not recognised by the Australian authorities. Therefore jobs that they were able to obtain were largely unskilled, menial, and poorly paid, in addition to little or no knowledge of English – a pattern generally referred to as the "southern European occupational ghetto" (Lever-Tracy & Quinlan 1988) created a serious lack of opportunities in the workforce for them.

Don Carrazza (second generation, son of Giuseppe) voices the limited prospects of the G1:

> "Unfortunately, these people *(G1)* were restricted to how much they could do because of the fact that they couldn't read or write, in most cases, so that was a real burden. In reality if you want to get into the corporate world, it's a different ball game. You have to be able to understand balance sheets and you have to be able to understand and read reports and all sorts of things, but that ability wasn't there without the knowledge of the language or the writing or reading of the language" (interview with Giuseppe's son, Don Carrazza).

Aware of their limitations, due to lack of formal education and inadequate language skills, the G1 showed a high level of determination to learn English so as to be able to move beyond of the limited confines of the Italian-speaking community, and function effectively in the mainstream community: this demonstrates their sense of entrepreneurial awareness. When Alfio Genovese left Italy, he was fortunate that he knew some English learnt during his training in the Navy. Upon his arrival he persevered: "He got to speak reasonably good English, he could write it, which wasn't easy for a person who had actually never gone to school, whereas mum actually taught herself to read and write English" (interview with son, Daniel Genovese).

Gualtiero Vaccari had reached a good level of education before leaving Italy (qualified as an accounting clerk). Upon his arrival in Melbourne, he aimed to advance his professional status by studying at night, after work, rapidly improving his English language skills. He applied this knowledge, and he became "in less than a decade, an affluent man from profits that were generated from the growing demand for goods of which he was the sole import agent" (Easdown 2006, p. 33).

Through their stories, emerges a G1 who aspired for prestige and mobility, who recognised that education was the avenue for their children to achieve upward occupational and social mobility, a good investment for their future (Cronin 1970, p. 229).

Alfio Genovese wanted his son Daniel to "do something better" than he had been able to do:

"My parents' wish was that I would become a professional of some description, like a doctor, or a lawyer. That was always talked about. Preferably a doctor …and he (*my father*) died with the wish of having a doctor in the family. But there was no way I was ever going to be a doctor (*laughing*), and that wish was even with my son. When my son was born, my father would come up to him on a regular basis "Are you going to be a doctor? Are you going to be a doctor?" (interview with Alfio's son, Daniel Genovese).

The G1 considered education an important value for the individual, the family, and particularly for the business. The second generation interviewees acknowledged that their parents were willing to make extra sacrifices so that they could gain a higher educational qualification, thus enjoy an increased income, prestige, social standing and make a more substantial contribution to the family business. This issue is further expanded in the following chapter related to the second generation.

Risk-taking

One of the distinct values displayed by the G1 in this study is courage through risk taking. Risk taking in business is considered a dimension positively and closely associated with proactive and innovative behaviours (McClelland 1961; Naldi, Nordqvist, Sjoberg, & Wiklund 2007; Rauch, Winklund, Freese & Lumpkin 2004; Wiseman & Gomez-Meija 1998; Zahra, Hayton, & Salvato 2004b). As outlined previously in this chapter, the G1 displayed the courage to leave their hometown and migrate into the unknown, but also the courage and strength to change from one condition to another. In their original condition, the individuals were familiar with its rules and values, and were able to function effectively. In the new society with new rules and values, mostly strange and unfamiliar, they were forced to readjust and rebuild their sense of belonging and status, or forever remain outsiders. This process required the acquisition of new skills, and through proactive and courageous actions, they established competitive new businesses. Migrating to Australia was an act of high risk, as they had little or no exact information about the place to which they were travelling. When Luigi Grollo left home at the age of 18 and set out on his long journey, an indelible mark was left on him that he would never forget:

Quote Box 6.16: The decision to leave

> "I thought it would mean nothing to go, but when I left home, on foot, to go to the station at Montebelluna, the more I stopped, the more I said to myself "But I am not coming home any more. Hey, go back. *Now I cannot turn back any more*…Arriving at Genova we waited two days and then took a liner for Australia. It was the *Principe di Udine*, large and tall. I climbed aboard like a sheep. It was 3 July 1928, and I was desperate" (Grollo, in Pascoe 1988, pp. 41-42).

Arriving at Station Pier after over a month travelling in overcrowded conditions on a ship, Gualtiero Vaccari's initial excitement soon gave way to the reality of a strange and difficult environment. He "acknowledged that his first impressions of Australia were not good when he first arrived and that if he had not been so proud, he would have returned to Italy straight away" (Easdown 2006, p. 16). This feeling was shared by all the G1.

The early years were rugged, they all worked hard, working and living in difficult circumstances. Yet they showed a keen sense of determination and will to survive.

The diasporic migration experience of the G1 was a difficult and painful experience determined by uncertainties, risks, fears, but it can also be viewed as a resource for the G1. Slowly, and with great courage, determination, patience, in other words, their personal qualities they rebuilt the resources of their personal life, taking new risky strategic decisions and engaging in new entrepreneurial activities.

Chapter 7

From a Business for a Family to a Family Business:

The Second Generation – The Consolidators

In this chapter I look at the second generation (G2)[32] in my study. This is a very important generation because it is positioned between the founding generation (discussed in chapter 6) and the third generation (to be discussed in chapter 8). To be in the middle is never easy as this position requires a special skill in balancing the expectations and ambitions of the first generation and those of the third generation. The G2 is a humble, patient and open generation. From the collected data emerges a very interesting profile of men and women who have been exposed to both migration and integration. The G2 is important in terms of guaranteeing the continuation of the business because it is usually at this point that family businesses disintegrate and collapse. As the business grows, the G1 hands over the reins to the G2 who have the opportunity to play a meaningful part in the continuation of the family firm. This chapter concentrates on personal aspects related to the intergenerational transfer from the founders of the family businesses to the G2, including some of their reflections about succession to the G3. It explores the commitment of the successors to family business, and examines the personal, family and business values of the G2 members that continue to build on the solid foundation that they have inherited. The G2 demonstrates high levels of enthusiasm and energy, and a great degree of perseverance. This, together with a willingness to take calculated risks contributes to a successful generational evolution of the family enterprise. The personal cost of their unswerving commitment to the family business however is high in terms of time, energy, dedication and compromises.

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[32] As a general note it is important to state here that personal data such as date of birth and age of G2 members have been omitted from the publication to preserve the participants' privacy.

The issue of continuity

In the extant literature, attention has been on the founder of the business, while other family members have been lumped together as the family, even though the roles of the various family members and family generations may differ in their contribution to the founding as well as continuation of new ventures (Aldrich & Cliff 2003; Danes & Olson 2003; Hollander & Bukowitz 1996). Issues of leadership, ownership, governance and control, management practices, father-son/daughter relationship, and conflict among family members have dominated the literature over the past 20 years (Boles 1996; Corbetta & Montemerlo 1999; Dyer 1986; Kellermanns & Eddleston 2004, 2006; Lee & Rogoff 1996; Schein 1995; Sorenson 2000; Stavrou, Kleanthous & Anastasiou 2005). Although the survival of family firms in subsequent generations is of concern, only a limited number of studies have examined broadly the succession issue (Beckhard & Dyer 1983a, 1983b; Brunaker 1996; Davis & Harveston 1999; Handler 1989a, 1994; Sonfield & Lussier 2004), and this aspect perplexingly continues to be considered as a peripheral aspect of broader family business issues. And yet succession in family business is an issue that has intrigued scholars over the last 40 years (Barnes & Hershon 1976; Donnelley 1964) as statistics suggest that only 30 per cent of family businesses survive into the G2, and less than 20 per cent into the third generation (Beckhard & Dyer 1983a; Kets de Vries 1993; Lansberg 1999; Ward 1987; White, Krinke & Geller 2004).

A small number of researchers have concentrated on the founder's role in conveying well-established values to potential successors so as to encourage a successful succession process (Brunaker 1996; Corbetta & Montemerlo 1999; Garcia-Alvarez & López -Sintas 2006; Goldberg & Woolridge 1993; Ward 2008b). But *how* these values are transmitted from generation to generation, and *how* they have supported the next generation in integrating into the family business, continues to remain largely unexplored. This chapter will shed light on this very point, concentrating on how the G2 feels and understands the values that have been passed on to them by the business founders. This chapter presents a study of the G2 in the family firms selected for my research. By G2 I refer to

sons/daughters, or close blood relations (nephews/nieces) working in a firm owned by his/her parent(s) or members of the extended family circle (uncles/aunts).

The members of the G2 included in this study[33] are:

- Domenico (Don) Carrazza
- Francis (Frank) Costa
- Danilo (Daniel) Genovese
- Rino Grollo
- Salvatore (Sam) Piedimonte
- Alfredo (Fred) Pizzini
- Franco Vaccari

Through interviews with each individual, as well as a questionnaire and secondary sources, the next section of the chapter provides a brief profile of the identity of the G2. More specifically, I outline the motivations and personal experiences that supported them to become a willing and committed participant in the family business, focussing on the multigenerational bonds in the family.

Profile of the second generation: The bridging generation

The G2 in my research are *Italian-Australians,*[34] children born in Australia of Italian migrants who arrived in Australia sometimes married, but most often as single young men, formed relationships, established families and their own networks, and founded successful businesses. Attempting a description of G2 Italian-Australians is a complex undertaking due to the diversity of definitions and data. Italian-Australians are generally born in Australia, although the social definition may be extended to include those who are

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[33] Further details of members of each family are provided in Appendix 1.

[34] *Italian-Australians* is a term used interchangeably with Italo-Australians. It refers to Australian-born of one or both Italian-born parents. The term may be extended to Italians who have arrived in Australia at a very young age because culturally and socially they feel an affinity to both countries. In the context of this thesis, the term *Italian-Australian* will be used.

born overseas who arrived in Australia with their immigrant parents, as infants or very young children (Baldassar & Pesman 2005, p. 158). They are the children of a community characterised by social and economic mobility,[35] with a ratio of land and property ownership well above the national average, as well as a high percentage of small businesses (Borjas 1992; Cronin 1970; Price 1981).

An *Italian-Australian family* may be defined in a variety of ways: it may consist of a whole nuclear family whose members (or some of the members) were born in Italy and migrated, perhaps at different stages, to Australia; or where one partner of Italian origin marries a person of Italian or other origin; or where children of Italian migrants (the G2) form a family in Australia. According to statistics, the Italian-Australian family consists of the *nuclear* family model. However, closely in tune with the Italian culture, the common family model comprises parents and siblings, but also aunts, uncles, cousins and grandparents (the *extended* family). Italian-Australian families derive from a number of different socio-cultural, regional and economic backgrounds (Bertelli 1985a), have members who have arrived in Australia at different periods of Australia's history, with variations in length and place of residence, and varying family sizes. The composition of the family tends to be more numerous than the average Australian family (61 per cent of families have at least three children), with 96.6 per cent of G2 family members living at home (Favero & Tassello 1978a). Their parents have made great sacrifices to provide economic and family security for the G2: their success is evident in the values, aspirations and educational and professional achievements of the G2 (Favero & Tassello 1978a).

Literature on G2 Italian-Australians is based largely on sociological and anthropological studies (Baldassar 1999, 2000; Bertelli 1980a, 1980b, 1985a, 1994; Castles, Alcorso, Rando & Vasta 1992; Hampbel 1984; Pallotta-Chiarolli 1999; Pallotta-Chiarolli & Skrbis 1994;

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[35] Whereas 80 per cent of G1 male migrants from Italy who had lived in Australia for less than 10 years worked in the tradesman-processing industry category, only 41 per cent of Australian-born males of Italian parents followed this trend. Many of them have shifted into the professional and technical categories (Price 1981, p. 4).

Vasta 1992, 1994) and statistics by Price (1975b). Although this literature attempts to embody the general characteristics of the G2, it also acknowledges that the Italian-Australian identity does not remained static, but is continually evolving (Alba, 2005; Baldassar & Skrbis 1998; Pallotta & Skrbis 1994), so may be different in structure, behaviour and values now from what it was 20 or 30 years ago. Over the years, habits and customs may change, and identifying features of Italianness such as language and gestures may completely disappear (Gans 1962). The G2 appears to have integrated into the Australian cultural, social and economic context, its *common core* (Greeley 1970) and desire to preserve its Italian identity coexist, rather than clash, with an Australian identity. The G2 Italian-Australians do not form a homogeneous group, they possess distinct characteristics, including cultural and social values (*group cultural systems*) that bind them into one identity that has been termed *Italian-Australian* (or Italo-Australian). They have at their disposal two or more sets of group values from which to construct their own identity (Alba 1985, 2005; Smolicz 1983) which are "not intrinsically incompatible, and can proceed alongside each other" (Smolicz 1974, p. 8). Extant research has noted that the numerous disadvantages faced by the migrants of diverse linguistic and cultural backgrounds have been successfully overcome by the G2 (Alba 2005; Messinis 2008; Portes & Zhou 1993) who have gained higher socio-economic status than their overseas-born parents (Dustmann & Theodoropoulos 2006; Khoo, McDonald, Giorgias & Birrell 2002; Portes & Rumbaut 2001). As a result of a continuing process of widespread acculturation (cultural and linguistic development), fostered by intermarriage and social mobility, the G2 has developed a complex form of *dual identity*, juggling attachments and allegiances (Aversa 1978; Baldassar & Pesman 2005; Portes & Rumbaut 2001). [36]

In general terms, Italian-Australians are relatively well established into the Australian socio-political-economic context. They possess varying degrees of Italian language maintenance (Chiro & Smolicz 1993), and although language maintenance is generally

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[36] Baldassar & Pesman (2005) argue that the second and subsequent generations develop multiple identities: "Many young people explain that they are both Italian and Australian and a myriad other identities besides, including Veneto" (p. 170).

considered deeply linked to ethnicity, Jayasuriya (1987, p. 28) argues that the degree of language shift may not necessarily indicate a rejection of ethnicity; rather it might be an attempt to redefine it into a symbolic ethnicity (Gans 1979, p. 193, 198, 214). The transformation of ethnicity across generations has been acknowledged by Baldassar and Skrbis (1998) who emphasise "the significance of symbolic forms of ethnicity [which] acknowledge individual ascription of ethnic identity despite limited or even no involvement in formal ethnic organisations" (p. 455). Ultimately, as the business grows, the G1 will "pass the baton" (Gersick, Davis, McCollom Hampton & Lansberg 1997, p. 92) onto the G2 whose members have the opportunity to play a meaningful part in the continuation of the family firm. The G2 tends to be proud of their Italian heritage and although they may have married outside the Italian community, have a relatively high level of culture maintenance in their way of life, including strong family values, home language use, food habits and religious observance (Favero & Tassello 1986, p. 63). Table 7.1 provides a brief outline of the socio-economic background of the G2 included in this study.

Table 7.1: Socioeconomic data of the second generation

Name	Birthplace & age range	Siblings in family	Education	Italian language competence	Formally in the firm since	Partner ethnic origin & children
Carrazza Don	Montemurro (Potenza, Basilicata). 60+	2	Began secondary.	High.	1956.	Partner Italian-Australian. 2 daughters.
Costa Frank	Geelong, (Victoria). 60+	4	Began tertiary.	Low.	1953.	Partner Australian. 8 daughters.
Genovese Daniel	Randazzo, (Catania, Sicily). 60+	3	Completed tertiary.	Moderate-High.	1970.	Partner Italian-Australian. 1 son, 1 daughter.
Grollo Rino	Melbourne (Victoria). 60+	2	Completed secondary.	Moderate.	1965.	Partner Italian. 2 sons, 2 daughters.
Piedimonte Sam	Montalbano Encona (Messina, Sicily). 60+	2	Completed secondary.	Moderate-High.	1958.	Partner Italian. 1 son, 2 daughters.
Pizzini Fred	Rovereto (Trentino Alto Adige). 50+	4	Completed secondary.	Moderate-High.	1970.	Partner Australian. 2 sons, 2 daughters.
Vaccari Franco	Melbourne (Victoria). 50+	2	Completed secondary.	High.	1966.	Partner Australian. 1 son, 3 daughters.

The G2 in this thesis includes seven men and one woman. They are/have been the leaders (Managers/Managing Directors) of the family businesses discussed in this study. In some cases they are, at the time of writing this thesis, continuing to act fully in that position, in other cases they have already selected and appointed their successor(s) and

are in the process of transferring the leadership to the next generation. The transition may involve some overlap of roles for a limited period of time, during which the G2 gains hands-on experience supported by the G1 (Gersick et al 1997; Lansberg 1999). The decision of which member of the G2 should take the business reins is often predefined by culture, with primogenitors and males having precedence over other children and females, because of tradition, whether competent or not (Dumas 1989; Ng 2000; Weidenbaum 1996). "Primogeniture is an arbitrary rule, based on family values about age and gender" (Gersick et al. 1997, p. 79). As in many other cultures, primogeniture is a very important determinant used for selecting a business successor and transferring power in Italian business families, which may leave other siblings discontent and disadvantaged (Barnes 1988; Barnes & Hershon 1976; Kaye 1992; Lyman, Salganicoff & Hollander 1985).

In line with general trends, some of the G2 married outside of their Italian community, others married women of Italian origin who arrived in Australia at a young age. As is common among the G2 there is some degree of assimilation with the host culture: this will account for some reduction of linguistic and cultural heritage, even though most of the respondents have moderate-high Italian language competence due to frequency of visits to Italy for work-related and personal reasons, as well as using it in the family home and within the Italian community in Melbourne. The G2 undergoes a process of socialisation within the family circle and outside in the wider society. In the case of Italian-Australians there may be a contrast between the cultural traits of the parents and those of the society in which the G2 grows up. This may have an influence on the values and the standards that they will absorb, and live by. During the interviews conducted with the G2 in this study, they were asked to comment on their personal sense of personal identity. This gave them the opportunity to assess and discuss their own self-perception and their understanding of the origins of the family. When asked whether they considered themselves to be Italian or Australian, they revealed variations in their own self-perception, encapsulated in these excerpts:

Quote Box 7.1: The dual identity of the second generation

> "I suppose if I had to put one tag, Italian-Australian… Italy is where my parents and my wife come from. It's so important to hang on to your roots" (Rino Grollo).
>
> "You hold close to your heart your roots where you were born. Well, I was born in Italy, so I feel as if I am Italian because of that. But in natural fact I am probably Australian through and through, you know what I mean. …. But probably deep in my heart I always say "I am Italian" (Fred Pizzini).

A dual identity is generally accompanied by dual expectations, one set of expectations within the home, and one outside the home.

Quote Box 7.2: Dual expectations

> "It was very, very much an Italian upbringing. At home as soon as we walked through the gate my mother would insist that we speak Italian, and likewise my father, and the food was Italian. In those days, in the 50s and 60s […] the majority of Australians considered Italians… umm… with some disdain" (Franco Vaccari).
>
> "…it wasn't easy because the moment you came home you had to revert more to the Italian way of life, because my father was always Italian, even though he was a naturalized Australian, he never forgot his roots, he never forgot his culture, and the moment you walked in the door at night or after school you automatically were Italian. […] I was educated in an Australian school and most of my friends were Australian, you know, especially in the early days there weren't a lot of Italians here… It was a different way of life being in an Australian/English culture, compared to an Italian culture, you know, the pie and sauce days, in preference to lovely pastas and sauces that mum used to make" (Daniel Genovese).

Even though their perception of their ethnic identity may differ, all G2 participants display a strong interest in, and respect for their family heritage. Most travel regularly to Italy, for work or/and personal reasons, and some have already, or are keen to document their Italian family history. Although Frank Costa strongly perceives himself as an Australian, he is extremely proud of his heritage and maintains it alive for all his numerous family members, his children and grandchildren so that they will understand and appreciate their origins and gain a sense of their family heritage.

Quote Box 7.3: Pride in their heritage

"I go to Italy every year. I go to the island [Sicily] every year…. I take my daughters and grandchildren so that they can understand their origins and their heritage, to see where I came from, or where my ancestors came from.[…] I want the grandchildren to understand that we owe a lot to the person that came out here with no money, no language in a lot of cases, and no job, just came here, got off a boat, and "what the hell do we do?"… And they started working really hard and created the base, the foundation for us to follow in… I want them to understand that" (Frank Costa).

The interviews with the G2 reveal a strong attachment to their family history, and respect towards the customs and values of their parents. The founders play an important role in shaping the future family business leaders in their own image, passing on their norms, values and attitudes, which may, to some degree, differ from those of the host society (Bensman & Rosenberg 1967). The G2 absorb and identify with parental core values and attitudes, whilst at the same time understands and adjusts to those of the host society and culture (Greeley 1970). The next section of this chapter will focus on the reasons why the G2 has joined and continued to remain in the family firm. Furthermore it will link the motivations and expectations of the potential successors to the family values that socialise them into becoming an active and dedicated participant in the family business.

Entering the family business: Motivations and expectations of the second generation

A fundamental issue in the continuity of the family business relates to the process by which the G2 decides to join the business (Birley 2002). Past research has emphasised the strong intergenerational link in business ownership, as the probability of self-employment is markedly higher among the children of self-employed parents (Andersson & Hammarstedt 2010; Dunn & Holtz-Eakin 2000; Fairlie 1999; Fairlie & Robb 2007; Hout & Rosen 2000). Much of the literature on succession tends to concentrate on the difficulties related to ownership transition, attempting to understand why the founding generation may be reluctant to hand over the business, and why the G2 may lack interest and be a reluctant successor (Birley 1986, 2002; De Massis, Chua & Chrisman 2008; Davis &

Harveston 1998; Goldberg & Woolridge 1993; Handler, & Kram 1988; Kets de Vries 1993). There are many reasons for opting not to take part in the family business: some display a simple lack of interest, others are interested in starting their own business, others still are attracted by higher income in other employment areas, or they don't feel that the business suits them or their skills and talents, and in some circumstances the family membership may be discouraging due to issues in the family (Birley 1986, 2002; Davis & Harveston 1998; Stavrou 1996; Stavrou & Swiercz 1998).

Limited research however has been conducted on what motivates and supports the G2 to become a willing and committed participant in the family business (Chrisman, Chua & Sharma 1998; Handler 1990; Sharma & Irving 2005). As Aronoff (1998) suggests, the succession process "requires the perspective of a multigenerational time frame and takes place in a constantly changing rich stew of social, cultural, financial, legal, strategic, moral, and other dimensions that resist neat, linear thinking" (p. 181) and researchers acknowledge that research in how business is transferred across generations is still in its infancy (Aronoff 1998; Lansberg 1999; Sten 2001). This section of the chapter will concentrate on the motivations and expectations of the G2 in entering the family business, and will focus on understanding why the next-generation family members may be highly committed and dedicated to their family business. Through the interviews conducted for this research, the G2 has revealed varying perspectives on the issue of continuity in the family business. These case studies make an important contribution to understanding the succession process, in particular the complexities and personal, family and business dynamics that support continuity between the G1 and G2.

Many early studies of generational transfer of family business presented succession as a one-time event. More recent studies have uncovered the lack of connection between planning the event and successful succession (Aronoff 1998; Astrachan 2001; Churchill & Hatten 1987; Farquhar 1989; Lansberg 1999; Murray 2003), and have emphasised the need to view succession as a long-term, continuing process. As the G2 grows up, usually

involved, either directly or indirectly, in the business affairs, they accept the business as a family priority, share business knowledge, ideas, and plans, and have internalised the business processes. Business issues tend to rule all aspects of family life, and they form part of people's personal, social and professional life. This phase, known as the "personal development phase" (Handler 1989a, p. 98) may begin at the same time as their own personal learning whilst still very young, at school, through hobbies and other forms of training. The G2 in this research recall being socialised into the family business at a very early age, often over a meal at the kitchen table, spending the school holidays at the business premises, helping out or doing part-time work as they grew up. Below I present a few excerpts from the interviews with the G2: through their narratives they describe their sense of belonging to both the family and the business, highlighting how their commitment to the membership of the family business developed over the years. The following three members of G2 clearly perceive, and discuss this overlap between family and work in their interviews:

Quote Box 7.4: The feeling of belonging to both the family and the business

> "You live and breathe family and business, because you're around the table, you're discussing business, you're talking about everything in general, and it always turns around to "What are we going to do tomorrow?" (Sam Piedimonte).
>
> "I used to go with dad and look at construction works, I listened to what they were doing around the table at dinner time. So all family business was always discussed, and whenever I had spare time I would go with my dad and drive around, and walk, and see what he was doing" (Rino Grollo).

Successful transition to the next generation may occur in a number of different ways: by the initiative of the successor, through their own interest, personal motivation, ambition, or expectation of being a suitable successor; or at the request of the G1 transferor, or a combination of these factors (Lambrecht & Donckles 2006). The G2 explains the reasons for becoming involved in the family business. Daniel Genovese was having a successful career in a big company in Melbourne, but with his mother's encouragement, he left his job and enthusiastically took on a role in the family business:

Quote Box 7.5: Time to work for the family business

> "I had a job which took me to incredible heights, I was very, very happy with the job I had and I achieved a lot in the short time that I was there. And then I left that job simply to come and work for my dad, for nothing, without being given a penny… […] It was mum that pushed dad. When I got old enough to help him, she said "Well, now it's time, get your son into the business instead of him working for others", which I was not going to do anyway, because I was eventually going to do my own business if dad hadn't done it" (Daniel Genovese).

After spending his early years helping out in his parents' fruit shop in Geelong, Frank Costa was young and ambitious, believing that he knew the business well and wanted to prove that he could be successful in business, more successful than his father. Frank speaks on different occasions warmly and admirably about his mother, "the strength and driving force of the business" (Tobin 2007, p. 42), the influential, behind-the-scenes authority figure in the family. As Frank explains, due to her sensitive management of the strained relationship between father and son, he took over part of the family business at the age of 21, with his younger brother Adrian, which permitted the Costa brothers to achieve an outstanding expansion for the business.

Quote Box 7.6: The influential role of the mother

> "I had the most wonderful mentor you could possibly ask for in this world, who was my mother…. […] I think that growing up with my mum as my mentor, was probably the luckiest break in my life. She helped to instil in me a strong ambition, a very strong work ethic, a realization that I could achieve absolutely anything I wanted to do if I set my mind to it. My mum was very good [*at business*] and I was particularly influenced by her.[…] Mum was all for me having a go, she knew we had, between Adrian and me, we had the talent. He was a brilliant marketer, my brother, he was a great buyer.[…] Yeah, mum knew that we would be very successful" (Frank Costa).

At times the relationship with the fathers may be characterised by difficulties and tension. As Frank points out, the transmission process is not always smooth and simple. Both Frank Costa and Daniel Genovese recall how the intervening action of their mother was pivotal in keeping them integrated into the family business.

As the interviews reveal, being a member of a family firm includes compromises and obligations. Franco Vaccari explains that his own involvement in the family business

stemmed not from an enthusiastic commitment, but from a sense of duty and responsibility, to learn about the business and support his elderly father, so as not to disappoint him:

Quote Box 7.7: A feeling of obligation

"I felt a very strong need to join the business. If my father was good enough to provide for me and for my family for the rest of our lives the very least I should do is come back and familiarise myself with the business. My father was my teacher really… But… I felt an obligation too…a sense of duty" (Franco Vaccari).

Obligation towards the family and the business permeate the narratives of the G2 highlighting that inextricable net of pleasure and duty that build responsibility (Birley 1986). Rino Grollo recalls that after completing his Leaving Certificate at secondary school, his parents had expectations of him to join them and his older brother, Bruno, already in the business, and contribute with his own professional skills to the administration of the Grollo Company: "I joined the family business in 1965, looking after purchasing and accounting and finances. […] They wanted me to join the family business. I was asked to become involved, and I did, and I enjoyed it and stayed there" (Rino Grollo).

Like Rino Grollo, Fred Pizzini also perceived becoming part of the family business as self-evident (Lambrecht & Donckels 2006). After working on the family farm after school hours and during school holidays, Fred Pizzini took the "natural step", continuing to work in the family business on a full-time basis:

Quote Box 7.8: A natural progression

"I think I was probably always destined to do something like this and be in a position of business leadership. […] I enjoy the family business a hell of a lot more [*than other type of work*]. It's one where everyone has got the same values, I suppose, and the same ideas, even though they may do it probably differently" (Fred Pizzini).

In recounting their experience of the succession process, the G2 described their own personal adjustment as their involvement and responsibilities in the firm increased. In some cases the two generations worked alongside for a number of years, the older

generation (G1) representing authority and experience, and the younger generation (G2) fulfilling obligations and accepting compromises while awaiting to establish their own space and position (Gersick et al. 1997, p. 82). Like Rino Grollo and Daniel Genovese, and for many G2 successors, full transition of management does not occur until the founder becomes ill or passes away:

Quote Box 7.9: Transition when the founder dies

> "I joined with my father and my brother and my mother and the business grew. There was opportunity to expand the business…. Then my father got ill, after 4 or 5 years, so I took over his role, and my brother and I continued to expand the business. My father was ill at the time, and my mother didn't have much to do with it after that" (Rino Grollo).
>
> "My father was not the type of person that would let go easily… He worked till very late in his life… As a matter of fact he never retired. He died at the age of 74. The week before he died, I took him into hospital and he was still working. Until my father was alive and able to do what I basically do today, my role remained very static" (Daniel Genovese).

Eager to embark on his own career, and ambitious to create his own business, Frank Costa wanted to break away from his father's paternalistic and rigid approach to the business:

Quote Box 7.10: Confrontations and compromises

> "I said to dad "I am staying with you until I am 21. When I am 21 either you sell me this business or we are going to start our own business, and Adrian is coming with me". That caused a hell of a shock to dad and he was really upset, so he came back with a compromise, which I accepted. He said "I'll sell you 50 per cent when you are 21. And when Adrian is 21", he is two years younger than me, "I'll sell the other 50 per cent". So I agreed with that. That's what happened. And we bought them out and then we really started building the business from that point on." […] Well, they always expected me to be a leader, probably because I was the eldest in the family […]. They always expected me to take over the family business […]. I think they were a bit surprised, not so much my mother, but my father was, about how quickly I wanted to take over" (Frank Costa).

These memories are personal stories of G2 transitions into the family business. Their involvement and contribution to the family business, and that of other family members, was an expectation, perceived by the G1 as vital for the survival of the business. The close collaboration of generations inevitably promotes a sense of responsibility in the G2, but also an obligation that binds family members together, strengthening their commitment

to the family and to the business (Cylwik 2002). But their stories are also stories that speak of compromises, obligations, and acceptance, as well as frustrations, near confrontations, negotiations behind the scenes, and conciliation.

The next part of this chapter will explore how family businesses perpetuate individual, family and business values, which are passed down across generations (Anderson & Reeb 2003b; Astrachan, Keyt, Lane & Yarmalouk 2002; Zahra, Hayton & Salvato 2004), creating the family culture that supports the G2 in participating in the family business, ensuring its continuity. They also support the continuation of the personal values of the individual.

The values of the second generation

The upbringing that children receive at home is fundamental for a future career in the family firm (Gallo 2002). The intergenerational transition process and the relationship between family members has been researched by Morris, Williams, Allen and Avila (1997) who conclude that "the dominant variable … appears to be family relationships", and that "the family business leader's first priorities should be building trust, encouraging open communications, and fostering shared values among family members" (p. 398). Values are attributed to the founders of the business (Cappuyns 2002; Tàpies & Ward 2008) and are transmitted through the family, surviving across generations. Garcia-Alvarez and López-Sintas (2006), and Ward (2008b) propose that family value systems play a fundamental role in the succession process, while Santiago (2000, p. 15) maintains that the consistency of values between generations is more important than formal planning in the succession process. Ussmane (1994, pp. 231-232) states that successors recognise that the business values that their parents taught them helped them when they joined the family firm. Collins and Porras (2000) argue that it is the strength of the commitment to the values that is important. However, *how* these values are transmitted by the founders, and *how* they are received, recognised and understood by the subsequent generation has not been researched.

In this thesis, the G2 was asked identical questions to those put the first and the third generations with similar objectives: to reflect on their personal values, to identify their expectations of family members in relation to these values, and to provide examples of how these values encouraged and supported them to continue in the family business. Interestingly, the data reveal great consistency between the values of the founders (G1) and the G2. I have identified individual, family and business values that were similar to the G1: values that have built a solid relationship between the family and the business, and across the generations. These family values ensure that the next generation shares the vision and the passion for the family venture. The business values that are imparted, initially through an informal but formative process, and later through formal studies and hands-on experience in the firm, ensure that the G2 becomes professionally prepared and confident for a successful transition. In the following section I will present the data collected through interviews covering those individual, family and business values that the G2 identifies as pivotal in shaping the culture of the family and the business. Table 7.2 captures these values:

Table 7.2: The values of the second generation and their family business

Personal values	Family values	Business values
Trust Responsibility Honesty Respect Loyalty	Family unity Succession Membership Humility	Work ethic Loyalty Professionalisation Risk-taking

As already noted, for the purposes of this study, three categories of values have been identified among the G1: the *personal values* of the individual; values that support the creation and maintenance of the family, termed *family values*; and values important for the successful continuation of the business organisation, termed *business values.* These three systems of values closely intertwine and overlap within the context of the family

business. For the sake of consistency, the same three categories of values were used for the all three generations in order to ascertain if the values of the founders perpetuate across the generations.

Personal values

Values play an important part in family business inasmuch as they help its members to develop an understanding of their role and position which goes beyond individual interests. The G2 incorporate these values in the most compelling way. They articulate and frame the tremendous effort to consolidate, maintain, improve and prepare the succession of the business. For that reason their values acquire a special value within the family business. In the following section I dwell on these values and recount how they have formed the G2 and their exceptional achievement. But by saying this I am not suggesting that all went easily and smoothly. In fact, the G2 were the people who had to comply with strict fathers, determined mothers, and the social and cultural pressures that required them to be both Italian and Australian at the same time. They truly acted as a watershed generation who suffered, compromised and cooperated in silence. In the following section I elaborate on the four personal values that have emerged from the collected data which have built the foundations of the individuals of the G2.

Trust

Family members in family firms display a high level of mutual trust and honesty (Dyer & Handler 1994; Pollack 1985), which are considered "intra-family altruism in its purest sense (ie. unselfish concern and devotion to others without expected return for oneself), and clan-based collegiality" (Corbetta & Salvato 2004, p. 356). These values, passed on by the parents through the family, become embedded within each family member:

From the data emerges how trust promotes a sense of confidence in mutual interdependence, positively associated with successful family firm performance

(Eddleston, Kellermanns & Sarathy 2008). As Fred Pizzini points out, trust however, also means accepting that family members may think and wish to do things in a different way:

Quote Box 7.11 Trust means also accepting differences

> "I think the advantage of the family business is that trust, that upbringing of trust and confidence in each other […]. I enjoy this business, where everyone has got the same values, even though they may do things differently" (Fred Pizzini).

Trust encourages positive relationships among family members who are actively involved in the business, but it also helps to accept differing opinions. This strengthens the family commitment to each other and to the business.

Honesty, respect, responsibility and loyalty

Trust together with honesty, respect, responsibility and loyalty, reflect the family values of the founders, and set the basis for positive cooperation in G2 family business cultures.

Rino Grollo was taught by his parents "to look after your own family, your wife and kids, respect the elders and be truthful and honest". He has continued this tradition, teaching his own children the same values: "They've also got to be fair and honest, and true".

From their mother, Frank Costa and Don Carrazza learnt the most important lessons that helped them through life:

Quote Box 7.12: Honesty above all

> "The first one was honesty. Absolute honesty, doesn't matter what it was" (Frank Costa).
>
> "I think honesty is one of the most important things in life because if you're not honest… it's like a robber, soon enough you'll get caught and … if you're honest, you don't have anything to hide. My mother used to always say to me "Be honest and you won't be concerned about anything, because honesty will sort things out" (Don Carrazza).

Respect for the previous generation and respect for their heritage reveal an understanding and appreciation of the foundations of a family business that the G2 wants

to continue, make successful, and grow. Family values are reflected in the values of the business: "If you respect and look after your workers, they will respect and look after you… It is more bonding than just money. It's almost like an extended family" (Rino Grollo).

The G2 considers good moral principles, such as trust, respect, honesty, responsibility and loyalty as the most important and desirable attributes which help to ensure family harmony, and thus, the continuation of a successful family enterprise. Frank Costa clarifies the overlapping relationship between the personal values, the family values and the business values, emphasizing the inter-reliance of each individual who is part of the family and the business:

Quote Box 7.13: Overlapping values

> "You fight for the family above everything else. Trust, you must have absolute trust in each other, you can't buy trust, you have to earn that. I have to be trustworthy to you for you to be trustworthy back to me. Loyalty, which comes with trust, is another enormous thing. Those things which I got out of my family, I found are powerful weapons in my business. I've been able to keep really good people working for me that other companies have tried to pinch because of the build up of trust that will always live within the organisation. So that's probably the main things" (Frank Costa).

Having learnt the importance loyalty from their own parents and family, Don Carrazza and Rino Grollo want to pass on this important attribute to their own children.

Quote Box 7.14: Passing on values

> "Loyalty was very important. That's one of the things that my parents always repeated, and repeated and repeated…. Loyalty to all people, all people. They felt that it was important to be honest. Honesty played a big role in their lives, they would never take anybody for a ride you know, they were conscious of that. […] The most important thing I have always said to my girls is really to be honest, to be loyal, to be respectful, to make sure that they are looking after their family. That is what my parents have taught me and I am trying to pass this on" (Don Carrazza).
>
> "You have to respect the people around you, you have to be loyal to them, and they will give it back to you. You can't buy respect, you can't buy loyalty, you can't buy trust. You learn all those things" (Rino Grollo).

The values learnt in the family shape the orientation of the family business as they are passed on to the next generation, and are one of a multitude of resources that the business family members learn and share.

Family values

As children, the G2 were socialised into the family culture, absorbed the customs and family values, as well as the history and the culture of the family venture. Through this long process they were exposed to how their parents dealt with family and business issues and problems over many years, they interacted with the business contact network established by the parents, and were encouraged to follow the footsteps of the G1. Anthropologists have noted that whilst customs and some external cultural traits disappear relatively quickly across generations, ideas and values tend to be resistant to change (Patterson 1983; Spiro 1955).

Through oral traditions, parents convey their personal values and morals, shape the family culture (Pascoe 1987, p. 188), and indirectly, set the basis for the family business. Daniel Genovese remembers the stories and proverbs that his father regularly narrated which embodied strong messages about correct principles and ethical behaviour that helped to create a strong bond in the family:

Quote Box 7.15: Family stories encapsulate family values

"Dad taught us "Don't do unto others what you don't want them to do to you" and I think that's a fair lifestyle. From my point of view, you know, it's not even a life style, it's more a manner of living… He was a great one for telling us stories and always within the family. He would love to sit around at the dinner table at night, after we had a meal, and talk to us about different situations, and tell us certain principles… […] Even though the name remains as Genovese & Sons, Genovese Coffee, it's not me, it's not my brother, it's not my son, it's all of us combined" (Daniel Genovese).

Family values highlight the centrality of the family and, unavoidably, they speak of unity. I dwell on this issue in the following section where I elaborate on four identified family values.

Family unity

Among the G2 members in family firms, in particular those of Italian heritage, the family emerges as the main element responsible for shaping social, cultural and moral attitudes (Favero & Tassello 1986, p. 79). Family dynamics underpins the operation of a family firm, as the family overlaps with the business, including its principles, values and obligations (Aldrich & Cliff 2003; Astrachan 2003; Harvey & Evans 1994; Kepner 1991; Lambert 1990). As Hoover and Hoover (1999) reiterate, "relationships are at the heart of family business" (p. 1).

Among the G2 participants in this study, family harmony plays a major role in their lives: wherever they are located physically, family members ensure a strong sense of family unity:

Quote Box 7.16: Supporting the family unity

"The family is important, I think the family getting together is important, I think that support for one another in the family, and encouraging one another is important" (Rino Grollo).

Family members experience close psychological attachments to one another that are tacitly implied (White & Klein 2002), not taught.

Sam Piedimonte and his family in particular, revealed a very high degree of family cohesion, with two generations, and later three generations, living under the same roof, linked by mutual obligations and responsibilities, a high level of respect, and great pride in the family name:

"*Piedimonte* stands for the family that it is first of all, and for the way we're known in the community. […] I think we are a very close-knit family, it's very hard to stick together for fifty years. I suppose it's the values and the way that we were brought up by mum, because she brought us up to be together. We always had to be together, we always had to work together… When people get married they sort of go their own way. Well, for mum that was not the case, for mum we still had to be together, we had to live together, we had to be together and make her happy. Well, we always did that, and we were lucky enough to find two girls that agreed to it because in today's day and age, no way would any women have agreed to it. That shows love for their husbands and love for their children, and respect for the family. Dad was the same, he was for the family and being together" (Sam Piedimonte).

Strong family cohesion, which involves a high level of closeness and emotional bonding, provides unconditional mutual support to family members,

Quote Box 7.18: Family provides unconditional support

"A close family meant that you had unbelievably strong support for whatever happened throughout your life, no matter what it was, whether it was the work side whether it was family, sport, whether it was anything outside with other associations, your family was always there to help you and support you. […]. But when I look back, that all came from my mother, so that answers your question 'what does family means to me?' It means everything" (Frank Costa).

Throughout the interviews, the G2 emphasised that it was vital, for the good of the family, as well as the business, to maintain a close, healthy relationship among family members.

As Rino Grollo states, a strong allegiance to the family means sharing its sense of purpose, accepting compromises which will safeguard good family relationships over business issues:

Quote Box 7.19: Allegiance to family comes first

"I am part of the family. I think the family always came first. When times were tough, you had to work longer hours, it was because of the commitment to the family. It would have been easier to walk away. But once you walk away it's no longer a family, and no longer a family business. That's the difference between a family business and an institutional business" (Rino Grollo).

As the data reveal, there was a strong acknowledgement by the G2 male participants in particular, of the vital contribution that their spouses have made over the years in proving immeasurable support not only to the family, but also to the business. Moral and practical support from spouses and family members helps to reduce family and individual pressures, buffer family-work conflict (Adams, King & King 1996; Greenhaus & Beutell 1985), providing family enrichment through a positive spillover (Grzywacz, Almeida & McDonald 2002). However, the position of mothers and spouses must not be understood as being only based on emotions and feelings, no matter how important they are. In the G2 the role of the mothers is essential, especially in helping the children to adapt to their fathers, hardened by migration and a difficult integration, and at the same time to follow their own inclinations. Knowing their children's strengths, mothers have the strength to guide and assist them in their transition from children into adults.

Fred Pizzini acknowledges his wife's and his mother's invisible but influential role in the business, actively integrating into the business sphere, largely through the family culture and dynamics. By invisible I mean an emotional, psychological and personal presence capable of mediating between the wishes and expectations that separate but also unite two generations.

Quote Box 7.20: The influential role and support of the woman

> "Originally dad did everything, basically. Katrina was busy raising the family. But you can't achieve these results on your own, that's impossible […] And once the kids grew up, Katrina herself started taking over the administration, which then meant that I'd spend more time outside, growing the business…They [*his wife Katrina and mother Rosa*] are strong women, they are strong and they are correct, they are accurate in what they choose to do and how they perform in whatever they are doing. In terms of the business itself, they have a huge, huge strength, yeah…. They are part of the business, they are helping because one cannot go out, you know, and make a decision without knowing that the people behind you are going to give you their support" (Fred Pizzini).

Rino Grollo and his wife Diana have been a very close partnership over the years, both in the family and the business: "Diana owns part of everything, and we work together. She

does her thing and I do my thing, but we work together and always support each other" (Rino Grollo).

As the family ages and grows in numbers, the relationship between family members becomes more complex (Gimeno Sandig, Labadie, Saris & Mayordomo 2006; Miller & Le Breton- Miller 2006; Sharma & Nordqvist 2008; Ward 1991, 1997b, 2008a). The family structure evolves, and some families develop more flexible and adaptable systems. According to Olson (1988), *family adaptability* is "the ability of […] a family system to change its power structure, role relationships, and relationship rules in response to situational and development stress" (p. 5).

In the Pizzini family, as the four children have grown, all have maintained an active role, to varying degrees, in the business. This has meant that roles and responsibilities have had to change, be shared, rules need to be revised at regular intervals, and there is a constant need for open communication.

Quote Box 7.21: Open communication essential for family harmony

> "We try to meet monthly and if we don't meet monthly, we meet as a traditional family, we talk about it while we are moving around our commitments. […] The decisions need to be made for the right reasons and then you maintain the harmony. It's a family business, they are all part of the business, they are helping, and one cannot go out, and make a decisions without knowing that the people behind are going to give you the support" (Frank Pizzini).

As the family composition changes and grows in numbers, family unity is not always easy to maintain, and a breakdown in family relationships may negatively affect the business, as Don Carrazza points out:

Quote Box 7.22: Continuity dependent on family unity

> "The continuity of the family is based around the fact that if the business is successful, it's only successful because of family unity. You know, a lot of businesses can fail very quickly…. you can leave your mark and then, you know, the bigger the man, the easier it is to crumble" (Don Carrazza).

The Costa family business has expanded extremely rapidly and is now a big international company with over 8000 employees: this has had a major impact on the family members' roles and relationships. Successfully merging the interests of the family members with the business interests has become a delicate process that may sometimes require difficult decisions:

Quote Box 7.23: Challenge of keeping family unity in a growing family business

"It's not easy, I'll tell you right now…. See, we employ many thousands of people. So, the ability you need to have at a higher level now has meant that a lot of the family members haven't been able to attain that, and that gets very difficult when they can only get *this* high and other people are much higher than the family in the business. So there have been casualties, because a lot of them have had to leave for their own self-pride. My goal was always to build a family business that would be run by family members. I don't know that we're going to be able to continue doing that if we keep growing this business. You've got to get the very best people, no matter who they are. It would be fantastic if they could come out of family, but I don't know. ..[…] It's a bit like if you are the coach in a sporting team, right, you can't elevate your child, daughter or son, to a position in the team if they are not the best person for it. Because if you do that, you destroy the whole team" (Frank Costa).

In line with the values identified through the G1 (in chapter 6), family unity continues to be recognised as the most important value for G2, taking precedence over business success. But as the previous excerpt demonstrates, the risks are looming especially as the business grows and the family expands. Succession is a very important issue, and if neglected or wrongly treated, this issue has the power to disintegrate an entire family business.

Succession

Most G2 participants in this study were exposed to the family business from a young age, when they learnt and shared their parents' commitment to making a success of the family business. The commitment of the G2 is now to help the business grow, and maintain a successful family business for the third generation of the family to inherit.

Quote Box 7.24: Succession the key to family business continuity

"Business has been my life [...] Self-motivation, basically, and the love of succeeding and achieving, and seeing the fruition of things that you do... But having the support from the children is what's given more strive to doing it, because if you haven't got the support of your children and the family, then you say 'Well, what am I doing it for? Might as well give it up and get rid of it!' [...] And that's the difference between a family business and any other business" (Sam Piedimonte).

The personal reasons for the G2 to continue to be involved in the business may vary. It may be due to the enthusiasm that one feels for the work and the challenges it brings: "It's not the money, it's the satisfaction and pleasure that you get out of life, that's my satisfaction and pleasure. [...], I can never see myself being 100 per cent out, I'll always want to be involved in something" (Sam Piedimonte).

Similarly to the attitudes of the founders of the business, the G2 may often be ready to let go, but there is a tendency to be concerned about how the business will survive. This may increase their reluctance to hand over the leadership completely as they attempt to continue to perpetuate their legacy:

Quote Box 7.25: Considering succession

"I'll have my say and I've got to be careful because sometimes, because we might be still holding on to things that aren't relevant today. I am quite happy to let go, it doesn't bother me too much if they come up with the right ideas that make sense [...]. I don't have a plan to say "well, I am going to stop working or retire", because I am not going to retire necessarily. I haven't put a time on it. I think the business will do that for us" (Fred Pizzini).

"There is no way that I'll be here until I am 74 like my father. [...] I'd like to start winding down now. [...] I am tired, I need to be revitalized [...] This business is galloping and...and whether I want to hold the reigns while it's galloping, I don't really feel that I am up to it because of the mental strain that it creates, and I don't feel that at my age I should have that size of mental strain. Because of the years of long hours and hard work and time that I've put into it, I feel that now is the time to be easing off rather than let the business gallop away. [...] But I don't know whether I would enjoy being totally out of it. I know that I could fill in a lot of my time being out of it, but whether or not that would give me the satisfaction that this business has given me over the years... I still feel that we've got a lot to achieve" (Daniel Genovese).

Daniel Genovese is overseeing a clear succession plan for the business which involves long term strategy, organisation and governance. He is aware that the preferred succession arrangement may not be acceptable to all members of the family and he is confronting the fundamental dilemma in family business succession: family first or business first?

Quote Box 7.26: Planning for the future of the business

"Succession is in that plan, direction is in that plan, planning for the future over periods of five years is in that plan… There is going to be a lot of changes that some people won't like. But if that's going to take the business to the next level, I don't care because I have to be cold hearted about that, you know… I am not running a family business for the sake of glorification of the family. I am running a family business for the glorification of the product and the business, which will continue to grow" (Daniel Genovese).

This is a very strong statement which seems to suggest that Daniel Genovese is leaning towards business rather than family, but this is only a surface impression. Only he who is certain of the stability of his own family seems to be able to challenge it from within. Succession in business is always closely related to succession in family. Intergenerational succession is seen as an ongoing process which aims to narrow the experience gaps between generations. The ongoing training and development of the successors from a young age generally ensures a smooth successful transition (Davis & Tagiuri 1989, Handler 1992), but there are expectations and compromises to be made by both generations.

Quote Box 7.27: Succession an ongoing process

"We are passing onto to children all the time, different degrees depending on their age, and when they are ready, and their maturity. But it's up to them. As soon as the children are mature enough and when they've worked out their families, and where they are going, they should take over" (Rino Grollo).

"Succession will happen and it's happening, because Joel, my son, is totally responsible for all the winemaking, and he's progressively taken on a bit more of my role, so they make a lot of business decisions, and… they tell me because they like talking about it, but I am pretty confident and comfortable that they will do the right thing" (Fred Pizzini).

Frank Costa believes that successful transition involves in giving people opportunity to prove themselves:

"The need to empower people that have got the right skills is terribly important. If somebody has got the ability and the passion and the will, let them go, give them some rope. Let them run. Empower them. Don't keep sitting on their shoulder... If you've got good people and you empower them they will run for you they will just keep achieving and going… you can't do that with the wrong people. You've got to have the right people in the right seats. You get them in the right seats" (Frank Costa).

The succession that the G2 in this study is envisaging may be conservative, planned, or may be happening on an ongoing basis, constantly evolving. This will depend on the family dynamics, on the personality and experience of both the G2 and G3, and on the firm and market contexts (Miller, Steier & Le Breton-Miller 2003). The succession patterns discovered in this study differ in terms of process, timing and effectiveness. However what they have in common are the expectations and compromises that both generations need to accept and make, in order to preserve the continuation of the family business.

Membership

As the G2 grows up usually involved, either directly or indirectly, in the business affairs, they accept the business as a family priority, and take pride in the family business name. The history of the family is often reported on the business website, dedicated to the origins and the founders of the business. This reflects how the family perpetuates across generations, and how closely the family business identifies with the culture and the values of the founder and the founding family. The family business is a family asset that reflects the pride and responsibility of each individual of the owning family. Earlier in this chapter I have presented the motivations and expectations of the G2 in entering the family business. In their interviews they describe their commitment to the membership of the family and the business, and how the two domains overlap, without clear distinction, as Daniel Genovese recounts:

Quote Box 7.29: Overlapping family and business

"We lived next door to mum and dad... we not only worked together but we basically lived together. It was just a separation by a gate, through the fence. So if dad felt like coming over or we felt like going over, it was easy" (Daniel Genovese).

Family implies protection and solidarity, but also requires tacit and unwavering commitment to its unity and values, acceptance of its unspoken codes of behaviour and attitudes. The following excerpts highlight some of the conditions that membership of a family business imposes:

Quote Box 7.30: Commitment to family code of behaviour

"When dad was alive, there were really no family issues because what dad said would happen...[...] Until my father was alive and able to do basically what I do today, my role remained very static" (Daniel Genovese).

'My parents wanted me to join the family business, they wanted me to get married in the Italian community and be part of the extended family" (Rino Grollo).

"We always had to be together, we always had to work together. [...]. Piedimonte stands for the family, and as a family, we've got along for over fifty years" (Sam Piedimonte).

Being a member of the family and business means gaining the approval of the family, having a sense of duty, having "the discipline not to undermine" (Fred Pizzini). This requires meeting obligations and making compromises. But in exchange the family offers its unconditional support and the family business, its economic security. This is understood across the generations, from a young age: "It's a bit like when Charlie [*note: Fred's grand-son*] comes here. He lands on the property and says "It's mine", you know what I mean? That's one of the little hidden treasures, I suppose, that are just bred in you, right through the generations" (Fred Pizzini).

The sense of adaptation and compromise reveal the high level of humility that the younger generation had to have in order to deal with a hardened G1. Humility is more than respect as it requires the ability to respect out of love rather than just duty.

Quote Box 7.31: Compromising for the sake of membership

"Dad was tough, he was very tough. ... At 3.30 pm I was getting married at St Carthages in Royal Parade in Parkville, opposite Melbourne University, and he insisted, he had me working up to the last minute. And I said "But dad, I am getting married in an hour and a half and I want to go home and get changed". "No, no, you stay here!" And then I got a flat tyre as I drove... I'll never forget it..." (Franco Vaccari).

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This last excerpt conveys the level of compromise and patience that G2 had to display in order to remain family. Because of its suffering and the hard work they had to do in order to survive, the G1 seems at times hardened to the point of forgetting the basic joys in life. But this could also be seen as a test: testing a son's loyalty between the future spouse and the old father - a test that the G2 never failed in relation to the G1.

Humility

In family firms, it is a tacit rule that family interests must overshadow the individual interests of family members. This requires a certain degree of humility on the part of all family members but especially the younger generation.

Quote Box 7.32: The interests of the family paramount

"The support that you give each other as a family, even the ones who are sometimes a little bit of a "rat bag".... We've still got to show respect and trust and try to help them to stay in line.... I guess the discipline to trust each other and not to.... not to undermine... It has to be one of those ten commandments things in a business, I suppose. And if you can keep that, you will be successful, you will be very successful" (Fred Pizzini).

The stories of compromises and adaptation recounted by G2 reveal the high degree of humility that required of the younger generation, mixed with respect, and perhaps fear of the first generation. Rather than their individual needs and desires, they had to accommodate firstly the family needs and the family business requirements. Their individual role was always subsequent to the family and the business. Analysing their discourse, we learn that they accepted with humility their obligations and compromises.

Don Carrazza left school young, aged 15, feeling it was their duty to support the family and the business. Seven months after his arrival, in the middle of the night on 16 July 1956, the riverbank in Mildura flooded, and the Carrazza family lost everything they owned. They were lucky to be alive.

Quote Box 7.33: Helping out the family business from a young age

> "I saw the expression on my mother's and my father's face, of desperation because we had lost everything. I felt guilty to go to school… So one day I was coming back from school when I called in at the Grand *(The Grand Hotel, Mildura*) and asked for a job. And the Manager said "Yeah, I'll give you job. You can start on Monday".[…] So I left school and I started work at the Grand […]. I am disappointed that I did not continue to study, I did not have a lot of schooling, and I am aware of how much more I could have done if I had been well educated" (Don Carrazza).

These excerpts, fragments of episodes remembered by the G2 during their interviews, demonstrate the sense of humility, and absolute and unquestionable support, often at their own personal cost, that they have provided, and continue to provide, to their parents and the family business.

Business values

As stated earlier, values have value inasmuch as they help to form the self-understanding of the members of a family business. Usually, by speaking of values people think of personal and family values that form the basis for business. But there is a third group of values that I have identified, that can be classified as business values. They are as important as the personal and the family values because they form the basis of the business, and the understanding that the members of the business have about their economic activity. In the following sections I elaborate on four major business values that I have discovered in the G2.

Work ethic

All G2 participants in this study displayed the strong work ethic that the G1 taught their children through their own example: "They [*the G1*] believed that hard work results not in high returns but a comfortable life …It was a no fuss work environment. We had to work" (Franco Vaccari).

Working hard has been part of their life from a young age, but being with their family in the business that they have helped to create and grow, gives them satisfaction and pleasure :

Quote Box 7.34: Hard work a source of satisfaction

"In two words, [*my work ethic*] is just bloody good!. I like to say that I go to work, you know what I mean, but it's not a job… […] I don't think hard means anything, personally… What's hard…?... We do long hours and we might go through some sacrifices, I suppose…. I don't think it's hard" (Fred Pizzini).

Frank Costa acknowledges that he probably continues to work too hard at this stage of his life, and recognises that he should aim for a more balanced lifestyle:

Quote Box 7.35: Acknowledgement of need for more balanced lifestyle

"My work ethic is very strong, perhaps to the point of being too strong. Probably my biggest failure in life today is that I need to get balance in my life. I reckon everybody should have real balance in their life and for me, to be able to balance my life and my family's time with my work time and my outside commitments. With the community support that I give, including football, it's very often earned at the expense of family time, and I owe an awful lot to my wife. She has been an absolute angel for me. And I am still trying hard to get that balance" (Frank Costa).

The G2 recognises their enjoyment and sense of satisfaction in their business achievements, but also acknowledges that family business requires a full-on attitude, and that they probably work too hard and too long. The balanced lifestyle that they desire and need may never eventuate, because it means making the difficult decision to opt out of the business which they have created, shaped, and which has been their life.

Loyalty

Research shows that strong cohesive family relationships bring about a high degree of loyalty to family members and to the business, and tend to unite members in time of difficulty (Olson 1988).

Loyalty underpins the identity and success of the family business, and it contributes to its continuing success:

> "Loyalty. Loyalty. We are very loyal to our clients, we are very loyal to our suppliers and we would like the same in return, even though it's a business, and loyalty is a very close knit thing, sort of like family. We are devastated when we lose a client that we had for a long time, and let me tell you, we don't lose too many long standing clients, we only lose clients when the businesses change hands… […]. We base our business on loyalty. We expect loyalty and we give loyalty. This is why I won't compromise the [coffee] blends that we make" (Daniel Genovese).

Loyalty in business is as important as loyalty among family members, the business being an extension of the family, one being reliant on the other, as Sam Piedimonte points out: "Loyalty's got to be very strong, very strong because that's why we are where we are today. If there would not have been loyalty, no way would we be where we are today" (Sam Piedimonte).

Success in the business, is thus based on deep relationships, but also skills. Without skills and formal education no business would survive in the long run. Loyalty is given but also well received by these Italian-Australian businesses who can display abilities and technical know-how.

Professionalisation

The professionalisation of the G2 ensures that they become prepared, from a young age, for a successful integration into the business. This occurs through a number of different processes. From a young age they are encouraged to be informally involved, in order to understand and share the business culture, be efficiently trained and learn the tricks of the trade. This informal process ensures that they are exposed to professional knowledge and culture. Don Carrazza regrets having been unable to complete his secondary schooling. As a young boy in Italy he had attended boarding school and had won a scholarship which would have supported him in continuing his schooling. However, the linguistic, financial and other difficulties he encountered upon his arrival in Australia meant that he was unable to continue his formal studies. He remains however very committed to the importance of a good education, has strongly encouraged his two

daughters to continue their studies and obtain higher qualifications, and actively sponsors the Mildura regional campus of La Trobe University, one of Melbourne's universities.

Quote Box 7.37: Formal education opens doors

"Education to me is the most important thing. I am disappointed that I did not continue to study, I did not have a lot of schooling, and I am aware of how much more I could do if I had been well educated, I would have been able to do more things that others can choose to do" (Don Carrazza).

Having grown up in families where the G1 placed importance on formal education, the G2 has generally demonstrated higher educational and occupational aspirations and achievements than their parental generation, and have entered the work force having attained a higher level, generally having completed secondary school. It is acknowledged that extended levels of education produce attitudinal changes by enhancing and extending knowledge, cognitive and problem-solving skills, openness to innovation (Cooper, Gimeno-Gason & Woo 1991; Fiegener, Brown, Prince & File 1994), and is generally linked to upward occupational mobility and increased wealth, which have all contributed to altering the social profile of the G2 (Perlmann & Waldinger 1997).

Rino Grollo completed the Leaving Certificate (Year 11) at secondary school before he joined the family business. He remains convinced of the importance of a good formal education:

Quote Box 7.38: Education necessary in a changing world

"It is very important. I think today everyone needs an education. […] Times are different. Factories no longer exist in Australia really, and you've got be part of the community, and you have to be intelligent. The world is flat, so everyone can communicate anywhere in the world today […]. Back in my days it was different" (Rino Grollo).

Both Rino and his wife Diana have encouraged their four children to successfully complete tertiary and post-graduate studies, and over the last 20 years they have made a

strong private philanthropic investment into the education and community sectors in the state of Victoria.[37]

In addition to early exposure to the family business and formal educational attainment, the G2 has sometimes gained invaluable competence through experience in another company which has helped them to develop their own identity and prepared them to confront a wide range of problems and real life situations.

Quote Box 7.39: Gaining experience in another business

"What I learnt at Nightingale Chemicals was invaluable, because I was dealing on a world market, and I would never have had that exposure if I hadn't worked there. I was doing import and export. And what did I get into here? Import. So my father, on the admin side, didn't have a worry" (Daniel Genovese).

"I did year twelve and then my father did the right thing, which is what I have done with my family. He didn't want me to work for him. He wanted me to first go and work somewhere else. So I became a pilot and I went to Sydney. My job was to sell aircraft, general aviation. […] My son, like myself, works for someone else, he has a very good job, travels extensively" (Franco Vaccari).

All G2 participants recognise the positive impact that their children's higher level of education has made on the family and the business:

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[37] In 1998 La Trobe University awarded Rino Grollo its highest honour, Doctor of the University (honoris causa), for helping establish their Mt Buller Campus, and in 2007 the Australian Catholic University (ACU) awarded him a subsequent Honorary Doctorate in recognition for his "exemplary balance between business success, devotion to faith and family, charitable giving and community involvement in a career spanning four decades." More information can be found on the following website:
http://www.acu.edu.au/about_acu/news_events/media_releases/media_releases/archived/acu_national_t
o_award_rino_grollo_with_an_honorary_doctorate/ , accessed 12 May 2010.

Quote Box 7.40: The benefits of formal education to the family business

"Absolutely, there is no question. They have brought another different level of skills. They've got their work ethics because they learnt that before they went to University. They didn't have to go there to learn that. But I think they had to go to uni to learn the other skills, have other opportunities, develop a mental brain that can think outside of the square … And you can see it, there are five of them that can be CEOs, in a sense… There is a line of strong, well educated people, in different fields, but each could quite easily pick up a role of leadership within the family business, if that's where they choose to go. That's their decision" (Fred Pizzini).

"I made sure that both daughters were well educated. They both came back with us as part of the business and they have both been involved in different parts of the business" (Don Carrazza).

From the data emerges that similarly to the G1, the G2 shared a strong belief that attaining a high standard of education is of particular importance as it provides essential knowledge, technical as well as social skills, and contributes positively to the management of a family business. Formal education, complemented by experience gained inside and outside the family firm, contributes to the professionalisation of family members, and is regarded as one of the important interacting values that support success in the continuation of the family business.

Risk-taking

The motivation to achieving a high level of business success, generally ambitious, aiming to overtake the success of the G1, is made possible by a new attitude towards risks.

Quote Box 7.41: Ambition drives risk-taking

"They [Frank and Adrian Costa] set about turning the old-fashion Geelong fruit and vegetable retail market on its ear. […] They had taken the first step towards becoming Australia's largest privately owned fresh fruit and vegetable organisation. […] To achieve this ambition they knew that they would need to become smarter, more aggressive buyers…" (Tobin 2007, p. 42).

As the business grows, it undergoes a process of natural development, which may eventually make it a very different business to the original concept. This development process is shared on the inside by those who have grown up in the business, and often intuitively requires them to take risks so that the business will develop successfully. In

doing this, they demonstrate some of the personal traits that are considered desirable in business, such as the need for achievement, a sense of creativity, the willingness to take risks, and the confidence to do it (McClelland 1961, 1965a, 1965b; Naldi, Nordqvist, Sjoberg, & Wiklund 2007; Schumpeter 1934; Sexton & Bowman 1983).

The following interview excerpts demonstrate how the G2 were willing to take risks in order to expand the family business but as a whole the entrepreneurial elements of the first generation are no longer part of the enterprise. The major issue for the G2 members is to consolidate by expanding and bringing a more finance based operational thinking into the family business. This is the generation where the entrepreneurial spirit of the first generation becomes more management skills, although undoubtedly creative management skills.

Quote Box 7.42: The entrepreneurial spirit

"I see opportunities, you look at the need and make a decision. But you are also a risk taker, very much so, you can't be concerned if you borrow $200. A lot of people have got ideas but they can't put them into practice because they won't take a risk, so you've got to be a risk taker ….. If you've got passion, you always see the light at the end of the tunnel, and you have got to know that you are right!" (Don Carrazza).

At the early age of 21, Frank Costa was eager and confident that he would be successful not only in continuing the family business, but transforming it into a new enterprise:

Quote Box 7.43: Self-confidence and ambition key motivations

"I saw a way of building a very good business quickly by doing it differently to what my parents did… They were retailers and I saw a big opportunity for wholesale […] And many times I reached a growth situation where my ambitions exceeded my ability" (Frank Costa).

"To just be in the fruit and vegetable industry was never part of my ambition. My ambition was to be the best. Originally, the best retailer in Geelong. Then it was to be the best wholesaler in Geelong. Then it was to be the best in Victoria. Then it was to be the best in Australia. Now I am looking at trying to put the best company together in the world, and I think it can be done" (Frank Costa).

Fred Pizzini knew that he needed to do things differently for the business to survive and grow:

Quote Box 7.44: A different mindset

"Initially it was tobacco, a relatively small business. The tobacco industry really wasn't doing that well … There was really no future.. So what we brought to it was a very different business model, to the way dad would have done it… I think the biggest thing that we did, was that we didn't classify ourselves as farmers any more. We classified ourselves more as business people, so we started borrowing money on the basis that the land was worth something and that you could borrow money against a tobacco quota. That gave us the opportunity of implementing some new technology for growing tobacco, and one of them was underground irrigation. And we were the pretty much the first in this part of the tobacco industry to put underground irrigation. […] We didn't only modernise it, we expanded the business from a $100,000 to $3 million business, and from employing just us [*the family*], that is ten people, to employing fifteen, and we've employed a lot of people over the years" (Fred Pizzini).

Risk taking is often perceived as a challenge which leads to entrepreneurial advantages for the business:

Quote Box 7.45: Passion and enjoyment in risk-taking

"As life goes on, as you go from one business to another, from one venture to another venture, to me life is full of excitement. Because for me to live happy, I have to be very busy, my brain can't stop, because the minute I stop, I wouldn't know what to do. So if I have fifty things going at once I feel very comfortable. […] I am driven by passion, and the outcomes, because, what do you get for it? It's not money that really means the ultimate… For instance I've created a precinct of entertainment round the Hotel and my joy is to walk there at night and see hundreds of people all having a good time, and I'm having a good time with them internally because that's really my achievement" (Don Carrazza).

In their interviews the G2 participants demonstrate a deep awareness that the family firm must continue to evolve, so as not to become stale and lose its economic advantage. Risk taking is therefore perceived as an important value and a necessary ability. The personal, family and business values of the founder continue to support the G2 and contribute to the successful long-term transmission from one generation to the next by creating a strong family environment based on unity, trust, honesty, loyalty and respect among family members.

Chapter 8

Longevity and Success in Family Business:

The Third Generation – The Custodians of a Legacy

The object of this chapter is to understand the extent of interest of the third-generation (G3) family members in engaging with their family firms, explore their personal motivations for continuing their involvement in the family business, focussing on the family relationships and values that have supported effective intergenerational transmission, thus influencing the longevity of their family firms. As the G3 of the businesses that form part of my research is still relatively young and therefore their own personal achievements are largely unknown and unrecognised in the public arena, very scarce information is available from published reputable secondary sources including books and business magazines. Thus the main sources in this chapter will be my interviews.

This chapter first introduces the seven individuals who form the G3 in this study from the perspective of their profile, focussing on their identity and sense of Italianness (Alexakis & Janiszewski 1998; Pascoe 1992b): I dwell on this issue because it shows the ability and will of the G3 to keep alive the connection with the G1 and with their roots. The chapter then investigates their justification for their sustained commitment to the family business, as well as their attitudes and motivations. The main part discusses aspects of family and business life (values) that are inherent in family firms, have shaped the behaviour of this generation, and have contributed to the continued growth of the family business into its G3 and beyond.

Moving on to the third generation

Extant research highlights the importance of an effective succession planning process in order to ensure the continuity and prosperity of a family business (Christensen 1953;

Sharma, Chrisman & Chua 2003b; Ward 1987). As mentioned earlier in the text, worldwide, only 30 per cent of family firms pass to the second generation (G2), dropping to less than 20 per cent in the third generation (G3) (Beckhard and Dyer 1983a; Kets de Vries 1993; Lansberg 1999; Ward 1987; White, Krinke & Geller 2004). The average life-span of a family business is acknowledged to be approximately 24 years, after which the business tends to lose the fundamental characteristics of a family business (Welles 1995, cited in Lambrecht 2005), or decline in performance (Anderson & Reeb 2003; Villalonga & Amit 2006). On the other hand, some research has revealed that if a family business survives into its G2, the probability of surviving in subsequent generations increases substantially (Greenwald 1993), with approximately 50 per cent of the G2 businesses surviving into their G3, and 70 per cent of these passing on to the G4. Longevity of a family business into its G3 is therefore considered an important measure of success. By G3, I refer to grandchildren working in a firm founded by their grandparent/s.

Family business literature recognises that the issue of succession is critical in determining the continuity of the family business organisations (Olson, Zuiker, Danes, Stafford, Heck, & Duncan 2003). It also shows that most founders want the ownership and management of the family business to remain within the family (Kirby & Lee 1996) and that an efficient succession planning process positively correlates with longevity (Christensen 1953; Sharma et al. 2003a; 2003b; Ward 1987). Family firms owned and managed by a family member who has a long-term vision that includes continuity across generations, need to grapple with financial and management issues on the one hand, and emotional, family and traditional values on the other (Olson, Zuiker, Danes, Stafford, Heck & Duncan 2003). Maintaining good family relationships, accommodating the numerous issues that arise, and keeping the interests of the family and the business uppermost, are approaches that help to lead to successful intergenerational transitions as well as a positive long-term orientation of the family firm (Lansberg 1999; Lansberg & Astrachan 1994; Le Breton-Miller & Miller 2006; Sorenson 1999).

Although multigenerational survival is regarded as an issue of concern, very limited research has been conducted on family businesses into the G3 (Gersick, Davis, McCollom Hampton & Lansberg 1977; Strahan & Williams 1988) and on the specific issue of succession into the G3 or subsequent generations. It is therefore hoped that the outcomes and findings of this study will make an innovative and valuable contribution to this issue, and advance the literature on family business. More precisely, it will suggest that family values can build the basis for the economic establishment of a family business (G1), its consolidation (G2), and finally its expansion (G3), opening up the possibility for the formation of business dynasties. As discussed in regards to G2, this continuity comes at a price inasmuch as the G2 has to adapt to the first generation in the most humble way; whereas the price paid by the G3 is more related to the notion of renewal of the family and the business within cultural boundaries. The members of the G3 who participated in this study[38] are:

- Donata Carrazza

- Simon Costa

- Adam Genovese

- Lorenz Grollo

- Joseph Piedimonte

- Joel Pizzini

- Michael Vaccari

Profile of the third generation: A dual identity

At the time of conducting this study, the members of the G3 are characteristically divided in two age groupings, 30-39 and 40-49; all are married, some with a young family. Their current position in the family firm is not the same across all firms inasmuch as in some cases they are the leader of their firm, acting as Managing Director, or working in some other management position within the firm, while in others they are still struggling in

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[38] Further details of members of each family are provided in Appendix 1.

finding their position. The following Table provides the basic socio-economic data pertaining to each G3 individual in my study. They are the grandchildren of Italian immigrants who were the entrepreneurial founders of their family business. Their parents may have both been born in Australia to Italian born parents, or they may have one parent with no Italian background (Baldassar & Pesman 2005, p. 159) (as described in chapter 7). Similarly to the G2 in this study, they have become increasingly integrated into the mainstream Australian society, although some aspects of their Italian identity are retained partly through cultural traditions and partly through some degree of language maintenance,[39] and coexist with their Australian identity (a phenomenon studied by Greeley 1970). Their sense of genealogical belonging to an Italian ancestry is strong and is reflected in what has been described as Italianness which I have explained in chapter one. In Table 8.1 below I have summarised their biographical data.

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[39] For the third generation, the language component is not as strong as for the first and second generations. However, through their tertiary qualifications and expanded studies and professional developments this generation has retained a sophisticated knowledge of the Italian culture which they identify with and which is best described in this thesis as *Italianness*. Italianness, however, does not exclude knowledge of the Italian language, but their degree of linguistic competence is part of a more comprehensive identity picture.

Table 8.1: Socioeconomic data of the third generation

Name	Birthplace & age group	Siblings in family	Education	Year entered the firm (officially)	Italianness (cultural competence)	Partner's ethnic origin & offspring
Carrazza Donata	Mildura (Victoria). 40-49.	2	Tertiary.	1991 (early 20s).	Moderate-High	Italian-Australian. 1 son, 1 daughter .
Costa Simon	Geelong, (Victoria). 40-49.	3	Tertiary & post-graduate.	1993 (mid-20s).	High to very high	Italian-Australian. 2 daughters.
Genovese Adam	Melbourne (Victoria). 30-39.	2	Tertiary & post-graduate.	1990 (late teens).	Moderate-High.	Australian. 2 sons, 1 daughter.
Grollo Lorenz	Melbourne (Victoria). 30-39.	4	Tertiary.	1998 (mid-20s).	Moderate-High.	Italian-Australian. 1 son, 2 daughters.
Piedimonte Joseph	Melbourne (Victoria). 40-49.	3	Tertiary.	1985 (late teens).	Moderate.	Italian-Australian. 3 sons.
Pizzini Joel	Wangaratta (Victoria). 30-39.	4	Tertiary.	1998 (early 20s).	Moderate.	Australian. 1 son, 1 daughter.
Vaccari Michael	Melbourne (Victoria). 30-39.	4	Tertiary.	Not yet (potential successor).	Moderate.	Australian.

Italianness and a genealogical sense of belonging

Research on the social implications of multigenerational ethnicity has found that across a number of generations, ethnic groups change and adapt to new circumstances, modifying the core elements of traditional ethic culture, developing new forms of identity that are dynamic and interactive (Deux & Ethier 1998; Glazer & Moynihan 1970, Portes & Rumbaut 2001, 2005; Reitz & Sklar 1997; Steinberg 1981; Taft 1973). Accordingly Vasta argues that "in the early post-war decades there was more homogeneity among young people from non-English-speaking backgrounds (who were primarily from blue-collar families). Today, there is a definite heterogeneity which needs to be taken into account in terms of class, gender and ethnic specificities" (1994, p. 22). Although very limited research has been conducted on the persistence of ethnicity after the G2, some studies demonstrate that the G3 has a high degree of integration into the local society and economy (Alba, Logan, Lutz & Stults 2002; Perlmann 2007; Perlmann & Waldinger 1997; Salon 1999), pointing to a marked transformation of the ethnic identity of the G3. Considering that in Australia "about two-thirds of second generation males and almost half of females marry outside their ethnic circle" and that a "consistent proportion of children have only the father with Italian origin" (Favero & Tassello 1986, p. 56), it would be logical to forecast a rapid reduction, or evolution of the Italian culture competence among the G3.

Thus constructing the cultural competence of the G3 would involve a "multitude of conditions, settings and experiences, and subsequently produce a multitude of potential outcomes" (Baldassar & Skrbis 1998, p. 457), conditions such as the background of their ancestors, the demands of their host society and culture, the interaction between generations, and the importance of the family institution. If we accept this view, it reveals a complex interplay of factors in individuals who appear well integrated into the Australian culture, yet feel an awareness of, or some need to identify with their Italian background, and consciously, and proudly, admit to feeling Italian-Australian, or Australian-Italian, or somewhere in-between the two identities. In this section of the

chapter I will dwell on this sense of genealogical belonging and Italianness which represents a value in itself inasmuch as it contributes to creating the conditions of possibility for a successful continuation of the businesses.

Michael Vaccari juggles his blurred identity, swinging between his ethnic and national loyalties:

Quote Box 8.1: A blurred identity

"Probably the first thing that comes into mind is that I feel Italian, even though I know I am Australian, yet my mannerisms, everything I do is Australian. But when people ask me that question, for some reason I refer back to being Italian" (Michael Vaccari).

Donata Carrazza's sense of self-perception has become clearer since she has been able to adopt an identity label through which she feels comfortable:

Quote Box 8.2: A dual identity

"As much as I was drawn to Italy [*as a young person*] it was not who I was… it was a part of me but…. So I feel much more comfortable saying that I am Italian-Australian because I think I get the best of both ends" (Donata Carrazza).

It appears that the G3 continues to develop evolving forms of dual identity (Deaux & Ethier 1998) or double cultural competences (Vasta 1993, p. 220) or double vision (Hannerz 1992, p. 199), and the ability to act as bridges between cultures (Bottomley 1992, p. 133). Lorenz Grollo acknowledges that his integration into the Australian culture has been greater than his parents'. He feels relaxed with his dual identity, and in passing this on to his children.

Quote Box 8.3: Acknowledging integration and a dual identity

"The Italian community is a lot more integrated with the Australian community than other cultures and that, I think, is a positive thing. […]…I think that it's great to have an Italian connection because we are both Catholic and we both have a passion for Italy and Italian food and Italian culture, and our children are picking up on that" (Lorenz Grollo).

As Joseph Piedimonte states, the G2 may continue to feel their ethnic differences; by the G3, however, they are more absorbed within the Australian multicultural society:

Quote Box 8.4: Taking pride in having two cultures

"We're proud that we're Australian-Italians. We can speak two different languages and it makes a difference, I think. We're of Italian background, but Australian, born in Australia but we still feel as though we've got a bit of Italian heritage. We have a tie to Italy, with cousins in Italy, so we feel that there is a bit of a tie there" (Joseph Piedimonte).

In their youth, Adam Genovese and Joel Pizzini lived next door to their grandparents, and actively shared their Italian culture in every-day life. Their extended family gatherings provided the platform for the maintenance of the Italian customs that today are the symbols that shape the family members' Italian identity.

Quote Box 8.5: Self-identity linked to first generation (1)

"I grew up in Melbourne, in East St Kilda. We lived next door to my *nonno* and *nonna*[40], which is quite a common thing especially for Italian families but probably not that common in the Australian culture. My mother's not Italian so most of the time at home we didn't speak any Italian language. I heard it a lot, with my grandparents being as close as they were […] We ate Italian food, we did Italian things with my *nonno* and *nonna* because that was just the culture that we had" (Adam Genovese).

"I don't know if it was the Italian background, but it was all of the family get togethers that we would have with all our cousins, you know…We would all go up to *nonno* and *nonna*'s and we'd all get together and have gnocchi and lasagna, and we'd all play games in the massive vegetable garden, and make tomato puree… we still did a lot of those things in the early days…[…]. I've been fortunate enough to travel to Italy for work and to work in the wine industry over there and I have learnt to speak and to understand a bit of Italian" (Joel Pizzini).

By the G3, cultural competence may or may not include some degree of language maintenance[41] (Alba et al. 2002; Portes & Rumbaut 2001), but the engagement with the past acquires more than a symbolic meaning. After completing his tertiary studies, Simon Costa decided it was time to explore his Italian connection:

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[40] The Italian terms *nonno* and *nonna* are the Italian equivalent of grandfather and grandmother, and also imply affection.

[41] Portes and Rumbaut's (2001) valuable longitudinal study of school-age children of immigrant background in the US suggests that they tend to succumb easily to the pressure of converting to using the mainstream language.

Quote Box 8.6: Rediscovering the Italian connection

"I decided that I wanted to go and live in Italy for a period of time, so I did a twelve week course in the Italian language and then I went to live in Milan. I tried to avoid speaking English as much as I could and I came back being able to speak, the only person in my family who could speak Italian. I was the only one. It's funny, not one in the G2 can. I am the only one in the G3 that can speak the language" (Simon Costa).

Such connection has been strengthened in four cases out of seven in this study through marriage with partners of Italian background, which signals the wish to maintain their shared social and cultural identity. "The families have got similar values, have shared similar experiences" (Joseph Piedimonte).

The other three members of the G3 have married outside the Italian ethnic group, making it more difficult to maintain a close link with their Italian background. Regardless of the partner's background, however, there appears to be an underlying desire to retain some of their Italian social and cultural values and lifestyles, as Adam Genovese explains:

Quote Box 8.7: Passing on the Italian culture to the fourth generation

"Jennifer is not of Italian background, but she loves the Italian culture. We're probably exposing our children to it more than I was exposed to it actively… My wife says to me "You should sit down with your sons and your daughter and try and teach them a word a day"…. We are about to enrol my eldest son in Italian children classes, and before he is 7 or 8, we'd like to spend a block of time in Italy living there, perhaps six or twelve months" (Adam Genovese).

The members of the G3 accept and appreciate their Italian heritage, are proud of the history and achievements of their progenitors, but are also aware that they may be a difficult act to follow. In the following excerpt, Lorenz Grollo links his own identity to the Italian origins of the family business in Australia: he discloses his great admiration for the achievements of his grandfather Luigi, and his father Rino; at the same time he is conscious that being a 'Grollo' and continuing the achievements of the family members and the family business is a high expectation.

> "My grandfather came out here with nothing, he came off the boat and he lost his bag, and what he's achieved is amazing… His achievements, in terms of what he created, was legend, both in the Italian community and everywhere. […] I could never replace or equal what my grandfather did. And I guess the other thing too is that I don't think I can ever equal what my father has achieved. He and my uncle took the business to a whole new level from my grandfather and created half of Collins Street and buildings in Sydney" (Lorenz Grollo).

The sense of genealogical belonging and Italianness is still very strong and yet it is blended with cautious considerations about feelings and sentiments that might interfere with the business component of the family business.

Entering the family business

The transition between the G1 and G2 in this study generally occurred when the founder unexpectedly passed away, or became too ill to continue with their involvement. At the time of writing this thesis, the G2 participants continue to actively work in the position of General Manager, Chairman or CEO of the family business, or have gradually lessened their active role and participation, and are in the process of being in/phasing in a mentoring relationship with the G3 successor (Dyck, Mauws, Starke & Mischke 2002; Le Breton-Miller, Miller & Steir 2004). They view the succession process as a generational transition, and as the interviews reveal (chapter 7), they are more focussed on this issue than the G1. They show concern with strategic planning which will benefit the developmental process of the next generation, thus facilitating an effective generational change of leadership to a trusted successor eager to take over the leadership and management of the family business as it moves into its G3 (Mazzola, Marchisio & Astrachan 2008). Research efforts on the issue of succession have been significant through the work of prominent authors (Davis & Harveston 1998, 1999; Handler 1989a, 1994; Lansberg 1999; Le Breton-Miller et al. 2004; Lee 2006b; Sharma et al. 2003a), showing consensus on the importance of the process of training or grooming a successor over a lengthy period of time, which gives the next-generation time to move "from having 'no role' or an undefined role, to helper, manager, and finally leader and chief decision

maker" (Dyer & Handler 1994, p. 77). Most of the G3 members in this study underwent a period of grooming, receiving early access and informal exposure to the family business, working on a voluntary basis after school, week-ends and school holidays, picking up, often without realising it, a good working knowledge of how to run a business enterprise, while bonding with their parent(s) and grandparent(s).

Quote Box 8.9: Informal training in the family business

"My grandfather used to open the retail shop on Saturday mornings, and from the age of about 5 or 6 years old, I'd jump in the car with him and come to work with him. I'd do some cleaning or pack some coffee pack. […] It was never really work, I loved coming here and loved being involved, doing whatever I could. I used to get a five dollar note… yeah *(laughing)…* and the thing was that I took it seriously" (Adam Genovese).

The young potential successors felt that their contribution was relevant to the success of the enterprise, and felt part of the family business.

Quote Box 8.10: Contributing to the family business from an early age

"On weekends and Friday nights, we would come to the Supermarket and help our parents… We'd stock the shelves, we'd do all the little things. Coming to work in the business was just something we wanted to do, it was fun and enjoyable and you got to meet different people. So it was an enjoyable time. We weren't paid, it was all done out of our own good will" (Joseph Piedimonte).

This early preparation produced valuable experience, developed capabilities, and "integrated managerial human capital as a by-product of growing up" (Lentz & Laband 1990, p. 564). It has created a sense of close attachment to the product, the business, the family and non-family employees, forging an intimate relationship with what the business represents, and strengthening their sense of ownership and commitment (Horton 1986; Lambrecht & Donckles 2006).

The family name evokes a sense of emotion as it represents the sacrifices and achievements of the previous generations, and summons up a sense of pride.

Quote Box 8.11: Pride in the family business and family name

"It's a pride thing yeah, coffee's in our blood, you know, they go on and on about it but it probably *is* in our blood, and that's what drives the pride and the desire to grow it... I mean it's what we know how to do, so let's do it and do it well, and get it to as many people as we can... Yeah, accolades come, but the real accolade is in seeing it when you're driving down the road... and that's proof that it's doing what we set out to do" (Adam Genovese).

The intimate relationship with the family business is also based on the knowledge of the sector gained by working outside for varying lengths of time. Working inside and outside the family business before taking up a senior management position, doing a variety of jobs, is regarded an important process that builds and reinforces the next generation's industry knowledge and skills, decision making abilities, develops their sense of a new identity and self-confidence (Barach & Gantisky 1995). This also provides opportunities to build credibility and legitimization which serve to impress both internal employees and external stakeholders of the family business, all characteristics that support family businesses in surviving across generations (Chrisman, Chua & Sharma 1998). Ward (1978, p. 60) states that "gaining experience outside the business is one of the strongest recommendations that can be made for successors. In all our interviews, no one who worked outside their family business regretted doing so. Many who did not wished that they had". The members of the G3 that I have interviewed confirm these findings. For example, Lorenz Grollo is grateful that his parents supported his decision to have time out of the family business before entering it on a formal basis. During this time he was able to develop his own autonomy and purpose, build his own identity, and become reenergized.

Quote Box 8.12: Benefit of gaining experience outside the family business

"I have seen a lot of people who were dragged into their family business from day one who have lost the passion for their business and want to go on to do other things and I think at that time, between 17 to 24 was critical for me to actually take some time to find myself, as opposed to getting straight into the family business. That was a critical time" (Lorenz Grollo).

In Joel Pizzini's specialized area of wine making and wine development, it was crucial to enrich his experience by working for some time in other, more established wine producing firms:

Quote Box 8.13: Gaining experience

"In the first few years I was working with other people and gaining experience… When you have your small family business, there's no system for me to have learnt all of those skills, so you need to bring some skills in, you need to open doors that hadn't already been opened by generations before. For me personally it was great, and for the business" (Joel Pizzini).

At the time of writing this thesis, Michael Vaccari had been working in an international firm in Melbourne for eight years: he appreciates this long work experience outside of the family firm for the valuable skills that he has gained.

Quote Box 8.14: Proving one's independence

"I didn't enter the family business because I always wanted to prove my independence. A lot of people had the perception that I would probably automatically go into it. People would say "Oh Mick, he will own his dad's business", and "He's given everything that he's done"… And I think I almost rebelled against what people think. I suppose I wanted to prove myself, and dad was very much against working for him.. Dad was always encouraging me to go off, and go and do my own thing, so it's probably grown from that." (Michael Vaccari).

In the interview, Michael talked at length about extending and strengthening his skills, learning about the operations of firms, identifying new opportunities, but primarily about developing a sense of independence and responsibility.

Participating in the family business as a family member has its challenges: there are no expectations, but many obligations and compromises to be made. At Costa's, for example, some years ago, Frank Costa (G2) put in place a company policy that family members would not be employed directly after completing school. They are encouraged to work in the firm during school and university holidays, however, before entering a permanent position within the company, a family member must have appropriate and relevant qualifications and to have worked at least five years for another company, and during that

time, must have received promotions. This is done to ensure that family members are highly committed and gain the appropriate experience. Simon Costa completed a five year mandatory work experience overseas before his uncle Frank cajoled him into joining the family business.

Quote Box 8.15: Encouraged to join the family business

> "I was very happy in Milan, building a career in the fashion industry. And when Frank first approached me to join the business, I said 'No, I am happy in what I am doing'. Six months later he had another go and explained the importance of having the family, of having the next generation coming through, and he expressed admiration in some of the things he had seen in me, so that he wanted me to be part of the family business" (Simon Costa).

As Coleman (1990) points out, the family may be a source of positive and priceless support, but may also involve obligations and expectations that prove difficult and complex. When Simon finally, reluctantly agreed to join the family business, he underwent an unexpected, long and strict probation period under Frank's close supervision. This was not quite what Simon had envisaged, or what he felt had been offered to him by his uncle Frank.

Quote Box 8.16: Expectations and obligations in joining the family business

> "At the time Costa had a furniture business, and to get me back from Italy, Frank said 'Alright, furniture, fashion, they are similar, you've got the seasons and the changes, you can travel and do whatever…' He said, 'I want you to come back and run our furniture business'. I said 'Alright, you've got me'. So I came back, and the first morning I was back, he sat me there and said 'We had a think. For you to ever amount to anything in this company, you've got to put into our core business, that's fruit and veg'. I said 'Frank, I have no interest in fruit and veg. No, you've got to understand…' Anyway, to cut a long story short, he started me in the retail stores and so I was out at the back of a retail shop chopping pumpkin, sweeping floors… I remember it so clearly, it's just so vivid… I was covered in this mess, thinking 'A week ago I was in Milan at a big fashion shoot, with all those glamorous models and lifestyle… and here I am, filthy in pumpkin, it couldn't get any worse…. What have I done!' (Simon Costa).

This extract shows the impatience of the young, but also the wise planning of the old. Simon relives his sense of disappointment in realising that the road to the top was more difficult than he anticipated. But rather than turning away from this difficult situation, Simon persevered, he negotiated his responsibility and his relationship with the family,

demonstrating a strong emotional and spiritual commitment. Such complex emotional family issues point to the darker side of family relationships, which may involve unequal power relationships (Smart 2007) and broken expectations (Edwards & Gillies 2005). It seems, therefore, that the sense of humility that so greatly characterises the G2 still persists in the G3 and is having extraordinary effects. Over the years the G3 has faced and worked through numberless situations of tension in which they are required to conform and subscribe to particular expectations, thus demonstrating strong family solidarity, loyalty and cooperation. They have come to identify closely with the business, developed a strong sense of commitment, interdependency and responsibility to the family organisation, and feel confident in their ability to positively contribute to its growth and expansion. In exchange, they will receive the unconditional support that families can provide.

In the following extracts selected from the interviews, some of the G3 participants speak of their passion and enjoyment for feeling part of the family business, acknowledging that non-economic goals of family firms positively affect their behaviour (Astrachan & Jaskiewicz 2008; Lee & Rogoff 1996; Zellweger & Astrachan 2008).

Quote Box 8.17: Feeling part of the family business

"[When I was young] it was enjoyable. I enjoyed it, we enjoyed doing what we were doing… I suppose to a certain degree it may have just been a natural step… You became involved in it from an early age and tend to feel part of it and... it was enjoyable" (Joseph Piedimonte).
"…I am actually a lot more comfortable where I sit today, and the fact that I have a passion and that I want to be here…" (Lorenz Grollo).
"Deep down I probably knew that I wanted to be here… But I had to explore the other options…[…] I think I always knew that in the back of my mind, I just loved the industry and the business, and the idea of it all" (Adam Genovese).

These interviews provide some important insights into the dynamics behind the G3's decision to pursue careers in their family owned business and give a picture of their attitudes and motivations. They show that family business is not always a positive

experience: it often involves power relationships, tensions and sometimes broken expectations that need to be negotiated and compromised. In a family business there is little room for individualization, but there is, instead, strong emphasis on family solidarity and cooperation. In return for the devout commitment of the members, the family offers emotional and financial support and security, a feeling of togetherness, support, and strong intergenerational relations (Zontini 2010). Such is the enmeshed nature of family business (as Olson 1988 describes it), in which the two components, the family and the business, are intricately entwined, involving complex levels of obligations and responsibilities.

Even though the family businesses in this study are now larger, more established, some even highly structured organisations, it is evident that early exposure to the family business and integration into the family business in various roles, supported the G3 in developing a strong sense of ownership, pride in, and commitment for the family-owned business (Andersson, Carlsen & Getz 2002). The transfer of the business across generations is viewed as a lifelong continuing process which is supported by a common family business vision, and guided by unwavering principles and values.

In this part of the chapter I have highlighted how the concepts of self-perception, family tension, and the enmeshed nature of the family, business and the identities that constitute the G3, are important in understanding how and why they continue to participate in the family business. The following section will explore how the family and business values of the G3 act as a moderating factor, in supporting the family members to fulfil their responsibilities and obligations, and in providing them with a sense of belonging.

The values of the third generation

The business families in this study have been found to have strong kinship, endeavour to keep the business within the nuclear family, and wish to maintain harmonious family

relationships. As Aronoff proposes, "The family dimension means that professional management is married to family values, long term perspective, and ownership with a human face" (1998, p. 183). Researching the G1 and G2 I have identified strong family and business values that distinguish family business from other forms of business. Such values are considered fundamental for the continued prosperity of the family firm as well as harmony within the family. These values are long lasting, continue to be maintained across generations, and are perceived by stakeholders, both internal and external, as being an important feature of the culture of the family businesses in my study.

Simon Costa reflects on how the family values permeate the family business.

Quote Box 8.18: Family values overlap with business values (1)

> "Values in our family were always big.... Now I spend a lot of time every month developing character and culture in our company, and long ago we had a program called Character First in the business. [...] It was, all about very strong faith. We had very strong faith in the family, so there was an expectation on how you would behave and the family values" (Simon Costa).

As for the previous generations (G1 and G2), *personal, family* and *business* values have also shaped the identity and the relationships of the G3 successors, impacting on the dynamics of the individual, the family and the business. Table 8.2 below captures the values of the G3. The following section will examine these key values and the attitudes of the G3 which have contributed to the longevity and economic growth of the family business firm, supporting the continuation of a sustainable family business.

Table 8.2: Values of the third generation and their family business

Personal values	Family values	Business values
Trust	Family unity	Work ethic
Responsibility	Succession	Loyalty
Honesty	Membership	Professionalisation
Respect	Humility	Risk-taking
Loyalty		

Personal values

Personal values are generally acknowledged as forming early in life, influenced by the family. They determine the conduct, motivation and commitment of a person, and are deep-seated and unconscious (Rokeach 1972).

As ascertained in this thesis, the personal values that have been identified in the founder of the family business have been transmitted to successive generations, and underpin the organisational culture of the multigenerational family business.

The following section describes the key personal values identified among the G3 participants.

Trust

A trusting relationship between members who work together contributes to a good relationship and leads to a favourable working atmosphere. It is an implied understanding that family members will act honourably, for the good and success of the family, and the family firm.

Quote Box 8.19: Mutual trust, the soul of family and business

Trust, as you know, is very important. You need the help of others and you need to trust them as well. This is the soul of family business." (Joseph Piedimonte)

Trust is understood as the soul of business. Family businesses, however tend to display higher levels of trust, as they are tightly bonded by a strong sense of unity within the family, as well as in the business, and this is what differentiates them from non-family businesses.

Trust underpins the transition process (Stavrou, Kleanthous & Anastasiou 2005): successors are given trust, as well as the opportunities to manage and lead the business. For Simon Costa, a positive and trusting relationship with his uncle and mentor Frank (G2) is his motivational and driving force: "The number one driver for me is Frank's approval or not letting him down, you know. …… […] For me, far more important than financial returns or business growth or whatever, it is the acknowledgement from Frank to say "Well done!" (Simon Costa).

Honesty, respect, responsibility and loyalty

Together with trust, mutual respect, loyalty, honesty, and responsibility are regarded by the G3 as the fundamental values expected from each member of the family. Interviewees speak of these values in a way that makes it difficult to keep them separate. As I have done for the other two generations, I have grouped these values together because they are interwoven to such an extent in their discourse that it is difficult to keep them separate in the narrative of the G3.

The interviews highlight the relationship of the individuals with their parents (and uncle, in the case of Simon Costa), based on mutual respect and understanding, as having supported the G3 to make their decision to participate in the family business (Handler 1992). Respect for the work and achievements of the previous two generations contributes to building and maintaining positive relationships within a multigenerational family business. Joel Pizzini expresses his great admiration for his grandparents and their legacy:

Quote Box 8.20: Respect for the founders of the family business

> "My grandparents have been keeping the family together, they've kept the family together for a long time… And then, one day when they will pass on, mum and dad will have that role, in being the strength of the family… We all have the utmost respect for our grandparents … yeah, and even our cousins, they all feel exactly the same way" (Joel Pizzini).

The notion of respect is a driving force which already extends to the fourth generation. In the interviews, the G3 discuss their obligation to teach and inculcate good values to their young children. This may be seen as a form of control, in good faith, of the next generation.

Quote Box 8.21: Importance of respect

> "That's the sort of thing I'm dealing with everyday with my children at the moment, just general respect for people, and for your own space, your own belongings, not to be nasty, to be a nice person,… mmm… good manners, absolutely good manners. But also in terms of family, to understand where we have come from, what our ancestors, specifically my grandparents, my parents - they are my children's, grandparents-, what we have all gone through to get where we are. That's an important thing to understand and remember" (Adam Genovese).

As Simon Costa discusses the importance of honesty in his family, he also addresses the importance of honesty in the business – both are enmeshed in his perception.

Quote Box 8.22: Importance of honesty

> "Honesty is something that we are very strong on, and attentiveness is something very strong in terms of when they [his children] are meeting people, the way in which they interact with people. I talk to them about attentiveness. I talk to them about determination and not giving up on things. I talk to them about flexibility, another good one, to understand that it's not always going to go the way you want it to go, it's just ability to adapt and adjust" (Simon Costa).

Lorenz Grollo recalls learning the importance of honesty, integrity and responsibility from his own parents. His father also taught him how these family values extend to the family business – once again, the family values are perceived as enmeshed with the business values.

Quote Box 8.23: Continuity of values in the family and the business

"My father has always been very generous and very honest, and that has certainly flowed through in terms of our culture and who I am and who I want my employees to be in the market place, and that is to uphold a degree of integrity. If you can't do it, tell people you can't do it, but always give it your best shot. And always be open and honest, and if you've done wrong, tell someone you've done wrong. Let them know, don't try to hide it. And I certainly tried to make sure to the people that I've hired in this organisation that they should have their own integrity, straight and honest, and be respectful and tolerant of other people" (Lorenz Grollo).

For Donata Carrazza, loyalty among family members needs to be unconditional. Loyalty helps to overcome different individual opinions, to keep focussed on the common goal of the family and the family business, and keep the family united:

Quote Box 8.24: Importance of loyalty

"Oh, loyalty is everything… It's everything and it's tough, because if it's your family involved, and you don't quite see eye to eye with one member of the family […]…The loyalty factor is important in that, at a high level, as a family we are all of the same heart, we are all doing the same thing, and we stay focused on that" (Donata Carrazza).

As all interviewees observe, these values, fundamental to the development of a strong family culture, are also central to the formation of the business culture.

Strong personal values such as trust, loyalty, honesty, respect and responsibility strengthen family relationships, maintain harmony among family members thus reducing problems associated to possible conflict. In the above excerpts it is clear also that these values promote a positive individual commitment not only to the family but also to the business, both spheres being closely enmeshed in the minds of the family members.

Family values

The family is the microcosm in which the personal and the family group's dynamics and bonds develop and change over the years. Family members tend to share strong familism values (Triandis 1995), interpreted by Yang as "a set of values, and their associated attitudes, beliefs, and behavioural norms that are family dominated in the sense that people holding these values adopt family as the basic social unit" (1988, p. 97). Hence

positive family dynamics are considered vital to the survival of the family business. The interviews conducted in this study across three generations of family business reveal that participants not only enjoy a strong relationship with their parents, but also with their siblings, who are also accommodated, if they so desire, within the management of the family business (Handler 1990), thus reflecting their belief that family members will feel obliged to protect family interests and provide unconditional support to the family members and business (Freeberg & Stein 1996). The following section outlines those shared values that are considered by the G3 as the most important in sustaining both the family and the business, and "are at the core of long-term ownership unity" (Ward 2008a, p. 3).

Family unity

During the interviews, the G3 once again reemphasised the importance of family unity and cooperation which was so highly regarded by the G1 and G2. They stressed the importance of a high degree of commitment to, and positive and harmonious relationships among family members. Family togetherness and strong intergenerational relations with parents and extended family members provides emotional bonding, and is regarded as an essential value to be maintained.

Quote Box 8.25: Togetherness creates unity

"We all love being together as much as we can. Because my sisters have children, bringing all of our families together sometimes is not that easy for everyone to coordinate the get togethers. That's definitely a focus, to try and keep the relations going and to keep that close knit togetherness […] Values, they're definitely related to family and friendships, friendships between the family members. […] Family, food and friends. That probably sums it up" (Joel Pizzini).

As the family has grown and multiplies over the generations, it is enmeshed in a complex web of relationships which extends to distant relations. Spending time together inside and outside the business, particularly through formal and informal family rituals, creates closeness, promotes commitment, trust and reciprocity, and reduces levels of conflict.

Since he was a child, Joseph Piedimonte has always lived together with his extended family, and continues now to experience a high level of enmeshed family cohesion. Joseph Piedimonte explains that for him, family unity is stronger than any need of independence.

Quote Box 8.26: Complex enmeshing of family relationships

"Originally we all lived in one house, so my mother's uncle and grandparents all lived together, and as the family grew, the family purchased three separate homes in the same street, next to one another, demolished them and built three new homes next to each other. I thought that was great. I enjoyed it immensely. It's an opportunity to grow up with your cousins. You'd normally not have that bond or that closeness, but we're all close to one another […] I think that the family must always stay together... There was a saying that my grandmother had that 'unity is strength' and that was one thing that we've always respected... You know, the family must stick together through the good and through the bad. In the end the family will always need to always stay together to be successful. The family is always important, because you always go back to your family in the end, so the family must always stick together" (Joseph Piedimonte).

As Donata Carrazza points out, family members provide unconditional physical and emotional support to each family individual and influence the attitudes and behaviours of family members working in the family business (Lee 2006b).

Quote Box 8.27: Family unity provides support across generations

"I would say we are a close-knit family.... [...] There is a real sense that my dad looks after us, all the time and he is very much the protector or the provider of the whole family… and he sees himself in that role. He takes that responsibility. While we are all separate, dad's in our business every day helping us with things. He is so wonderful and generous in that way. Dad's one of those people that nothing for him is a hassle, absolutely nothing.[...] We love to have our weekly gatherings, our family meals" (Donata Carrazza).

Joel Pizzini also has a particularly close and supportive rapport with his father: "Dad's my father, but he's also a very very close friend so there's that sort of relationship. Keeping those relationships between us is important" (Joel Pizzini).

Simon Costa's parents both died tragically when he was a young boy; he now has a close emotional and bonding relationship with his uncle Frank (G2). Although this rapport is supportive and reassuring, it also demands his full commitment to the family business:

Quote Box 8.28: Family unity requires obligations

"I always had a great relationship with Frank. In many ways he has been my father, the father figure, growing up… So, coming into the business, knowing that he was confident, he felt that it was important that I was in the business, that meant a lot to me. I was not going to let Frank down" (Simon Costa).

As the excerpts show, multigenerational family business is an intricate, enmeshed and interconnected system with numerous complex levels of relationships, responsibility and loyalty across generations:

Quote Box 8.29: The business looks after the family needs

"Part of what I am doing now is for my wife and me, and for my family, for the future. [...] I want to build the business up and up, so that both my wife and I have something that I, along with family, have helped to create, but it's also creating something for my children, in giving them an opportunity to do whatever it is they want to do, similarly to what my parents have given to me. Equally my parents can retire comfortably and know that there is someone else other than my father who is there day to day and living and breathing their family business and making sure that they are comfortable, that they can go away in peace knowing that things are in hand" (Lorenz Grollo).

Due to familial distance (the relationship distance between family members) and the variety and number of relationships across generations, the leader of a mutigenerational family business may have a difficult task in working with the differing expectations and needs of each family individual (Bowen 1978). Joel Pizzini dwells on some of the issues that arise as the family grows and expands:

Quote Box 8.30: The complexities of the multigenerational family

"We're still very much an old family business because they've been doing it for 30 years, but in terms of the next generation, it is divided by four… It was easy when the next generation was divided by two, but now it's divided by four and your business is a lot more multi-faceted, there's a lot more heads coming together with different ideas. And so we're just starting to enter into that sort of phase of the business. […] You know, we've all got quite big personalities and when we're together… But Natalie's living away, and Carlo's living away, so we're not always at each other all the time, because you know, brothers and sisters can do that …" (Joel Pizzini).

Research shows that closely knit families tend to share consensus and understanding, and that by being involved or collaborating to some extent in the business, they will work

together for the well-being of the family and the business (Bandura 1986; St John & Rue 1991), thus avoiding the danger of family conflict (Davis & Harveston 2001; Ward & Aronoff 1994). Donata Carrazza believes that a common goal and vision can bind the family together:

Quote Box 8.31: A common goal and vision

"I've seen other family businesses, and I think the thing about family businesses when they work is that you've got this terrible strength, you've got this fortitude that you can't find in other businesses, because even if there are fallouts or there are problems, you can seek out those strengths and make it work and you sort of come together and there is more heart there too, because it's your… it's your baby, it's part of the family… I think that they can be flawed too, especially in our case when, earlier on there were more of us involved, and we looked upon things differently. So that can be problematic…. So you may have a different vision, it's hard to bring that together. But if in the family business everyone has a role, they stick to the role, they know what they are good at, they know how to deal with it, then I think it's a great template for a successful business. I really do" (Donata Carrazza).

In the interviews, the G3 participants reveal a perceptive understanding of the complexities related to the vital role of family unity within a multigenerational context. They display a strong awareness that closeness and cooperation contribute to positive interpersonal relationships within the family unit, and that these, together with a high degree of mutual trust, loyalty, respect and honesty, are powerful influences in sustaining a successful family business, thus protecting it from the dangers of conflict and possible failure.

Succession

At the time of writing, the G3 participants were of various ages, and at various stages of succession. As mentioned earlier, Michael Vaccari is working in another organisation as part of his professional development, prior to entering the family business. This experience, he feels, has given him an important different perspective:

Quote Box 8.32: Work experience in a different organisation before entering family business

"If I had gone into dad's business straight away, it would have been different. When it's your own business you don't have that reality I suppose of having to work for someone else, you know. I think it's important when you have to work for someone else that you work hard because if you make a mistake you probably would get sacked. If you are working for your family it would not be a big thing... And there's also other people's perception as well, like my friends, who would say 'Mick's working for someone else, not for his dad'. You feel you have done something independent, like you've been successful on your own" (Michael Vaccari).

Some potential successors such as Joel Pizzini, Adam Genovese, and Joseph Piedimonte are being trained alongside the incumbent in a sort of mentoring relationship (Le Breton-Miller et al. 2004), as Joseph Piedimonte explains:

Quote Box 8.33: Mentoring relationships

"Family succession has been talked about for the last … seven years. So it's something that we all have behind the back of our minds. I think it is beginning to occur now. I think they're both [Sam and Mel Piedimonte - G2] looking at what the plan may be in the future and giving us more responsibility and they're wanting to take a step back... I think, I think that it will happen in the next in the next couple of years, that will start to happen. I feel that, that's natural, it's something that needs to happen and... umm... it's healthy for the business for that to happen" (Joseph Piedimonte).

In other instances, the G2 has transferred part of the family business to the G3 but still keeps a very active presence in the business. Donata Carrazza owns and manages Stefano's Cafe Bakery, but her father Don supports her, teaches her, often negotiating and interacting on her behalf. Lorenz Grollo and Simon Costa are already leading their family business as CEO or Managing Director, their predecessors (G2) still remaining in contact with the firm.

Quote Box 8.34: The ongoing process of succession: Taking over from the G2

"I used to meet with my father every morning at 6.30 – 6.45 at our Thornbury office until about five or six months ago. Then he stopped coming in, and I guess that was the critical turning point for me, understanding that I am almost on my own here... Every morning when he used to come in, we talked through a list of things, and I'd say "Dad this is what I am doing today, I am meeting with the banks, I am meeting with this group," whatever it might be. We'd have an informal chat over coffee first thing in the morning, talk through the papers, talk about day-to-day issues. When he stopped coming in, that, I think, was a critical point in terms of him starting to take his hands off the wheel and me getting more involved" (Lorenz Grollo).

"I have worked very hard to make sure that Frank (Costa) doesn't go away, that he stays in the business. I value his counselling enormously. We communicate a lot with him. At different times he's had to be more present or less and that's one of the fantastic things that I have, that he makes himself so available. If I need him for an important meeting he is there and he knows that he doesn't intrude. [...] Frank is the Chairman, he is still an active Chairman. He is part of the monthly Board meetings, he will ring regularly, he'll call in here and I will meet him at least once a week… He wants to be in the business" (Simon Costa).

The Costa Group is a very large and successful international family business, and Frank Costa (G2) was keen to select the best person to lead the business in order to ensure its continued success in the future. Although Simon Costa (G3) was strongly encouraged to enter the family business, Frank made it very clear that there would be no preferential treatment because he was family.

Quote Box 8.35: Nepotism discouraged

"When Frank first approached me to join the business I said "No, I am happy in what I am doing"… Six months later he had another go and explained the importance of the family, of having the next generation coming through, and he expressed admiration in some of the things he had seen in me, so that he wanted me to be part of it. So I agreed, but I had a very, very rude awakening right from the start when he just said "I need you to understand… As you are going through, if there is a job available, and if there is a family member or a non family member going for it, and you are about equal in ability, every time I will give it to the non family member, I will not give it to a family member". Family members had a very strong disadvantage, unless they were clearly the better option. He said "The only way we will keep good people and attract good people is if they know that there is no nepotism. Doesn't matter what they do, little Charlie or Little Mary is, you know, not taking a senior position in the company" (Simon Costa).

Simon accepted the conditions imposed by his uncle, and went through a long, rigorous and formal selection process for the appointment of the new CEO.

Quote Box 8.36: Formal selection process

> "Frank had an opinion about who he thought the CEO successor should be. But he was very careful not to just jump to any appointment. So he ran an internal and an external search. He had an external company running it. There were three internal applicants and some external applicants. It was an eight month process and there was a lot of interviews. They did the full range of analytical testing, the whole thing. To cut a long story short, I was selected and then we had a ceremony, a process that we called 'the passing of the baton'.... But then the transition happened more quickly than he thought it was going to happen" (Simon Costa).

In most other family businesses in this study, the transition has been more gradual and more informal. From a young age, Adam Genovese helped out in the business part-time, while still studying. As the business grew, he gradually became more involved, filling various roles along the way, experiencing every aspect of the business.

Quote Box 8.37: Informal succession planning: gradual increasing involvement

> "I got involved in the roasting and the blending of the coffee, and all the while the business was growing, so I went out and started doing sales deliveries on the road five days a week. That made it possible for my dad to come in and handle more of the management side of it, whilst my grandfather was alive. When my grandfather died, my dad just had taken over the management full time. We then started to employ more people, and once it hit a certain mark, my dad couldn't do it all on his own, so I'm now in the office four days a week. [...] I have basically taken on the role of business development. So whilst doing all of those other things that I have just mentioned, my biggest role now is finding new ways to grow the business" (Adam Genovese).

As family businesses grow sometimes more quickly than expected, they need to come to terms with the fact that a more formalised ongoing organisational strategic plan needs to be implemented. At the time of writing, the Genovese family is in the process of discussing the introduction of a more formal strategic planning process. In the Pizzini family business a succession plan has not been openly discussed, but there too, is an underlying awareness of the need for this to happen.

Quote Box 8.38: Formal succession planning in multigenerational family business

"The succession planning was happening without it really being thought about … And now, well, we need to think about it, talk about it... Dad's thinking that he might retire soon, but at the moment there's no formal plan. It can get messy if you start to say 'Well, who's going to do this? who's going to do that?'.. Then people get their noses out of joint, you know... [...] You know, the business can run with at least one of us here, so it's just a matter of surrounding ourselves with good people" (Adam Genovese).

Ahh… A succession plan, I think that's something that we need to work on soon. Perhaps some sort of basic outline… It's for the next generation coming in... And if a member of the family wants to perhaps go down a different path, then we need to have something already nutted out.... So, that's, yeah, work in progress" (Joel Pizzini).

As is evident from the interviews, the G3 are more focussed on the succession process as a generational transition. They are also aware that the growing family business, which by its G3 has a multitude of family members involved, each with their own young family, requires some level of strategic planning which will benefit the management of the business and ensure its continued success.

Membership

The G3 engages closely with the family business. They take pride in associating with the family name and the reputation of the firm, feel an obligation to continue in, and to develop the business, have a sense of duty and obligation to their family and the business. Underlying their attitudes and motivations is a sense of belonging, of accepting and/or wanting to be part of a family, and of a business that belongs to them, to which they can make a long lasting and worthwhile contribution, and which, in return, will provide emotional support and economic security. Being a member of the family and the family business also implies being together, working together for a common cause, which may include meeting obligations and making compromises.

Quote Box 8.39: Working together for a common cause

"I think the key to the success of our business is that the family has always stuck together, worked together and everyone's played a role in it. […] The image [*of our business*] is more of a family, a family business, and that we value the people's commitment to staying with us for a long period of time" (Joseph Piedimonte).

Simon Costa feels that through the family business he has not only made a commitment to his own close family, but also to numerous members in his extended family. As Managing Director of a very large family business (over 8,000 employees), he also feels a commitment to his employees, who, in his opinion, form part of his extended family, as they provide support and loyalty to the family business on a daily basis.

Quote Box 8.40: Employees, the extended family

> "We've got the family side. There are a lot of family members that are in, but we've also got a lot of non Costa family members that are enormously dependent upon the success of the business. So it's not lost on me, the weight that the decisions we've been making and the impact it's got on possibly thousands and thousands of families. That's a big motivator for me" (Simon Costa).

As Simon Costa sums up, family values are fundamental to the success of the business as both areas are intricately enmeshed:

Quote Box 8.41: Family values enmeshed with business values

> "We push all the family values into the business…[…] It's all about what we stand for as a family and a business" (Simon Costa).

Humility

Of all values we have encountered in this study, humility remains a bit unclear in the G3. In my view there are reasons as to why it does not emerge as strongly as the other values: first, the G3 is more confident and self-aware; their educational level is very high which is demonstrated in the eloquence of their answers which are very long and very structured; second, their ability to blend two identities and master their ancestry in such a way as to add value to their personal standing, which gives the G3 an advantage over the previous two generations; third, the family businesses are now robust and healthy businesses which further strengthens their role in them.

The G3 no doubt has contributed to their family firms from an early age and their knowledge is therefore an invaluable element in the conversations and transactions with their parents. So there appears not to be too much space for humility in the G3 as

everything appears to be well disposed towards its members. And yet it would be wrong to assume that they have not experienced their own humble beginnings. Perhaps the most tangible example is Simon Costa who accepted the role that his uncle had designed for him which took him away from the fashion world of Milan and put him at the back of a fruit and vegetable shop in Geelong chopping pumpkin. "Ah, it's a classic! You must start at the bottom…. There is really no job across the business that I haven't done in some way" (Simon Costa).

In various degrees all G3 members have experienced this sense of big expectations and minor role at the same time. This has restrained them, keeping them in check until the G2 is ready to forfeit part of their control.

The next section of this chapter will investigate the business values that the G3 associates with the success of their family business.

Business values

Since family and business spheres are inseparable, indeed largely overlap (Kellermanns & Eddleston 2004; Smyrnios, Romano, Tanewski, Karofski, Millen & Yilmaz 2003), strong family values penetrate into the business sphere, and vice versa, and are passed on to the following generation(s). Hence, the family and business values of the G1 and G2 reappear in the G3. This section will outline the business values that have been passed on from the G1 to the G2, hence to the G3, and have supported the long term success of the family businesses in my study.

Work ethic

Similarly to the previous generations, the G3 in the family firms contributes to the family business through hard work, often for very long hours, including week-ends: "My attitude to life (*laughing)…* At the moment it's all work. So it's not balanced enough to have variety. I mean it's … it's all tight in" (Simon Costa).

Donata Carrazza works intensely, with a high level of energy and commitment. As she points out, the commitment for, and passion towards the success of the family business is what constitutes work ethic, rather than the long hours that one contributes.

Quote Box 8.42: Commitment and passion

"My work ethic? … I believe you don't get anything out with no effort, you've got to put in a huge effort to make things work, so I get a lot of satisfaction working hard... My day tends to be fairly short, it might be from 9 till 4, it's not too bad... But it may be seven days a week, so I'll work on weekends as well, I'll work nights, I'll work front house, I'll work at functions. I think I've got a good work ethic… I'll just go gang busters, I put my all my energy into it. I am not a relaxed person, I can't just sit." (Donata Carrazza).

Lorenz Grollo identifies closely with the work ethic set by his grandparents, the founders of the business. He feels that it is now his responsibility to pass on this value to the next generation.

Quote Box 8.43: Passing on the work ethic of the founders

"One of the biggest things is work ethic, which I associate with the Italian migrants that came out here. And that is quite clear that you have to go to work everyday. You have to instil in your children a degree of work ethic, so that they see that I have to go work every single day, so that they understand that work is a function that is acceptable in the family, that either the father, and it's predominantly the father, and sometimes the mother, need to go to work, so that they get brought up understanding that work is a part of everyday life. So in terms of the Italian migrants that came out here, the work ethic is key" (Lorenz Grollo).

Although they work very hard, for long hours, and demonstrate a strong commitment to the family firm, the G3 differ from the G1 and G2 as they display a clear awareness of the need to find a better work-life balance, a point clearly made by both Joseph Piedimonte and Lorenz Grollo in the following excerpts:

Quote Box 8.44: The need for a better work-life balance

"Ah work ethic… I think it's strong, but not to the extent where you become a workaholic. There's got to be a balance. I work 5 days a week and then on Saturdays,… But on Sundays just for an hour or two… That's my work schedule" (Joseph Piedimonte).

> "I think it's very important in terms of (the children) being brought up with a belief in something,. […] to always tell the truth, which is what my father always instilled in me, to work hard, and to make sure that you have a healthy balance in life. Hopefully I am trying to teach that to my kids as well…" (Lorenz Grollo).

A good strong work ethic contributes to the positive self-perception of the G3, and it continues to be a strong value associated to this generation. Work ethics is strongly related to a sense of commitment as explained in the next section.

Loyalty

Loyalty is a good indicator of commitment to the family business. By making their commitment, the G3 have a sense of duty and obligation to their family and employees, and also expect loyalty in return: "I think loyalty is very important. You need to have everyone that's going to give 100 per cent with their loyalty for the business to be successful" (Joseph Piedimonte).

Lorenz Grollo has expectations that his employees will be loyal to the firm, and to the management of the firm. However he is aware that the expectations cannot be excessive. This demonstrates a great sense of wisdom and perception of human nature.

Quote Box 8.45: Expectations of loyalty

> "Oh look, loyalty is absolutely the key. Well, I guess my philosophy is, with people, don't expect a 100 per cent out of them 100 per cent of the time because they are people and they'll probably fail you, and you'll probably be disheartened by what you get in return. My philosophy is if you expect 80 per cent out of people 70 per cent of the time, you'll probably be a lot better for it because they can probably deliver within that, and if you don't expect too much from them and you expect 70 per cent or 80 per cent, when it's time for them to actually put in a 120 per cent they'll be there for you. People are not machines, they go up and down, because of their own personality, their own values, their own family life and so forth, and you have to accept that. I think that's critical in building up loyalty" (Lorenz Grollo).

A high degree of loyalty from family members generates a sense of security, and mitigates the high level of tension that may at times become prevalent in family business. Loyalty from employees points to a commitment to the family business, and ensures that

the business continues to be efficient and successful.

Professionalisation

The G3 in this study has been encouraged to be highly educated, to gain high professional qualifications, and in most cases, to enhance their abilities and achieve career success outside the family business before embarking on a career within the family business (Danco 1980). In this study, it is evident that education has been/is highly valued by all generations as they have encouraged their children, and their children's children, to gain a good education and obtain higher qualifications, as the following excerpts show:

Quote Box 8.46: Education highly valued

> I think deep down inside, my father had always wanted me to go into the business but never forced it on me. My mother was adamant that all of the four children would gain a university degree. So I did an Arts degree at La Trobe University. I ski raced competitively for three or four years and then by choice I came into the family business. During that period, which was from the age of 18 to 23, 24, I had always come into the office occasionally, walking with my father on construction sites and dabbled a little bit in the business but not on a day to day basis, just occasionally. Towards the end of my degree I started to get more and more involved with the business and then I came full time from the age of 23 or 24" (Lorenz Grollo).
>
> "Stefano [*husband*] and I really value education and my parents too. Had they not valued education, they really would not have bothered to send me to boarding school all the way to Melbourne.[42] They saw that it was an important thing, and a lot of girls never really got that opportunity, or they had to fight for it. I never had to fight for it, it was just offered to me and I was very lucky. That's something that we value really strongly" (Donata Carrazza).

All G3 participants in this study have completed tertiary studies, and in some cases a post-graduate qualification. Simon Costa, for example, completed an MBA (Master of Business Administration) and is able to apply the knowledge that he gained to the business that he now leads; while Adam Genovese specialised in Psychology with post-graduate qualification in International Trade, all knowledge that he finds relevant to his work in the family firm.

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[42] Donata Carrazza lives in Mildura, in north-west Victoria, and was educated at a private girls' school in Melbourne.

Earlier in this chapter I have described the informal early preparation and development that has provided valuable experience for the G3, increasing their knowledge of the family business affairs and encouraging their commitment to the family business. Some of the participants have also gained valuable work experience outside the firm in order to further explore their potential. Upon joining the business, some of the G3 were closely mentored by the G2, who may still continue to be involved fully or on the margins, in teaching the ropes, thus gaining beneficial experience before leading the family business. These informal processes ensured that the G3 were exposed to professional knowledge and to the culture of the family business, and that they were effectively supported as they gradually assumed a managerial and leadership role within the family firm.

Risk-taking

Maintaining a sustainable family business implies recognising that change may be required in order to evolve the business. Change may be planned, or unexpected, highlighting the need to anticipate and respond to it (Ward 1997; Zahra 2005). Family members of successful family firms learn from what their parents have done, and they appear to adjust to innovative development (Craig & Moores 2006; Filion, 1988, 1996), as the following excerpts attest:

Quote Box 8.47: Taking the family business into new directions

"That's what we've carved our niche in, as being Italian varietal specialists, making the best in Australia, and now we have gained that reputation" (Joel Pizzini).

"Equiset, in terms of our business is just ten years old.[43] But a lot of the culture and a lot of its framework came from my father and the Grollo Group and Grocon, and what I am doing is tweaking it as we go, fine tuning it into a different direction." (Lorenz Grollo).

Being innovative over time involves a process of being continually learning, taking risks in changing, and adjusting to change. The G3 in this study demonstrate the ability to

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[43] Equiset is the name of the family business owned and managed by Lorenz Grollo.

innovate which is a way of setting their mark and which may be due to parental or role models (Dyer 1992; Dyer & Handler 1994; Ronstad 1984), a need for achievement (Hornay & Abound 1971; McClelland 1961), a propensity to take risks (McClelland 1961; Naldi, Nordqvist, Sjoberg & Wiklund 2007; Sexton & Bowman 1983). Adam Genovese and Michael Vaccari comment on the effect of their innovative actions, and acknowledge how the valuable support and example provided by their grandparents and parents have encouraged their entrepreneurial attitude and behaviour. Still this generation does not seem to be about to move beyond the boundaries of the given family business. It is well embedded in the conditions created by the first generation and strengthened by the second generation. Continuity is not threatened by new conflicts or succession issues and for that reason it seems appropriate to state that the third generation has accepted its role as modernizers and expansion drivers.

Quote Box 8.48: Comparing entrepreneurial attitudes with the G2

> "The whole business development outside of Victoria, the markets etc., I pushed dad, I pushed him, I pushed him and then we made some decisions, and we're looking at the fruits of it. So, yes, we're all entrepreneurs,… but he *[my grandfather]* was the biggest risk taker…" (Adam Genovese).
>
> "I am probably a little bit more aggressive than Dad is. … I'd probably see more opportunities than he could, I'd take more risks than what he would… I probably would have a few similarities with my grandfather: he was very diverse in what he did and he chopped and changed. I probably would chop and change like he did […] I've probably diverse interests, outside the square..." (Michael Vaccari).

The family may be supportive of the entrepreneurial inclinations of the G3. On the other hand they may prove to be an obstacle, particularly from the G2 incumbents, who may be more conservative in their approach. Balancing the different attitudes and working to diffuse the tensions is a necessary skill, as Lorenz Grollo explains:

Quote Box 8.49: Compromising business approaches with the G2

"Look, at the end of the day, 80 per cent of the time I let him (*my father*) win. It's his business, it's his call, at the end of the day it's his money, unless I feel quite passionate about it, and then I'll lose certain battles in order to try and win the war. And that is how do we actually sustain and grow the current family wealth of the family business… We've both got different opinions, and I guess I'm 34 and very passionate about business and leading it day to day… and am happy to take on an element of risk, whereas my father turning sixty, he is a lot more risk adverse. So I have to respect the fact that he created what we have and I can't lose it. Certainly being the G3 I am very conscious about that" (Lorenz Grollo).

Lorenz's excerpt emphasises that multigenerational family business includes difficult moments of tension between generations, which may be issues of control of the previous generation, which need to be resolved in order to avoid potential conflict. The obligations of family business may sometimes need to take precedence so that the business may move forward. Lorenz accepts that at times he needs to negotiate by working around these issues of potential conflict, and concentrate his energy instead on the innovative contribution that he needs to make to ensure the ongoing success of the family business. The commitment of the G3 to the family and to the success of the family enterprise can be a positive element in driving their entrepreneurial and risk taking attitude. We also find that the entrepreneurial achievements of the previous generations have encouraged the G3 to follow their example.

In the interviews conducted with the G3, three main facets have re-emerged as central aspects of multigenerational family businesses that have also been identified for the previous generations. They are: the self-perception of the individual, the tension between and within generations, and the complex enmeshed nature of family business. These intricate factors are mitigated by the strong family and business values, which support the continuing high level of commitment of the G3 to the family business. These values are important resources that help to support, but also constantly build and redefine, the concept of familiness that perpetuates into the G3. Familiness in multigenerational family business also implies strong intergenerational cooperation and reciprocity, the acceptance of obligations and responsibilities, in exchange for the emotional and financial support

that the family offers. This support may however also be associated with power relationships and situations which may cause tension and pressure across and within generations – this is the negative side of the multigenerational family business. All these factors are central to the complex, but fluid concept of family, are enmeshed into the institution of the family business, and are intensified when dealing with the multifaceted multigenerational family business.

The interviews also reveal the self-perception of the G3: their mainstream identity, accompanied by a dual, sometimes blurred Italian-Australian cultural perspective. Their self-perception includes also a high level of education and professional skills (reflecting upward mobility in mainstream society), and their passionate, but negotiated, commitment to the family business, and entrepreneurial spirit. The interviews are evidence of the obligations and compromises that the G3 needs to make and accept in order to be part of the family business.

The several dimensions I have presented in this chapter constitute a snapshot of the G3 who form part of multigenerational family business. They are the generation who are still in the making. Time will tell what their contribution and success will be to the family business they have inherited/will inherit.

Looking forward

The G3 in this study has typically moved to the margins of their migrant and ethnic boundary,[44] it has integrated to varying degrees into the mainstream society through upward social mobility and intermarriage, with the consequential diminishment of language and cultural maintenance. However through these interviews they reveal a warm connection to their Italian heritage and pride in their ethnicity, which are sustained through close intergenerational relationships and frequent visits to Italy for work and personal reasons which reconfirm their commitment to their roots (Baldassar 2001).

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[44] For a full discussion on the theory of *bright* and *blurred* ethnic boundaries, refer to Alba 2005.

Cultural attributes are important (Light 1984), and it is vital to recognise the role of ethnicity and heritage as it is an intangible asset that can provide valuable extended networks and social capital as well as long lasting cultural values and attitudes that set the foundations of the family business, contribute to its success, and support the succession process.

In terms of the ethnicity of the family business, however, the interviewees regard their G3 business as having outgrown the Italian ethnic niche into which it started, which supported its growth and development over the two previous generations.

The following three excerpts highlight the move of the family business towards a global business mentality:

Quote Box 8.50: A global business mentality

"The business is a lot more sophisticated as a model than what it was. Equiset is a service company that operates on Collins Street in the CBD. It doesn't operate out at Thornbury or Preston like my father and my uncle, and what they did for their various businesses….[…] In terms of Equiset, most of my staff are from various backgrounds, I don't have a strong Italian base in this business, the Italians that are working for us seem to be an absolute minority. Not that I have deliberately done that. I've deliberately gone about trying to find the right person for the right job, as opposed going to find an Italian or some of the Italian culture for the job. … […]… Sometimes I think that having a strong Italian cultural connection within an organisation can be an enormous strength, like it was with Grocon[45] and what my father created, my uncle created, and Grocon at the time could do incredible things. I think that the companies have had to transition into a different mix. And certainly the Grocon of today is not what is was 15 years ago and certainly Equiset today is a very different organisation to what Grocon was, and that's largely because Grocon and Equiset as businesses are a lot more integrated with the mainstream business community and quite diverse in the different projects and clients that we interact with." (Lorenz Grollo).

Joseph Piedimonte discusses the effect of the change of the customer base on the ethnic character of their family business:

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[45] Grocon is the name of the family business originally owned and managed by the brothers Bruno and Rino Grollo (G2). In 2000, this family business was split, with Rino and Lorenz setting up Equiset, and Grocon continuing under the management of Bruno and his son Daniel, Lorenz's cousin.

Quote Box 8.51: A changing customer base

> "The [Italian] customer base that we had has largely moved out of the area, and there's a different customer base now. So that gave us the opportunity to sell new products to this new customer base that was willing to try new and different products. You have your semi sundried tomatoes, artichokes in oil your dried mushrooms and so on, that for us, we've eaten them, we know what they are, but for them it is a delicacy. There are still a lot of the Italian customers that come and shop with us, the area still has a fair population of Italian people. But we've now got a lot more of a cross section of the community. A lot of educated people, professionals that have moved into this area" (Joseph Piedimonte).

Through the generations there has been an evolution not only of the ethnic identity of the G2 and G3, but also a parallel shift in the development of the business. The original, small, ethnic family business, has outgrown the limiting confines of its ethnic niche, and has developed into a larger, more structured, successful mainstream and global business. The business challenges of the G2 and G3 have therefore differed from those of the G1, often accompanied by tensions and difficulties between generations and among members of the same generation. In a sense, the evolution of the family business may be represented metaphorically by the parallel evolution of the identity and self-perception of the individuals across the generations, with its own stages of difficulties and tension.

Chapter 9

Conclusion: Discussion, Implications and Recommendations

This chapter begins by presenting and discussing the major findings of this research. The chapter also addresses the significance and implications, as well as the limitations of the study. Some suggestions for further research will conclude this thesis.

Findings

The major objective of this thesis was to contribute a novel understanding of successful multigenerational family businesses in Australia. By undertaking a study of three-generational Italian-Australian family business it proposed to investigate the general phenomenon of the collapse of these businesses after one, two or three generations, and identify why some survive and prosper beyond the third generation without losing the very nature of the family business. This study researched seven three-generational Italian-Australian family businesses, starting with the founding generation aiming to identify possible elements that bridge the generations, thus building the conditions for the continuity of a successful family.

In this thesis, one individual from each generation of each family business was interviewed, and seven families of three generations participated. By capturing multiple conceptions of the realities of each generation, it was possible to obtain a snapshot of the multiple ways in which similar phenomena (migration, resettlement, entrepreneurship, family business, values) were experienced by a particular group of people in a particular context and at a particular time, representing the collective experience of three-generational Italian-Australian business families.

This thesis has four major findings:

1. Values represent the means by which the participants build their own identity as members of a family business;

2. The relationships between generations represent the basis for continuity within these family businesses;

3. Family identity is what strengthens family business and, at the same time, weakens entrepreneurship; and

4. Family and business become equal domains through the individual who links the two.

In the following section I will discuss these findings separately.

Values

The values that emerge from this thesis are strongly influenced by the first generation. Its discourse is embedded in their experience as migrants to Australia, which in their interviews, narratives, autobiographies, and biographies as well as in oral reports about them, appears as an all encompassing experience with the power to trigger profound changes. The change triggered by migration has a double meaning: it creates a new self in a new country, and it allows this new self to become entrepreneurial and create a business. For a generation that left Italy, an impoverished country, after World War 1 and/or World War 2, and arrived in Australia with no prior knowledge of the country, no English language, and no material means at their disposal, it became immediately necessary to make use of personal resources in order to survive in a country that was itself still underdeveloped in terms of social, economic and business infrastructure. These resources have been identified as being values, the intangible goods that form the personal resources of any individual. Extant research argues that such resources are ethnically based and culturally determined, forming the social capital of immigrants which provides support and economic opportunities (Portes & Zhou 1993). This thesis however examines the issue of values in family business from the perspective of the family members' own self-perception and self-understanding, removing the limitations set by a culturally-bound context. In this thesis, the narrative of each generation becomes the key

in identifying values in hindsight, emphasizing those values, through the phenomenon of retrospective sensemaking, that they experience to be particularly important today. The narrative of the first generation centres on their reality as migrants who managed to overcome their hardships and established new businesses. It is a powerful narrative through which the first generation has created and built its own identity. It is a narrative that commands respect and acknowledgment from the following generations. Their sacrifice gives this generation a moral advantage over their children. The following generations accept this moral competitive advantage, and are prepared to subjugate themselves to the discourse of the sacrifice. But the first generation has also created the business and initiated structure, and for this reason they also command the admiration of the following generations, who feel a sense of gratitude, respect and dependence. And so the following generations accept this reality and comply with its consequences. But how can such a legacy have endured the pressure of the time and of the differences recurring within the generations?

My findings show that this continuity could only happen through a discourse that is not embedded in money, success, and wealth, but in something which was non-commensurable, something that could survive the pressure of time and change, the two elements that tend to undermine family businesses. To survive long term, these family businesses needed something which was grounded in experience, and yet malleable enough to stretch over a longer period of time. Values, and their flexibility, represent here the very means by which continuity could be guaranteed to strengthen the family business rather than weaken it. Money can be borrowed, but the moral reputation and standing of a family and of a business is something that needs to be nurtured over time, but once lost, it is lost forever. This is therefore an issue that is dominant, and keeps recurring in the narrative of the first generation. The continuous and very strong possibility of undefined risk factors which can undermine the family businesses triggers in the first generation the need for strong enduring values which will contribute to, and at the same time support

the precarious identity of a family business inasmuch as values determine the behaviour of the individual within the family and the business.

Relationships between generations

A striking element within this thesis is represented by the relationship between the generations. The preparedness of the second and third generation to stay within the boundaries set by the previous generation shows a type of relationship that is not characterised by "antagonism between its older members and younger members" (Down 2006, p. 57). The relationships between generations which, by using Down's terminology, could be characterised as "encounters within communities of practice" (ibid.) do not result in an us-and-them rhetoric that aims to highlight the "generational distinctiveness" (Down & Reveley 2004, p. 235) of "the 'old farts' who defend and maintain the way that things have been done in the past, and the 'young guns' who have a general desire to replace 'outmoded' management practices and business attitude" (ibid., p. 241). In this thesis the 'old farts' never really leave the family business but are directly involved in its modernization. Also, the younger generation has no wish to expose the older one, in fact their whole narrative is based on integration rather than separation. In *Quote Box 8.49* for example, Lorenz Grollo speaks of differences in the ways things need to be done now, but the relationship between himself and his father is based on an open and communicative basis and admiration, it is not confrontational. In Q*uote Box 8.28* Simon Costa speaks of his total support for his uncle. In *Quote Box 8.24* Donata Carrazza perhaps captures the essence of this non-confrontational relationship between the generations by pointing to compromise for the sake of the family. Although this thesis has not focused on migration as such, it may be possible to read the data in cultural terms and speak of behaviour that could be influenced by the Italian background of the participants. However, research on migrant families is still not well established apart from very few authors who have begun to look into this construct (Collins 2007). Collins advances the thesis that "immigrant families are not uniform" and that it is necessary to deconstruct this notion of family in order to further expound on its effects on enterprising activities (p. 309). This notion of

deconstruction is very important especially because the term migrant/immigrant family is far too general and does not capture diversity within the migration experience (ibid.). My data certainly confirms Collins' analysis inasmuch as they show that the Italian background, through the process of migration, played an important role in the formation of the identity of the generations and value discourse within the family business reality.

From my thesis, several reasons emerge as to why the 'young guns' do not shoot down the 'old farts': first, family businesses are less characterised by antagonism and competition between past and present, which is something that strengthens a genealogical understanding of business; second, within the ethnic business context in my study, relationships seem to unfold in a more peaceful way perhaps due to the notion of family networks and connections; third, a family business is a type of organisation in which responsibility is a term that carries some emotional connotation inasmuch as the very presence of a family evokes a coming together of "extraordinary" and "everyday and ordinary" experiences (Down & Warren 2006, p. 4) where extraordinariness and ordinariness "coexist" (p. 18) within the same space and time making it impossible to forge independent identities within the generations.

Family identity

From the thesis emerges a very peculiar phenomenon related to identity. Although the first generation never stops highlighting their sacrifice for the sake of the creation of something new, their discourse is never formulated in a way as to give the impression that its members are trying to articulate an "entrepreneurial self-identity" (Down & Warren 2006, p. 4) or a more general entrepreneurial identity (Down & Reveley 2004). They never describe themselves as entrepreneurs in spite of being very entrepreneurial. But perhaps their entrepreneurship is a matter of fact rather than ego. The (self)entrepreneur described by Down and colleagues is somebody who needs to set its own territory within a given organisational context, or industry branch, in order to exist. The way by which this is accomplished is the construction of an identity through "interactions and appropriated

things" (ibid. 2004, p. 245). In this context, individuality and individualism is therefore very strong in spite of the authors' carefully crafted articles and intention to avoid myths and heroic actions (Down & Warren 2006, p. 7). Individual identity, even when embedded in interactions, is a process that strongly involves one person and its self-understanding and notions of reality. However, as soon as the notion of family business becomes central, the identity of the individual shifts to a family identity.

This thesis has shown that the individual plays an important role as a mediator between family and business, but it never represents an independent category around which entrepreneurship or family businesses cohere. This reveals the peculiarity of family business vis-à-vis entrepreneurship, as shown by this thesis: the very notion of family business makes entrepreneurship difficult or impossible because family business requires a plurality of actions, a consensual approach, and above all the continuity and relationships between and among the generations. Within family business, the young replace their guns with ropes. This is a major finding that reveals *how*, within family business, relationships are based on continuity; the Italian background of my family businesses further adds meaning to this finding highlighting how *family* symbolized by group, rather than the individual, becomes the pivotal force within the family business. And yet, the individual plays a central role in keeping the family business together and moving along. This as such is not a contradiction but rather further proof that "the atomistic stance enacted and adopted" by the individual and its "relational narratives is shared with their generational narratives" (Down 2006, p. 65). However, within the family businesses with an Italian background in this study, the narratives of the individual are not oppositional, as it is in the case of mainstream entrepreneurial businesses reconstructed by Down where "the focus on opposition and difference [from the old generation] implies a monological orientation rather than a desire to engage with others dialogically" (ibid., p. 66).

Equal domains through the individual

The third finding highlighted by my thesis is that family and business are equal domains that need to be treated equally. This as such is not a new issue as several scholars before me have pointed out (especially Aldrich and Cliff, 2003; Chrisman, Chua, & Sharma, 2005; Moores, 2009). However, what this thesis adds to the current literature is that this equity is made possible by the individual who bridges the two domains in an incessant attempt to keep each of them working for the sake of the other. In Moores' paradigmatic three-cycle model,[46] for example, family appears isolated insofar as agency only comes from the secondary systems of ownership and management, and from here it moves into the family. This understanding of agency diminishes the importance of the family cycle insofar as it appears to be far too passive (within the three-cycle model) inasmuch as agency is positioned outside of it. Also, because terms such as ownership and management cannot be deconstructed, and are referred to in a collective sense, the agent individual remains in captivity within the cycle. Instead, my thesis shows how the interaction between family and business can only happen through the individuals involved in them as a concrete reality, driven by self-interest and the interests of the family. By positioning the individual in the centre, more reciprocity becomes possible between the two domains, thus allowing the family to influence business, and not just the other way round. In this thesis the three-cycle becomes determined by family, business and the individual giving rise to complex enmeshing and interdependence. Thus, the notion of enmeshing (Davis, 1983; Kepner, 1983) has been enriched, and further expanded into complex enmeshing, to guarantee the inclusion of the three domains forming a family business.

Uniqueness of this research

The uniqueness of this thesis rests on two equally important issues: the notion of values that add value to family business, and the methodology used to make sense of this phenomenon. The thesis has addressed the issue of values in family businesses with an

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[46] The three-cycle model puts family as the "primary system (or the basic universal model)" while owners and managers are understood as secondary systems or models (Moores 2009, pp. 170-171).

Italian background. Its main finding in this respect is that values play a central role in family businesses with an Italian background, but they do not rest solely on an abstract level. In fact, values add value to the family businesses by becoming a resource from which the members of the family draw in order to keep the family united in its genealogical self-understanding.

The methodology used to explain this phenomenon is represented by a blend of methodologies coupled with the theory of discourse analysis. Attention has been given to life history narratives and oral history in order to capture the life of the individual participants and their self-understanding, and the perception of reality within their own narratives. Phenomenography has further enriched the interpretation of data by allowing me to elaborate on meaning and the way participants make sense of their history inasmuch as the actual history of the family business is less important than "what members believe to be the actual history" (Brunninge 2009, p. 9; see also Cary 1999; Clary-Lemon 2010; Portelli, 1981). These two methodologies have then been linked to discourse analysis in order to give a form to the narratives captured in the interviews. The narrators have spoken from within their generation, and by so doing, have created a "discursive formation" (Foucault 2003, p. 121) which I have called generation, which included specific objects and subjects. The objects are represented here by the values that recur in the narratives of the participants while the subjects are the participants themselves who form, shape, but also accept the discourse of the values. A discursive formation occurs when it is possible to reconstruct the common point of departure of seemingly different strategies (ibid., p. 76). In this thesis, historical references are used to keep the family business together and build up "continuity in strategy processes" (Brunninge 2009, p. 8). The methodological uniqueness of this thesis consists in this powerful link between methodologies, discourse analysis and the data collected through interviews; this link has allowed for the elaboration of the thesis that values within three-generational family businesses with an Italian background have formed a *genealogical*

glue capable of keeping the family business together across generations, adding new value to it from generation to generation.

It is important to note here that my notion of continuity is practical and functional as it serves the aims to create the link between one generation and the next; thus I have shifted away from the epistemological meaning that Foucault assigns to history and its epistemological phases (2003, pp. 10-13). The type of continuity I mean is practical, or functional, and serves the aim of creating the link between one generation and the next. It is a continuity that makes sense of family and business within a given time frame and discourse. In other words, when I speak of continuity I think of it in terms of continuity within a discursive formation. It is within this circumscribed continuity that it becomes possible to appreciate the powerful meaning of discourse which gives a unique theoretical context to my research. The discourse of the generation is a strong motivator of identity; there is, however, a risk that such discourse might sooner or later becomes too restrictive, or too "formal", which in this case could amount to a failure to provide a "useful resource for self-narration" (Down & Reveley 2009, p. 397). This risk which I have not detected across the third generation could, however, consolidate in the fourth generation where family has become larger and less controllable on the one hand, and where the business is expected to respond to rapidly moving global market conditions; the consequence could then be that the discourse of generation and the history of the family businesses may lose their role as motivator of identity and strategy.

Hence, this thesis contributes to the existing body of knowledge through the four pillars which represent its major findings: firstly, the notion of values as a thriving resource in family business, which add value across three generations, contributing to continuity in a genealogical sense; secondly, the close, tight relationship that exists between and among individuals and generations within the family businesses studied, which reinforces the idea of the centrality of the family; thirdly, the notion that, although building the matrix of the economic activity, entrepreneurship, especially in its individual

manifestation, must retreat in order to allow family business to emerge and thrive across generations; fourthly, the three equal dimensions of the individual, the family and the business as reflected in the complex enmeshing identified in this thesis that characterises the interaction between individual, family and business across the three generation. These four pillars are not only interconnected but they condition each other in a continuous and productive discourse about the family and its business.

Significance of this research

The major significance of my thesis is that it covers a relatively long period of time, dating back to the first arrivals from Italy, with Gualtiero Vaccari in 1912, Costa Antonino in 1926 and Luigi Grollo in 1928 (see chapter 6, Table 6.1). The extension of this research has helped to reconstruct the formation of family businesses with an Italian background from the very first generation to the third (and the approaching fourth which has not however been included in my samples). From the perspective of the theory and literature of family business, this represents a major achievement inasmuch as research studies on family businesses across three generations are still missing (I have expanded on this issue in chapter 3).

The second major significance for the theory of family business is that the finding clearly show that within the ethnic background that I have considered, business rules are tailored to family rules (instead of the other way round), and that values represent a valuable resource (the *genealogical glue*) shared across three generations, with the consequence that they build a value for the family business.

The third major significance of my work is that entrepreneurship and family business cannot easily coexist within one generation. The first generation were the entrepreneurs who transformed their own lives by recombining the old and new self through migration, and then transformed their social lives by recombining old and new resources after migration and by founding a business. But their entrepreneurial action served to prepare

the conditions for the subsequent managerial generation according to Schumpeter's notion that "it is even difficult to imagine a case where a man does nothing but set up new combinations and where he does this all his life" (1949, p. 259). Entrepreneurship requires conditions of action that are suitable to individuals rather than groups of people or established businesses which is why entrepreneurship represents the initiating structure which in the subsequent generations turn less predominant. Although this thesis recognises that some degree of entrepreneurial activity is required for the long term survival of family businesses, this thesis has demonstrated that in order to move successfully into the second and third generation, entrepreneurship has retreated and family business has taken over.

Implications of this research

There are several theoretical and practical implications of my thesis. The first theoretical implication is that a three-generational family business originates from entrepreneurship; however, once the second generation takes over, the entrepreneurial dimension decreases while the family business identity becomes stronger, and more so in the third generation. The second theoretical implication is that in order to succeed, a family business needs a discourse that celebrates its continuity, and which is based on something which is sharable over space and time and which is not as fragile and risky as wealth or money. We have seen that intangible goods such as values have built a strong point of reference for all generations studied in this thesis. Finally, the third theoretical implication is that competition between the generations and within each generation must be kept to a minimum in order for a family business to succeed beyond the second generation. The implication is that the second and third generations accept to subjugate themselves to the discourse of the first generation whose sacrifices represent a point of departure, and a constant point of reference for all generations.

In addition to these theoretical implications my thesis has highlighted possible practical implications. First, family businesses need to be seen within the framework in

which they originate and expand, which means that the family domain is always present and carries as much as weight as the business domain. The very existence of a family renders many issues related to the governance of a family business peculiar to the reality of the family business. Family always means personal and emotional issues playing a role in the family business. To expect it otherwise would be contrary to the very nature of a family business. And although I have not directly discussed governance, the part of the thesis focused on succession has highlighted many interesting aspects related to the survival of a family business. Here it appears that the rules of governance are tailored to the specific needs of a family and its business (and not the other way round). The second practical issue that is worth mentioning, is that relationships between the family members determine the tone and pace of the business. This aspect further differentiates family businesses from non-family businesses where governance is a matter of clear-cut functionality in an anonymous set of shareholder relationships. Finally, the third possible practical implication of my thesis is that meritocracy also includes emotional and genealogical aspects. Some have pointed to the risk that altruism within a family business can have deleterious consequences (Gomez-Mejia, Núňez-Nickel & Gutierrez 2001; Schulze, Lubaktin, Dino & Buchholz 2001; Schulze, Lubaktin & Dino 2003). My work, however, shows that no altruism can also have deleterious consequences, such as the breaking down of family ties. Somehow these families take always a risk in order to exist as family businesses.

Limitations of this research

A research work that spans over a period of approximately one hundred years is unavoidably confronted with limits. The three generations that have built the point of reference of my thesis are historically embedded in different mental, social and practical conditions. It was not possible to capture these differences within this thesis because of the specific angle that I have chosen to study of family business and entrepreneurship in conjunction with values. An anthropologist would certainly have paid more attention to issues related to cultural patterns; a sociologist would no doubt have elaborated on the

social conditions in which the generations live and operate. These issues are not missing from my thesis but rather they build the background of the generations.

Another limitation is related to the very nature of interviews which can only give a fractional idea of memory, thinking and feeling of individuals in regard to their own ontological position in the world, their self-understanding and perception of reality. And yet interviews remain a fundamentally important device for data gathering within qualitative research methodologies. Finally, the timeframe within which a thesis is written also represents a limit inasmuch as things and people change within the span of a PhD, especially within the business field where experience and roles alter according to economic and market conditions. Interpretivist methodologies can only go so far inasmuch as there are limits to interpretation too. However, despite these limitations I believe that I managed to deliver an authentic product based on the reality of three generations of family business with an Italian background. To me the life histories and stories captured in these thesis represent a historical document which, although circumscribed to the very reality of these family businesses, allow to draw conclusion on a more general basis and positively contribute to the theory and practice of family businesses in the 20th and 21st century.

Future research

My research has focused on three generations of family businesses with an Italian background. The fourth generation (G4) is approaching the succession stage with some members of the fourth generation already lined up as possible successors. How this succession will play out and where the G4 will take the business is an interesting question that would need further research. In some cases (the Costa Group, for example) it is expected that the influence of the family will decrease especially because of the increasing investments into the global market. In his interview Frank Costa mentioned the possibility of changes at the governance level which reveals a possible move towards a corporate structure. As I stated in Chapter 1, governance within a family business needs to reflect

the two equal realities of family and business. However, when this is not the case, the question arises as to whether a corporate type of governance will not weaken the very family business and strengthen the corporation with the consequence that the former will dissolve into an anonymous group of share holders. This question clearly points to the effects of globalization on small businesses and family businesses. From my reading of the interviews and interpretation of their meaning I gather that for some of the seven family businesses studied, the third generation represents the last limit before fundamental changes that will involve the fourth generation, and probably change the business to such an extent as to cast doubts on its very family business nature. Hence, future research on the fourth generation will help to elaborate on the future of family businesses in a global economy and market.

Finis Origine Pendet

The end depends upon the beginning

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Appendix 1

The Families in this Study and their Business

This Appendix provides an outline of the seven families selected for this research. They are all three-generational business families residing in the State of Victoria, Australia: five families live and work in Melbourne, three in regional Victoria. The information and life histories contained in this chapter results from the data collected through questionnaires, published (auto)biographies, family documentation, newspapers, magazines and family business websites.[47]

The story of these seven families is interlinked to the migration movement of the first generation from Italy to Australia, which sets the historical starting point for the genealogical work of this thesis. The first generation, the entrepreneurial founders of the family businesses were Italian migrants who left Italy prior to World War 1 and between the two Wars. Appendix 2 provides a brief history of the Italian migration to Australia, giving a general overview of the first generation migration process and the effects on its descendants.

The family profiles

Family	1st Generation	2nd Generation	3rd Generation
Carrazza	Giuseppe	Domenico (Don)	Donata
Costa	Antonino (Tony)	Francis (Frank)	Simon
Genovese	Alfio	Danilo (Daniel)	Adam
Grollo	Luigi	Rino	Lorenz
Piedimonte	Giuseppe	Salvatore (Sam)	Joseph
Pizzini	Roberto & Rosa	Alfredo (Fred)	Joel
Vaccari	Gualtiero	Franco	Michele (Michael)

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[47] As a general note it is important to state here that personal data such as dates of birth and age of living participant members have been omitted from the publication in order to preserve their privacy

1. The Carrazza family

Mildura (North West Victoria)
Industry: Hospitality; food; property investment and development

First generation: Giuseppe Carrazza
Second generation: Domenico (Don) Carrazza
Third generation: Donata Carrazza

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┌─────────────────────────────┐   ┌─────────────────────────────┐
│ Giuseppe Carrazza           │   │ Leonarda Liuzzi             │
│ b. Montemurro, Potenza,     │───│ b. Montemurro, 18/9/1919    │
│    (Basilicata) 1914        │   │ d. Mildura, Victoria,       │
│ d. Mildura, Victoria,       │   │    16/7/1990                │
│    13/6/1988                │   │                             │
└─────────────────────────────┘   └─────────────────────────────┘
                                    ┌─────────────────────────────┐
                                    │ Antonio                     │
                                    │ Rocco                       │
                                    └─────────────────────────────┘

┌─────────────────────────────┐   ┌─────────────────────────────┐
│ Domenico (Don) Carrazza     │───│ Anna Bianchina De Vito      │
│ b. Montemurro, Potenza      │   │                             │
└─────────────────────────────┘   └─────────────────────────────┘
                                    ┌─────────────────────────────┐
                                    │ Maria                       │
                                    └─────────────────────────────┘

┌─────────────────────────────┐   ┌─────────────────────────────┐
│ Donata Carrazza             │───│ Stefano De Pieri            │
│ b. Mildura, Victoria        │   │                             │
└─────────────────────────────┘   └─────────────────────────────┘
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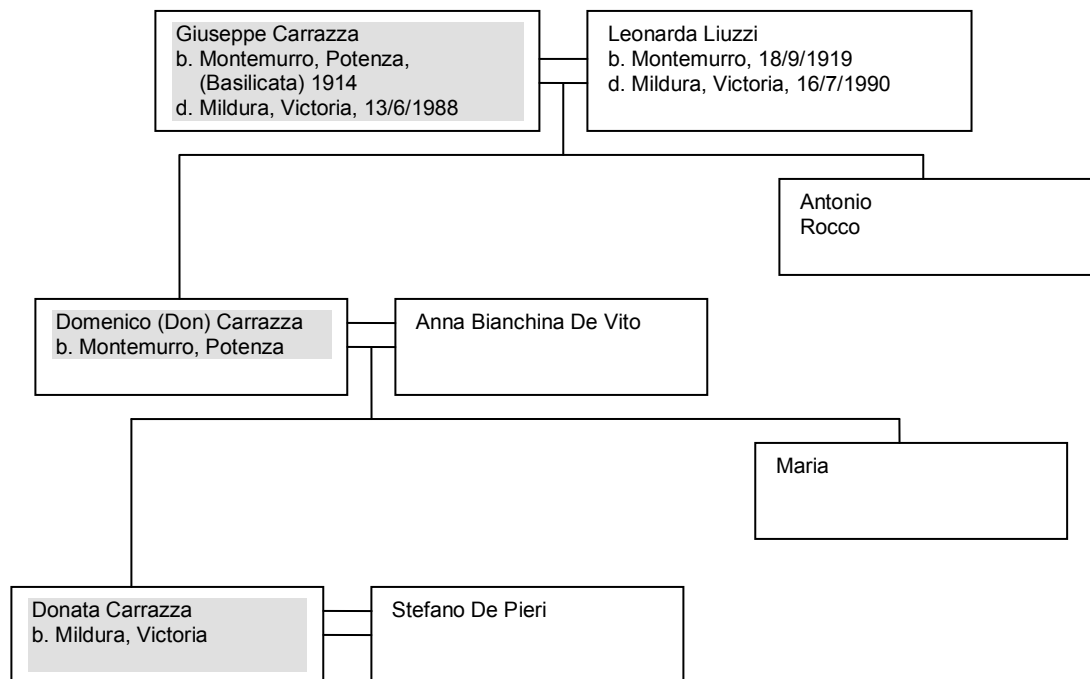
1.1 First generation

Giuseppe Carrazza (Montemurro, province of Potenza, in the region of Basilicata, 1914 – Mildura, 13th June 1988) was the third of five children born to Donata Zaccaria and Domenico Carrazza. In 1937 he married Leonarda Liuzzi.

In his early working years Giuseppe owned a coffee bar known as Il Circolo Dopo Lavoro (After Work Bar). In 1939 he left home for six years to serve the Italian army in World War 2. Their first child, Domenico arrived soon after.

When he returned from war in 1945, he found that life in post-war Italy was not easy. However Giuseppe was a very good business man, and worked as a *mercante* (trader), attending markets in different villages, selling and buying sheep and cattle, goats and pigs. After his second son Antonio was born in February 1946, and his third son, Rocco, in 1948

(who subsequently died at the age of 18 months), he grew tired of the lack of work and opportunities in Italy. There was no future, he felt, and he was keen to explore the world and seek his fortune in the lucky land, Australia, attracted by the stories that his uncle, Giovanni Sinisgale who had migrated in 1927, reported through his letters to his family back in Montemurro. In February 1952 Giuseppe embarked in Naples for Melbourne on the *Cristoforo Colombo*, travelling directly to Mildura, where he remained on his own for four years.

In those early years, although there was quite a sizeable community of immigrants from Montemurro in Melbourne, there were very few in Mildura. Giuseppe initially worked on the land with his uncle, then with other farmers, then took up some share farming.

By 1955 Giuseppe had bought a small vegetable produce property of seven acres on the banks of the Murray River, just over the bridge in the NSW side of Mildura. On 8 December 1955, his wife and two young sons, Domenico, 15 years old, and Antonio, 9 years old, joined him. However the land that Giuseppe had bought was low-lying, and he had not predicted the 1956 flood, the biggest flood in the history of the Murray. In the middle of the night of 16 July 1956, six meters of water flooded the area, including the family property.

The flood marked the beginning of a new chapter for the Carrazza family. They had lost everything, and had to start life again from scratch. Giuseppe and his family worked and lived for 8 months doing some share farming on another property, then returned to their own property and commenced to rebuild their home in Buronga.

Giuseppe had very good business skills and he had become aware of the potential for servicing fresh produce, in particular wine grapes, to the Italian community in Melbourne and around Victoria. He got into a mixed business, and early in 1954 he had started delivering large quantities of wine grapes to Melbourne. His son Domenico began to support the business, the business gradually grew, and by 1963 he had approximately 2000 customers mainly around Melbourne. In the background was Leonarda, who had a very good head for keeping the business books and finances.

Both Giuseppe and Leonarda continued to work on their own property, providing support to their children, Domenico and Antonio, until they passed away, Giuseppe, on the 13th June 1988, aged 74, and Leonarda on the 16 July 1990, aged 69.

1.2 Second generation

Domenico, aged 15, arrived in Australia in December 1955 with his mother and younger brother Antonio, and were welcomed by a father whom they hardly knew and recognised after three years of separation.

Domenico, soon known as Don, was enrolled at school as soon as he settled in Mildura. However, after only 6 months, the 1956 flood of the Murray River changed his life. Realising that the family was facing desperate and difficult times ahead, young Don, then 16 years old, made an important decision. Walking home from school one day, Don approached the Mildura Grand Hotel for a job, where he was hired as a bellboy. Thirty-one years later, he was to come back and buy Mildura's grandest hotel. For the first 18 months he worked as a porter, then as a waiter for two and a half years. At the hotel he made many acquaintances and managed to persuade his bank manager to lend him the money to open a little café in the city centre. This was a totally new concept for Mildura, and Don began to change the culture of the town by introducing espresso coffee and cappuccino to the locals. Supported by his family, and within less than a year, working seven days and seven nights a week, he repaid the bank loan. He then began investing in property.

In 1966, at the age of 26, Don married Anna Bianchina De Vito, then 21 years old. Anna was born in Waikerie, in South Australia, and her family ran a grape business. Having worked very hard in the De Vito business, Anna was experienced, hands-on and unrelenting. Together, over the years, they have become a formidable team.

Don, married and with a growing family, began to work on a new business; a restaurant and cabaret complex in Mildura, known as *Dominic's* in 1972. It was sold in 1978. In 1977 together with Anna he started a juice company called Murray Land Fruit Juices; ten years later this business expanded into a winery and production plant employing 106 staff, with a turnover of approximately $47 million. But the restaurant business was really his passion, so Don and Anna opened a large complex called *Piccola Italia* on Deakin Avenue, consisting of a pizzeria, a garden restaurant, a gelateria, a fresh pasta outlet, and a cocktail bar. He then sold it, and opened a new complex in the centre of town in 1982. Realizing that in the near future there would be the need for a retirement village, in 1980 he opened one with 106 units not far from the centre of town; in the 1980s this was converted to a Holiday Village, one of the most successful in Australia today. Murray Land Fruit Juices and the winery were sold on 1st November 1989, and on 10th December 1989, Don bought the Mildura Grand Hotel. The precinct of the Grand Hotel includes the original Astor Theatre, now the Mildura Brewery.

Over the years, Don Carrazza has had a strong involvement in the political scene in the Mildura and surrounding area: he is Chairman of the Sunraysia Area Consultative Committee. He is also involved in Tourism, having been Chairman and Vice-Chairman for many years. Don was on the AHA (Australian Hotels Association) Council for 20 years, participated in the Lions Club, a local football club, and is presently on the Board of Regional Development Victoria and NSW.

In 2009, Don and Anna Carrazza donated a historic building located in the centre of Mildura, and owned by the family, to LaTrobe University to encourage the future higher education of young regional Victorians.

1.3 Third generation

Donata (20 August 1968) and her sister Maria grew up in Buronga, a small township just outside Mildura (across the border, in NSW).
While still at school, both Donata and Maria contributed to working and supporting their parents in their businesses. This ranged from working on the family property picking fruit and vegetables, to waitressing, cashiering and other odd jobs in the dining outlets.

In 1984 Donata moved to Melbourne to study, and in 1990 graduated in Arts from the University of Melbourne.

During her university years she met Stefano de Pieri, a former political adviser for the Labor party, and in June 1991 they married. They have two children: Domenico, born in 1992, and Claudia, born in 1993.

The couple returned to Mildura in 1991, and together they established Stefano's Restaurant, one of Victoria's most famous restaurants situated in the original cellars of the Grand Hotel, alongside the Murray River, which has become a successful tourist attraction in the area. Both the restaurant and Stefano personally have received prestigious industry awards. From 2003 until 2006 they were operating three restaurants within the Grand Hotel, a paddleboat restaurant on the Murray River and Stefano's Café Bakery, which is still operational and now houses an adjacent gallery with a bar. Donata is the Gallery Director.

Donata shares Stefano's passion for the environment and the arts. In the early 1990s they founded the Mildura Arts Festival. The organisation has grown into 'artsmildura', a body which oversees five cultural events every year in Mildura. While their role in 'artsmildura' has changed over the years, Donata and Stefano continue to be actively involved in The Murray River International Music Festival, the Mildura Writers' Festival, and Palimpsest, a visual arts event held every September.

Donata has co-edited two books with the New York based poet and academic, Paul Kane, the artistic director of the Mildura Writers' Festival, and a book devoted to the Australian poet, Les Murray, a regular attendee of the Mildura Writers' Festival. In 2008, Donata conceived and organised an Italian festival in Mildura called *Con Brio.*

Donata continues to work closely with Stefano in their shared businesses. She also teaches English to recently arrived refugees in Mildura at the local TAFE (Technical and Further Education) on a casual basis and plans to return to further study.

2. The Costa family

Geelong and Melbourne
Industry: Distributors of fruit and vegetables; property development and investment

First generation: Antonino (Tony) Costa
Second generation: Frank Costa
Third generation: Simon Costa


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Antonino (Tony) Costa                 Mary Picone
b. Salina, Sicily, 12/121909          b. Warrnambool, Victoria 2/2/1912
d. Geelong, Victoria, 17/2/1985       d. Geelong, Victoria, 6/6/1990

            Adrian Costa                      Mary Cummins
            b. Geelong, Victoria, 31/12/1939
            d. 3/4/1972
                                                            Nita
                                                            Anthony
Francis (Frank) Costa      Shirley O'Malley                 Kevin
b. Geelong, Victoria                                        Rhona
                                                            Sandra
                                                            Robert
    Rona
    Laurelle
    Gillian
    Caroline
    Suzanne            Simon Costa            Lisa La Manna
    Geraldine          b. Geelong, Victoria
    Edwina
    Kate
```

2.1 First generation

The Costa family in Salina (Sicily) has been traced back to the 1700s and were originally wine growers and fruit merchants. Due to the economic depression of the 1890s, Francesco Costa decided to seek his fortune in Australia, leaving his wife Anna in Salina with their three young children. Frank arrived in Melbourne in 1893, and joined his cousin Joe Virgona in his fruit shop in Brunswick, close to the centre of the city. He then moved to Geelong, 80 kms from Melbourne, to work with George *Fat* Virgona, who owned a number of properties including a fruit shop named *Geelong Covent Garden* (established in 1888), which would become the base from which the Costa family developed their present multi million dollar business.

In 1895, after two and half years of hard work in Australia, Francesco had saved enough money and he returned to his family in Salina. However life in Sicily was hard, and made more difficult by the arrival of a further three daughters. To reduce the financial burden on the family the two older boys left their family home, in March 1903: Domenico, aged 14, joined relatives in Boston, US, and Giuseppe, then only 12, joined the Virgona family in Brunswick, Melbourne, Australia. In 1920, Domenico (Mick) joined his brother in Australia,

and they both established fruit shops in Geelong. Back in Italy, their youngest brother Antonino (Nino) continued his studies in Catania. Nino was keen to pursue a university career, but his parents had different ideas, wanting to see him join the seminary. This led to a disagreement, and his father angrily gave Nino the option to join his brothers in Australia, which he accepted. In January 1926, Nino departed for Melbourne on the *Regina d'Italia*, never to return to Italy, never to be reconciled with his father.

Nino arrived in Melbourne on 24 February 1926, aged 16, and was met by his two much older brothers, Mick, then 37, and Joe, aged 35. Nino (who became known as Tony) worked initially at George Virgona's Geelong Covent Garden shop. Keen to buy his own business, he moved to Warrnambool in November 1929, but due to the Great Depression, he returned to Geelong late in 1933, and in 1934 purchased the Geelong Covent Garden with his brother Joe from their uncle George Virgona. During his time in Warrnambool, Tony met his future wife, Mary Picone, the eldest of seven children of Maria and Francesco Picone. They were married on 28 April 1937 at St. Mary's in Geelong, and their first son, Francis Aloysius was born in 1938.

Soon after, the two brothers separated, Joe taking over the wholesale business and Tony and Mary buying out the Covent Garden retail shop, where the family settled and lived in premises above the shop. This was the beginning of the Costa family business. Tony and Mary continued to develop the shop into a successful retail fruit shop, which is still operational today. As the business grew, so did the family, with the birth of seven other children: Adrian, Nita, Anthony, Kevin, Rhona, Sandra and Robert. All the sons helped in the family shop and worked long hours, after school and during holidays. Tony and Mary continued to work in the business until their retirement. Tony passed away on the 17th February 1985, aged 75, followed by Mary, on the 6th June 1990, aged 78.

2.2 Second generation

At the age of 12, Frank worked in the family Covent Garden retail shop for long hours and for a small salary. He completed Form 3 (year 9) at St. Mary's Technical School in Geelong and Form 4 (year 10) at Gordon Institute in 1953, and finished formal schooling by the age of 15. He continued to work full time at Covent Garden, working up to 16 hours a day, with only one day off a fortnight.

As the years went by, Tony's children became more involved in the business, in particular Frank and Adrian, the eldest two boys. They gained expertise, and looked forward to owning their own shop and being more independent. In 1959 Frank convinced his parents to sell 50 per cent of the business to himself and Adrian, and in 1961, they both bought the Covent Garden property fully from their parents.

In 1960, Frank married Shirley O'Malley, and in 1962, Adrian married Mary Cummins.

By the mid 1960s, the two brothers each had their own role in the business: Frank responsible for the retail side, Adrian for the wholesale and buying the produce. Both Anthony and Kevin also started to work full-time in the shop. During the 1960s the industry began to change and self-service supermarkets started to proliferate around Australia. Recognizing this as a great opportunity, Frank and Adrian developed relationships with key personnel in the various supermarkets and began to supply supermarkets with direct deliveries to the stores as well as liaising between suppliers and the warehouse. This approach continues today and is the basis of their successful business.

In 1965 the giant retail outlet Coles entered into an agreement with Costa's, to supply their supermarket in Belmont. Consequently, the business expanded quickly. Costa's clients then began to grow, including Safeway and Woolworths in Geelong, then Myer in Geelong and Melbourne, as well as the chain of SSW independent supermarkets. Their success was based on the excellent service they delivered and the company's policy of 'ext-day delivery for any product anywhere.

Adrian was a major driving force behind the business: he was chief buyer, travelled around Australia, and won many new customers. However an unfortunate event struck the family and the business: in April 1972 Adrian and his wife Mary, both aged 32, were killed instantly in an automobile accident, leaving four young children, all under the age of 10: Paul, Catherine, Simon, and Sally.

Following the loss of Adrian, Frank decided to restructure the business, bringing in his other three brothers Anthony, Kevin and Robert as full partners.

By 1978, Costa's had over 20 years of wholesale experience and was generally considered Victoria's most progressive fruit and vegetable distributor. Its major client was the Coles chain of supermarkets, one of Australia's two largest chains.

By the end of 1980, Costa's faced a major setback, losing millions of dollars in turnover when Coles withdrew its contract and set up its own distribution centres. It was then that Ted Ashcroft, an engineer and accountant, was asked to restructure the business. Ted proved to be one of Costa's best recruits. Business soon picked up a little when they won the contract to service the Payless supermarket chain, consisting of approximately 45 small and medium-sized supermarkets. By the 1990s the company had an annual turnover of AUD$100 million.

Since then, the Costa Group has expanded into prepacking, shipping and metropolitan produce supply, developing into one of Australia's largest wholesalers and exporters of fresh produce and one of Australia's top industry leaders in perishable logistics and supply chain initiatives. Frank Costa is valued over $200 million (BRW 2009).

The Costa Group, Australia's largest privately-owned, fresh produce company, now employs more than 8,000 people, including 14 members of the Costa family. In 2004 Frank stepped down from his position as Chief Executive Officer of the Costa Group, handing over this position to his nephew, Simon, but continues to be involved as Executive Chairman. This step gave him the opportunity to spend more time with his wife Shirley, eight daughters and their families, and with his beloved football club Geelong.

In1997, in recognition of all his work and energy, he was awarded the Order of Australia medal for his 'services to youth and the community', and in 2008 was named a Champion of Entrepreneurship by Ernst & Young.

2.3 Third generation

In May 2004, Frank's nephew, Simon J. Costa became the first member of the family's third generation to be appointed to a senior leadership position when he became Managing Director of the Costa Group of Companies as well as a member of the Costa Board of Directors. He is now CEO of the family business. He works alongside a strong team of family members including Frank's younger brothers, Anthony who runs the Melbourne market operations, and Robert, Chief Financial Officer; Anthony's sons, David, divisional manager of Costa Top of the Range tomatoes (in Guyra, NSW), and Stuart who runs the trading business; two of Frank's sons-in-law, John Cecic (married to his second daughter Laurelle), who runs the export fruit and vegetables business, and Mark Leng (married to Frank's fourth daughter, Caroline) who is located at Costa Exchange in Melbourne, while Simon's older brother, Paul, has a role within the company's grains business. Most of Frank and Shirley's eight daughters have also worked at Costa's over the years, and have since left the company.

Simon was approached by Frank about a career at Costa's. Simon was aware that family members had to prove their worth and suitability, so when he joined the business in 1993, he started at the bottom, working at the back of a retail shop. He then progressed through the retail stores, through the warehouses and the markets, getting to know a lot of people and also understanding all the jobs. Simon has an MBA qualification from Monash University and has held senior positions in both the trading and logistics areas of the Costa Group. He is married to Lisa La Manna, of the La Manna Banana Group. They have two young daughters.

In 2006 the Australian Agribusiness Leader of the Year Award was bestowed on the Victorian based Costa Group of Companies, accepted by Simon Costa as Group Managing Director.

3. The Genovese family

Coburg (Melbourne)
Industry: Coffee producers and distributors

First generation: Alfio Genovese
Second generation: Daniel Genovese
Third generation: Adam Genovese

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┌─────────────────────────────┐   ┌─────────────────────────┐
│ Alfio Genovese              │   │ Maria Licari            │
│ b.  Randazzo, Catania, Sicily│──│ b.  Randazzo, Catania, Sicily│
│ 4/6/1921                    │   │ 21/8/1924               │
│ d. Melbourne, Victoria, 23/6/1995│ d. Melbourne, Victoria, 11/1/2007│
└─────────────────────────────┘   └─────────────────────────┘
                                        ┌─────────────────┐
                                        │ Raimondo        │
                                        │ Eleonora        │
                                        └─────────────────┘
┌─────────────────────────────┐   ┌─────────────────────────┐
│ Danilo (Daniel) Genovese    │──│ Amanda Vernon Knight     │
│ b. Randazzo, Catania, Sicily │   │                         │
└─────────────────────────────┘   └─────────────────────────┘
                                        ┌─────────────────┐
                                        │ Debra Genovese  │
                                        └─────────────────┘
┌─────────────────────────────┐   ┌─────────────────────────┐
│ Adam Genovese               │──│ Jennifer Eustace         │
│ b. Melbourne, Victoria      │   │                         │
└─────────────────────────────┘   └─────────────────────────┘
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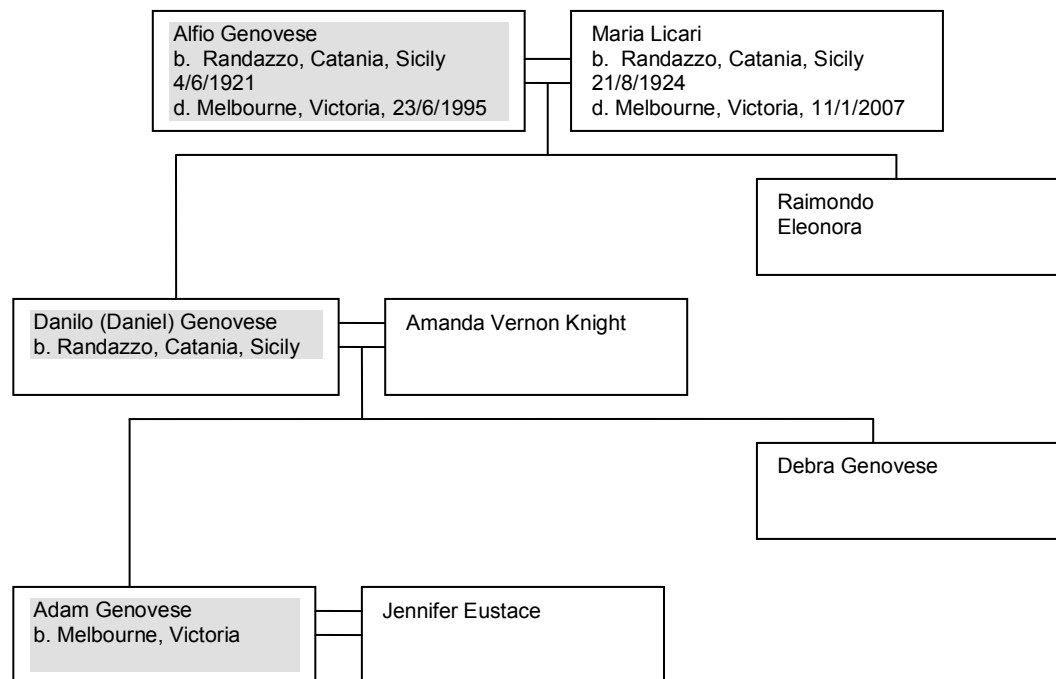
3.1 First generation

Alfio Genovese was born on 4 June 1921 in Randazzo (in the province of Catania, in Sicily), to Carmelo Genovese and Giovanna Mollica. They lived a simple but comfortable agricultural life, although a big family consisting of seven children, four boys and three girls. Their father Carmelo had sought his fortune in America in the early 1900s, then had returned, after a few years, to settle in Randazzo.

During the war Alfio served in the Italian Navy, travelling often between Italy and Africa, gaining a lot of knowledge about coffee. This knowledge would serve him well for his future in Australia. After the war, he became involved in an export company, exporting

oranges from Sicily to Malta. In 1945 he married Maria Licari in Randazzo, and in 1946 their first son, Danilo was born.

Attracted by opportunities and prosperity in Australia, and encouraged by letters that he received from his uncle in Kalgoorlie, an outback town in Western Australia (WA), 600 km east of Perth, he arrived in Fremantle (WA) in mid 1950, his family joining him six months later. He then moved to Perth, where he held a wide range of jobs: in a timber mill, then in a dairy, later worked for the West Australian Railways where he gradually became a ticket inspector. On the job, he learnt to drive articulated buses and became a bus driver. Slowly he began to develop his own businesses, becoming a wheat contractor, carting wheat for the Western Australian Government for two years, until the train line opened. He then carted oil refinery pipes from Perth to Kwinana in Western Australia.

In 1952 Alfio invested in a number of properties in Perth. Serving the large number of Italian migrants living in Perth, early in 1954 he established himself as an importer and distributor of Italian films from Italy. However, due to the expense related to the censoring process which required the films to be sent to Sydney and back, Alfio and his family decided to move to Sydney in 1955. While showing Italian films at night, he took on a day job as a representative for an importer of continental foods. However, a year later television became part of every home, so he sold his film import business.

In September 1957, after 7 years in Australia, Alfio took a trip back to Italy with his family, which then consisted of two young boys, Danilo (Daniel) and Raimondo (Ray). On returning to Australia in July 1958, the family settled in Melbourne where their daughter Eleonora was born in 1961.

In Melbourne, Alfio became a partner with Cantarella & Co, and was responsible for establishing Victoria Coffee in Melbourne in Johnston Street, Collingwood. In 1970, supported by his wife Maria and sons Daniel and Ray, Alfio set up his own company, A.Genovese & Sons in Lygon Street, Brunswick, on the site of the current Italian Abruzzo Club. It was a full family affair, with Alfio responsible for the roasting, Daniel in charge of administration and the sourcing and import of raw coffee, Maria providing support as book keeper, receptionist, sales person and packer, and young Ray helping out every week-end.

In 1975, the company moved to the current site in Nicholson Street, East Coburg. Alfio worked solidly for the next 25 years until his death on 23 June 1995, aged 74. Maria passed away in November 2007, aged 83. Their sons, Daniel and Ray, later joined by Daniel's son Adam and sister Eleonora, continue the family business to this day.

3.2 Second generation

Danilo (Daniel) Genovese was born in Randazzo (Catania, Sicily). He married Amanda Vernon Knight in Melbourne on 18 April 1970 and they have two children: Adam, who now works in the family business, and Debra.

In the late 1960s Daniel had a very successful and rewarding career as Purchasing Manager with a large Australian chemical company, where he gained valuable import and export skills which would prove to be highly advantageous when, in 1970, together with his father and brother Ray, Daniel left this job to help set up the new family firm: A. Genovese & Sons. His early days in the family business consisted of long working hours, handling the administration, then going for the daily 'runs', taking orders and doing deliveries around Melbourne and surrounding areas as far as Geelong, approximately 80 kms south-west of Melbourne.

Ray joined the family business working part-time from a young age and continued working week-ends while working full-time with another firm in Melbourne. He joined the Genovese business on a full-time basis in 1973. He initially helped his father in the production of the coffee, then took over the deliveries for his father and brother Daniel, a role that he continues to undertake now.

Following the death of his father in 1995, Daniel took over the running of the company, as General Manager, and together with his brother Ray, sister Eleonora, and son Adam, the business continues to grow.

After working in the ANZ Bank for a few years, Eleonora ventured overseas on a holiday, and spent the next 14 years in the United States, where she married and had two children. Upon her return to Melbourne, Eleonora joined the family business. Her skills in the retail area have added a new perspective to the family business, leading to an increase in the retail lines, and an active networking presence in the Melbourne and Australian coffee scene.

3.3 Third generation

Adam Genovese began working in the family firm as a young boy alongside his grandfather Alfio and father Daniel whenever he could, after school and during the school and university holidays. Adam has completed a degree in psychology with post-graduate qualifications in international business. His qualifications, in addition to the valuable experience he has gained over the years have given him a solid background to make an important contribution to the changing face of the business.

Adam is currently employed in the Genovese family firm as Administration Manager & Sales. He has made a substantial contribution over recent years to modernizing the business through technology and the expansion of the company along the east coast of Australia, with the establishment of branch offices in Sydney and Cairns.

Adam is married to Jennifer Eustace and they have three young children.

4. The Grollo family

Preston (Melbourne), Mount Buller (Alpine region in eastern Victoria)
Industry: Construction; property development and investment; hospitality

First generation: Luigi Grollo
Second generation: Rino Grollo
Third generation: Lorenz Grollo

Luigi Grollo
b. Cusignana, Treviso, Veneto,
9/8/1909
d. Melbourne, Victoria,

Emma Girardi
b. Cusignana, Treviso, Veneto,
25/3/1922
d. Melbourne, Victoria, 13/3/1986

Bruno

Rino Grollo
b. Melbourne, Victoria

Diana Ruzzene

Mark
Monica
Lara

Lorenz Grollo
b. Melbourne, Victoria

Manola Meloni
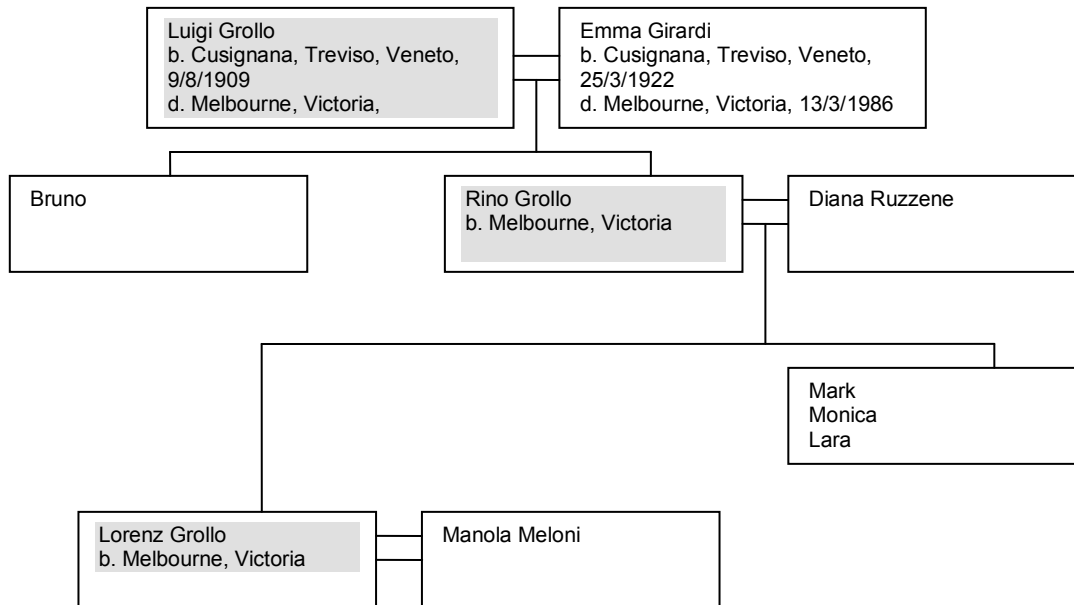
4.1 First generation

Luigi Grollo was born to Giovanni and Virginia Grollo, in Cusignana, near Treviso, in the north-eastern Italian region of Veneto, on 9 August 1909. He was born into a poor agricultural family that owned land, and also worked land on the antiquated *mezzadria* system. The youngest of seven children, with only four boys surviving through their youth, he learnt very early to work the land, doing all the jobs required by a *contadino* (farmer). When his mother passed away in 1927, aged 52, two of his brothers emigrated, Giovanni to Argentina and Giuseppe to Australia, in 1925, in search of a better life. At the age of 18, Luigi decided to follow his brothers overseas, and sponsored by Giuseppe, he sailed for Australia on the steamer *Principe di Udine*, arriving in Melbourne on 24 July 1928.

Work was scarce in Melbourne, so Luigi became an itinerant labourer, working wherever he could, meeting and working with other Italians. When the Depression hit, work became even more scarce, and he travelled all over Victoria, doing all types of menial jobs such as

quarry work, building canals, breaking stones, excavating sewerage tunnels, cutting timber in the forest.

In 1938 he settled in Melbourne, living in boarding houses. There was no work in the factories, so he worked as a concreter, all over Melbourne. During a picnic at Cooper's Creek (in Gippsland, eastern Victoria), he met Emma Girardi, his future wife, a young woman 12 years his junior, also born in Cusignana near Treviso on 25 March 1922. They married on 7 June 1941, settling in Carlton, an inner Melbourne suburb. In 1942, their first son Bruno was born, and their second son, Rino arrived 5 years later. In November 1947 Luigi became a naturalised Australian. A year later he set up his own concrete business from their home in Pelham Street, Carlton. Supported by his wife Emma as a partner in the business, he worked on week-ends with one truck and a few men, mainly other Veneti, in addition to his week job working for others.

As his own private jobs increased, so did the number of men he employed. Emma worked in the back office, using her talents for organising paperwork, keeping the financial books, calculating and preparing the employees' salaries, and Luigi organised the jobs and the men, driven to grow his business by the desire to gain security for his family. In the 1950s, Luigi began to employ full-time workers, building footpaths and driveways, working day and night all over Melbourne, with 60-80 men at a time, mainly Italian, many originating from the Treviso province. In the 1960s he moved on to swimming pools and shops.

He operated the business for 21 years, the last five with his son Bruno. Over the years, and with the help of both sons, Bruno and Rino, Luigi's small business grew into the Grollo Construction Company, one of Australia's largest and most successful construction groups, still operated today by Luigi's grandchildren.

Luigi Grollo retired in 1968 following a heart attack. Emma passed away on 13th March 1986, a few days before her 64th birthday, and Luigi and died on 28th December 1994, aged 85.

4.2 Second generation

Bruno began to work with his father in the end of 1957 at the very early age, working hard on the building sites and later in the office. At at the age of 20 he took a leading role in the business. In 1970 Rino also entered the family business full-time, around the time his father's health was deteriorating, having learnt much from his father and brother. Rino had also learnt to be meticulous with the administrative work and the accounts from his mother and he brought a sense of professionalism and modernization to the company's management. In the same year, Rino married Diana Ruzzene, whose family also originated from the province of Treviso.

As their father began to pull out of the business following his collapse, Bruno and Rino gradually took over the responsibility and control of the company, deciding that it would

be strategically advantageous to gain part-ownership in their building projects, thus becoming investors in their developments. The company moved to Brunswick and then to Preston.

They established their own concrete plant, and turned to the construction of shopping complexes and commercial buildings. Following the disaster left behind by Cyclone Tracy on Christmas Day 1974, the Grollo brothers were given a large government contract to construct 400 cyclone-proof houses of various designs. By the 1980s, their business had grown successfully, with a workforce of over 1000 employees.

In 1983-86 they built one of Melbourne's landmarks, the Rialto Towers, one of the tallest office buildings in the Southern Hemisphere. At Mount Buller, in the Victorian Alps, they purchased the Abom Restaurant and built the Chalet Hotel and other buildings. In 1986, the Grocon Company was founded. In the 1990s they won ten important building contracts in Sydney including the 64 storey Governor Phillip Tower and the restoration of the heritage 1887 GPO. In Melbourne, in September 1993, they won the contract to build the Crown Casino along the southern side of the Yarra River, the largest project undertaken in the 90s, completed in 1997.

During this time, the Grollo brothers and their partners, Dina Bettiol and Diana Ruzzene, became well known as generous philanthropists, contributing generously to community groups and charities, as well as educational and sporting institutions.

In the 1990s the Grollo brothers were involved in two (successful) court cases. During this period, Dina suffered a stroke which left her severely paralysed until her death in December 2001. Following this stressful period, in 2000-2001 Bruno and Rino parted ways, dividing the company and its assets into two. Bruno took over Grocon Construction and several building assets, and in 2003 brought in his sons two Adam and Daniel as joint managing directors of the business. Their most significant accomplishments are the major redevelopment of the MCG (Melbourne Cricket Ground) and the Eureka Tower.

Rino took a small development company, Mt Buller Tourism/Hospitality and a building asset. At this stage Diana became Rino's business partner, owning 50 per cent of the company. Rino and Diana began to diversify whilst maintaining a tradition of property development, ownership and management through three separate companies that concentrate on three different aspects of the business: Grollo Australia, Groset and Equiset.

Rino is currently Chairman of the Grollo Group, although only in a part-time capacity, and the *Business Review Weekly* estimates Rino and Diana's assets to be approximately $300 million (BRW 2009).

In recognition for the work that Rino and Diana undertook for La Trobe University, Rino was awarded an honorary degree of Doctor of Letters on 11 December 1997. In 1999 Rino

was named *Grand'Ufficiale* of the Italian Republic, and Diana received the *Commendatore* award for the years of philanthropic work in Australia, in particular to education and sport, health services and the arts, to the Australian Winter Olympics movement and the Catholic Church. Rino was conferred with the Order of Merit from the Australian Olympic Committee in 2002 for his outstanding contribution to the development of sport, and an Honorary Doctorate (Honoris Causa), from the Australian Catholic University (ACU) in 2008.

4.3 Third generation

Diana and Rino Grollo have four children: Lorenz, Managing Director of Equiset; Mark, a graduate in Aerospace Engineering and Aviation, manages Grollo Aerospace (part of the Grollo Group); Monica graduated with a Masters in Physics, and together with her husband Nick Whitby, they manage the Hospitality/Tourism of Mount Buller, and represent the family business on the Board of the Olympic Winter Institute of Australia; Lara is a Lecturer and Researcher in Biotechnology at Swinburne University of Technology in Melbourne, and with her husband Martin Ansell, they oversee and manage the family's commercial properties.

Lorenz Grollo was born on 6 February 1974, and raised in Melbourne's inner northern suburbs where he continues to live with his young family. Lorenz has completed a Bachelor of Arts at La Trobe University, majoring in Sociology, whilst at the same time qualifying for the Victorian State Skiing team. From the age of 18 he began to take an interest in the business, working part-time in the office and following his father around construction sites, and joined the business on a full-time basis at the age of 24.

Lorenz heads up Equiset, a young company established as a property development and construction business. It has developed Melbourne University's $250 million University Square, completed in 2001, and managed major works at the Caulfield campus of Monash University. In collaboration with the Moreland City Council and the community of the area, it also won a new $1 billion, 10 year urban renewal project in Coburg, an inner city Melbourne suburb, comprising retail and commercial space, and 1,500 new dwellings, with an emphasis on sustainable and affordable housing. Equiset has recently won two awards from the Master Builders Association of New South Wales for its development of the University of Notre Dame's Medical School situated in Sydney.

Lorenz is married to Manola Meloni, a certified accountant, and they have three young children.

5. The Piedimonte family

North Fitzroy and Brunswick (Melbourne)
Industry: Supermarket; food importers and distributors; Hillier's Chocolates

First generation: Giuseppe Piedimonte
Second generation: Salvatore Piedimonte
Third generation: Joseph Piedimonte

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┌─────────────────────────┐   ┌──────────────────────────────┐
│ Giuseppe Piedimonte     ├───┤ Anna Ravidà                  │
│ b. Montalbano Elicona,  │   │ b. Montalbano Elicona, Messina,│
│ Messina, Sicily         │   │ Sicily                       │
└───────────┬─────────────┘   └──────────────────────────────┘
            │                        ┌──────────────────────┐
            │                        │ Carmelo (Mel)        │
            │                        └──────────────────────┘
┌───────────┴─────────────┐   ┌──────────────────────┐
│ Salvatore (Sam)         ├───┤ Rita Quadara         │
│ Piedimonte              │   │                      │
│ b. Montalbano Encona,   │   └──────────────────────┘
└───────────┬─────────────┘        ┌──────────────────────┐
            │                       │ Anna-Maria           │
            │                       │ Sarina               │
            │                       └──────────────────────┘
┌───────────┴─────────────┐   ┌──────────────────────┐
│ Giuseppe (Joseph)       ├───┤ Alda Guzzardi        │
│ Piedimonte              │   │                      │
│ b.Melbourne, Victoria   │   └──────────────────────┘
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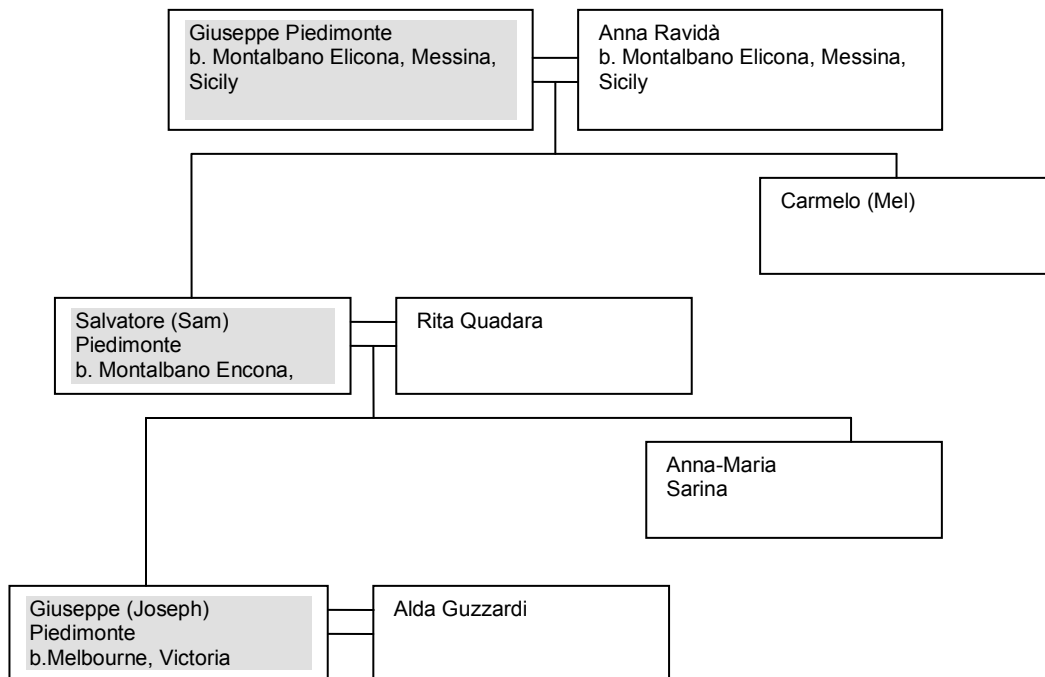
5.1 First generation

Giuseppe Piedimonte was born in Montalbano Elicona, a small town in the province of Messina, on the eastern shore of Sicily. Giuseppe grew up with a background in the food wholesale business: his family owned seven warehouses in Milazzo, and his grandfather and great grandfather had a tradition of being involved in the wholesale of food across the island of Sicily, back in the days of the horse and cart. Giuseppe married Anna Ravidà. They started their own fruit shop, which did well in summer but struggled over the winter months. They had two sons, Carmelo born in 1939 and Salvatore born in 1942. After the war Giuseppe considered emigrating, and when his uncle, already in Australia, sponsored him, he did not hesitate.

Giuseppe migrated to Melbourne in 1950, spending a year on his own, working a warehouse in the wool mill Lincoln Mills situated in the inner city suburb of Coburg. As

soon as his finances would permit it, he sent for his wife Anna and his two young sons, Carmelo, aged 10, and Salvatore, aged 7, initially boarding in Pascoe Vale with other recently arrived Italian families, then renting a house in Coburg for a couple of years until the family was able to raise the deposit to purchase their own home in Coburg. Anna worked as a seamstress, while the sons continued their schooling briefly, Salvatore (Sam) at St. Bernard's Catholic School, and Carmelo (Mel) at St Paul's Catholic School. Soon Mel decided to leave school and take on a job at the Red Robin Hosiery Mills in Brunswick in order to contribute financially to the family.

In 1958 the family decided to begin their own business in the food sector. Giuseppe bought the empty premises of a wholesale butcher in Best Street, North Fitzroy. Together with Anna and Mel, he worked on week-ends, and Sam, having left his job, helped out full time in renovating the premises. On the 28th August 1958 they opened a new Italian delicatessen.

In the early years, in order to support the business financially, Giuseppe and Mel continued to work outside, Giuseppe at the wool mills, and Mel still working three shifts a day at the hosiery mills. Anna worked in the business with Sam during the day, and continued sewing during at night. After the initial twelve months, when the business slowly started to improve, Giuseppe came into the business, and as business expanded, Mel finally joined the growing business.

During the first four years the business sold continental delicatessen goods to the big Italian community who lived in the area. The business then turned a corner and began to be successful by advertising its products through bilingual leaflets that were hand delivered on the week-ends in letter boxes around the adjoining suburbs.

5.2 Second generation

As his brother Mel had done, Sam also left school aged 15 and took a job at the supermarket chain Moran and Cato, where he worked for two and half years. During this time he worked hard and gained much experience of how to run the store and run a business.

At the beginning of 1958 Sam left his job, and helped his family establish the new Piedimonte's Supermarket. In 1962, the family bought the tailor's shop next door to their existing delicatessen, extended into it and converted the business to a self-service. The new family business was launched on 10th October 1963. "GRANDE Apertura J. Piedimonte & Sons" was the big heading on the Specials handbills which featured "prezzi imbattibili", unbeatable prices for local and imported Italian products, mainly oil, pasta and cheese.
The business continued to expand, and when Mel married in 1963 and Sam followed suit in 1966, their respective wives, Pina Rocca and Rita Quadara, also became heavily involved

in it. On the 15th December 1969 the third major extension to the store was completed, doubling in size. Fresh food departments were added with fresh bread and sweets, the fruit and vegetable and butcher sections added at the front of the store. The Delicatessen service section was increased in size to cater for the ever growing range of smallgoods and local and imported cheeses.

Over the years, Piedimonte's changed buying groups names from Save-way to Rite-way (1974), to Super-Rite (1981) to SSW - Self Service Wholesalers (1985) and Festival (1993). The business currently trades under the IGA (Independent Grocers of Australia) banner.

In 1987 Coreco (Aust) P/L (importers, wholesalers & distributors of fine food) was purchased, followed by the purchase of Ernest Hillier's Chocolates (manufacturing) in 1995. Both Sam and Mel are now also Directors of these companies.

5.3 Third generation

In 1982 the third generation of Piedimonte children entered the family business, with Mel's son, Joe, being responsible for the fruit department. On 16th October 1982 the supermarket expanded next door, making space for a larger fruit and vegetable department, and on the 22nd November 1982 the business opened its new liquor department.

From 1984 to the present, the business has continued to expand and renovate in an effort to diversify and extend their range of products and services, such as giftware, manchester, stationery, video hire, one hour photo processing and key cutting.

In 1985, Sam's son Joseph took on the responsibility of managing the bakery department and more recently the business operations and Anna, Mel's daughter took on the task of managing the administration, IT Systems, POS Scanning and controls, a position that she still holds today.

At the same time, the clientele of Piedimonte began to change as the Italians who originally lived in Fitzroy, Brunswick and Carlton moved to outer suburbs. The business has now captured a new mixed clientele, while at the same time maintaining the original clients.

Over the last few years, the younger members of the family have taken up key roles in managing and running the business together with Sam and Mel. In order to accommodate them into the family business, and to capture a new clientele, a second supermarket was purchased in 1991 in Bell Street, Pascoe Vale, a northern inner suburb of Melbourne . This store, which has also been refurbished, is now managed by members of the third generation of the Piedimonte family, Joe and Joseph, with Joseph acting as Operations Manager for the Supermarkets.

The Piedimonte family business has been recognised for its valuable and innovative contribution to Australian business and the economy receiving the Ethnic Business Award in 2000.

The Piedimonte family business has been recognised for its valuable and innovative contribution to Australian business and the economy receiving the Ethnic Business Award in 2000.
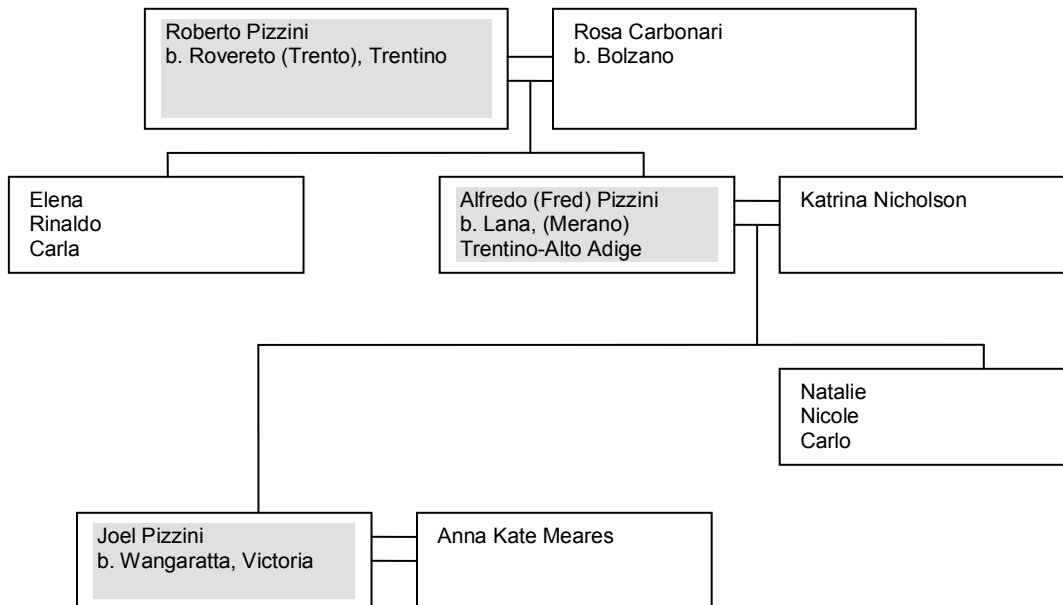
6. The Pizzini family

Whitfield, King Valley (near Alpine region in eastern Victoria)
Industry: Wine production and distribution

First generation: Roberto Pizzini
Second generation: Alfred Pizzini
Third generation: Joel Pizzini

Roberto Pizzini b. Rovereto (Trento), Trentino	Rosa Carbonari b. Bolzano
Elena Rinaldo Carla	Alfredo (Fred) Pizzini b. Lana, (Merano) Trentino-Alto Adige — Katrina Nicholson
	Natalie Nicole Carlo
Joel Pizzini b. Wangaratta, Victoria — Anna Kate Meares	

6.1 First generation

Roberto Pizzini was born in Rovereto (province of Trento, in the Trentino region in Italy's north east) in a large family comprising of four brothers and four sisters. At the age of 14, Roberto decided that he did not want to work the land with his family, so he began a four-year apprenticeship in Rovereto and qualified as a 'Grade A' fitter and turner. He was then conscripted into the army and served in WW2 for seven years from 1938 to 1945. Upon his return he worked as a qualified mechanic in the Cartoni firm that specialised in tanning leather for shoes.

Roberto married Rosa Carbonari in August 1948 and their first child, Elena, arrived soon afterwards, then Rinaldo and Alfredo, all born in Lana (Merano) in the Trentino-Alto Adige region, and later Carla, born in Myrtleford (Victoria, Australia). Although Roberto earned enough to support his family, life was not easy for the family with three young children, and a baby on the way.

Early in 1956, Alfonso, Roberto's eldest brother who was then living in Australia returned to Italy to marry, and convinced Roberto to migrate to Australia 'for a better life'. Roberto also read an article in the local newspaper advertising work for qualified tradesmen in Australia: he applied and was immediately accepted to work at Eildon, in Victoria, as part of the Snowy Mountain Scheme. Within three months, accompanied by his family, he set sail for Melbourne. They arrived in June 1956, and were reunited with Roberto's three brothers, Alfonso, Arnaldo and Giorgio who had migrated to Australia after WW2, seeking greater opportunities and a new life.

Together with his three brothers and their wives, Roberto and Rosa began to grow tobacco in Myrtleford (nested between Wangaratta and Bright in north-east Victoria), share farming for the first year, before buying their own farm and continuing on their own. For the next 20 years, the four brothers worked together, supported by their wives and their growing children. This unity and support proved to be one of the important factors that led to the survival of the four families.

Over the years, their tobacco growing operations expanded into the King Valley. Their business continued to grow and eventually became large enough to employ and support seventeen share farmers as well as the four brothers' families. In the late 1960s, as their children were now grown up, the four brothers decided that it was time to divide the business: three of the brothers (Guido, Arnaldo and Roberto) moved to the King Valley, while Alfonso remained in the Alpine Valley.

In the 1970s the tobacco industry began to change in Australia, and a quota system was introduced for the growing and sale of tobacco. Around this time Roberto's sons Rinaldo and Alfredo (Alfred), then in their early 20s, began to take more interest in the future of the business and convinced Roberto that it was necessary to diversify to another industry in order for the business to grow and prosper. At this time Brown Brothers of Milawa wanted to expand their winemaking operations and were looking for local farmers interested in planting grapes. In 1978, Roberto together with Alfred and Rinaldo planted their first 30 acres of Riesling vines: this led to a 15 year collaboration with Brown Brothers. Slowly, Alfred, supported by Rinaldo for a while, began to take over the operation of the vineyard and the farm.

Roberto and Rosa Pizzini continue to live in Whitfield on the family farm, and in August 2008 celebrated their 60[th] Wedding Anniversary. Roberto recently celebrated his 90[th] birthday, and still tends to his garden daily.

6.2 Second generation

Alfredo, or Fred, as he is known, has always been involved in the family business since he arrived in Australia as a small boy aged four. Upon arriving in Australia in 1956 with his parents, brothers, sister, and one baby sister on the way, he went to live with his

extended family comprising uncles, aunts and cousins. Initially this was in Myrtleford, and a few years later they moved to King Valley, a place that Fred has never left.

From a young age, Fred always helped out on the farm, working after school and during the holidays, and when he left school, in the 1970s, he worked with his parents, and brother Rinaldo, supporting them in the transition from tobacco production to vines. This change proved to be a successful venture from the start. Over the years the business has expanded and modernized, giving work not only to the Pizzini family but to many others who have contributed to the success of the business.

Fred met his future wife Katrina Nicholson in their local town of Whitfield through school and sport, as sport was the social life in Whitfield in those early years. Both attended secondary school in Wangaratta. Fred and Katrina married on 12 April 1972 in the Whitfield Catholic Church. Soon after, their first child Natalie arrived, followed by Nicole, Joel and Carlo.

Fred has always had a creative, artistic mindset. These qualities combined with 25 years of hands on viticultural experience with both international and Italian varietals and experimentation with making wine, helped build the business' reputation in the area. He heads the family business now, and wants Pizzini Wines to become one of Australia's premium producers of fine Italian style wines.

Katrina, considered by the family as "the backbone of the Pizzini family and the business" (Pizzini website), runs the office and oversees all the marketing activities, although her catering abilities are even more outstanding.

As Fred and Katrina began to take over the vineyard business in the mid 1970s they planted a variety of vines, Chardonnay, Sauvignon Blanc, Cabernet Sauvignon, Merlot, Malbec and Shiraz, selling the grapes to a number of winemaking companies around Australia. In the mid 1980s Fred experimented by planting two Northern Italian red grape varieties, relatively unknown in Australia at the time, Nebbiolo and Sangiovese. In the late 1990s he began once again to experiment with the white Italian varietals Verduzzo, Picolit and Arneis.

In 1994 Alfred and Katrina established their own Pizzini wine label, introducing their own Chardonnay to the market. In 1996 Alfred and Katrina opened their cellar door which was created by converting one of the tobacco drying kilns, and began selling their own wines. As the business has continued to expand, Alfred and Katrina are still fully involved in the family business, although the third-generation Pizzini are now also fully involved.

6.3 Third generation

As a young boy, Joel inherited his father's and grandfather's passion for wine and was determined to follow their footsteps and continue working on the family farm. Heeding

his parents' advice he decided to study and obtain a qualification which gave him the opportunity to develop his interest and skills in winemaking, viticulture and wine appraisal.

After graduating with a Bachelor in Wine Science from Charles Sturt University in Wagga Wagga, Joel completed three vintages in the Piemonte and Tuscany regions of Italy which expanded his experience particularly with Italian varietals. He is now the third generation member of the Pizzini family, and an experienced winemaker.

Joel likes experimenting with new wines, and is supported by Alfred's 50 plus years of experience. Joel is married with Anna Kate Meares; they have two young children, Luca and Isabelle, and lives close to the family vineyard.

The other three third-generational members of the Pizzini family also play a significant role in the business. Carlo takes responsibility for the firm's marketing and accounts, working from the winery and from his office in South Melbourne; Natalie handles the publicity which includes creating the regular newsletter, managing the *Vino e Vita* wine club, updating the business website and liaising with the media; and Nicole works part-time supporting the family in the Cellar Door. Nicole has her own counselling business, but takes great pride in continuing her part-involvement in the Pizzini wine business.
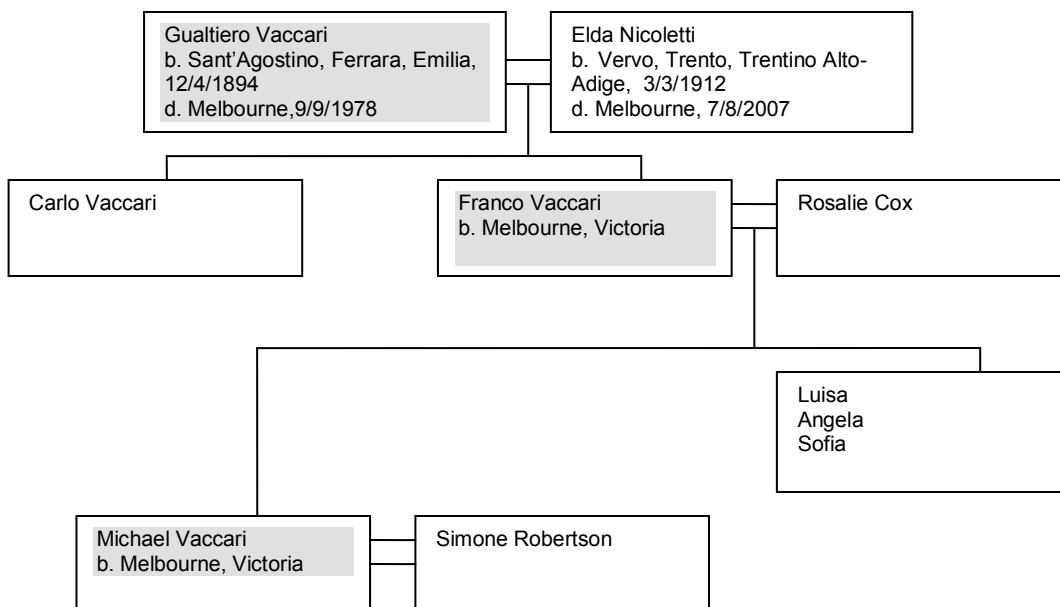
7. The Vaccari family

Carlton (Melbourne)
Industry: Importers of food products; textiles and ball bearings; property investment and development

First generation: Gualtiero Vaccari,
Second generation: Franco Vaccari
Third generation (potential successor): Michael Vaccari

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┌─────────────────────────────────┐  ┌─────────────────────────────────┐
│ Gualtiero Vaccari               │  │ Elda Nicoletti                  │
│ b. Sant'Agostino, Ferrara, Emilia,│ │ b. Vervo, Trento, Trentino Alto-│
│ 12/4/1894                       │──│ Adige, 3/3/1912                 │
│ d. Melbourne,9/9/1978           │  │ d. Melbourne, 7/8/2007          │
└─────────────────────────────────┘  └─────────────────────────────────┘
         │                                    │
┌──────────────────────┐  ┌──────────────────────┐  ┌──────────────────────┐
│ Carlo Vaccari        │  │ Franco Vaccari       │  │ Rosalie Cox          │
│                      │  │ b. Melbourne, Victoria│──│                      │
└──────────────────────┘  └──────────────────────┘  └──────────────────────┘
                                  │
                                              ┌──────────────────────┐
                                              │ Luisa                │
                                              │ Angela               │
                                              │ Sofia                │
                                              └──────────────────────┘
┌──────────────────────┐  ┌──────────────────────┐
│ Michael Vaccari      │  │ Simone Robertson     │
│ b. Melbourne, Victoria│──│                      │
└──────────────────────┘  └──────────────────────┘
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7.1 First generation

Gualtiero Vaccari was born on 12 April 1894 to Carlo and Olinda Vaccari, in the village of Sant'Agostino (province of Ferrara), in the north-central Italian region of Emilia Romagna. He was the second of five children; Laura, Gualtiero, Tina, Albino and Gaetano, and the eldest son. His parents were modest middle class farmers and merchants. As he grew up, he studied at the Royal Technical School at Finale Emilia (Modena) and the Royal Institute of Commerce in Bologna. He was employed as a junior accounting clerk at the Cooperative Bank of Bologna, but he was aware that without influential family connections he had few prospects of a good career.

Following the footsteps of his great-uncle Albino Vaccari (1830-1903) who arrived in Melbourne in 1855 and later lived in Bendigo, Gualtiero left his home village on 6 October

1912, sailing on the *SS Roon* and arriving in Melbourne on 8 November 1912, where he lived and worked for 66 years.

For the first six years in Melbourne, Gualtiero worked as assistant for the Italian Honorary Consul, and, studying at night, he qualified as an accountant in 1916. In 1918 he launched his own import business of flavoured food oils and women's apparel. In 1921 he founded *G. Vaccari & Co*, which acted as an agent for other companies.

In the late 1920s his brother Gaetano arrived in Melbourne and worked alongside Gualtiero for many years. The firm *G. Vaccari & Co*. then began to diversify its business, forecasting new emerging trends such as the boom in the automobile industry. He began importing ball and roller-bearings from Italy *(RIV)*, acted as the sole distributor for *FIAT* motor vehicles in Australia and New Zealand and continued to import synthetic fabrics (*SNIA-Viscosa*) and cotton goods (*Manifatture Cotoniere Meridionali*) as well as oils and essences. In 1934 his firm imported goods worth over 100,000 pounds sterling annually from Italy.
Although his business suffered a downturn during the War, he was able to survive mainly due to a very diversified portfolio of property and blue-chip share investments accumulated throughout his working life. By the mid 1930s, *G. Vaccari & Co.* controlled more than half of the total Italian imports into the State of Victoria.

For 35 years the business premises were at 90 Queen Street, in the Melbourne city centre. In 1962, the Vaccari business moved to La Trobe St and became a proprietary company. In 1972 the company moved to Brunswick, and it acted as a migration agency licensed by the Commonwealth.

In 1937 during his return trip to Australia, at the port in Naples he met young Elda Nicoletti, then 25 years old, from Vervo, Trento (in the Trentino region, north east Italy). They married, after a decade of friendship, in Launceston, Tasmania, on 14 October 1946. In July 1939 he became an Australian citizen.

During and after the war period with Italy (from June 1940 – September 1943), Gualtiero became a leading figure in the Melbourne community. He had close ties to the Catholic Archdiocese of Melbourne, and on the recommendation of Archbishop Daniel Mannix, in November 1943, the Federal Government appointed him as an honorary liaison officer for the Italian community in Australia.

Together with his wife Elda they dedicated themselves to causes within the Italian Australian community of Melbourne, and in 1966 established the Committee for Assistance of Italians (CO.AS.IT), based in Carlton. He also established the Gualtiero Vaccari Family Foundation in 1972. Following years of tribulations, the Foundation established the Villaggio Anziani Gualtiero Vaccari –Vaccari Home for the Aged (now renamed San Carlo Homes), opened in South Morang on 25 February 1979.

The Vaccari Family Foundation has also endowed a Chair of Italian studies at La Trobe University, and established the Elda Vaccari Hostel at North Fitzroy and the Vaccari Italian Historical Trust.

Gualtiero Vaccari was awarded the honour of *Cavaliere della Corona d'Italia* (Cavaliere of the Crown of Italy) by the King of Italy in 1936, appointed a *Comandante* (Commander) in 1955, and a *Grand'Ufficiale* (Grand Officer) of the Order of Merit of the Italian Republic. He died of a heart attack at his Toorak home on 9 September 1978, aged 83. His widow, Elda passed away on 7 August 2007, aged 85.

7.2 Second generation

Gualtiero and Elda's two children, Carlo and Franco, spoke fluent Italian in the home, and as they grew up, worked alongside their father, in different roles. They worked hard, with their father supervising them closely and meticulously.

Franco has eventually carried on his father's business, *G. Vaccari & Co,* and after 30 years of activity, the firm has stopped importing synthetic fabrics, and is concentrating on property development and investment, and the bearings business.

Franco has also taken responsibility for his philanthropic commitments, with the creation of a chapel at Royal Melbourne Hospital, the donation of a collection of books and the Vaccari Vertical File project (1997 – 1999) to Victoria University, and the establishment of the Scotch College Language Centre, among others.

Franco married Rosalie Cox in Melbourne on 4 July 1975 and they have four children: Luisa, Angela, Michael and Sofia.

Carlo, Franco's brother, has assumed responsibility for the electrical transformer business *Transformers Manufacturing Company (TMC)* which was established by Frank Nicoletti, Elda's brother. Carlo has now expanded the business into Europe and Latin America, with plants in Melbourne, Milan, Bilbao and Buenos Aires.

7.3 Third generation

Michael Vaccari attended Scotch College in Melbourne and later Geelong Grammar Boarding School, continuing with tertiary studies and majoring in Agribusiness.

His work experience includes working with Elders, a large agricultural company in Hamilton in rural Victoria, and then as a Grain Trader with the Costa Group in Geelong, buying and trading grain, dealing with the Asian, Indian and European markets.

Michael works part-time on the family farm, situated west of Geelong. He is currently considering entering the family business full-time. In 2008 he married Simone Robertson in Melbourne.

Appendix 2

A Brief History of the Italian Migration to Australia and its Descendants

This brief history of the Italian migration to Australia sets the background for the genealogical work of this thesis, providing an overview of the first generation migration process and the effects on its descendants.

1. The migration process

Italy's history as a land of migration generally refers to the period between 1861 and 1973. The year 1861 refers to the Census held following Italy's unification, which was the first official record of Italian emigration. According to Golini and Amato (2001), over a period spanning just over one hundred years, close to 30 million Italians left their small village or town in Italy bound for other parts of the world. Approximately half migrated to European countries north of Italy (England, France and Germany), the rest to the United States and South America, due to their proximity to Europe, (in the case of South America due to the similarity of the language and culture), but also later to Canada and Australia.

By 1900, it is estimated that 1,037,787 Italians had migrated to the US, 760,000 bound for various South American countries (Livi-Bacci 1961) while only 5,660 to Australia (Price 1960). Most migration occurred from particular regions, two fifths from southern Italian regions, in particular Calabria, Sicily and Abruzzi, and from one main northern region, Veneto. Migration to Australia began prior to World War 1 and continued incessantly till 1960s. Emigration then declined sharply as Italy's economy improved. Italy is now, more recently, a land of immigration. The arrival of the first Europeans in Australia goes back to two centuries ago. Apart from the Chinese immigration of the 19th century, and the original Australian Aboriginal population, the Italians were among those first groups of non-English speaking background (NESB) migrants to settle in this continent, and are the largest non-British ethnic group in Australia (Australian Bureau of Statistics 2006). Italian migration to Australia took place largely within three historic periods: from the end of the 1800s to the beginning of World War 1, during the period between the two World Wars, and after World War 2.

2. Italians in Australia

Following the British settlement of Australia, Italians began to arrive in Australia after the unification of Italy, in the second half of the 19th century. Until the twentieth century, Italy was largely a rural country, with the northern regions characterised by higher levels of production and income than the ones in the south. The majority of its population was

employed in the agricultural sector, either locked into the feudal *mezzadria*[1] system where the peasantry cultivated the land for a landlord, on condition of receiving a share of the farm produce, or as a tenant, paying a fixed rent on the land that he and his family worked. The land was therefore distributed within a relatively small group, with a large proportion of the population being landless. Where the family owned a small plot of land it was very difficult to sustain the numerous children in large families. The poverty experienced among the peasantry does not, however, fully explain why the rate of emigration varied widely from region to region, and from province to province. Some scholars argue that the real reason relates to the different systems of land tenure, and in the contrasting feelings of individualism and solidarity which developed among the peasants (MacDonald & MacDonald 1956; Carsaniga 1989).

At that time, increasing population, overwhelming economic, political and social changes, widespread unemployment in the industrialized countries of Europe, combined with agricultural depression and heavy system of taxation, as well as a high level of illiteracy, made life very difficult for the Italian peasantry. The "total impact of such factors left rural Italians with meaningful decisions to be made" (Bell 1979, p. 180). Young unemployed Italians were forced to look further away for more advantageous opportunities in more distant lands, deciding that migration was their only, often desperate choice. As Azavedo (1975, p. 43) points out, "the abandonment of one's place of origin through emigration is never spontaneous, but, on the contrary, it results from existing living conditions which are difficult to bear".

According to the 1901 census the Italians in Australia were distributed as follows:

Table 1: Distribution of Italian population in Australia according to 1901 census

State	Males	Females	Total
New South Wales	1243	334	1577
Victoria	1289	236	1525
Western Australia	1296	58	1354
Queensland	708	137	845
South Australia	293	34	327
Tasmania	42	8	50
Total	**4871**	**807**	**5,678**

Source: Cresciani, 1985, p.44

Overall, during the period beginning from the British colonization until World War 1, it is estimated that the number of Italians who arrived in Australia was somewhere between 100,000-125,000, many of which later returned to Italy. Migration was often seen as a necessity, other times as a possibility for better living conditions, more work

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[1] *Mezzadri*a system: An association between the landowner and the peasant family for the cultivation of the farm, based on the principle of dividing the produce theoretically half and half, with the peasant family providing the labour.

opportunities, a chance to increase their income and provide a better future for themselves and their families. They believed they could achieve financial success in a more prosperous land (Baldassar & Pesman 2005, p. 25). They left at an early age, in their prime, to work the land or in factories and put their skills to good use in a new developing country. Some ventured to Australia encouraged by stories related orally by relatives and friends who had travelled abroad and returned, or through chain letters, by those living and working overseas (Templeton 2003), about fortunes that could be made in the new land without frontiers, the land of riches and gold. So they gathered and mobilized their resources, sometimes pooling all the little family wealth to pay for their passage, with the intention of repaying the family one day soon. They arrived in a new and unknown country after tremendous efforts with little or no money, with very little luggage, but with great "courage in their cases" (Loh 1980). Their integration into the emerging mainstream society, however, proved difficult. At this time, as a British colony, Australia developed a closed society, dependent on the British government, distrustful of new immigrants, and protected by its Immigration Restriction Acts passed at the time of Federation (1901).

3. Between the Wars

The number of Italians migrating to Australia increased in the early 1920s, with a further increase in the early 1930s following World War 1. At this time the Italian economy was unstable, both politically and economically, facing serious post-war employment problems, when it was hit by the Great Economic Depression. Due to the number of Italians who had already settled in the US, this would have been the preferred destination for many Italians. However migration to the United States became impossible as the US government States passed two laws implementing restrictive immigration policies which closed its immigration borders (in 1921, as temporary measure to limit the number of immigrants, under the leadership of Senator Charles Dillingham, and in 1924, on a permanent basis, with the National Origins Act, usually referred to as the Johnson Act). This caused the migration flow from Italy to move towards other parts of the world, such as Canada and Australia, paving the way for the mass migration which occurred following World War 2.

As shown below in Table 2 the bulk of Italians migrating between the two wars came particularly from the regions of Veneto and Lombardy (in northern Italy), and Calabria and Sicily (in southern Italy)[2]. They came predominantly from the Italian countryside, from the villages and small towns of less than 10,000 inhabitants, where they lived and worked as peasant workers or as simple artisans, with a peasant outlook and culture closely associated to religion and the celebration of feasts, and to the planting and gathering of their crops, with strong values associated to the family (Pascoe 1987). However, due to poor government documentation, data on the occupations of the emigrants are difficult to

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[2] Italy is generally divided into three major parts, north, centre and south, and is administratively divided in 20 regions, each region subdivided into provinces. Each region has its own history, customs, traditions and dialect (a variety of the Italian language)

evaluate as most emigrants were classified in broad categories with unclear distinctions of skills and remuneration, such as 'Rural Work' and 'Industrial and Artisan Work'.

Table 2: Percentage distribution of Italian migrants by region of origin [3]

Region	1990-19 (to Oceania)	1920-39 (to Oceania)	1950-62 (to Australia)
Piemonte	8.7	7.0	1.1
Lombardy	45.8	12.1	2.3
Veneto	7.7	25.2	10.2
Total North*	**64.1**	**47.4**	**25.2**
Total Centre	**5.1**	**4.3**	**8.6**
Abruzzi-Molise	0.6	2.8	11.9
Campania	2.3	2.1	9.2
Calabria	1.8	14.0	21.0
Total South*	**10.2**	**23.7**	**47.4**
Sicily	20.3	24.3	18.3
Total Insular*	**20.6**	**24.6**	**18.8**
ITALY	100.0	100.0	100.0
Numbers	**14,853**	**48,280**	**226,045**

The total Centre includes regions not shown separately. Source: Price 1963, p.6

Prior to migration, Italian families mostly tended to live in close-knit families or extended families, with complex and strong kinship ties. To some extent, *campanilismo*[4] (the local attachment to those who came from the same township and village) was more crucial and influential in determining the longer-term development of Italian communities in Australia and other parts of the world than regional affiliations (Baldassar & Pesman 2005; Price 1960; Jones 1962). Initially young males left their village individually, often at a very young age, gradually settling successfully into occupations as timber-cutters, miners, fishermen, market gardeners, restaurant proprietors or in other occupations where success was based on hard work, rather than capital or fluency in English. They then encouraged and supported other male members of their close or extended family to migrate, thus building up small communities of *compaesani* (fellow villagers), male Italians from the same village or region, usually working in the same industry and geographic area. Upon leaving Italy, they went through a process of emigration (leaving their country), then immigration (arriving in a new country) and settlement in the new country and within a new society, having to rebuild new networks, new settlements, and new nuclear family ties (Bertelli 1985b). This created tight structures of support, mutual aid and strong social bonds, vital

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[3] Based on Lancaster Jones 1964a.

[4] *Campanilismo* refers to a complex cultural concept, particularly relevant to small communities, that describes people's attachment to place or spatial self-identity. In its simplest translation it means localism or parochialism. It stems from the term *campanile* – bell tower. The meaning of the word (which might be translated literally as *bell-towerism*) derives from the theory that, historically, the church bell tower was the focal point of every town and therefore an expression of the inhabitants' community identity (Baldassar & Pesman 2005, p. 39).

not only for the immediate settlement, but also for the longer-term development of close and supportive networks and communities (Jones 1962, 1964). At a later stage, wives and families joined them. This network is known in migration theory as *chain migration* (Price 1960, 1963).

Chain migration has played a very significant role in the settlement of Australia (also of USA, NZ and Canada). It encouraged group solidarity (leading to strong support networks) and formed the basis of the successful social structures and business practices of the Italian immigrants. Chain migration occurred in stages, initially with the arrival of a single individual, followed by a relative or friend from the same village. Gradually a group of *compaesani* (usually young men from the same village or small town) were encouraged to arrive, work in the same industry and live in close proximity. Once the men became more geographically settled and more economically secure, they would settle into a more permanent relationship, or would bring out their families to join them, forming stronger and wider community bonds, then encouraging and supporting other relatives and *compaesani* to follow them to Australia. Chain migration thus formed the basis of early and post-war Italian migration to Australia (Baldassar & Pesman 2005; Price 1960, 1963; Ware 1981).

Italian migrants who arrived in the 1920s and 1930s initially found it difficult to obtain work in Australian cities and moved to the countryside where they worked as farmers, agricultural labourers growing vegetables, tobacco and vines, as timber cutters, miners and itinerant construction workers. The early settling Italians "tended to follow a fairly narrow range of occupations – restaurants, fruit and vegetable growing and vending, fishing, cane cutting and farming, and to some extent mining and timber cutting" (Borrie 1954, p. 57). Ruzzene Grollo (2004) documents the presence of an early Italian mining community in Cooper's Creek, Victoria (1920s-30s). Until the late 1940s, the majority of Italians settled in rural Australia, concentrating in particular areas of Queensland, New South Wales, Victoria and South Australia, the majority being in Queensland.

4. Italian mass migration: Post World War 2 –1960s

At the end of World War 1, the Italian economy had been destroyed, approximately 3 million Italians were unemployed, parts of Italy were underdeveloped, with scarce food. Australia, at the end of World War 2, had suffered the effects of the two Wars and the Great Depression, had a population of approx. 7.5 million, a relatively low population, and was seeking to rebuild the country and save it from future invasions. It was largely a homogeneous Anglo-Saxon country with only 9 per cent of its population born overseas and less than 3 per cent had been born in non-Anglo-Saxon countries. Following World War 2, Australia embarked on one of the largest programs of mass migration ever seen, aiming to supply a labour force which would support its economic redevelopment. In his memorable speech made to the Australian Parliament in 1946, Arthur Calwell, the then Minister for Immigration stated "It is my hope that for every foreign migrant there will be ten people from the United Kingdom", aiming at Britain supplying 140,000 immigrants

which were needed annually. Coloured immigration was still not considered. The Australian government was zealously protecting its homogeneous Anglo-Saxon society through the *White Australia Policy*, which was intended to stop immigration from any non European country, giving preference to British and Northern Europeans. Due to a number of reasons, Britain was unable to supply the required number of immigrants, so refugees from Eastern Europe, Poland and the Baltic States were allowed in. This opened the doors for a rethink of the immigration policy, and in the 1950s Australia signed agreements with the Italian government, thus opening the doors to a large influx of Italian immigrants. This strategy proved highly successful: in 1947 only just over 33,000 persons, or 0.4 per cent of Australia's total population had been born in Italy, but by 1961 the number had increased to over 228,000 (2.2 per cent) Italians. Table 3 below reports the most recent data regarding Italian migrants born in Italy.

Table 3: Number of Italian-born inhabitants in Australia

Year	Number of Italy-born immigrants in Australia
1901	5,678
1921	8,135
1933	26,756
1947	33,632
1954	119,897
1961	228,296
1971	289,476
1976	280,154
1981	284,983
1991	253,332
1996	238,246
2001	218,718
2006	199,124

Note: In 1971 Italy-born immigration to Australia reached its peak of 289,476.
Source: 1961 Census - 2006 Census. The most recent census has been completed in August 2011.

After 1946, when Australia began to accept non-British migrants, Italian migration began to have a marked influence on this country (Castles 1992). The migration pattern was the same: they were joined firstly by their *compaesani* (fellow villagers and townspeople), forming small Italian communities. Later, when it became possible in financial terms, their families joined them, and this encouraged them to move to the larger cities where work opportunities in an expanding new market were greater and competition low. It is estimated that during the period 1947 – 1980, 272,070 Italian-born Italians arrived in Australia, predominantly between 1951 and 1961, the peak period of Italian immigration, with an increase in the proportion of migrants from the south of Italy. This represented

9.3 per cent of the total foreign-born gain and just over half of the Southern European-born gain (Ware 1981).

The main areas of Italian settlement in Australia were, once again, Victoria, NSW and Queensland. In 1933, 61 per cent of the Italian ethnic population in Australia was living in rural areas with concentrations in several of the sugar towns in North Queensland (such as Ingham), in the Murrumbidgee Irrigation Area (Griffith, NSW) and along the Murray (Cobram and Mildura, Victoria). In the post-war period the balance of sexes became more even, and the number in larger towns and cities increased gradually, thus providing a variety in the occupations and the industries in which they worked. By 1961, the trend had reversed, with 71 per cent living in urban centres. Burnley (1972) calculated that by 1966 approximately 83 per cent of the Italian population in Victoria lived in the metropolitan area of Melbourne, in and around the inner city or in the industrial suburbs in the western suburbs. A similar situation existed in Sydney. The Italians were the third most concentrated group in Melbourne (after the Maltese and Greeks), while in Sydney they were the fifth most concentrated group (after the Greeks, Maltese, Polish and Yugoslavs) (Burnley 1972, 1985).

5. Migration post 1960s

From the beginning of the 1960s Italian migration to Australia had decreased dramatically. In the decade 1966-1975 only a few thousand Italians arrived, with only 1,633 Italians arriving in 1978. The newly tightened migration policies of the 1970s meant that immigration from Italy was made more difficult, thus it continued to decline to a few hundreds every year. The new type of migrant was different, socially and politically more prepared, mostly in possession of tertiary and professional qualifications. Their experiences and their expectations were different to those of the Italians who preceded them. They chose to migrate in order to gain new experiences, for personal enrichment, not for reasons of basic survival. Due to the number of migrants returning to Italy, and an ageing Italian community, the overall number of Italians in Australia is decreasing.

6. Italian-born Australians

Since the mid 1970s the two main characteristics of the Italian community in Australia have been, the rapid ageing of the first generation, and a second generation of Italian-Australians[5] which has quite successfully integrated into the mainstream society. The socioeconomic mobility experienced by this second generation emphasises the success of the migration process if we consider that this was one of the basic reasons why their parents decided to migrate for a better future for their children. The Italian-Australian community is now experiencing the latest phase of its development, a new, young, third

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[5] First generation (Australians) - people living in Australia who were born in Italy.
Second generation (Italian-Australians) - Australian-born people with at least one parent born overseas.

generation. Since the 1970s there has been a constant decline in the number of Italian-born Australians (Ruzzene & Battiston 2006).

7. The Italian-Australians (Australian-born of Italian ancestry)

Although the Italian-born population in Australia has been decreasing steadily over the last three decades, the number of Italians of Italian ancestry (Italian-Australians of second, third, and subsequent generations) has been increasing. The number of Italian-Australians registered a constant increase between the years 1976-1996. The period 1996-2001 registered a higher increase (73 per cent), mainly due to a change introduced in the Census question on ancestry which reflected more precisely the current trends. According to the 2006 Census, 199,124 persons living currently in Australia were born in Italy. In the same Census, 852,417 persons identified themselves as having Italian ancestry, either alone or in combination with another ancestry. This means that approximately 4 per cent of Australia's current population has Italian origins. Italian is now the fifth most identified ancestry[6] in Australia behind Australian, English, Irish and Scottish. Italian is the second most utilised language at home, with 316,900 speakers (or 1.6 per cent of the Australian population) (Australian Bureau of Statistics 2006, Census). Italian-born Australians live in every Australian town and region, with the highest numbers in Victoria (82,851) and NSW (55,172), and a disproportionate concentration in Victoria (41.6 per cent compared to 25 per cent of the general Australian population) and South Australia (11.3 per cent compared to 7.6 per cent). In 1976, 42.0 per cent of Italian-Australians resided in Victoria, 27.8 per cent in New South Wales, and 6.6 per cent in Queensland (Ruzzene & Battiston 2006). This general trend continues to the present.

Second generation Italian-Australians are formally better educated than their parents, being much closer in educational achievement to the host society than the first generation (Birrell & Khoo 1995). In 1991, on a standardised basis, 7 per cent of Italian-Australians had a bachelor or higher degree compared to 4 per cent of the Italian born. From the statistics it appears that generally, second generation Italian-Australians are not only better educated than the overseas born, but are also better educated than the rest of the population. This trend continues with higher proportions of better educated third generation Italian-Australians (Khoo & Lucas 2004). The trend reflects the emphasis that Italian parents generally place on education for their children (Australian Bureau of Statistics 1991).

The Italian-Australian community that traditionally closely bonded in defined places and provided a sense of identity by developing its own language and rituals, is slowly disappearing as a distinct separate culture as its rituals and lifestyle become absorbed into the mainstream Australian culture (Pascoe 1992b). According to national trends, it is predicted that residential concentrations of Italians/Italian-Australians in the various cities will decrease in third and subsequent generations. However a strong attachment to the

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[6] Italian ancestry – having at least one Italian-born parent, or grandparent or ancestor.

family and to place sentiments may affect these generations at a local level, thus promoting a desire to retain their own sense of Italianness (Pascoe 1992b; Alexakis & Janiszewski 1998). As Baldassar states, "Migrancy is not simply about geographical movement, but cultural continuity, discontinuity and transmutation" (2001, p. 10).

8. Italians in the Australian workforce

The majority of Italian migrants chose to migrate, and selected Australia as their second home. The basis of their decision was the financial need: they came basically in order to provide a better and more comfortable life and future for themselves and their families. Australia was perceived as the new Eldorado. In Australia they worked hard, accepted any occupation, often working as itinerant rural labourers, as long as they could see the opportunity for improving their life. An analysis of the occupational distribution of Italians in the 1954 census reveals a high proportion of Italian migrants of working age, and a high proportion of males compared to women (80,026 males and 39,617 females). The Italians who migrated to Australia in the post-war period were mostly classified as unskilled, without professional qualifications. These unskilled migrants however possessed multiple skills, such as carpentry, bricklaying, plumbing (building and construction), farming, fishing, and should be best described as peasant workers (Holmes 1989). As Price (1963) points out, a significant number of southern Europeans moved into the agriculture, building, mining, food and hospitality industries, as well as in the areas of "fishing, commerce, and some of the skilled trades – tailoring, cabinet-making, shoemaking, hairdressing, terrazzo-paving" (p. 156).
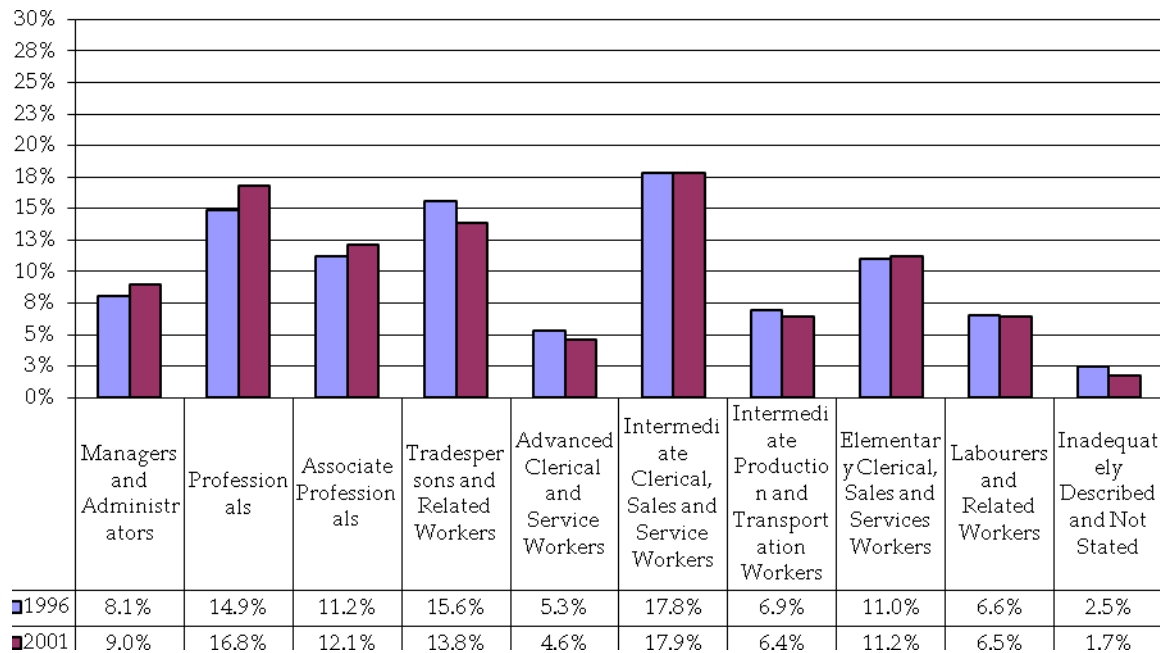
Until the beginning of World War 2, the Italian migrants were predominantly employers, craftsmen and shopkeepers, rather than employees: in 1921 the ratio was two to three, in 1933 it was seven to nine, and in 1947 it was ten to nine (Gentilli 1973). However, the arrival of larger numbers of migrants post-World War 2 reversed this ratio, to one employer or craftsman for every four employees (Zubrzycki 1960, 1968). This is reflected in the Censuses of 1947 and 1971, which show marked contrasts, with over 50 per cent of Italians employers or self-employers in 1947, but fewer than 20 per cent in 1971. Between 1963 and 1972, 69 per cent of Italian migrants were classified into one of the following 3 groups: labourers or process workers, fishermen, farmers, and craftsmen. Their degree of fluency in English and their educational levels were low, with a large proportion of Italian migrants having only primary schooling or no formal schooling at all (males 51 per cent and females 50 per cent) whilst only a very small percentage had a tertiary education (males 0,5 per cent and females 0,02 per cent) (Australian Bureau of Statistics 1966). Employment for the majority of Italian migrants in Australia was in the industrial sector, in the textile industry, construction, food and agriculture. The 1966 census notes a relatively high proportion of Italian males who were classified as employers or self-employed (19 per cent of Italian born, compared to 15 per cent Greek-born, and 12 per cent British born).

During the period 1963-72, Italians created new businesses, often related to their occupational backgrounds in their country of origin, such as restaurants, market-gardening, construction companies, (terrazzo workers, concrete pavers, building construction), supporting the trend of creating work and jobs for other Italians who migrated later (chain migration). Some started working in the emerging factories of the time, changing their profile from peasant workers and labourers to factory workers, shopkeepers and small industrialists. In the 1981 census, a significantly high percentage of Italian-born (52.6 per cent) were recorded as qualified and semi-qualified tradespersons, artisans or simply labourers (national average 28.1 per cent). Significant also is the number of Italian born immigrants who worked in administrative positions in the public and private sector, even though below the national average (4.2 per cent compared with 5.3 per cent). Missing is a strong presence in the professional category (only 3.6, compared with the national average of 14.2 per cent) (Bertelli 1983). Census between 1996-2001 reveal that the most popular occupational categories were: tradespersons (20.2 per cent in 1996, 19.2 per cent in 2001), labourers (13.7 per cent in 1996, 12.4 per cent in 2001) and managers and administrators (11.6 per cent in 1996, 12.1 per cent in 2001) (Ruzzene & Battiston 2006). The industry areas in which Italian born Australians have made a most marked contribution are: hospitality, building and construction, mining, services (such as hairdressing), fashion, entertainment (cinemas), agricultural farming, vineyards & wine, and fishing.

9. Occupations of Australian born of Italian ancestry

Occupation trends related to Australians of Italian ancestry over the years 1971-2001 reveal the upward mobility of second and subsequent generations, with a growth in the higher skilled employment (professional-technical and administrative, executive and managerial positions), and a decrease in low-skilled employment positions (tradesmen and production-process, transport and communication workers). A particularly marked change in the workforce occupations of Italian-Australians occurred in the generational shift of the 1980s and 1990s: in 1971 Italian-Australian managers and administrators represented 21 per cent of the total population of Italian-Australians, whilst in 1986 this increased to 40 per cent, and in 2001 up to 73 per cent (Ruzzene & Battiston 2006, p. 54).

Figure 1: Employed Australian-born of Italian ancestry (a) aged 15 and over, by occupation category (as recognised in the Census), in percentages of the entire population of working Australian-born of Italian ancestry aged 15 and over, 1996-2001.

	Managers and Administrators	Professionals	Associate Professionals	Tradespersons and Related Workers	Advanced Clerical and Service Workers	Intermediate Clerical, Sales and Service Workers	Intermediate Production and Transportation Workers	Elementary Clerical, Sales and Services Workers	Labourers and Related Workers	Inadequately Described and Not Stated
1996	8.1%	14.9%	11.2%	15.6%	5.3%	17.8%	6.9%	11.0%	6.6%	2.5%
2001	9.0%	16.8%	12.1%	13.8%	4.6%	17.9%	6.4%	11.2%	6.5%	1.7%

Australian-born with at least one Italian-born parent (1996 Census); Australian-born stating 1st or 2nd Italian ancestry response (2001 Census).
Source: 1996 to 2001 Census – customised data. (Source:Ruzzene & Battiston, 2006, p.58).

The study on ethnic small business in Australia conducted by Collins and colleagues (1995), outlining partly the contribution of Italians to the retail sector, shows that the entry of the first generation into the small business market contributed to the mobility of the first generation, which later contributed to the high longitudinal mobility of the second and subsequent generations educated in Australia.

10. Italians in Victoria

The 1933 census showed that there were 5,860 Italians in Victoria. The majority of those who settled in Melbourne came from the northern Veneto region and lived in and around Carlton because of its proximity. Many worked in retail, as greengrocers, shoemakers, tailors, barbers, bakers, others were in construction, terrazzo paving, often catering for their own community's needs. 52.8 per cent were self-employed, with their own business. Between 1947 and 1961 Italians in Victoria increased from 8305 to 91,075. Once their families joined them, many migrants moved to the larger towns, in particular Melbourne. There they found employment in industry (in particular automotive, engineering, textile

and fashion, and food production), infrastructure and construction, and in the service industry.

By the 1960s concentrations of Italian communities were to be found in the inner suburbs such as Brunswick, Preston, Coburg, Essendon, and Oakleigh, and other regional areas such as Myrtleford (tobacco), Shepparton and Mildura (fruit). The inner Melbourne area was particularly attractive as it provided affordable accommodation such as in boarding houses run by Italian families, and work opportunities in factories in the area. Later, with expanding employment opportunities, Italians moved out of the inner suburbs, establishing communities in what became Brimbank, Darebin, Hume, Manningham, Moonee Valley, Moreland, Monash and Whittlesea (Census 2001). Their networks increased, with Italian regional clubs and associations, and the Italian language newspaper *Il Globo*, still published today.

The number of Victorians born in Italy peaked at 121,000 in 1971 and then declined as migration from Italy then declined. In the 1980s, 42 per cent of Italians resided in Victoria, and 28 per cent in NSW. Italians still form the second-largest immigrant community in Victoria after the English (British, Scottish & Irish) community, with 82,851 Italy-born people recorded in the 2006 Census. At present, over two thirds of Italians continue to live in Sydney and Melbourne. The implications are evident: in Sydney and Melbourne there is a definite Italian presence, thus the experiences of the Italian migrants, in particular the maintenance of traditions, regional festivities and of the Italian language, is facilitated, compared to the experiences of Italians who are more isolated, where the sense of Italianness is not as strong and the presence of an Italian community is not as evident. The maintenance of the Italian culture is easier in these two big cities and it is here that the links with Italy, through the Italian authorities and Associations, is concentrated.

11. Benefit of migration

The vast majority of Italians has benefited greatly from migrating to and settling in Australia "in economic terms but also in social terms as represented by freedom, social mobility, educational opportunities, comparatively harmonious social relationships and situation of peace" (Australian Population and Immigration Council 1977, p. 54). But there have also been benefits to the Australian-born population from the arrival of migrants "through, for example, a richer life style and a greater degree of choice in many areas. In terms of general employment, immigrants have also supplemented shortfalls in the labour force "generally and in particular occupations" (Australian Population and Immigration Council 1977 p. 54). The Italians who migrated pre-World War 1 and post-World War 2 were highly entrepreneurial and their contribution has been significant. Although they had a low level of education, they possessed high levels of farming skills and survival skills which they successfully transferred into their new environment.

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Appendix 3

Ethics Clearance Approval

Approval confirmation letter from Swinburne University's Human Research Ethics Committee in relation to the ethics application for the present research submitted to the committee.

_____

SUHREC Project 0708/090 Ethics Clearance

To: Dr Michela Betta/Ms Laura Hougaz, FBE

Dear Michela and Laura

SUHREC Project 0708/090 Italian-Australian Entrepreneurs and Family Dynasties in Victoria, Australia

Dr M Betta FBE; Ms Laura Hougaz
Approved Duration: 22/10/2007 To 31/12/2008

Ethical review of the above project protocols was undertaken on behalf of Swinburne's Human Research Ethics Committee (SUHREC) by a SUHREC Subcommittee (SHESC4) at a meeting held 19 October 2007.

I am pleased to advise that the project was approved as submitted. The standard on-going ethics clearance conditions are as follows.

- All human research activity undertaken under Swinburne auspices must conform to Swinburne and external regulatory standards, including the current National Statement on Ethical Conduct in Research Involving Humans and with respect to secure data use, retention and disposal.

- The named Swinburne Chief Investigator/Supervisor remains responsible for any personnel appointed to or associated with the project being made aware of ethics clearance conditions, including research and consent procedures or instruments approved. Any change in chief investigator/supervisor requires timely notification and SUHREC endorsement.

- The above project has been approved as submitted for ethical review by or on behalf of SUHREC. Amendments to approved procedures or instruments ordinarily require prior ethical appraisal/ clearance. SUHREC must be notified immediately or as soon as possible thereafter of (a) any serious or unexpected adverse effects on participants and any redress measures; (b) proposed

changes in protocols; and (c) unforeseen events which might affect continued ethical acceptability of the project.

- At a minimum, an annual report on the progress of the project is required as well as at the conclusion (or abandonment) of the project.

- A duly authorised external or internal audit of the project may be undertaken at any time.

Please contact me if you have any queries about on-going ethics clearance. The SUHREC project number should be quoted in communication.

Best wishes for the project.

Yours sincerely

Keith Wilkins
Secretary, SHESC4

Appendix 4

Introductory Letter sent to Research Participants

Swinburne University of Technology
Faculty of Business & Enterprise

Letter sent to the Participants following an initial phone call and discussion outlining the project.

Project Title: ITALIAN-AUSTRALIAN ENTREPRENEURS and FAMILY DYNASTIES IN VICTORIA, AUSTRALIA

(date)

Dear ……………,

This letter is a follow-up to our phone conversation of [date] to verify our appointment for [time and date and place].

As mentioned in our phone conversation, I am currently undertaking research for my PhD thesis. The purpose of the research is to identify successful strategies for both growth and business succession for ten dynastic Italian emigrant family businesses of Victoria.

A number of Italian-Australian entrepreneurs in Australia have established successful entrepreneurial activities and successful family dynasties. The study will attempt to capture the experiences that have facilitated the development of self-employment and entrepreneurial activity across three generations.

The outcome of this study will be a general typology of successful strategies for growth and family business succession. I expect the typology to provide the key success factors for successful multi-generational ethic entrepreneurial family businesses.

The collection of data for the project will be conducted in two separate stages.

Stage 1

Stage 1 involves an initial meeting. At our meeting I will help you to complete a questionnaire. This questionnaire will provide general details about your personal background and your business. A copy of the questionnaire is attached.

At this meeting I will also ask you to sign an Informed Consent Form that ensures both confidentially and privacy by the research protocol. In addition the Informed Consent Forms will indicate that:

- all questions about the research have been answered to your satisfaction
- your participation in the research is voluntary
- you may withdraw from the research at any time and all the information you have provided will be destroyed.

Informed consent also means that you agree:

- to the meeting and discussions to be audio recorded
- for transcripts to be made of these recordings
- to your name and names of your companies being used in any publicly presented report of the research
- to authorize use of an agreed text of your contribution to the research.

Stage 2

Stage 2 will comprise a follow-up interview which will involve discussions which will be conducted at a location of your choice, and I envisage that the interview will take one hour. A copy of the questions is attached.

If you have any questions regarding this project please feel free to phone me on (03) 9416 1355 or my supervisor, Dr. Michela Betta, in the Faculty of Business & Enterprise, Swinburne University of Technology, on (03) 9214 5339.

I look forward to our meeting,

Ms. Laura Hougaz   Dr. Michela Betta
PhD student   Supervisor

Appendix 5

Informed Consent Form

Swinburne University of Technology
Faculty of Business & Enterprise

Please read, sign and return one copy to Researcher

Project Title: ITALIAN-AUSTRALIAN ENTREPRENEURS and FAMILY DYNASTIES IN VICTORIA, AUSTRALIA

The purpose of the research is to identify successful strategies for both growth and business succession for 10 dynastic Italian migrant families. A number of Italian-Australian entrepreneurs have established successful family dynasties into the third generation. The study will attempt to capture the experiences that facilitated the development of self-employment and entrepreneurial activity of these Victorian families.

The outcome of this study will be a general typology of factors for successful multi-generational ethic entrepreneurial family businesses to be published as part of my PhD thesis and possibility some co-authored publications.

INFORMED CONSENT TO PARTICIPATE IN RESEARCH

PLEASE READ AND SIGN:

- I have read and understood the project information statement.

- All questions about the research have been answered to my satisfaction.

- My participation in the research is voluntary.

- I understand that I may withdraw from the research at any time and all the information I have provided will be destroyed.

- I agree to answer the research questionnaire questions understanding that the answers to some questions may provide personal information that makes me identifiable.

- I agree to taking part in one or two interviews.

- I agree that the interview(s) can be audio recorded.

- I agree that typed transcripts may be made of the recording(s).

- I agree that the data collected may only be used for the purposes stated above.

- **I agree that my name and the name of my company or companies may be used in publications about this research**

  OR *(delete one)*

- **I agree that transcripts of the interviews will eliminate the names of individuals, organisations or places to ensure anonymity, confidentially and privacy of myself and others.**

Participant:

Family Name and first name (please print) ....

Signature... Date ....

Contact details

Email…………………………………………………………………………………………..

Mail address…………………………………………………………………………………

…………………………………………………………………………………………………….

Student Researcher:

Family Name and first name: LAURA HOUGAZ

Signature... Date ....

Please keep a copy of this Informed Consent Form for your records.

Please sign and return one copy to Researcher

Appendix 6

Questionnaires

ITALIAN-AUSTRALIAN ENTREPRENEURS and FAMILY DYNASTIES IN VICTORIA, AUSTRALIA

QUESTIONNAIRE for FIRST GENERATION

This Questionnaire comprises two sections.
Section A seeks to collect general personal data on the business owner. Section B concerns data related to your business.

Please note that this survey will only be used for the study undertaken as part of my PhD research and it does not capture any information regarding your business dealings. Should you feel uncomfortable with certain aspects of the questionnaire, I am happy to answer any questions that you may have, alternatively you may wish not to answer particular parts of the Questionnaire.

Section A - Personal data

Please indicate the following general information about you as the participant.

Please tick the appropriate response or fill in the blanks as applicable.

PART 1 - Personal details

Nationality _____	Nationality at birth (if different) _____	Place of birth _____	Ethnicity _____
Gender ○ male ○ female	**Marital status** ○ never married ○ married ○ divorced ○ widowed	**Age(years)** ○ 50-59 ○ 60 or over ○ deceased	
Partner's ethnicity ○ Italian ○ Australian ○ Italian-Australian ○ other (specify) _____	Offspring: gender and age Offspring no. 1: ○ male ○ female age _____ Offspring no. 2: ○ male ○ female age _____ Offspring no. 3: : ○ male ○ female age _____	Offspring no 4. : ○ male ○ female age _____ Offspring no. 5: ○ male ○ female age _____ Offspring no. 6: ○ male ○ female age _____	
Which language skills do you have?	○ Italian ○ English ○ other_____		

Level of English language skills that you have	○ Very low	○ Low	○ Moderate	○ High	○ Very high
Level of other language skills (apart from Italian) that you have	○ Very low	○ Low	○ Moderate	○ High	○ Very high

PART 2 - Pre-migration background

1. Origins

    a.   What region, city/town of Italy did you/your family live in?

_____

    b.   Did your parents receive formal education?

Father   ☐ Yes   ☐ No

Mother   ☐ Yes   ☐ No

If so, what level of schooling did they receive ?

Father   _____

Mother   _____

What work did your parents do?

☐ agricultural   ☐ trades   ☐other

Specify sector   _____

    c.   What level of formal education did you receive?

☐ began primary ☐ completed primary

☐ began secondary   ☐ completed secondary

☐ began tertiary   ☐ completed tertiary

☐ other (specify) _____

    d.   Were you married before you migrated?

     ☐ Yes   ☐ No

If so, did your wife/husband:
                ☐ migrate with you

        ☐ join you in Australia at a later date
           specify date _____

        ☐ never joined you in Australia

e. Did you have children in Italy before you migrated?

☐ Yes   ☐ No

If so, did your children: ☐ all migrated with you

☐ some migrated with you

☐ all joined you in Australia at a later date
specify date _____

☐ never joined you in Australia

2. Work

a. What type of work did you in Italy?

_____

For how long?   _____

b. Did your family run a 'family business'?

☐ Yes   ☐ No

If yes, please specify what type(s)   _____

c. How did you learn your work skills?

_____

3. Migration

a. Did you consider migration as

☐ an opportunity?   ☐ a necessity?

b. Were your migration (fare etc.) expenses paid by:

☐ yourself   ☐ a family member   ☐ a relative

☐ other (specify) _____

If your passage was funded, did you repay the loan ? ☐ yes   ☐ partly   ☐ no

How did you repay the loan: ☐ money   ☐ work   ☐ other (specify) _____

Section B – General information related to your business

Please provide the following general information about your business

1. Did you have relevant business experience before establishing your first business?	○ Yes ○ No
2. When did you establish your first business?	_____ years ago
3. Where did you establish your first business?	○ Melbourne ○ other (specify) _____
4. What was your first business?	○ restaurant ○ grocery ○ food supplier ○ retailing ○ manufacturing ○ importer ○ clothing ○ builder ○ concrete supply ○ real estate ○ funerary service ○ labouring ○ farming,(please specify sector) _____ ○ other (please specify) _____
5. What is your current *main* business?	○ restaurant ○ grocery ○ food supplier ○ retailing ○ manufacturing ○ importer ○ clothing ○ builder ○ concrete supply ○ real estate ○ funerary service ○ farming,(please specify sector) _____ ○ other (please specify) _____
6. Number of employees (excluding yourself) in your current main business	_____ employees

7. Extent to which English is used in your main business	○ rarely	○ sometimes	○ usually	○ often	○ always

8. Extent to which your ethnic language is used in your main business	⭕ rarely	⭕ sometimes	⭕ usually	⭕ often	⭕ always
9. When is your ethnic language is used in your main business?	⭕ clients	⭕ your staff	⭕ suppliers	⭕ training	⭕ international contacts

Thank you for your cooperation.

ITALIAN-AUSTRALIAN ENTREPRENEURS and FAMILY DYNASTIES IN VICTORIA, AUSTRALIA

QUESTIONNAIRE for 2nd/3rd GENERATION

This Questionnaire comprises two sections.
Section A seeks to collect general personal data on the business owner. Section B concerns data related to your business.

Please note that this survey will only be used for the study undertaken as part of my PhD research and it does not capture any information regarding your business dealings. Should you feel uncomfortable with certain aspects of the questionnaire, I am happy to answer any questions that you may have, alternatively you may wish not to answer particular parts of the Questionnaire.

Section A - Personal data

Please indicate the following general information about you as the participant.

Please tick the appropriate response or fill in the blanks as applicable.

PART 1 - Personal details

Nationality _____	Nationality at birth (if different) _____	Place of birth _____	Ethnicity _____

Gender ○ male ○ female	Marital status ○ never married ○ married ○ divorced ○ widowed	Age(years) ○ 20-29 ○ 30-39 ○ 40-49 ○ 50-59 ○ 60 or over

Partner's ethnicity ○ Italian ○ Australian ○ Italian-Australian ○ other (specify) _____	Offspring: gender and age Offspring no. 1: ○ male ○ female age _____ Offspring no. 2: ○ male ○ female age _____ Offspring no. 3: ○ male ○ female age _____	Offspring no 4. : ○ male ○ female age _____ Offspring no. 5: ○ male ○ female age _____ Offspring no. 6: ○ male ○ female age _____

Which language skills do you have?	○ Italian ○ English ○ other _____		

Level of Italian language skills that you have	○ Very low	○ Low	○ Moderate	○ High
What type of Italian language skills do you have?	○ Reading	○ Writing	○ Listening	○ Speaking

Level of Italian language skills that you have				
READING	○ Very low	○ Low	○ Moderate	○ High
WRITING	○ Very low	○ Low	○ Moderate	○ High
LISTENING	○ Very low	○ Low	○ Moderate	○ High
SPEAKING	○ Very low	○ Low	○ Moderate	○ High

Who do you use Italian language with ?	○ immediate family ○ extended family ○ friends ○ work colleagues ○ superiors

PART 2 - Background information

1) Family

    a. How many siblings were/are you in your family?

    ☐ one ☐ two ☐ three ☐ four ☐ five ☐ six

    b. Where did you live in your early years?

(name of suburb/town) _____

    Did the family home move suburb/town? ☐ Yes   ☐ No

If so, where to? (name of suburb(s)/town(s) _____

2) Education

    a. What level of formal education have you received?

☐ began primary ☐ completed primary

☐ began secondary   ☐ completed secondary

☐ began tertiary   ☐ completed tertiary

☐ other (specify) _____

    b. What level of Italian (language/culture) education have you received?

Formal:

☐ primary   no. years_____

☐ secondary   no. years_____

☐ tertiary   no. years_____

☐ Other (specify) _____

Informal:

☐ family   ☐ friends ☐ other (specify) _____

Comments: _____

Section B – General information related to your business

Please provide the following general information about your business

1. When did you enter the family business?	Year _____	At what age? _____

1. Did other siblings also enter the family business? ○ Yes ○ No	Are they still involved? ○ Yes ○ No

2. Did you go into another business before entering the family business?	If so, how long did you stay in your own business? _____ years

4. . Where did you establish your first business?	○ Melbourne ○ other (please specify) _____

5. What was your first business?	○ restaurant ○ grocery ○ food supplier ○ retailing ○ manufacturing ○ importer ○ clothing ○ vineyard ○ builder ○ concrete supply ○ real estate ○ funerary service ○ farming (please specify) _____ ○ other (please specify) _____

6. What is your current *main* business?	○ restaurant ○ grocery ○ food supplier ○ retailing ○ manufacturing ○ importer ○ clothing ○ vineyard ○ builder ○ concrete supply ○ real estate ○ funerary service ○ farming (please specify) _____ ○ other (please specify) _____

7. Number of employees (excluding yourself) in your current main business	_____ employees

8. Extent to which English is used in your main business	○ rarely	○ sometimes	○ usually	○ often	○ always
9. Extent to which your ethnic language is used in your main business	○ rarely	○ sometimes	○ usually	○ often	○ always

10. When is your ethnic language is used in your main business?	○ clients	○ your staff	○ suppliers	○ training	○ international contacts

Thank you for your cooperation.

Appendix 7

Interview Schedule

INTERVIEWS WITH ITALIAN-AUSTRALIAN OF 1st GENERATION

The interviews should take approximately 1 -1.5 hour each.

Topics for discussion

During one/two discussions planned as part of this research study, the following topics will be explored. The topics will cover issues related to their background in Italy, their experience of migration to Australia, founding the family business, and family business succession, focussing on the key success factors related to the family business.

Part 1 - Personal background

1. In Italy

1. Briefly talk about your background in Italy.
2. Can you describe your family background in Italy and the kind of life you had then?
3. Work-related skills:
    i.   What type of work did you in Italy? Was there any job security?
    ii.   Did your family have a family business? What skills did you and your other family members have?
    iii. What work conditions prevailed in your town/region?

2. Migration

1. Did you consider migration as a possibility or a necessity? Why?
2. What eventually made you take the final decision to migrate?
3. Do you recall the moment in which you made the final decision to migrate to Australia? What prompted you to finally take that decision?
4. Who sponsored your migration? How did you pay your migration expenses?
5. On which ship did you migrate? From which port? Where did you land?

Part 2 - Post-migration situation and work experience

1. Settling in a new country can be a very difficult experience. If you had to describe the most significant experiences of those early years in Australia, which would you select and why?

2. Can you talk about your wife and children
     i.   Were they left behind in Italy? How did they join you and how did they settle?
     ii. If you married here, can you talk about how you met your wife?
     iii. What are some of your most memorable episodes of your early family life?

3. Settlement:
     i.   Upon your arrival in Australia, where did you settle initially? Why did you settle there? How long did you stay there?
     ii. What were your movements over the years? What prompted you to settle in those areas/suburbs?

4. Work:
     i.   What work did you initially find? How did you find that job? what did it involve: skills, hours of work, salary?
     ii. Discuss your employment history over the years (type of job? who helped to find job? was there any job security?)

5. Was your children's education important for you? Why/why not?

6. Can you describe those aspects of the Italian culture that you consider important to you and your family? Were there times that your family did not accept their Italian heritage?

7. What are the most important family values and expectations that you have tried hard to maintain in your family? Were there times when your family did not agree with them?

8. Have you had some involvement with the Italian community in Melbourne/Victoria? Why is it important for you?

Part 3 - The Enterprise/Business

1. Can you describe what work you did when you first landed in Australia? and in later years?

2. When did you decide to go into an indipendent business? Why? How did you come to this decision?

3. Who or what, would you say, provided the most valuable support in your early business venture? Do you remember specific examples of how they helped you?
    Who supported you in terms of:
    i.   legal, accounting aspects?
    ii.   financial support for the establishment?
    iii.   working with you in the business (partners/support staff etc.)?

4. What type of business did you establish? Why did you select this type of business?

5. Where did you establish it? Why did you select this location?

6. Who were your customers? Were your customers 'regulars'? Why/why not?
    i.   Who was your original clientele ?
    ii. Did your clientele change over the years? If so, what was this due to?

7. How did you advertise your business?

8. Who were your competitors?

9. Which were the greatest problems you faced in the business? How did you overcome them?

10. How did your first business evolve? (which stages did it go through)?

The Family Business Culture

1. Was your family was involved in the business? How did you feel about their involvement?

2. What role did your family have in the business?
    i.   In what way did they provide support?
    ii.   Were they paid for their work?
    iii. Was it possible to divide the 'family life' and the 'work life' or did it overlap?
    iv.   What were the main difficulties to deal with in terms of family involvement in the business? How were 'family issues' dealt with? How were they avoided?

3. Who managed the business?

4. Did you have business partners? If so, did you have different roles in the business? Was the partnership successful?

5. Were there other people involved in the business? If so, what role did they play?

6. Who were your main staff (other than family)? What skills did they have? Why did you hire them?

7. Were women involved in the running of the business? If so, in what capacity?

8. Were children involved in the business? If so, in what capacity? Was it important for you to have your children educated formally? Do you feel that the business would profit from the education of your children?

9. How were/are business decisions taken? (meetings, formal/informal discussions…)

10. Can you give me some examples of family issues that you faced in your family business, such as expectations, continuity of the family business?

11. How did it happen that the business was handed over to your son/daughter? how did you/do you feel about this? What strategies did you put in place when planning for the transfer/succession of the management of the business?

12. How would you describe the 'company culture' of your business?

13. What role did the Italian business support groups (eg Chamber of Commerce) play in the business? Was the support of other business organisations ever sought?

14. How important is a family business to you?

15. How would you describe the 'company culture' of your business?

16. Do you think that the family business is a good business structure? Why? Do you think it is possible to achieve business stability with a family business?

17. What elements do you consider important in a family business which will help to ensure the continuity of the family dynasty?

INTERVIEWS WITH ITALIAN-AUSTRALIAN OF 2ND AND 3RD GENERATIONS

The interviews should take approximately 1-1.5 hour each.

Topics for discussion

During one/two discussions planned as part of this research study, the following topics will be explored. The topics will cover issues related to the experience of migration, growing up in an Italian family in Australia, founding the family business, and family business succession, focussing on the key success factors related to the family business.

Part 1 – Personal background

A. Family background

1. Can you describe your family background?

     i.   How many siblings were/are in your family?

     ii.   Where did you live in your early years? (suburb) Why did you live there? Did the family home move?

     iii.   Would you consider your family a 'close-knit typical Italian' family? If so, what does that mean to you?

     iv.   Would you consider yourself an 'Italian', or an 'Italian Australian' or an 'Australian'? If so, why is important to you to be part of the Italian culture?

     v.   What was it like for you to grow up in an Italian household (as an Italian-Australian)? Was the extended family and relationship with your relatives/'paesani' important to you?

     vi.   Do you have children? Do they feel 'Italian' in any way? Are they involved in the family business?

2. Were there some events/episodes which you have never forgotten which had to do with your Italian origins? Would you tell us what happened and what impact this had on you?

3. What were the main expectations that your parents had of you? How did you feel about these expectations?

4. In your personal life, was it important for you to make friends and meet partners of Italian background?

5. Your Italian heritage: can you describe those aspects of the Italian culture that you consider important to you and your family?

6. [*if there are children*] Is your children's education important for you? Why/why not?

7. What are the most important family values and expectations that you have tried hard to maintain in your family? Are there times when your family does not agree with them?

8. Is it important for you to be involved with the Italian community in Melbourne/ Victoria?

B. Education

1. What level of education did you reach? Your siblings?

2. In your opinion, did your level of education contribute to the success of the family business? If so, how?

3. Do you think that the education of your children will contribute further to the success of your business?

PART 2

A. Working Background

1. When did you enter the family business? What work did you do? (in what role?) What did it involve (skills, hours of work, salary)?

2. How did this role change over the years?

3. What made you decide to become a full part of the family business?

4. Who or what, would you say, provided the most valuable support in your early business involvement? How?

5. Apart from you, did your brothers/sisters or other family members become involved in the business? If so, in what capacity? Are they still involved in the business?

6. Can you give me some examples of family issues that you have faced in your family business, such as expectations, commitment, continuity of the family business?

7. Who was your clientele in your early years of involvement? Did your clientele change over the years? If so, what was this due to?

8. Who were/are your competitors?

9. Which were/are the greatest problems you faced/face in the business? How did/do you overcome them?

B. Growing the Business

1. How did your business evolve over the years since your involvement? (which stages did it go through)?

2. Who managed the business over the years? Who manages it now? Do you have a Board of Management/Directors in the business? Who is in it?

3. Did you have business partners other than the family over the years? If so, did you have different roles in the business? Was the partnership successful?

4. Who supported you/supports you now, in the running of your business terms of:
      i. legal, accounting aspects?
      ii. financial support?
      iii. working with you in the business (partners/support staff etc.)?
   Have they changed over the years? Why/why not?

5. Has your business changed over the years since your involvement in terms of:
      i. product?
      ii. location (suburb)?
      iii. customers?
      iv. its promotion (the way it advertises itself)?

6. Are there shareholders in the business? If so, what share of the company is owned by shareholders?

7. Who are your main staff? What skills do they have? Why did you hire them?

8. Are/were women involved in the running of the business? If so, in what capacity?

9. Are/were your children involved in the business?
    i.   in what capacity?
    ii.   is it important for you to have your children educated formally?
    iii. do you feel that the business will profit from the education of your children?

10. How are business decisions taken? (meetings, formal/informal discussions…)

11. What role does your family have in the business?
    i.   In what way do they provide support?
    ii.   Are they paid for their work?
    iii. Is it possible to divide the 'family life' and the 'work life'?
    iv.   What are the main difficulties to deal with in terms of family involvement in the business? How are family issues dealt with? How are they avoided?

C. Business Succession

1. In what circumstances did you take over the business?

2. How do you feel about passing on the business to your son/daughter?

3. When do you think is the right time?

4. Do you have thoughts about how you may do this?

D. The Family Business Culture

1. How important is a family business to you?

2. How would you describe the company culture of your business?

3. How would you describe your work ethic?

4. What elements do you consider important in a family business which will help to ensure the continuity of the family dynasty?

5. What is the key to the success of your business?

Appendix 8

List of Publications on this Research by the Author

1. Hougaz, L. & Betta, M. (2011) "From entrepreneurial organisations to dynastic enterprises. An investigation into the transformation of family businesses in Australia", ANZAM Conference, Wellington, NZ, December 2011.

2. Hougaz, L. & Betta, M. (2011) "When origins matter: A historical perspective of family business in Australia", Family Business Association Research Symposium, Perth, September 2011.

3. Hougaz, L. & Betta, M. (2010) "Women in family businesses: Perceptions and understanding of entrepreneurship", 7th International Entrepreneurship Conference (AGSE), University of Sunshine Coast, Australia, February 2010.

4. Hougaz, L. & Betta, M. (2009) "Behind the scenes: The multiform power of women in family businesses" ANZAM Conference, Melbourne, Australia, December 2009.

5. Hougaz, L. & Betta, M. (2008) "The business of the family: Italian-Australian entrepreneurs and their modern dynasties", 5th International Entrepreneurship Conference (AGSE) Melbourne, Australia, February 2008.