

# Keep Sunday Free

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## Social Engineering Through Shop Trading Hours in New Zealand

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A thesis submitted to  
Auckland University of Technology  
in fulfilment of the requirements for the degree of  
Doctor of Philosophy (PhD)

2009

School of Business

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## **Attestation of Authorship**

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person (except where explicitly defined in the acknowledgements), nor material which to a substantial extent has been submitted for the award of any other degree or diploma of a university or other institution of higher learning.

Ann-Marie Kennedy

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## Acknowledgements

Firstly I would like to thank God for getting me through this PhD and helping me complete it.

I would like to thank so many people for their help and support during the years of my thesis. I would also like to thank my family for all of their support. The offers of dinners and other help have made the process so much more bearable. Thank you all very much.

Secondly, I would like to thank those in my various departments who have helped me along the way. Thank you to The University of Auckland for the base of my education and Margo for all of your help. To all of you at Massey University, thank you for guiding me at the beginning of my PhD and providing such fun times! A special thanks to all of the people at Auckland University of Technology, thank you for bringing me to the finish of my PhD. A special thanks to the Postgraduate Office for their guidance. Eathar and Andy, you have made the process straight forward and stress free and have been so supportive. I really appreciate it.

I would also like to thank my proofreaders, my dad and Sarah, they were so wonderful at going through my work with a fine toothed comb. I really appreciate it and could not have done it without you.

Most importantly, I would like to thank my supervisors, Andrew Parsons, Andrew Murphy, Anne Dupuis and Roger Marshall. Thank you for your knowledge and expertise, which have made this thesis what it is. Thank you for inspiring me to follow on with this career as well! I cannot wait to get started!

Ethics for this research was approved from Auckland University of Technology Ethics Committee on 21<sup>st</sup> May 2008 with the Ethics Application Number 08/73 The social engineering decision process.

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## Abstract

The purpose of this thesis is to explore Social Engineering and how marketing communications may be able to affect it. This research takes a step back from other research in the area and considers the decision makers behind Social Engineering, instead of Social Engineering interventions. One way for stakeholders to influence Social Engineering is through influencing the initial decision of which Social Engineering intervention to use. The influence of marketing communications is considered using diffusion theory, which uncovers how marketing communications diffuse through and influence a decision making group. First, the research uncovers the Social Engineering Decision Making Process. This is the decision making process of Governments for Social Engineering Decisions. The Social Engineering Decision Making Process is the combination of Podgórecki's Sociotechnical Paradigm (1990) and Roger's Innovation Diffusion Process (2003).

The research then explores this framework through its illustration in a retailing context. The Social Engineering intervention chosen for this research is the shop trading hour legislation in New Zealand. The Social Engineering decision studied is the decision to introduce Sunday trading through the Shop Trading Hours Act Repeal Act (1990).

An historical analysis explores the Social Engineering of shop trading hours, in line with an Historical methodology and Constructivist and Hermeneutic viewpoint. This narrative is created through document analysis and semi-structured in-depth interviews with five different stakeholder groups from the decision to introduce Sunday trading. The historical narrative also illustrates the Social Engineering Decision Making Process. Lastly, to uncover the influence of marketing communications and the media on the Social Engineering Decision Making Process, a content analysis of marketing communications and media over the time of the decision to introduce Sunday trading occurs. Government discussions and reports regarding the decision are also analysed. If the communications influence the Government discussions, then their themes would be present in Government documents directly following the communications.

The results lend support to the Social Engineering Decision Making Process. Results outline the aspects of the legislative process that reflect each stage of the Social Engineering Decision Making Process. Findings also find support for the influence of Marketing communications and media on the Government's decision making. The three most effective times for stakeholders to try to influence the process, through either mass

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or interpersonal communications are also identified.

## Chapter One: Introduction

### 1.1 Background and Problem Orientation

Social Engineering is a term that has been shied away from by Governments when they undertake social change processes. This is because Social Engineering has been associated with negative control of nations in such examples as Nazi Germany and Maoist China (Scott, 1998). However, even with the negative stigma surrounding Social Engineering, it is still undertaken in many countries. Social Engineering is: *“arranging and channelling environmental and social forces to create a high probability that effective social action will occur”* (Alexander & Schmidt, 1996, p1). This implies that underlying environmental structures directing behaviour not only facilitate, but almost guarantee the sought behaviour occurring (For full descriptions and references for section 1.1 please see the literature review in Chapter Two). Accordingly, many of the ordinary functions of society<sup>1</sup> qualify as Social Engineering, from micro levels of rearing children and schooling, mezzo levels within the firm, and macro levels of State social policies. All Western societies now use Social Engineering in their many policies that intervene to bring about order, safety, and health for their people (Alexander & Schmidt, 1996).

Considering the negative view of Social Engineering and associated detrimental effects, it is surprising that Social Engineering literature has not considered ways of influencing Social Engineering decisions before implementation takes place. The focus of Social Engineering literature has been on revealing Governmental use of Social Engineering rather than ways to influence Governmental Social Engineering. Being able to influence

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<sup>1</sup> Society is defined here as: “A group of human beings sharing a self-sufficient system of action which is capable of existing longer than the lifespan of an individual” (Aber’le, Cohen, Davis, Levy and Sutton 1948, p100).

Governmental Social Engineering is important as Social Engineering affects all of society. If groups in society did not agree with the results sought, or method of Social Engineering, they should be able to express their views effectively for the society to remain democratic<sup>2</sup>. This is the aim of this research, to uncover how society can influence Governmental Social Engineering decisions through marketing communications.

To be able to uncover how society can influence Government's Social Engineering decisions, marketing communication's role in Social Engineering decisions must be recognised. This understanding can be gained from looking at how marketing communications are diffused through the Government during Social Engineering decisions. Therefore, Social Engineering and Diffusion theory is blended in Chapter Four into a conceptual framework of a Government's Social Engineering Decision Making Process.

## **1.2 Research Objectives**

To be able to understand a Government's Social Engineering decisions and how marketing communications affect it, the specific decision making process they use needs to be uncovered and understood first. Therefore the first objective of this research is:

- 1) To uncover a Social Engineering Decision Making Process.

To understand the Social Engineering Decision Making Process found, it is important to be able to illustrate it in a specific context so the second objective is:

- 2) To explore the Social Engineering Decision Making Process, through its illustration.

The Social Engineering Decision Making Process will be illustrated in a retailing context through an historical analysis of the Sunday trading hour laws in New Zealand. Lastly, to identify how stakeholders might be able to influence the Social Engineering Decision Making Process through marketing communications and media, the third and

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<sup>2</sup> This thesis refers to a democratic Government throughout.

last objective is:

- 3) To explore the usefulness of marketing communications and the media during the Social Engineering Decision Making Process.

These objectives are explored in order as they build upon one another. Objective One is achieved through a thorough review and synthesis of the Social Engineering and Diffusion literature to uncover a conceptual framework of a Social Engineering Decision Making Process. Objective Two and Three are achieved through multiple methods. An historical narrative is created to illustrate the Social Engineering Decision Making Process. The narrative is formed through a document analysis and in-depth interviews. A content analysis of the marketing communications during this time is used to explore Objective Three.

### **1.3 Contribution of the Study**

The expected contributions of this thesis are to the disciplines of Social Engineering, Marketing and Retailing. The study will add to the body of knowledge surrounding Social Engineering by uncovering a new Social Engineering Decision Making Process. It will also contribute to Marketing and Social Engineering by the application of marketing communications to influence Social Engineering. As many people believe that Social Engineering is inappropriate, the influence of marketing communications on Social Engineering gives hope to them of shaping Social Engineering outcomes to benefit society.

This study will also have useful implications for Governments regarding the use of mass and interpersonal communications during Social Engineering decisions. Implications for stakeholder group's marketing communications managers are expected to surround when to focus their budgets on mass communications versus interpersonal and how many communications they need to make.

### **1.4 Thesis Overview**

This thesis is structured as follows:

Chapter Two is a review of the pertinent literature regarding Social Engineering. It gives the background of Social Engineering that subsequently informs and justifies decisions made throughout the rest of the thesis. To do this, Chapter Two gives a literature review of Social Engineering and its development. Hence, Chapter Two first defines Social Engineering and explains its scope. The development of Social Engineering through its key authors is then discussed. The chapter details the research of Social Engineering theorists and summarises the areas they have focused on. Secondly, due to the focus of this thesis on retailers, a review of the use of Social Engineering in retailer studies is presented. This allows for the identification of the gaps in the literature surrounding Social Engineering. This chapter gives the basis of the Social Engineering Decision Making Process outlined in Chapter Four.

To understand the role of marketing communications in Social Engineering decisions, Diffusion theory is reviewed in Chapter Three. The Diffusion process and variables affecting it are first explained and critiqued. The chapter again informs and justifies decisions made later in the conceptual framework by outlining Diffusion theory. Diffusion theory is particularly important in understanding how ideas are accepted in the Social Engineering Decision Making Process. A review of the literature that has used Diffusion then reveals how Diffusion has been used in Marketing, Retailing and Social Engineering research. This review shows the gaps in the literature that can be addressed through Social Engineering.

Chapter Four outlines the conceptual framework - the Social Engineering Decision Making Process - that has emerged from the literature review. It justifies the framework as well as explaining how marketing communications and the media can be used in each stage. This framework is a blend of the Social Engineering and Diffusion literature to help to understand how marketing communications and the media can influence Social Engineering decisions made by Governments. Chapter Four meets Objective One of this research.

Chapter Five discusses the research methodology to explore Objectives Two and Three. It justifies the choices of methodology and methods: the document analysis, historical narrative, interviews, and content analysis; according to the literature reviewed in Chapters Two and Three as well as the theoretical perspectives and beliefs of the

researcher. Further, it outlines in detail the participants, documents, and data analysis used. To conclude this chapter, criteria for the trustworthiness of the research are outlined.

Chapter Six details the findings of this research. It begins with the illustration of the Social Engineering through the historical narrative of shop trading hours in New Zealand. Special attention is given to the introduction of Sunday trading which is used to illustrate the Social Engineering Decision Making Process. Chapter Six then goes on to report and explain the content analysis of related marketing communications. The content analysis explains the themes identified in both marketing communications and Government documents and contrasts the occurrence of themes between the two. The themes are justified through text units from the marketing communications. The content analysis allows for the exploration of Objective Three.

Chapter Seven discusses the findings from Chapter Six. These findings are linked back to the objectives of the research, showing that the objectives have been met. The importance of the findings are then reviewed with the academic contributions and managerial implications outlined. Finally, limitations are outlined and linked with directions for future research before an overall conclusion is made.

## Chapter Two: Social Engineering Literature Review

### 2.1 Chapter Overview

This chapter is a review of the literature surrounding Social Engineering. Social Engineering is defined and the literature synergised. To the author's knowledge, this is the first time that the literature surrounding Social Engineering has been collated. The literature review aims to give background literature supporting decisions and assumptions in the rest of the thesis.

### 2.2 What is Social Engineering?

Using the conception of Social Engineering stated in the introduction, Social Engineering is: *“arranging and channelling environmental and social forces to create a high probability that effective social action will occur”* (Alexander & Schmidt, 1996, p1). Social Engineering can occur at an individual, organisational or society (Governmental) level. Social Engineering is different from behavioural psychology or social marketing in its aim to control all feasible circumstances to create the wished for behaviour. This control creates a situation where the person, organisation, or society has only one choice for a course of action, the action that is sought from the Social Engineering. No other subjects go this far, as they normally influence one variable, or a few variables at most.

#### 2.2.1 Definition

The earliest record of the term Social Engineering is Pound in 1922 in his book, “The Philosophy of Law”. Twenty years later, the work of Popper (1945) in “The open

society and its enemies” developed the discipline’s key philosophical foundations. The term Social Engineering prevailed thereafter until 1966, when Podgórecki changed the name of the concept to Sociotechnics<sup>3</sup> in a bid to make it more neutral (Podgórecki, 1990).

A variety of definitions of Social Engineering exist, and across these definitions, certain elements are agreed upon. The first is the use of scientific findings in a practical way (Podgórecki, 1966; Czapow & Podgórecki, 1972; Podgórecki, 1990). This may be through the application of empirically tested theories (Alexander & Schmidt, 1996; Turner, 2001; Podgórecki, 1990) especially those from the social sciences (Podgórecki, 1990; Kubin & Podgórecki, 1973). Secondly, these findings are used to identify methods and create designs for social change (Czapow & Podgórecki, 1972; Podgórecki, 1990; Bullock, Stallybrass, & Trombley, 1988; Kojder, 1996; Alexander & Schmidt, 1996, Duff, 2005) in the very long term (Kojder, 1996; Scott, 1998; Duff, 2005). These changes should be based on an accepted system of values (Czapow & Podgórecki, 1972; Podgórecki, 1990). Therefore, with the support of many academics in the area as shown above, the following definition based on Alexander & Schmidt (1996) as well as Podgórecki (1990) will be accepted as the definition of Social Engineering for this thesis:

Social Engineering is arranging and channelling environmental and social forces to create a high probability that effective social action, based on an accepted system of values, will occur; through the use of scientific propositions describing and explaining human behaviour.

### **2.2.2 Conceptualisation of Social Engineering**

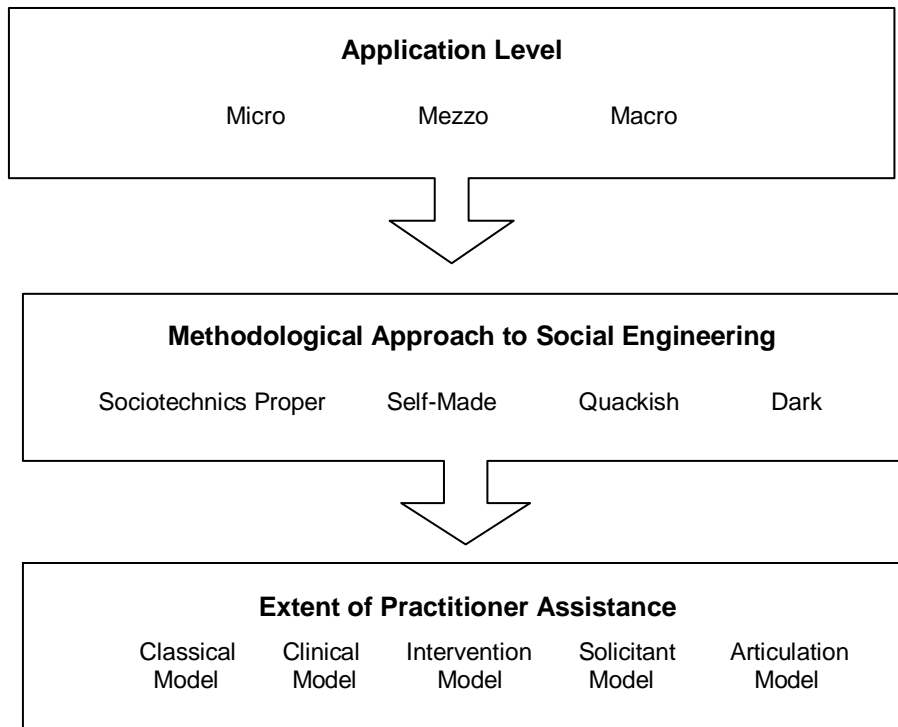
Within the conceptualisation of Social Engineering, authors have discussed the levels of application, methodological approaches and extent of practitioner assistance. Beyond these classifications, there has also been an underlying discussion of the causes of the effects of Social Engineering, with direct discussions on political structures and value

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<sup>3</sup> The term Social Engineering will be used from here on to refer to both Social Engineering and Sociotechnics.

systems. The main classifications are outlined in Figure 2.1 and, along with the areas mentioned above, discussed in the following section.

**Figure 2.1: Classifications in Social Engineering**



### 2.2.2.1 Application Level

There are three different levels of Social Engineering application. The first and most basic level is the micro-level. This level includes interventions that are focused on individual interactions; for instance between workers in a single workplace, with flexitime and sexual harassment policies (Lazarsfeld & Reitz, 1975; Podgórecki, 1990).

The second level of application is the mezzo-level. This is where specific groups in society are influenced through Social Engineering controls. Social Engineering at this level would only be used to achieve a goal that could not be achieved through direct influence (Podgórecki, 1990). For example, if the aim was to better employment opportunities and conditions for women so they were equal to men, first, all of the variables that affect this would need to be assessed. This could include wage rates, bias in employers to hire men, education, and child care barriers. For the intervention to be a Social Engineering intervention, all of these variables would need to be addressed. This

is the level at which Podgórecki suggests most social engineers should not work beyond (1990).

Even so, he does go on to outline a third level of application – the macro level. This is the level which supersedes the mezzo-level, in that it looks at influencing society as a whole at the meta-level of interactions (Podgórecki, 1990). It is different from the mezzo-level which aims to influence one group in society, because it aims to influence all of the groups in society. Podgórecki posits that this level of intervention can be achieved through the study and use of social processes, which may differ between societies. Said another way, a macro level of Social Engineering can work if general theories that predict human behaviour inform the intervention (Podgórecki, 1990). This thesis focuses on macro level Social Engineering showing a top down approach where the Government is the instigator of the change. However, a bottom up approach is also possible where the community and lobby groups instigate change (Alexander & Schmidt, 1996).

#### **2.2.2.2 Methodological Approaches to Social Engineering**

Social Engineering can be carried out by different groups in society. Governments, organisations, or community groups are a few examples. These groups can seek information about how to do Social Engineering from consultants, who have been called practitioners in the literature. The methodological approaches Social Engineering practitioners adopt to create their recommendations incorporate a mixture of theory, experience and ideologies (Podgórecki, 1990). The first and most preferred approach (Podgórecki, 1990) is named sociotechnics proper. It is the version of Social Engineering whereby the Social Engineering paradigm/methodology (see section 2.3.5) is used to give recommendations. These recommendations incorporate empirically tested theory as well as the value system of the target group (Myrdal, Sterner & Rose, 1944; Popper, 1945; Zetterberg, 1962; Podgórecki & Łos, 1979; Podgórecki, 1990). The next most common approach to Social Engineering is self-made Social Engineering. This acknowledges empirical research, and adds it to accumulated knowledge gained through experience. This knowledge is then used to create recommendations without the use of a common methodology (Mannheim, 1940; Podgórecki, 1990). Quackish Social Engineering does not use theory at all. Its recommendations are based around culturally

situated ideologies (such as norms) and are predominantly emotionally based rather than theory based. Lastly, dark Social Engineering is the use of either Social Engineering proper or self-made Social Engineering for harmful purposes.

Dark Social Engineering can be seen in the negatively perceived behavioural and societal modification programs of totalitarian states such as Soviet Russia, Nazi Germany, and Maoist China (McMahon, 2001). The avenue for these implementations came about through the myriad of institutions that are a part of everyday life; for instance, through the health systems, schools, and laws that direct the standards of behaviour and lifestyle for each society (Alexander & Schmidt, 1996). Some of the reasons these Social Engineering interventions have failed include, trying to transform society by forcing order onto it, high modernist ideologies which caused myopic thinking, and lastly, authoritarian states and a society that is too weak to resist negative Social Engineering interventions (Scott, 1998). In this light Social Engineering is almost always seen as 'bad' or negative, it can however, also be used in a positive way, depending on the political structure of the society.

As Karl Popper pointed out in one of Social Engineering's seminal pieces of work, it is the creation of Utopia that causes unhappiness and strife. This is because the end point or ideal society is first envisioned, then steps are put in place to realise it (Popper, 1945). This will result in the governing body putting in place programmes to achieve Utopia, without taking into account their constituents' wishes or well being (Popper, 1945). Further, fixing unintended consequences such as unhappiness is not a priority. The priority is achieving Utopia, at all costs (Popper, 1945). This is the type of Social Engineering that occurs in totalitarian political systems such as Nazi Germany, where the state had more power than its members and so their needs and values were not taken into consideration (Etzioni, 1976).

Dark Social Engineering will never succeed under a democratic political structure. Under democratic systems, the power between the state and its people is equalised because while the state has the power to regulate society, the citizens retain the power to change the Government to one which is responsive to their needs and values (Etzioni, 1976). This type of political system does not have one overall view of what society should be, because the views of those in its society are constantly changing (Etzioni,

1976). This means that policy creation is piecemeal and iterative according to the values of that society, and any consequences of policy. This is the positive form of Social Engineering that Popper (1945) and many others advocate (Podgórecki, 1996; Alexander & Schmidt, 1996).

### **2.2.2.3 Extent of Practitioner Assistance**

Within the different levels of Social Engineering application and methodological approaches, there are also different levels of practitioner service to the intervention. There are five models of practitioner involvement with the Social Engineering body. The first is labelled the *Classical* model. In this model the practitioner creates recommendations through the application of theory only; they do not have any further interaction with their client or the intervention (Zetterberg, 1962; Podgórecki, 1990). Practitioners can also lead the Social Engineering body through the intervention process and help them identify, clarify and fulfil their own goals in the *Clinical* model (Gouldner & Miller, 1965; Podgórecki, 1990). In the *Intervention* model, practitioners make unsolicited recommendations or try to uncover the true goals of State interventions (Podgórecki & Łos, 1979; Podgórecki, 1990). The opposite of the Intervention model, the *Solicitant* model, also has the practitioner creating unsolicited proposals, but the purpose of these proposals is to be sold for monetary gain without thought to benefiting society (Podgórecki, 1990). Lastly, practitioners can help their clients to identify underlying values that they were unable to articulate. This *Articulation* model then uses the clinical model to create client recommendations. In this thesis, the Intervention model of Social Engineering is followed, and uncovers the decision making process of Social Engineering bodies such as the Government.

With all this discussion of the social engineer, it should not be forgotten that it is human beings that are being socially engineered. Therefore, while Social Engineering tries to give the rules for behaviour, and society gives the context for the change, the human element means that any change process is just that: a process that is organic and ever changing (Alexander & Schmidt, 1996). It is also good to remember that Social Engineering uses social scientific findings to mould humans, and this may often happen without their welfare and happiness in mind.

At any one time, more than one Social Engineering intervention can be taking place in a society. If this is so, there may be conflict between them. According to Podgórecki (1990), conflict is most likely to occur when Social Engineering is implemented through law and other groups attempt their own self-made Social Engineering interventions in opposition. The resulting duel happens when there are unexpected outcomes to the initial Social Engineering intervention, social turbulence, and conflicting hierarchies of values within the society. Ultimately, duels result in chaos. This was the case when the Soviets tried to introduce their socioeconomic system into Muslim republics. They first demolished the society's traditional court systems, which were created on Muslim traditions. They then introduced laws to liberate women from their religious customs. This resulted in two groups, men and religious leaders, fighting against the changes and quashing the intervention (Massell, 1968). In these circumstances, the value system used for the Social Engineering intervention did not seem to be the value system generally accepted by the society that was undergoing the change. Thus, the values of the people and their society must be taken into account at every step of a Social Engineering intervention (Andreski, 1976). In this way, Social Engineering as a discipline bears the mantra to do no harm. As a result, many Social Engineering studies have focused on uncovering the Social Engineering in Governmental interventions and laws so that society can be better aware of this happening (Alexander & Schmidt, 1996).

#### **2.2.2.4 Values in Social Engineering**

According to Podgórecki (1990), there are three concepts of values that need to be taken into account in Social Engineering. First of all, values can be used as data. The data form of values can give information that communicates people's opinions, attitudes and beliefs. In this way, the data can be used to evaluate Social Engineering activities, it can also uncover the possible reactions of the target groups, along with which behaviours it would be best to influence. Second, values can then be used as operatives, that is, as instructions, boundaries and guides to Social Engineering interventions. Lastly, values can be used to judge right and wrong behaviour. Therefore, values are used to create, implement, and evaluate Social Engineering interventions. Values are one of the most important aspects in Social Engineering (Podgórecki, 1990).

The varying approaches presented in this section, are possible because Social Engineering works differently according to the socio-political system it is operating in. Each system bears different barriers and opportunities for each Social Engineering aspect and technique. Therefore, each different socio-political system will present a different form, or framework, for Social Engineering (Kojder, 1996). In a pluralistic system, a Social Engineering intervention may look like the choice of the society, when the intervention itself has gained public approval. This approach requires the public to be sold the intervention, through openly available information regarding the Social Engineering. Facilitating processing of the information, so that the public may form opinions and solution suggestions, further helps public approval to be formed. Swaying the publics' opinions in this case would occur through a shared definition of the problem and its premises (Yankelovich, 1990).

Other than values, there have been many other theories and variables outlining how Social Engineering interventions can succeed. Cherns (1976) has offered a list of variables, including social science variables, research variables, problem variables, organisational variables, diffusion variables, and social and cultural variables that need to be analysed and kept in mind when partaking in Social Engineering. The most important of these in the given situation needs to be identified and included in any Social Engineering. Duff (2005) adds that Social Engineering should include a deontological ethic including four rules for Social Engineering: 1) Social Engineering needs to hold a deontological belief that the dignity of every person be upheld throughout time. 2) Each person deserves the right to be a part of, and to create their own family. 3) As Social Engineering is in the very long term, the rights of the current generation are not worth more than the rights of future generations. 4) Social Engineering must fight for its right to mould society in a good way (Duff, 2005). Lastly, the goals that Social Engineering pursues should be in agreement with the values of the society in which it operates, while the social science theories and techniques used must also be in agreement with those values (Podgórecki, 1990).

James Scott (1998) discussed many of the failed Utopian engineering interventions throughout history and why they failed. In contrast to Popper (1945) however, he discussed four aspects that, if present, allowed Utopian engineering to succeed. Nevertheless, he warned, if any aspects were missing, the Utopian engineering

intervention would fail. The first aspect requires the ordering or categorisation of society. This is necessary to identify those segments in need of intervention. Without the rest of the aspects, this could lead to atrocities such as ethnic cleansing and apartheid. The second aspect was high modernism, which creates the self-confidence in the sciences that they will help in the design and ordering of society. This aspect alone leads to over-confidence in science and a disregard for other aspects of society. When in conjunction with the others, this aspect gives the motivation to create change. The third aspect of Utopian engineering is an authoritarian state, which will have the determination to see goals through. Without the other aspects, as Popper predicted, authoritarianism can lead to a totalitarian state and again, to the failure of the intervention. The fourth aspect is a receptive society which can occur because of traumas such as war, revolution, or economic collapse.

Along with these four aspects, there are two more things the social engineer must keep in mind to succeed - *Métis* and *Techne* (Scott, 1998). When social engineers give too broad a set of rules to their society during Utopian engineering, citizens are not given enough information to create their own informal and contingent social codes. This warping of the social process is another factor in the failure of Utopian engineering. *Métis* is described as practical knowledge and is a combination of abstract knowledge of general rules of thumb, and local knowledge and experience with which to apply that knowledge. These skills are taught through constant and methodical practice, so they can be applied in multiple situations. *Techne*, on the other hand, consists of technical knowledge. It is universal knowledge from which *Métis* may flow. These are the general principles of the world that do not change. *Techne* helps to codify and organise knowledge so that it may be verified and articulated, so is for situations that need to be measured, verified, and have specific goals. *Métis* is for situations that cannot be measured, are ambiguous and context specific.

While many Utopian engineering interventions may have included *Techne*, by *Métis* being missing, they have neglected the experienced use of the trial and error approach that *Métis* allows. Scott (1998) suggests that for successful Utopian engineering, Governments should use interventions that are small and can be reversed if negative unforeseen consequences occur.

## **2.3 Key Authors behind the Social Engineering Concept**

Social Engineering is not a new concept, and has been attempted multiple times throughout history. It has been a sensitive topic, but has interested philosophers as well as academics throughout time. A review of the key authors in Social Engineering follows, starting in 1940 with Karl Mannheim and ending in the present day with Podgórecki. Note that this is not an exhaustive review of authors, and only covers those that are seen as relevant to the philosophy of Social Engineering. A review of Social Engineering research will be covered in section 2.4. For a summary of the key authors' approaches to Social Engineering please see Table 2.1.

### **2.3.1 Karl Mannheim**

Karl Mannheim discussed Social Engineering (though labelling it societal planning), in his book "Man and Society in an age of reconstruction: Studies in modern social structure" (1940). Mannheim was from Germany, and his book was written in the time of Hitler. He believed that individual's thoughts and behaviours were historically and culturally bound. Therefore thoughts and actions were created through the situation and society one was a part of. Sometimes, people's thoughts and behaviours needed to be changed, and this could be achieved by one of two thinking processes. The first was through chance discovery, whereby a person may slowly change their thoughts and behaviours through trial, error and feedback (Mannheim, 1940). The second was named inventing, whereby a person may set goals and actions for change. The goals themselves would be bound by the society due to situational constraints, natural events, and necessities. This point leads to Mannheim's (1940) definition of Social Engineering as the control or manipulation of aspects in the environment to bring about social change.

This definition comes with a warning however, that society must include more unplanned aspects than planned, so that it remains adaptable. According to his views, there are two types of societies that can be created. The first is an unregulated society that is totally spontaneous, and is the part of society which creates social life and culture. The second is a society where every aspect is controlled by different institutions (Mannheim, 1940). To undertake planning, Mannheim (1940) introduces social

techniques. These are seen as practices which aim to change behaviours or thoughts, using theory and empirical research. The goals of the planning must include practical learning, and the image of what a healthy community looks like.

Empirical research informs the social engineer of which aspects to influence, but Social Engineering does not have to interfere with people's everyday life, or force them to do things. Direct or indirect influence can be used. Indirect influence controls variables external to the person influenced, and does not use force. For instance, advertising (a controlled part of the environment) leads society indirectly to increase purchases of the advertised product. This is because advertising is coupled with social class beliefs that one should increase their social status, which may be achieved through product purchases. Direct influence is achieved through personal interactions with individuals such as friends and family, who condition behaviour and thought processes directly through rewards and punishments throughout their lives. This direct form of influence is something that happens on a micro level every day, and does not necessarily correspond generally to macro Social Engineering. Some examples of direct influence include learning manners and social conventions, through to coercion to join a political party. These different forms of influence are alterable and in the spirit of Mannheim's view of Social Engineering, leave room for free choice, so that the society that is produced is not uniform. In short, Mannheim argues that Social Engineering is essential for a successful society, though it does not have to come at the cost of liberty through dictatorships, conformity and violence (Mannheim, 1940).

### **2.3.2 Popper**

Popper began his discussion of Social Engineering in "The Open Society and its Enemies" (1945), with his aim to distribute knowledge that would educate the fight against both totalitarianism and historicism. He advocated the application of science and empirically tested findings to the problems of society. Social Engineering (as the discipline of this application) could also re-shape society and was an alternative to totalitarianism. Popper (1945) argued that Plato's historicist sociology (which viewed the world as cyclical, where historical patterns of events and behaviours pre-shaped society), caused members of society to become lethargic, and prevented them from

actively contributing to their society. These patterns also foretold of political competition. In a self-fulfilling prophecy for Plato, political competition lived up to, and necessitated his view that societal change - a form of which is political revolution - can only bring corruption and decay. This degeneration called for the complete control of all aspects of citizen's lives, from eating, to working, and in between, necessitating a totalitarian state to implement this control (and quash political competition), and save the society from itself.

Popper argued that there was an alternative view from historicism. This view was that of the social engineer. The social engineer believed that, "man is the master of his own destiny" (Popper, 1945, pg 22). He proposed that each society, as well as each individual could create their own future. Therefore, trends, instead of being seen as cycles of fate, could be seen as indicators to inform future decisions. In particular the information could be used to create recommendations to ultimately alter the course of the future. Thus, because Popper viewed social science as the science that studied these patterns of behaviour, social science was used to inform Social Engineering (Popper, 1945).

In Popper's view there were two types of Social Engineering. The first he looked negatively upon, and labelled Utopian engineering which aims to form the ultimate society. This is hard to create due to the ever changing definition of an 'ideal' society. Those using Utopian engineering, have often set totalitarian states to achieve this ideal. Totalitarian states may occur in Utopian engineering because of the original definition of the ideal society. The definition, due to its inherent nature, is one that tends to be rather subjective and changeable. This happens due to the change of cultural beliefs and values over time. In addition, the subjective nature of the definition, means that it is better implemented by one person in power; a dictator. For this person to create their ideal society, they need to ignore all criticisms and sufferings of citizens to achieve the final goal. Ignoring feedback, however, means they also do not know of the level of success of their implementation activities. Further, the ideal society is such a long term enigma; it is unlikely that one leader will see its attainment in their lifetime. Therefore, the next leader must take up the battle. However, as has been outlined, the changing nature of the definition of the ideal society may have the new leader changing their approach. In these circumstances, each leader tends to make large, sweeping changes to

their society. These changes do not leave room for backtracking and thus, unintended consequences cannot be fixed. Therefore, while there are two approaches to Social Engineering, Popper recommends that Piecemeal engineering is the only reasonable one to use.

The second form of Social Engineering - Piecemeal Social Engineering - seeks to fix the great evils in society without any overarching view of the ultimate society. Piecemeal believes that each member of society - current and future - deserves not to be made unhappy by current circumstances or by Social Engineering activities. As the less risky of the two types of Social Engineering, Piecemeal Social Engineering advocates smaller piecemeal changes with consequences that can be undone if necessary, and changes that can be applied at any moment by those in power.

A critique of Popper's work comes from Schmidt (1976). He argues that by defining Utopian engineering as fighting for the ultimate good, and Piecemeal engineering as fighting against the ultimate wrongs, Popper becomes too caught up in categorising these concepts. Schmidt (1976) suggests this due to the ambiguity and subjective nature of 'good' and 'wrong'. Further, he argues that the goal of Social Engineering should, at a minimum, be to not increase unhappiness within citizenry. By Popper making Social Engineering a technological question, he does not take into account the human aspect of society. Schmidt suggests that the alternative to Piecemeal Social Engineering is a Peacemeal approach, which works towards good and meaningful relationships between people. This approach would look at patterns of behaviour which are apparent in the ever changing world. The patterns can then be used to look at the processes of interaction present within societies and institutions, to create institutions that realise their potential.

### **2.3.3 Hans Zetterberg**

Following the discussion surrounding Social Engineering and its best form, Zetterberg (1962) proposed a set of procedures by which Social Engineering could be carried out. He stated that social science theories should be applied to Social Engineering problems. The first step is exploratory, whereby the Social Engineering consultant seeks details of the problem through multiple research methods. The problem is then defined and

outlined using academic language before being shared with the client for confirmation. Following this, the Social Engineering consultant will apply theory to the problem, and create recommendations. This process is useful in that it outlines general steps for practitioners to partake in Social Engineering. Its focus on client/practitioner relations however, seems to be too general, and there is a call for more specific theory in this discipline.

#### **2.3.4 Lazarsfeld & Reitz**

Another framework that has been developed is that of Lazarsfeld & Reitz (1975). This framework is similar to Zetterberg in that it also offers Social Engineering procedures. First there must be a catalyst for change which may be brought about by academics, consumers, or other groups. The related problem is then identified by either policy makers or professionals such as academics. While staff are being gathered, the problem is formulated into a research design, identifying the target of the research. Research is then carried out to collect relevant theory and data. The resulting findings are translated into recommendations that will create social change. Implementation and assessment of the recommendations finish the process.

This framework is useful because it identifies the different stages of Social Engineering. The categorisation of Social Engineering into stages helps organise its study, and aids planning and assessment of forthcoming or existing policies. Potential problems with this approach regard the research design choices. The choice of target groups and specific variables surrounding them need to be considered, for instance whether to study groups that are successful in the sought after behaviour or not. Some possible effects that need to be taken into account include unintentional side effects such as with feedback effects where the intervention achieves its intended purpose, but unintended effects nullify this achievement. Interaction effects between variables also need to be considered, along with unpredicted or uncontrollable effects. Alternative strategies should also be formulated in case of some of the above.

### **2.3.5 Podgórecki**

Alexander Podgórecki's work on Social Engineering spans from 1962 to the present day. His major contributions to the discipline (as are available in English) surround defining and categorizing the different types, levels and applications of Social Engineering as well as a methodology for Social Engineering.

The Sociotechnical Paradigm is the methodology presented by Podgórecki for Social Engineering instigation and analysis. It was first introduced by Podgórecki in 1962, but was further refined in 1985 and 1990 (Podgórecki, 1990). The paradigm is in answer to similar models that also seek to apply social scientific findings to social change processes (Simon, 1968). Podgórecki argues that his model is best as it can be used at any point of social change, in any context, and at any level of intervention, while also being more realistic through assuming iteration between steps. The Sociotechnical Paradigm requires the user to first identify any values that may interfere with the process, and to put them, as well as any psychological, behavioural, or other non rational elements, under control (Podgórecki, 1990).

The first stage of the methodology is the problem recognition stage, which begins the social change process through some sort of trigger, such as social turbulence or tension. The second stage - problem identification - represents the first methodological stage in the paradigm. At this stage, values of the society should be uncovered and put into a hierarchy of importance. The context and problem statement should follow, along with the benefits and losses of pursuing the problem. Depending on the outcome, the practitioner examining the problem will decide whether it is worth their while to continue or not. Global evaluation, the third stage in the process, is where the society's value hierarchies, the context and problem, are evaluated for fit. The value of hard work and the problem of unemployment provide matching values and contexts so the process could continue. If the value is individuality and freedom however, and the problem is unemployment, then this change should not be continued unless this conflict can be resolved. This resolution may happen through redefining the value hierarchies, desired outcome, and causes of the problem, further confirming whether to carry on with social change.

The fourth stage - The Theory Base Stage - introduces theory. Here, the practitioner assesses the different social scientific theories that could be of use in this situation. These can be applied to prevent a problem, to fix a problem, or to correct a previous intervention. The Design stage then uses the theory chosen in the fourth stage to forecast reactions to interventions, and to give diagnoses and recommendations to solve the problem. The theory is also used to foresee any inter-relationships between other societal problems, or groups, that may have an impact on the intervention goals. This written statement of actions is theoretically tested, and will be reformulated several times to be verified and in line with the values identified in stage one and two. The Action stage moves to trials of the specified actions, before a complete program is implemented. Tests for the impacts on social groups and their interactions, the economy, and the political environment can be undertaken. Feedback loops occur here until practitioners are satisfied with the outcomes of the actions. The last stage is evaluation. At this stage, the actions have been implemented and must be evaluated for their effectiveness. Earlier steps may need to be retaken in order to fix unforeseen outcomes (Podgórecki, 1990).

Recommendations should only ever be used for situations which can be assessed and solved in a rational way, and indeed are rational in themselves (Podgórecki, 1976a). The recommendations must follow ethical guidelines, and facilitate buy-in from relevant parties. They should take into account experience, and point out social resources by which change can be instigated, while also identifying psychic resources that allow for strategy formation. Lastly, it must be acknowledged that it may be necessary for social engineers to take risks when giving and undertaking recommendations (Podgórecki, 1976b). The different approaches outlined in section 2.3 are summarised in Table 2.1.

Kwasniewski (1976) gives a critique of Podgórecki's work and identifies that Podgórecki uses a medical model view of society, whereby it will always be concluded that something needs to be changed. Further, he argues that classifying social elements as problems is not the most effective means of change. He suggests that studying societies that are successful, rather than deviant, and classifying elements identified according to the values uncovered in the early steps of the methodology is a more beneficial undertaking.

**Table 2.1: Summary of Key Author's Social Engineering Approaches**

<b>Author</b>	<b>Social Engineering Approach</b>
Mannheim (1940)	<ul style="list-style-type: none"> <li>• Direct influence – Personal interactions</li> <li>• Indirect influence – Externally controlling influential variables</li> </ul>
Popper (1945)	<ul style="list-style-type: none"> <li>• Fixing the evils of society through small piecemeal changes</li> </ul>
Zetterberg (1962)	Method: <ul style="list-style-type: none"> <li>• Explore the problem</li> <li>• Define the problem</li> <li>• Interpret the problem</li> <li>• Apply theory</li> <li>• Create recommendations</li> </ul>
Lazarsfeld & Reitz (1975)	Method: <ul style="list-style-type: none"> <li>• Trigger</li> <li>• Identify problem</li> <li>• Research designed and target chosen</li> <li>• Research collects relevant data and theories</li> <li>• Findings translated into recommendations</li> </ul>
Podgórecki (1990)	Method: <ul style="list-style-type: none"> <li>• Problem recognised</li> <li>• Problem identified and defined</li> <li>• Global evaluation of values</li> <li>• Theory base chosen</li> <li>• Design of recommendations and their consequences</li> <li>• Trial of recommendations and then implementation</li> <li>• Evaluation of actions</li> </ul>

## 2.4 Review of Social Engineering Literature

Social Engineering's topic width has broadened largely since its humble philosophical roots with Popper (1945) and Mannheim (1940). Many of the articles that were published in Poland are still not available (For instance, Podgórecki, 1957; 1962; Czapow, 1969; 1970; 1971; 1972); however this does little to take away from the large amount of literature that is available in English (See Table 2.2). What follows is a brief review of the areas that have been discussed with regard to Social Engineering. The literature from this discussion is presented more fully in Table 2.2. This review is not

meant to be an exhaustive list of literature in the area but more an insight into the types of topics and areas that have been addressed in Social Engineering. It will end with full descriptions of articles that are more specifically related to marketing communications and retailing - the topics of this thesis.

### **2.4.1 Areas Addressed in Social Engineering**

As has been covered in section 2.3 the philosophy of Social Engineering has been discussed at length by key scholars. Other ways in which the philosophy and development of Social Engineering have been covered in the literature include Gockowski (1976), who discusses Social Engineering political thought before the 18<sup>th</sup> century, while others reflect on the application or appropriateness of the social sciences in helping inform Social Engineering (Podgórecki, 1976b; Bell, 1999; Turner, 2001). Further, while there are many conceptualisations of Social Engineering (see section 2.3) there are also many discussions of these conceptualisations (Eliæson, 2000; Bunge, 1996; Alexander & Schmidt, 1996; Andreski, 1976).

Leading on from the discussion of Social Engineering philosophy, its application now follows. There has been more than one conceptualisation for a framework for Social Engineering (see section 4.3). From Podgórecki (1990), to Cherns (1976), Etzioni (1976), and others (Kockowski, 1976; Gershuny, 1976), general theories for the application of Social Engineering have been outlined. In doing so, methodologies have generally been created to implement Social Engineering, as opposed to actual theories of Social Engineering.

Other areas that have been discussed in Social Engineering follow the philosophies of some of the early scholars in the area such as Popper (1945). These articles are focused on controlling every aspect of everyday life for everyday people, with the belief that they are unable to do this for themselves. Articles focus on areas such as children's upbringing (Redding, 2002), family life (Nie & Wyman, 2005), and education (le Roux, 2000; Nilsson & Andersson, 2001).

These articles (along with most of the others reviewed in Table 2.2) tend to discuss Social Engineering interventions of Governments as opposed to empirical research into

## Social Engineering.

**Table 2.2: Social Engineering Literature Summary**

CONCEPT	SUMMARY <sup>4</sup>	REFERENCES
<b>LEGAL SYSTEM FUNCTIONING</b>		
	"Foundation of legal policy" (Unavailable in English).	Podgórecki (1957)
	"The Characteristics of the Practical Science" (Unavailable in English).	Podgórecki (1962)
	American use of Keynesian economics to reduce injustices towards African Americans.	Manley (1986)
	American political party stances on Social Engineering.	Colarelli (2002)
	Soviet introduction of their own socioeconomic system into Muslim central Asian republics. Push for women's liberation.	Massell (1968)
	Relevance of Social Engineering to policy makers in the 20th century.	Duff (2005)
	Discussion of the post war Labour Government in England.	Tawney (1949)
	The use of Social Engineering in Palm Springs to eradicate native American Indians since 1920.	Kray (2004)
	Analysis of East Germany as a Social Engineering intervention.	Pickel (1997)
	Looks at Social Engineering in authoritarian states.	Kojder (1996)
<b>UPBRINGING, FAMILY LIFE AND EDUCATION</b>		
	"The Psychological Drama, Psychotechniques and Sociotechnique" (Unavailable in English).	Czapow (1969)
	"Anthropotechnical and Anthropological Aspects of Education" (Unavailable in English).	Czapow (1970)
	"Resocialisation Pedagogy" (Unavailable in English).	Czapow (1971)
	"Styles of Educational Influence" (Unavailable in English).	Czapow (1972)
	President George W. Bush's promotion of marriage and parenthood.	McLaughlin (2001)
	Discussion of the "People's Home" community living in Sweden as championed by the Myrdal's.	Hirdman (1992)
	U.S. Governments recommendations for the use of science in a positivistic paradigm for educational research as a type of Social Engineering.	Erickson (2005)
	Discussion of the one-child per family policy in	Nie & Wyman (2005)

<sup>4</sup> Where articles are unavailable, only their titles have been provided.

**Table 2.2: Social Engineering Literature Summary (Continued)**

	China.	
	Discusses the proposal of David Lykken for parents to gain licenses for parenting.	Redding (2002)
	Discusses the changing rules for schools in Sweden as an attempt at Social Engineering.	Nilsson & Andersson (2001)
	Discussion of the application of Popper's piecemeal engineering to education.	le Roux (2000)
<b>SOCIETAL RELATIONSHIPS</b>		
<b>War</b>	Camelot project looking at creating processes to identify the potential of war & actions to decrease the possibility of war. Also to set up a system to do this through ongoing analysis in Argentina, Bolivia, Brazil, Columbia, Cuba, Dominican Republic, El Salvador, Guatemala, Mexico, Paraguay, Peru & Venezuela.	Horowitz (1967)
<b>Community functioning</b>	Creation of cooperative societies in America through handpicked resident placement.	Halpern (2002)
<b>Apartheid</b>	Negative effects of apartheid on South Africa.	Alexander, Badenhorst & Gibbs (2005); Møller (2001); Webster (1997)
	Discusses the creation of the apartheid in South Africa.	Giliomee (2003); Dewar (2001)
	Looks at the process of Social Engineering in Nanjin from 1910-1937.	Lipkin (2006)
<b>INSTITUTIONS</b>		
	"The Sociotechnics of Transforming Scientific Communities Under Socialism" (Unavailable in English).	Gockowski (1972a)
	"Strategy in the Education of Engineers at a Modern Polytechnical School" (Unavailable in English).	Gockowski (1972b)
	Discusses a new science research campus that is seen as an experiment in Social Engineering.	Rubin (2006)
	Discusses the changing of institutions to encourage academics to study Social Engineering.	Mbock, Ngo-Mpeck, Kom, Zambo Belinga (2004); McNaught (2003)
	The use of Social Engineering in workplaces.	Vähätalo (1976)
	Reviews the contributions of three social scientists in Chinese institutions and their application of their disciplines to Chinese society between 1919 and 1949.	Chiang (2001)
	Reports the use of Social Engineering in army training camps in America in world war one. This Social Engineering aimed to create soldiers who, when returning home, would be model citizens according to the way they had been trained.	Bristow (1996)
<b>SOCIAL PATHOLOGY</b>		

**Table 2.2: Social Engineering Literature Summary (Continued)**

	"Sociotechnical Aspects of Criminal Policy" (Unavailable in English).	Krukowski (1970)
	"Social Pathology" (Unavailable in English).	Podgórecki (1969)
<b>Unemployment</b>	Proposal of the Polish Government to introduce laws that would send unemployed people to semi labour camps.	Search for Utopia (1996)
<b>Through urban planning</b>	Discussion of urban planning as Social Engineering - ancient cities, Rome, London, Paris, New York, Chicago, Glasgow, Finland, Brazil, and Israel.	Barker (1999)
	Urban regeneration of London borough from welfare dependency.	Appier (2005)
<b>Through community cooperation</b>	The Los Angeles Coordinating Council's Social Engineering interventions in the 1930s to reduce crime among youths.	
	"Influencing the Process of Patients' Social Rehabilitation" (Unavailable in English).	Sokolowska (1969)
<b>HEALTH</b>		
	Discussion of the Social Engineering approach that Great Britain takes to health interventions.	Track B7 (2006)
	Discussion of young doctors in Great Britain, including the Social Engineering used to pick those who become doctors.	Peile & Carter (2005); Cohen & Fišter (2005)
	Outlines the limits of Social Engineering through the health programmes of America.	Navarro (2003)
<b>ECONOMIC POLICY</b>		
	"Problems of Strategy in Moulding Cultural Needs" (Unavailable in English).	Gockowski (1972c)
<b>Behaviour shaping</b>	"Social Engineering Methods of Motivation Shaping" (Unavailable in English).	Kocowski (1971)
	"Tactics and Strategy of Steering Behaviour on a Mass Scale" (Unavailable in English).	Kocowski (1972)
<b>Trade</b>	Transformation of farming crops to Tea in Turkey.	Hann (1995)
	Discussion of the "Help wanted" campaigns to increase international competitiveness in America in the 1980s.	Alexander & McDonald (1996)
<b>Resettlement</b>	Resettlements of rural landholders from isolated villages to centralized towns.	Gushue (2001)
	Resettlement of Newfoundland residents from inaccessible fishing villages to growth centres.	Rohlf (2003)
	Discusses the resettlement of areas of China to Qinghai in the 1950s.	Lipkin (2006)
<b>Welfare</b>	Australian welfare reform shift to welfare as a social right to welfare on conditions outlined by Government.	Shaver (2001)
	Criticism of Indian Government Social Engineering intervention to reserve jobs for those of lower castes.	Birth vs Merit (1996)
	Similar Social Engineering in Malaysia.	"

**Table 2.2: Social Engineering Literature Summary (Continued)**

	Introduction of first welfare system into England.	Grigg (2002)
	Introduction of bill to allow returned servicemen subsidized education in America.	Duff (2005)
	Discusses the differences between men and women that have brought about different equalising laws and how these give limits to Social Engineering in this area.	Hakim (2006)
	Discussion of welfare states and their economic performance.	Headey & Goodin (2000)
	Recommendations of Social Engineering for welfare communities.	Gibelman (2000)
	Discussion of the Social Engineering solutions for the underclass of America.	Gilbert (1999)
	Includes discussion of Social Engineering policies in Canada such as affirmative action.	Hucker (1997)
	Discussion of welfare Social Engineering policies for the black community in Liverpool, England.	Zack-Williams (1997)
<b>Planning &amp; Simplification</b>	A book covering scientific forestry, city planning, surnames and language, Soviet collectivisation, and Tanzanian forced villagisation as examples of failed Social Engineering through simplification, ordering, and disregard for local knowledge.	Scott (1998)
	Reviews the Theodore Roosevelt's Country Life Commission in 1908.	Peters & Morgan (2004)
<b>Nation building</b>	America's Social Engineering campaign in South Vietnam which tried to liberalise the State from communism and revolution.	Latham (2006)
	Assesses three nation building stages in Chile's history.	Taylor (2006)
	Argument against the use of Social Engineering to help developing countries.	Norris (2005)
	Discusses the Social Engineering that the British used in their colonisation efforts of Africa in the 1930s to the 1960s.	Burton (2003)
<b>APPLICATION THEORY OF SOCIAL ENGINEERING</b>		
	Definition, philosophy, and methodology for Social Engineering.	Podgórecki (1971); Podgórecki, (1990)
	The use of Social Engineering in decision making.	Podgórecki (1976a);
	"The Subject Matter of Sociological Research on the Utilisation of Social Science in Practice" (Unavailable in English)	Kubin (1972)
	"Models of Application Processes of Science in Practice in Foreign Researches" (Unavailable in English).	Kubin (1973)
	"The Premises of the Rational Planning of Migration" (Unavailable in English).	Łos (1970)
	"The Methodological Premises for Linking Sociology with Practice" (Unavailable in English).	Łos (1972)
	"Decision Making and Expertise" (Unavailable in English).	Gluck (1972)

**Table 2.2: Social Engineering Literature Summary (Continued)**

	"Some Problems of Decision Maker Expert Co-Operation" (Unavailable in English).	Gluck (1973)
	Offers a theory of use for Social Engineering.	Cherns (1976)
	Towards a general theory of guiding societies.	Etzioni (1976)
	Guiding Social Engineering with a theory of human needs.	Kocowski (1976)
	The use of Social Engineering in policy formation.	Gershuny (1976)
	Problems with the evaluation of Social Engineering.	Barton (1976)
	Social Engineering methods to create recommendations.	Zetterberg (1962); Lazarsfeld & Reitz (1975)
<b>HISTORICAL REFLECTION</b>		
	Social Engineering throughout the middle ages.	Baszkiewicz (1971)
	Social Engineering in Shakespeare.	Gockowski (1971)
	"Sociotechnics" (Unavailable in English).	Podgórecki (1963)
	Social Engineering within Napoleon's rule.	Senkowska-Gluck (1972)
	Social Engineering through publications of manuals for proper behaviour in early modern England.	Richardson (2004)
	Use of social sciences and Social Engineering in policy making in Great Britain.	Cherns (1976)
<b>PHILOSOPHY OF SOCIAL ENGINEERING</b>		
	Introduction of engineering aspects to sociology. Creation of theories for Social Engineering.	Turner (2001)
	Social Engineering characteristics, Utopian and Piecemeal Social Engineering.	Popper (1945)
	Discussion of Social Engineering techniques based on behavioural theories.	Mannheim (1940)
	General discussion.	Duff (2005)
	Society has the technology and knowledge to engineer itself to a better place.	Bell & Graubard (1967), Bell (1973)
	Conceptualisation of practical knowledge. Assessment of failed Social Engineering interventions.	Scott (1998)
	Discussion of Gunnar Myrdal's work on Social Engineering.	Eliæson (2000)
	Reflection on sociology's history and future including a discussion of Social Engineering.	Bell (1999)
	Discussion of Popper's work.	Bunge (1996)
	Discussion of the history of Social Engineering.	Alexander & Schmidt (1996)
	History and critique of Social Engineering.	Andreski (1976)
	Early use of Social Engineering before the 18th century.	Gockowski (1976)
	Discusses Social Engineering and compares and contrasts it to social architecture.	Schmidt (1976)
	The role of the social sciences in Social Engineering.	Podgórecki(1976b)

**Table 2.2: Social Engineering Literature Summary (Continued)**

	Discusses the use of Japanese department store museums as Social Engineering interventions to encourage consumerism.	Wu (2004)
<b>OTHER</b>		
	Compares Social Engineering with aspects of model making.	Clymer (2002)
	Discussion of logical empiricism and American pragmatism and how they agreed regarding Social Engineering.	Richardson (2002)
	Discussion of a Russian metro station in the 1930s as a Social Engineering avenue.	Jenks (2000)
	Discussion of the New Right phenomenon and how Social Engineering aided this revival.	Hill (1998)
	The collapse of social emancipation. Includes discussion of Social Engineering in this context.	de Sousa Santos (1998)
	Discussion of the link between Social Engineering via Eugenics and streamlining design in 1930s America.	Cagdell (2004)
	Discusses the history of the Social Engineering intervention that was euthanasia.	Dowbiggin (2003)
	Discussion of the history of eugenics in America.	English (2004)
<b>SOCIAL ENGINEERING INTERVENTIONS DISCUSSED</b>		
	Nazi Germany.	Scott, 1998
	Apartheid South Africa.	"
	Modernization plans of the Shah of Iran.	"
	Villageisation of Vietnam.	"
	Gezra scheme in the Sudan.	"
<b>SOCIAL ENGINEERS DISCUSSED</b>		
	Lenin	Scott (1998); Alexander & Schmidt (1996)
	Le Corbusier urban planning.	Scott (1998)
	Stalin	Scott (1998); Alexander & Schmidt (1996)

Even institutions have not escaped Social Engineering discussion. Examples include the shaping of institutions (Gockowski, 1972a; Rubin, 2006), the use of Social Engineering in workplaces (Vähätalo, 1976) as well as in the army (Bristow, 1996). Further, Social Engineering has been discussed with regard to Government and legal system functioning (Pickel, 1997; Kojder, 1996) and policy making (Manley, 1986; Duff, 2005; Kray, 2004). There have also been general discussions of political parties and their

views of Social Engineering (Colarelli, 2002; Tawney, 1949).

Other more varied areas have also been covered in the Social Engineering literature such as historical reflection on Social Engineering through the middle ages (Baszkiewicz, 1971), in Shakespeare's works (Gockowski, 1971), in early modern England (Richardson, 2004), and beyond (Cherns, 1976), and even through Napoleon's rule (Senkowska-Gluck, 1972). Social Engineering has been discussed with regard to consumerism (Wu, 2004); model making (Clymer, 2002), a Russian metro station (Jenks, 2000), social emancipation (de Sousa Santos, 1998), eugenics (Cogdell, 2004), and euthanasia (Dowbiggin, 2003).

One overarching theme runs through all of these articles; they tend to discuss Social Engineering in the past tense. More specifically, they look at each of the topics, contexts and past situations, and apply Social Engineering to them after the situation. They do not tend to use Social Engineering in planning future situations or use theories as their basis.

#### **2.4.2 The Use of Marketing Communications in Social Engineering**

The one article<sup>5</sup> that writes about how Social Engineering was applied with forethought to a situation has been written by Alexander & McDonald (1996). They discuss a public campaign commissioned by a group of elites (calling themselves the Business-Higher Education Forum - BHEF) in 1989. The campaign was set to change public opinion over how the United States of America could become more internationally competitive. They found that the BHEF had a different view of solutions to this problem when compared with the average voting American (Yankelovich, 1990; PAF, 1991; PAF-BHEF, 1992). The BHEF, which was made up of educational, political, and business people (Alexander & McDonald, 1996), thought that to increase international competitiveness, they needed to better the workforce's education levels and access to technology. However, the general public thought of the situation more in moral terms and felt the problem was due to poor work ethics and laziness in the workforce and schools. On considering this, the BHEF decided that a macro Social Engineering

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<sup>5</sup> To the best of the author's knowledge.

intervention was needed, because the discrepancies meant that congress could not solve the problem. They sought a way to have the general public agree with their definition of the problem, and thus agree with the factors they felt needed to be changed.

They reasoned this could be achieved through public discussions of the topic, presenting value-based expectations, and the BHEF's definition of the problem, but using the public's existing cultural beliefs. Gradually, this would change the public's view of the problem and so consequently, they would agree with the BHEF's definition of it (Alexander & McDonald, 1996). The BHEF then hired the Public Agenda Foundation (PAF) which is a Social Engineering agency that believes that to create the change in attitude and opinion that the BHEF sought, all relevant information about the topic needed to be provided to the public so they could judge the situation themselves. This would create "*the state of highly developed public opinion that exists once people have engaged in an issue, considered it from all sides, understood the choices it leads to, and accepted the full consequences of the choices they make*" (Yankelovich, 1991, p6). PAF were hired to create and carry out a Social Engineering campaign, using advertising to change the public's attitude toward the problem.

The mass communications campaign tried to inform the public that the reason the economy was faltering was because of inadequate education, and that this was a genuine problem. They then presented the options for change to the public. The campaign consisted of print and television advertisements, newspaper supplements, and a documentary about the problem and the different policies which could be introduced to solve it. They also added the consequences, advantages, and disadvantages of the policies, so that the public could discuss them.

To create this campaign, the team at PAF formed a campaign governance structure that encompassed managerial, structural, communication, and evaluation aspects. The overall goal was to teach the public the importance of, and interrelationship between, skills training, competitiveness, and the standard of living. To do this, they used communication, data analysis, opinion research, and evaluation of each strategy. It was PAF's job to create communications, and they undertook research using focus groups, surveys, and other research approaches to create and pre-test their communications. Overall they used a fear appeal that, among other things, asked people to fill in ballots

about the Government's options. PAF had large impacts on the opinions of their target audience.

Social psychology was used to inform this Social Engineering campaign; specifically, the theory of attitude change. This theory firstly posits that there must be an internal change in the way people understand and think about the problem. Secondly, there needs to be a social change in the groups that are involved. The help wanted campaign did both of these things. First it tried to change the way that the public defined the problem, through informing them of the different aspects, and helping them to judge the situation, which shows a change in the thought processes of each individual. This helped to change the nation's understanding of the problem and their goals, as well as the Government's goals. This increased cognitive elaborations surrounding the problem.

In the model used, the nation needed cognitive growth to understand that to become internationally competitive, increased skills training was required. This differed from citizens' original belief that increasing work ethics would create international competitiveness. From repeated elaborations of the association between skills training, increasing competitiveness, and increasing the standard of living, this schema slowly changed to be in line with the BHEF. The elaboration and association was initiated through linking these aspects with national values such as social stability, economic growth, and national greatness. The Social Engineering techniques used included appeal to personal relevance, authority, fear, social proof, national values, and personal responsibility.

They found that the public went through four stages of adaptation to the new schemas: Attention, Processing, Memory, and Action (Adapted from McGuire, 1985 and Shaver, 1987). At the Attention stage the public was exposed to the message and at the Processing stage they were exposed to the message and arguments, which they then comprehended, elaborated upon, integrated into their way of thinking, and agreed with. With the Memory stage, the public stored the message and were able to retrieve it at will, while at the Action stage they used the schemas in decision-making, actions, and consolidation of the new schemas into everyday life. This campaign successfully achieved the attitude change which it was seeking through this macro-level Social Engineering.

### 2.4.3 Social Engineering in Retailing

Social Engineering has been applied to many different subject areas (see Table 2.2). The only article which shows Social Engineering through Retailing<sup>6</sup>, regards department store Social Engineering in Japan (Wu, 2004). This could be seen as a macro Social Engineering intervention that was undertaken by the department stores themselves. They found that increasing their linkages to the West gave the store prestige that would increase their patronage. First of all, this could be done through the actual products and brands. It was later found that the presentation and entertainment factor of the products was also an important way to increase consumerism. Eye catching and theatrical displays, as well as entertainment such as music, plays, roof gardens, mini-zoos, cultural exhibitions, shrines, and hot houses (Wu, 2004), worked towards this.

The ‘terminal depato’ which were department stores that were at train stations, give another Social Engineering tactic to increase consumerism. These department stores targeted the working middle and lower class people, which the other department stores had not so far catered for (Wu, 2004). These new stores also incorporated other entertainment, such as restaurants and amusement parks, to bring consumers into the store and to increase their prestige. Housing was also built around train stations which had department stores, to try to increase the number of people who would use the trains. These housing developments were hugely advocated by the department stores themselves. These Social Engineering tactics increased consumerism for the Japanese because the entertainment factor drew them into the stores, who then offered them everything they could ever wish for. The introduction of the art galleries at the top of the department stores drew people through the whole of the department store to go into the gallery. These galleries not only increased the image of the stores but more so, increased the social image of the patron, making their purchases at the store a way of increasing their social prestige, while also increasing consumerism.

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<sup>6</sup> To the best of the author’s knowledge.

## 2.5 Gap in the Literature

This literature review shows that Social Engineering literature to date has sought to uncover Social Engineering interventions. Some literature has done this through conceptual development of Social Engineering processes. Other literature has studied specific Social Engineering applications or interventions. However, there has been no literature that has explored ways in which Social Engineering decisions can be influenced. Given the negative categorisation that Social Engineering has often been consigned (see Section 2.2.2), this is of some surprise.

To be able to influence Social Engineering, the Social Engineering decision process of the instigators must first be understood. While there are multiple conceptualisations of Social Engineering application once Social Engineering decisions have been made, there are less conceptualisations of the Social Engineering decision process. As outlined in the 'help wanted' case (Alexander & McDonald, 1996), influencing the decision stage of the process is most efficient, as opposed to trying to stop the intervention once it has been implemented. Taking this in mind, this thesis will take the multiple conceptualisations of Social Engineering decision making, and synthesise the literature. Diffusion theory is blended as a social science decision making theory that helps to uncover areas of influence in the decision making process (as has been outlined is important for Social Engineering). The blending of the two areas uncovers a new conceptualisation of the Social Engineering decision process.

Once the decision process is understood, influencing it becomes the objective of this study. As will be outlined in Chapter Four, this research posits that marketing communications should be able to influence the decision making process. This approach to Social Engineering research has not been taken before, and will allow future stakeholders to influence Social Engineering decisions. For a logical application of marketing to Social Engineering, the situation that will be studied is within a business context, more specifically retailing and the introduction of Sunday trading in New Zealand. This will further the study of both marketing, through the application of theories of consumer behaviour to Social Engineering, as well as Social Engineering research, through uncovering the influence of marketing communications on Social Engineering decisions.

## 2.6 Social Engineering and Social Marketing

One might ask at this point, if this research is going to apply Social Engineering to society, and use marketing in the process, is this not social marketing? Social Engineering and social marketing are different concepts though. Andreasen (1993) defines social marketing as:

*“The adaptation of commercial marketing technologies to the analysis, planning, execution and evaluation of programmes designed to influence the behavior of target audiences in order to improve their physical and mental wellbeing and or that of the society of which they are a part.”*

(Andreasen, 1993, p1)

Implicit in his definition, he states that there are three criteria by which a programme should be judged to be considered a social marketing programme (Andreasen, 1994). These criteria are:

1. The programme should apply commercial marketing techniques.
2. The programme’s objective should be to influence behaviour.
3. The programme should seek to benefit society.

So, while Social Engineering also seeks to benefit society through influencing behaviour, Social Engineering does not only use marketing techniques to achieve this. Social Engineering, as outlined by its definition, uses every single influential variable available to achieve change. Social Engineering at a Governmental level first uses legislation, then it may turn to social marketing programmes, punishment, education and/or structural changes as well as any other influential variables it deems fit.

## 2.7 Conclusion

This chapter has given a literature review of Social Engineering and its conceptual development. It has also reviewed the literature in Social Engineering with special attention to the study of Social Engineering in Retailing and the application of marketing communications to Social Engineering. It has shown the conceptual development of Social Engineering and in that, has defined Social Engineering. The scope of this research will be with macro level or Governmental level Social Engineering only, so that this level may be explored thoroughly; however the other levels and areas of Social Engineering have been explained here so that the reader may

be able to have a better understanding of Social Engineering in general.

In the next chapter the Diffusion literature is reviewed. Diffusion literature gives understanding to the way in which ideas spread through society and the Government during Social Engineering decisions and how marketing communications influence this process. Chapter Three sets the last of the literature reviewed to form the Social Engineering Decision Making Process outlined in Chapter Four.

## **Chapter Three: Innovation Decision Process Literature Review**

### **3.1 Introduction**

This chapter is a review of the literature regarding the process of Diffusion. This literature review informs the conceptual framework by outlining how ideas are diffused and how marketing communications can influence diffusion. It first defines the Innovation Decision Process (Rogers, 2003) and Diffusion. The variables affecting the process are then discussed, before looking at organisational diffusion processes and decisions. A review of literature researching Diffusion follows. Specific literature surrounding Diffusion studies in Marketing, Retailing and Social Engineering are outlined next. This literature review provides the background information that supports the assumptions and decisions for the rest of the thesis, especially for the conceptual framework that follows in Chapter Four.

### **3.2 Defining Diffusion and the Innovation Decision Process**

The innovation decision process, is where individuals, or groups, form attitudes toward an innovation, deciding whether to accept it. Innovations can be defined as, any “*idea, practice or object that is perceived as new*” (Rogers, 2003, p12). This includes products and services (Robertson, 1971), with ‘new’ in this context suggesting an unformed opinion. So, even if the idea is known to the individual, if they have no attitude toward it, it is still seen as an innovation (Rogers, 2003).

The result of the Innovation Decision Process (IDP) is Diffusion, which considers the innovation’s communication process through a social system (Rogers, 2003; Rogers &

Kincaid, 1981). Rogers (2003) views a social system as a group of people who are interrelated because of a common problem. Diffusion can result from intended or unintended activities, undertaken by change agents, opinion leaders (Rogers & Shoemaker, 1971), or marketing managers (Robertson, 1971) and is not instantaneous (Rogers, 2003; Robertson, 1971; Rogers & Kincaid, 1981). The structure of the social system will have an effect on the innovation's Diffusion, and Diffusion may in turn, alter the society's structure (Rogers, 2003).

There are four types of decisions that may be made using the IDP (Rogers, 2003):

1. An optional innovation decision is one that each individual separately adopts or rejects. For example, with product innovations, an individual decides whether to adopt (i.e. buy) an innovation. While the end decision is an individual one, the person is still influenced by their social system during their decision making process.
2. A collective innovation decision entails the whole social system to decide to adopt or reject an innovation. An example of this type of decision may be laws chosen through referenda.
3. An authority innovation decision takes place when a few people in the social system reject or adopt an innovation, and all of the social system must follow suit. Laws passed by Government without referenda are an example of this.
4. A contingent innovation decision is a mixture of the three previously mentioned decisions. In this type of decision situation, an innovation can only be adopted by an individual, after a prior decision (using one of the other three decision styles) to adopt the innovation makes this possible. An example of a contingent innovation decision is when a referendum uses a collective innovation decision to pass a law that subsidises water tanks. However, it is still up to each individual household to reject or accept the innovation, that is, to buy the water tanks.

Rogers (2003) states that authority innovation decisions are the fastest to be adopted throughout a social system, if they are not circumnavigated during adoption. Optional

and then collective are the next fastest adopted.

Organisational Diffusion is different from the IDP outlined here (Rogers, 2003; Gross et al., 1971). An organisation is defined as “*a stable system of individuals who work together to achieve common goals through a hierarchy of ranks and a division of labor*” (Rogers & Agarwala-Rogers, 1976, p26). Section 3.4 describes the organisational diffusion process.

### **3.2.1 The Innovation Decision Process**

The five stages in the IDP (Rogers, 2003) for non-organisational decisions are:

1. Knowledge
2. Persuasion
3. Decision
4. Implementation
5. Confirmation

The Knowledge stage starts when individuals become aware of the existence of an innovation and start to seek information about it. Information is sought to decrease uncertainty surrounding the innovation and so regards how the innovation works, its background, and the problems it solves (Rogers, 2003; Beal & Rogers, 1960; Mason, 1962, 1963, 1966a & b; Beal, Rogers & Bohlen, 1957; Wilkening, 1958; Rahim, 1961; Singh & Pareek, 1968; Coleman, Katz, & Menzel, 1966; LeMar, 1966; Kohl, 1966). Debate exists as to the purposefulness of awareness of an innovation, whether innovations are sought (Hassinger, 1959), or stumbled upon (Coleman et al., 1966). Rogers (2003) suggests that if the need for an innovation pre-existed awareness, an individual would seek the innovation out, whereas if the need did not exist prior to awareness, awareness was accidental.

The second stage of the IDP is the Persuasion stage, where an attitude towards the innovation is formed (Rogers, 2003; Beal & Rogers, 1960; Mason, 1962b, 1963, 1964,

1966a & b; Beal et al., 1957; Copp et al., 1958; Wilkening, 1958; Rahim, 1961; Singh & Pareek, 1968; Coleman, et al., 1966; LeMar, 1966; Kohl, 1966). Attitudes may be formed through evaluating peer's experiences of, and attitudes towards, the innovation, and further decreases uncertainties towards the innovation. A positive attitude toward the innovation can also be formed through incentives and lead to adoption (Rogers, 1973, 2003). The attributes of the innovation are vital to this stage and will be explained further in section 3.3.1.

The Decision stage of the IDP follows the Persuasion stage (Rogers, 2003; Beal & Rogers, 1960; Mason, 1962b, 1963, 1964, 1966a & b; Beal et al., 1957; Copp et al., 1958; Wilkening, 1958; Rahim, 1961; Singh & Pareek, 1968; Coleman, et al., 1966; LeMar, 1966; Kohl, 1966). Activities take place here to facilitate the adoption or rejection decision. The person may trial the product (thus adopting it in the short term), or vicariously trialing the product through an opinion leader or peer may be sufficient (Magill & Rogers, 1981). If rejection of the innovation is the decision, this may take one of two forms. Active rejection happens when the person trials the innovation or considers adopting it and then decides not to. Passive rejection is where the person rejects the innovation without ever considering using it (Eveland, 1979).

The fourth stage in the IDP is the Implementation stage (Rogers, 2003; Beal & Rogers, 1960; Mason, 1962b, 1963, 1964, 1966a & b; Beal et al., 1957; Copp et al., 1958; Wilkening, 1958; Rahim, 1961; Singh & Pareek, 1968; Coleman, et al., 1966; LeMar, 1966; Kohl, 1966). This stage, unlike the previous stages, which are almost purely cognitive, introduces the behavioral aspects of the process. In the Implementation stage the person seeks information on how to obtain and use the innovation first. They then seek ways of combating consequences of its use. The innovation can also be re-invented, if alternatively utilized from its envisaged use (Charters & Pellegin, 1972; Emrick, et al, 1977; von Hippel, 1976; Larsen & Agarwaka-Rogers, 1977a & b; Eveland et al., 1977; Rogers et al., 1977; Rice & Rogers, 1980; Rogers, 2003). Re-invention can particularly occur if only part of the innovation is adopted. Similar to re-invention, if the innovation is customized, the stage may be sped up (Berman & Pauley, 1975; Berman & McLaughlin, 1974, 1975, 1978; Berman et al., 1975, 1977).

Lastly, the Confirmation stage is where the person re-evaluates their adoption or

rejection of the innovation and seeks reinforcement for their decision from peers (Rogers, 2003; Beal & Rogers, 1960; Mason, 1962b, 1963, 1964, 1966a & b; Beal et al., 1957; Copp et al., 1958; Wilkening, 1958; Rahim, 1961; Singh & Pareek, 1968; Coleman, et al., 1966; LeMar, 1966; Kohl, 1966). If they find contrary evaluations to their own, they may reverse their prior decision. The person may seek to avoid contrary evaluations though, and selectively seek out agreeable evaluations. The Confirmation stage never ceases for an adopter, with constant re-evaluation continuing throughout the innovation's lifespan. Discontinuing use of the innovation may result in replacement, or rejection if dissatisfied (Bishop & Coughenour, 1964; Leuthold, 1965; Rogers, 2003).

### **3.3 Variables Determining the Rate of Diffusion**

There are five variables that have been found to affect the rate of Diffusion within the IDP. The attributes of the innovation (section 3.3.1) explain specific characteristics of the innovation that will affect its adoption. The type of innovation decision (as outlined in section 3.2), the communication channels used to spread word of the innovation, the nature of the social system in which the innovation is adopted, and the amount of promotion of the innovation by the change agent (Rogers, 2003) are discussed in section 3.3.2 (other than the type of innovation decision which can be found in section 3.2).

#### **3.3.1 Attributes of an Innovation**

The first variable that affects the rate of Diffusion is the characteristics of the innovation itself. These attributes are:

- Relative Advantage
- Compatibility
- Complexity
- Trialability
- Observability

Relative advantage of the innovation compares it with current solutions (Rogers, 2003; Holloway, 1977; Hahn, 1974; Clinton, 1973; Elliot, 1968; Kivlin, 1960). Advantages over current solutions may include savings in money, or increasing social status (Rogers, 2003; Kivlin & Fliegel, 1967; Fliegel, et al., 1968). An incentive may be added to the innovation to create a relative advantage. For instance, incentives (monetary or non monetary), can be given for adopting the innovation or convincing others to adopt it, while penalties, such as fines, can be given for rejection (Rogers, 1973).

Compatibility is the match between the innovation and the social system's past experiences, values, and needs (Rogers, 2003; Holloway, 1977; Hahn, 1974; Clinton, 1973; Elliot, 1968; Kivlin, 1960). If the innovation can be understood with prior knowledge, people will be less uncertain about it. The benefits of the innovation (what needs it fulfills), enable comparison with the needs and values of the social system.

The third attribute is complexity, which is how difficult the innovation is to understand and use (Rogers, 2003; Holloway, 1977; Hahn, 1974; Clinton, 1973; Elliot, 1968; Kivlin, 1960; Singh, 1966). The more complex the innovation, the slower the rate of Diffusion.

Trialability is the ease at which the innovation can be tested and is the fourth aspect of an innovation that will affect its rate of adoption (Rogers, 2003; Holloway, 1977; Hahn, 1974; Clinton, 1973; Elliot, 1968; Kivlin, 1960; Fliegel & Kivlin, 1966; Singh, 1966; Fliegel et al., 1968). If an innovation can be trialed, this reduces the amount of uncertainty surrounding it, increasing the rate of Diffusion.

Lastly, observability is how much the benefits of the innovation can be seen by others (Rogers, 2003; Holloway, 1977; Hahn, 1974; Clinton, 1973; Elliot, 1968; Kivlin, 1960). The rate of Diffusion is positively correlated with the number of observable benefits.

### **3.3.2 Other Variables Affecting the Rate of Diffusion**

The last three variables affecting the rate of Diffusion will now be discussed. Firstly, the speed and efficiency of communication channels, can affect the rate of Diffusion, according to the stage of the IDP. For instance, using mass communication channels during the knowledge stage is a much quicker way to spread awareness of the

innovation than interpersonal networks (Rogers, 2003). This will be discussed further in section 4.4.9.

The nature of the social system will also affect the rate of innovation Diffusion. A social system's norms regarding innovations in general will influence their acceptance of innovations. The compatibility of specific innovations will also be judged by these norms (Rogers, 2003).

Lastly, change agent's promotional efforts will affect the rate of Diffusion. Promotion can increase the speed and efficiency of information spread throughout the society. Emphasizing significant aspects of each stage of the IDP can also speed the process (Rogers, 2003). For instance, in the Persuasion stage, evaluative information regarding the innovation is sought and promotion can provide this. The effects are moderated by the form of communication (interpersonal versus mass) that is most effective for that stage (Rogers, 2003 – see section 4.4.9).

### **3.4 Organisations**

Turning now to the organisational diffusion process, there are only two stages in the organisation's diffusion decision process: the Initiation stage and the Implementation stage. The Initiation stage regards processes leading up to the adoption decision, while the Implementation stage encompasses everything after (Rogers, 2003).

#### **3.4.1 Initiation Stage**

The initiation stage of the organisational diffusion process starts when an organisation is motivated to change and sets an agenda to do so. Motivation to change can be instigated through problem or opportunity identification, and an innovation can be used as an opportunity or to solve a problem (March, 1981; Eveland et al., 1977; Rogers et al., 1976; Bernas, 1981; Walker, 1977; Pelz, 1981; Rogers, 2003). If the innovation was identified as an opportunity, it is then matched with a problem and its implementation consequences and problems examined. Following this analysis, the innovation is either accepted or rejected by the organisation (Rogers, 2003; Pelz, 1981).

### **3.4.2 Implementation Stage**

There are three parts to the Implementation stage – redefining/restructuring, clarifying, and routinising. Redefining and restructuring sees the organisation change to use the innovation and the innovation is synchronised with the organisation (Rogers, 2003; Pelz, 1981). The innovation is clarified when its implementation and use help the organisation understand it better. Clarification uncovers the real meaning and uses of the innovation, bringing better understanding to all those it affects. This stage is important to avoid misunderstandings of the innovation's classification, or description, and allows time for adjustment (Rogers, 2003; Pelz, 1981). If the innovation remains, it will become routinised - a commonplace and ordinary part of the organisation (Rogers, 2003; Pelz, 1981).

The organisational diffusion decision process is generally completed in order; however stages can be skipped and repeated where new information or problems occur. If the innovation comes from within the organisation, then the stages may be muddled, however if it has an external source, then the stages are generally followed (Pelz, 1981).

This research will be using the IDP as apposed to the organisational diffusion process. This is because the macro level of Social Engineering researched here is at a society level and so the IDP is more appropriate (Cherns, 1976).

## **3.5 Review of Diffusion Literature**

Diffusion had been studied by separate disciplines for many years before it was recognised as the same topic. The first mention of Diffusion was from a judge named Gabriel Tarde (1903; Kinnunen, 1996), who looked at the diffusion of innovations that had passed through his court rooms. In his book (Tarde, 1903), he recorded some similarities between the diffusion processes:

1. The rate of innovation success (which was 10% at the time).
2. Each innovation's diffusion was led by opinion leaders.
3. The rate of adoption followed an s-shaped curve.

4. The more compatible the innovation was, the more likely it was to be adopted.

After this, anthropologists from Britain, Germany, and Austria studied Diffusion before it spread through other disciplines. We will now go over the contributions of different disciplines to Diffusion research, before focusing on the contribution of Marketing's Diffusion research.

### 3.5.1 Key Discipline's Contributions to Diffusion Research

There are many disciplines that have contributed to Diffusion research. Here we will cover nine different disciplines that have been identified by Rogers (2003) as being the key contributory disciplines. Table 3.1 presents the general Diffusion findings by discipline, and is based on the work of Rogers (2003).

**Table 3.1: Review of Diffusion Literature by Discipline (Based on Rogers, 2003)**

Discipline	Findings	Supporting Literature
Anthropology	<ul style="list-style-type: none"> <li>Participant observation used</li> <li>Innovation must match society's values</li> </ul>	Spicer (1952); Barnett (1953); Arensberg & Niehoff (1964); Niehoff (1966); Wissler (1923); Wellin (1955); Pelto (1973);
Early Sociology	<ul style="list-style-type: none"> <li>Quantitative methods used</li> <li>Studied how Diffusion changes society</li> <li>Found that mass-media has more influence over early adopters, with interpersonal having more influence over later adopters</li> </ul>	Bowers (1937, 1938)

**Table 3.1: Review of Diffusion Literature by Discipline (Based on Rogers, 2003) - Continued**

Rural Sociology	<ul style="list-style-type: none"> <li>• One shot survey interviews</li> <li>• S-shaped curve of adoption</li> <li>• Adopter characteristics</li> <li>• Communication channel influence per stage of IDP</li> </ul>	Ryan & Gross (1943); Rahim (1961); Deutschmann & Borda (1962b); Korsching (2001); Crane (1972); Price (1963); Kuhn (1970); David (1998); Kremer et al. (2000); Hightower (1972)
Education	<ul style="list-style-type: none"> <li>• Mail Questionnaires</li> <li>• Characteristics of school innovation adoption</li> <li>• Found schools were laggards in general</li> <li>• Opinion leadership</li> <li>• Variables correlating to innovativeness</li> <li>• Perceived characteristics of an innovation</li> <li>• Rate of adoption</li> <li>• Consequences of Diffusion</li> </ul>	Mort (1953, 1957); Allen (1956); Carlson (1965); Havelock (1969); Miles (1964); Ross (1958); Berman & Pauly (1975); Berman & McLaughlin (1974, 1975, 1978); Berman et al. (1975, 1977); Wollons (2000a, 2000b)
Public Health & Medical Sociology	<ul style="list-style-type: none"> <li>• Studied adoption of drugs and family planning practices</li> </ul>	Katz (1956, 1957, 1961); Menzel (1957, 1959, 1960); Coleman, et al., (1957, 1959); Menzel & Katz (1955); Menzel et al., (1959); Katz et al., (1963); Rogers (1973); Freedman & Takeshita (1969, 1965); Rogers & Agarwala-Rogers (1976); Berelson & Freedman (1964); Freedman et al. (1964); Gillespie (1965); Takashita (1964, 1966); Takashita et al., (1964); Gladwell (2000); Rogers (1994), Burt (1980); Burt & Janicik (1996); Valente

**Table 3.1: Review of Diffusion Literature by Discipline (Based on Rogers, 2003) - Continued**

		(1993, 1995, 1996); Van den Bulte & Lilien (2001)
Communication	<ul style="list-style-type: none"> <li>• Survey interviews</li> <li>• Diffusion of news also follows an s-shaped curve although Diffusion rate is much quicker than for innovations</li> </ul>	Deutschmann & Danielson (1960); Greenberg (1964); Deutschmann (1963); Deutschmann & Fals Borda (1962a, b); Deutschmann & Harens (1965); Rogers & Siedel (2002); Mayer et al. (1990); Rogers (1999, 2000); Singhal & Rogers (1999); Brown et al. (1998); DeFleur (1987); Lin (1998, 1999, 2001, 2002); Lin & Atkin (2002); Leung (1998, 2000); Leung & Wei (1998, 1999, 2000); Wei (2001); Wei & Leung (1998); Lee, Leung & Soo (2003); Lievrouw (2002)
Marketing	<ul style="list-style-type: none"> <li>• Survey interviews and field experiments</li> <li>• More focus on future than retrospective studies</li> <li>• New product testing</li> <li>• Strategic planning for new product Diffusion</li> <li>• Innovation attributes</li> </ul>	Glaser & Montgomery (1980); Arndt (1967, 1971); Bass (1969); Mahajan, Muller & Wind (2001); Rosen (2000); Dekimpe, Parker & Sarvay (1998, 2000a, 2000b); Grüber & Verboven (2001a, 2001b); Shermesh & Tellis (2002); Singhal & Rogers (2003)
Geography	<ul style="list-style-type: none"> <li>• Secondary records</li> <li>• Studies space as having an effect on Diffusion rates</li> <li>• Created mathematical models including space/distance</li> </ul>	Hägerstrand (1952, 1953); Brown (1981); Rogers (1962)
General Sociology	<ul style="list-style-type: none"> <li>• Survey interviews</li> <li>• Investigates the</li> </ul>	Soule (1999); Grattet, Jenness & Curry (1998); Holden (1986); Chaves (1996); McAdam (1986, 1988);

**Table 3.1: Review of Diffusion Literature by Discipline (Based on Rogers, 2003) - Continued**

	spread of innovations by interpersonal relationships  • Adopter categories	McAdam & Paulson (1993); McAdam & Rucht (1993)
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This table is not an exhaustive list of literature pertaining to each discipline's Diffusion research; rather it is meant to give examples of some of the key literature in each discipline. These examples show the development of the discipline and the different disciplines that influenced it as shown in the next few paragraphs. Marketing's contribution to the Diffusion literature is discussed separately so as to see how Marketing understands diffusion and has developed its view of marketing communication's influence on Diffusion.

Anthropology's research in Diffusion is different from other disciplines because it used participant observation as the predominant methodology. The discipline generally studied the consequences of innovations, especially the consequences of cross-cultural innovations. They found that innovations needed to match the culture's value system to be accepted (Pelto, 1973; Wissler, 1923).

Early Sociology looked at Diffusions throughout geographical regions. They followed the Diffusion path to see how it created, or added, to social change in that region. The key article in this area is that of Bowers (1938), who looked at the Diffusion of ham radios. He found that for early adopters of ham radios, mass media influenced them more, but for later adopters, interpersonal communications had a greater influence.

Rural Sociology has found many significant findings in Diffusion research. Diffusion studies such as the Hybrid corn study (Ryan & Gross, 1943), have contributed much knowledge to the discipline. This study looked at the adoption of a new type of corn seed, which was diffused throughout nearly every farm in Iowa within 13 years. They interviewed 259 farmers asking for information such as when they adopted the corn, how much of their farm was planted in the corn, who gave them information about the

corn, as well as other demographic profiling questions, in a structured questionnaire. From this study, key findings in Diffusion research were established such as the s-shaped adoption curve, the characteristics of each adoption group, and the effectiveness of different sorts of communication at each IDP stage. Their methodology and research paradigm have predominantly been followed for Diffusion research since.

Education related Diffusion studies focused on school governance, and how this affected their innovativeness. They first looked at whether being controlled by the State, versus Local Bodies, would lead to more or less innovativeness (Mort, 1953). Overall, these types of studies found that the more wealthy the school, the more innovative it was. The role of opinion leaders was found to be important, as were the characteristics of early adopters. They also explored interpersonal communication networks and their influence on adoption (Carlson, 1965).

Public Health and Medical Sociology studied the Diffusion of new health and medicine ideas such as specific drugs and family planning methods. Recently, these studies have been applied to planned Diffusion projects such as anti-smoking interventions (Gladwell, 2000). Earlier studies in the area have helped refine the IDP and its related assumptions. For instance, incentives used to increase adoption, change agents, and communication strategies to convey planned messages (Rogers, 1973). Further, the KAP (Knowledge, Attitude, and Practice) gap has been studied in this discipline. This is the gap that is created when the targeted society has knowledge and a positive attitude toward an innovation but no motivation to actually adopt it (Rogers, 2003).

Communication studies have looked at the spread of news stories through the Awareness and Knowledge stages of the IDP. Diffusion researchers have found that the spread of news articles takes the same s-shaped curve of innovations but is much quicker (Rogers & Siedel, 2002). Salience can affect Diffusion of news stories, along with the time of day, the location of the person (at home or work), and whether mass media is the main source of information for news events (Rogers, 2000).

Marketing will be discussed in section 3.5.2; thus, Geography and General Sociology will be the last disciplines covered here. Geography has studied how space is an attribute that affects the Diffusion of innovations, while also providing mathematical

models to calculate Diffusion (Hägerstrand 1952, 1953). General sociology has studied the spread of an innovation between people, focusing on their social relationships (Soule, 1999; McAdam, 1986, 1988).

### **3.5.2 Diffusion Studies in Marketing**

What follows is a review of Marketing's contribution to the Diffusion literature. It is discussed separately here so that the way in which Marketing understands and studies diffusion can be uncovered. As this research will be focusing on marketing communication's influence on Diffusion, Marketing's view of Diffusion and research approach is important. Marketing has generally used field experiments to research Diffusion, which is a different methodology from other disciplines (Arndt 1967, 1971). Its main innovation studied is products (Rogers, 2003). Sponsorship of marketing's research in the area has often led to interpretations of it as manipulative, leading societies to adopt unneeded innovations (Rogers, 2003). Some marketing research has not dealt with products though. Social marketing has used Diffusion research to decrease negative behaviors and increase socially responsible behaviors (Singhal & Rogers, 2003; Abdullah, 2003).

Modeling of the Diffusion process is a very popular topic for marketers (Delre, Jager, Bijmolt & Janssen, 2007; Meade & Islam, 2006; Parker, 1994; Mort, 1991; Mahajan, Muller & Bass, 1990; Gatignon, Eliashberg & Robertson, 1989; Rao & Yamada, 1988; Dockner & Jørgensen, 1988; Kalish, 1985; Norton & Bass, 1987; Kalish & Lilien, 1986; Easingwood, Mahajan & Muller, 1983; Schmittlein & Mahajan, 1982; Mahajan & Muller, 1979; Bernhardt & Mackenzie, 1972; Bass, 1969). The first model was the Bass model (1969), which has been further developed and explored by many authors since its inception (See Meade & Islam, 2006; Parker, 1994 and Mahajan, Muller & Bass, 1990 for reviews). The Diffusion process, in general, has been studied (Van Hove, 2000/2001; Gort & Klepper, 1982; Ferrari, 1973), with specific interest taken in factors that can affect it and the rate of adoption. Factors that have been found to influence the process include: funding of innovation development (Lackman, 2005), and promotional efforts (Simon & Sebastian, 1987; Horsky & Simon, 1983) such as comparative advertising (Ziamon & Katneshwar, 2003) and word of mouth (Mahajan, Muller &

Kerin, 1984; Czepiel, 1974; Sheth, 1971).

Beyond the Diffusion process, innovation's attributes have also been studied by marketers (Li, Greenberg & Nicholls, 2007; Gaudin, 1973). How the target society affects an innovation's perceived attributes (Voss, Montoya-Weiss & Voss, 2006), and how innovation's attributes affect organization's market share (Robinson, 1990) have been of interest. The type of innovation has also been discussed in the literature, for instance the affect of an innovation that is a service (LaTour & Roberts, 1992; Weerahandi & Dalal, 1992; Peterson, Rudelius & Wood, 1972). Research in Diffusion has spread past consumer products though to consider business product's Diffusion within organisations, especially information technology innovations (Papastathopoulou, Avlonitis, Panagopoulos, 2007; Neale, Murphy & Scharl, 2006; Prandelli, Verona, Raccagni, 2006; Der-Juinn & Chao-Chih, 2005; Pae & Lehmann, 2003; Frambach, 1993; Reddy, Aram & Lynn, 1991; Robertson & Gatignon, 1986; O'Neill, Thorelli & Utterback, 1973; Hayward, 1972). Topics covered in business product Diffusion include the characteristics of organisations (Chandrashekar & Sinha, 1995), the role of professional agencies in adoption (Swan & Newell, 1995), and clones and piracy of innovations (Conner, 1995; Givon, Mahajan & Muller, 1995).

Innovation's characteristics and the Diffusion process have not been the only aspects studied by marketing. Adopter characteristics have also been studied (Hassanien & Eid, 2006) with special focus on early adopter's personality characteristics (Schreier, Oberhauser & Prügl, 2007; Foxall & Haskins, 1986; Boone, 1970; Clark & Goldsmith, 2006). Effects of targeting later adopters before early adopters (Mahajan & Muller, 1998), adopter product feature preferences (Cestre & Damon, 1998), and the affect of the type of innovation - discontinuous or continuous (Venkatraman, 1989), have also been studied.

Lastly, the consequences of innovation Diffusion for currently available products has been studied (Schmidt, 2004), and global innovation Diffusion has also been explored (Forlani & Parthasaray, 2003; Millman, 1983; Straube, 1974). Global Diffusion research has focused on the influence of culture (Yaveroglu & Donthu, 2002; La Ferle, Edwards & Mizuno, 2002; La Tour & Roberts, 1992) as well as countries that have already adopted the innovation (Ganesh & Kumar, 1996). Regional differences in

adoption have further explored global Diffusion issues (Steffens, 1998).

### **3.6 Diffusion and its Use in Social Engineering and Retailing**

We will now discuss literature which has brought together the main areas of this research thesis. Studies that have incorporated both Social Engineering and Diffusion will first be outlined, with Diffusion studies in a retailing context being discussed second. Gaps in the literature will then be reviewed in section 3.7.

#### **3.6.1 Diffusion Studies in Social Engineering**

There is one key study identified by Podgórecki (1996) that uses the Diffusion process to inform a macro-level Social Engineering intervention – the Canadian Anti-Smoking Campaign. Before the campaign, it was widely recognised that smoking was not only harmful to health, but had further economic repercussions as well. Smoking was seen as a social problem. The Canadian Anti-Smoking Campaign was used to change societal values towards smoking to decrease levels of smoking through acceptance of a Bill restricting cigarette advertising (Hay, 1996). This highlights the difference between macro and micro levels of Social Engineering, as a micro approach would have targeted individual behaviour.

Groups for and against cigarette advertising started to form in 1970. Each group represented different values, presenting an equivocal situation which needed to be resolved for social change to occur (Podgórecki, 1990). Specifically, the harmfulness of smoking needed to be agreed upon if any anti-smoking Bills were to be passed. Therefore, a change in values about smoking was sought by lobbyists. This was brought about slowly through many different laws which:

1. Increased cigarette taxes.
2. Reduced the number of legal smoking areas.
3. Reduced the number of cigarette retailers.
4. Prohibited cigarette advertising.

The outcome of the Social Engineering was a substantial decrease in the number of smokers (Hay, 1996).

Each of the Social Engineering interventions was based on Diffusion theory. The Government considered that an innovation's characteristics increase its rate of Diffusion. They thought of smoking as an innovation, so by decreasing the effectiveness of each of its characteristics, smoking should decrease. The relative advantage and observability of smoking was decreased by reducing the number of legal smoking areas. Decreasing the number of cigarette retailers and increasing cigarette taxes, minimised the trialability of the product, as it was now more expensive and harder to obtain. The increase in taxes also affected the relative advantage of smoking by increasing its cost. These particular attributes were chosen from prior studies, such as Rogers & Shoemaker (1971) and Rogers (1973), which identified them as being key attributes in smoking adoption.

The problem with the Canadian anti-smoking campaign is while it shows the benefits of using Diffusion research in Social Engineering interventions, it uses only a few aspects of Diffusion. It does not look at Diffusion findings holistically but only looks at three of the characteristics of innovations. By choosing the related characteristics of an innovation which would affect the IDP without taking the IDP into consideration, it misses a deeper level of understanding of the decision process regarding smoking.

### **3.6.2 Diffusion Studies in Retailing**

There have been a few articles that discuss Diffusion of innovations in a retailing context, most of which looked at product adoption. One article that went beyond product adoption looked at the Diffusion of supermarkets and hypermarkets throughout France (Langeard & Peterson, 1975). However, this study also did not consider Diffusion holistically and studied the characteristics of early adopters only. Again, by only taking one influence on the diffusion process, without taking into account the Diffusion process itself, this study loses a deeper and more useful understanding of Diffusion in Retail.

### **3.7 Gaps in the literature**

What follows is a discussion of some of the problems with previous Diffusion research that will not be repeated in this thesis. The specific ways in which the thesis will address these issues will be outlined. Some problems with previous Diffusion research relate to the pro-innovation and individual blame biases evident in the studies. The pro-innovation bias assumes innovations benefit society, and should be adopted by all of its members. This does not take into account detrimental innovations, and has also limited the study of anti-Diffusion, whereby widely adopted negative innovations are eradicated (Rogers, 2003; Rogers & Shoemaker, 1971; Downs & Mohr, 1976). Conducting studies during, as opposed to post adoption is a remedy to the pro-innovation bias, as are comparative studies of successful and unsuccessful Diffusion. Analysing the wider context of Diffusions, such as initial decisions to introduce innovations, can also be used to address the pro-innovation bias (Rogers, 2003), and will be used as such in this research, through an historical narrative.

The individual blame bias holds individuals responsible for their own behavior, adopting the viewpoint of the change agent instead of the adopter. Research that illustrates this studies adopter characteristics, and views later adopters in a negative light. This can be remedied through the study of social systems and change agents, instead of individuals only (Rogers, 2003; Rogers & Kincaid, 1981). This thesis will study the social system in New Zealand and the Governmental change agent to address this bias.

As outlined by Rogers (2003), most Diffusion studies have used surveys, measuring each person once, post adoption. Recalled knowledge is not as reliable in measuring the time-order of behaviors and cognitions necessary to analyze the whole of the Diffusion process. In addition, surveys do not allow for further probing of respondents to gain expanded reasoning for Diffusion. Field experiments, longitudinal studies, archival records, and case studies, using multiple sources of information and respondents, would be better approaches to the study of the IDP (Rogers, 2003). Archival records with multiple sources of information over a long period of time will be used in this research for the historical narrative, addressing this concern.

The Canadian anti-smoking campaign shows the value of Diffusion research in Social Engineering interventions, but only looks at three of the characteristics of innovations. It does not consider the IDP and accompanying assumptions. The IDP would have added another level of understanding to the decision process regarding smoking and is the core of Diffusion studies. This thesis will include the IDP in its conceptual framework (see Chapter Four) to reflect the decision making process for innovations.

The study of French hypermarket and supermarket adoption is limited in its application of Diffusion to a retailing context, as full adoption had not occurred at the time of the study. Further, the study is another example of where the IDP was not included (Langeard & Peterson, 1975). Instead it studied the number and characteristics of adopters. This thesis will use an historical narrative to explore the adoption of deregulation of shopping hours in New Zealand, looking at the full adoption of shop trading hour deregulation. Again, the IDP will be included in the conceptual framework (see Chapter Four) of decision making.

Lastly, according to Langeard and Peterson (1975), Governmental barriers and opportunities need to be analysed in tandem with innovation adoption on a macro-level, for the true reality of the situation to be known. As this analysis of macro-level change is also called for by Podgórecki (1990) and Yankelovich (1990), this thesis will explore the acceptance of shop trading hour deregulation by New Zealand society. This will be achieved by the exploration of the Governmental decision making process for deregulation, and the historical narrative will uncover the Governmental barriers and opportunities which led to the changes.

### **3.8 Conclusion**

This literature review has explained the Diffusion process and the variables that affect the process. It has reviewed the literature in Diffusion research, and shown that there are some flaws in previous studies which mean that this area has not been studied before. This chapter has shown that Diffusion is a suitable behavioral theory to be paired with Social Engineering and Retail research. These areas being brought together help to extend and further explore the implications and applications of each of the disciplines. Diffusion helps in understanding how ideas that become Social Engineering

interventions are accepted and how marketing communications can affect this process. As has been outlined, no study has looked at all of the aspects of the IDP and its accompanying assumptions in a macro sense in a Social Engineering intervention in a retailing context. This thesis does just that. Chapter Four now explains how Social Engineering and Diffusion theory are blended into a conceptual framework of a Government's Social Engineering Decision Making Process.

## **Chapter Four: The Social Engineering Decision Making Process**

### **4.1 Introduction**

Chapter Four explains the development of the conceptual framework that fulfills Objective One of this research – The Social Engineering Decision Making Process. To be able to understand how marketing communications can affect the diffusion of Social Engineering ideas through a Government, the areas of Social Engineering and Diffusion are blended together in this conceptual framework. First, the appropriateness of using Diffusion and Social Engineering theories together is enumerated. Conceptual framework development and support follows, based on the literature. Marketing communication's influence on the Social Engineering Decision Making Process is discussed last.

### **4.2 Diffusion Theory's Appropriateness**

Social Engineering seeks to facilitate social action by controlling as many aspects of the environment as possible (Alexander & Schmidt, 1996). At a macro-level, Social Engineering interventions are chosen and implemented by the Government. In researching Social Engineering, this thesis seeks to uncover the decision making process of the Government for Social Engineering interventions. A suitable theory to reveal this decision making process, in conjunction with Social Engineering theory, is Rogers IDP (2003; Churns, 1976) outlined in Chapter Three.

Gouldner (1956) recommends general theories of human behavior be applied to Social Engineering. Specific behavioral theories such as the Theory of Reasoned Action

(Ajzen & Fishbein, 1980) would lead to hypotheses, which are not appropriate in Social Engineering on a macro-scale (Gouldner, 1956). The IDP is more appropriate because it looks at the general process a person, or group, goes through in the decision to adopt or reject an innovation (Rogers, 2003). The Diffusion process does not insist that the decision steps are the same for everyone, or that they are the same in every situation. Rather, they are a general process or guide to behavior (Rogers, 2003).

Alexander & Schmidt (1996) state that the Social Engineering process must be organic, growing and changing with the people involved. Diffusion theory allows for this to happen through moderating factors and concepts such as re-invention (Charters & Pellegin, 1972; Emrick et al, 1977; von Hippel, 1976; Larsen & Agarwala-Rogers, 1977a, 1977b; Eveland et al., 1977; Rogers, Ascroft & Roling, 1977; Rice & Rogers, 1980).

### **4.3 The Sociotechnical Paradigm's Appropriateness**

This conceptual framework is based on the Sociotechnical Paradigm outlined by Podgórecki (1990) for Social Engineering (see section 2.3.5) with the IDP (see section 3.2.1) further informing decision processes as a behavioral theory. Reasoning for the choice of Podgórecki's framework (1990) follows. As has been noted before (Table 2.1 and repeated in Table 4.1), Podgórecki's framework (1990) is not the only Social Engineering methodology available, there are also those by Lazarsfeld and Reitz (1975 – see section 2.3.4) and Zetterberg (1962 – see section 2.3.3). But unlike Podgórecki's framework (1990), these are client centered, focusing on the stages that would take place between a Social Engineering consultant and their client. This thesis seeks to uncover a conceptual framework that explores the decision making of the 'client' (the Government) not the practitioner, and so Podgórecki's framework (1990) is more applicable to this goal.

Though there are similarities between the frameworks, Podgórecki's framework (1990) is a more complete representation of the methodologies of Social Engineering than Lazarsfeld and Reitz (1975), or Zetterberg (1962). All of the methodologies start by identifying a problem and all suggest a search for theory to help to solve the problem. However, while Zetterberg (1962) ends after giving the client recommendations for

change, Lazarsfeld and Reitz (1975) extend this to implementation and assessment of those recommendations, all of which is included in Podgórecki's framework (1990).

**Table 4.1: Summary of Social Engineering Methods**

Author	Social Engineering Approach
Zetterberg (1962)	Method: <ul style="list-style-type: none"> <li>• Explore the problem</li> <li>• Define the problem</li> <li>• Interpret the problem</li> <li>• Apply theory</li> <li>• Create recommendations</li> </ul>
Lazarsfeld & Reitz (1975)	Method: <ul style="list-style-type: none"> <li>• Trigger</li> <li>• Identify problem</li> <li>• Research designed and target chosen</li> <li>• Research collects relevant data and theories</li> <li>• Findings translated into recommendations</li> </ul>
Podgórecki (1990)	Method: <ul style="list-style-type: none"> <li>• Problem recognised</li> <li>• Problem identified and defined</li> <li>• Global evaluation of values</li> <li>• Theory base chosen</li> <li>• Design of recommendations and their consequences</li> <li>• Trial of recommendations and then implementation</li> <li>• Evaluation of actions</li> </ul>

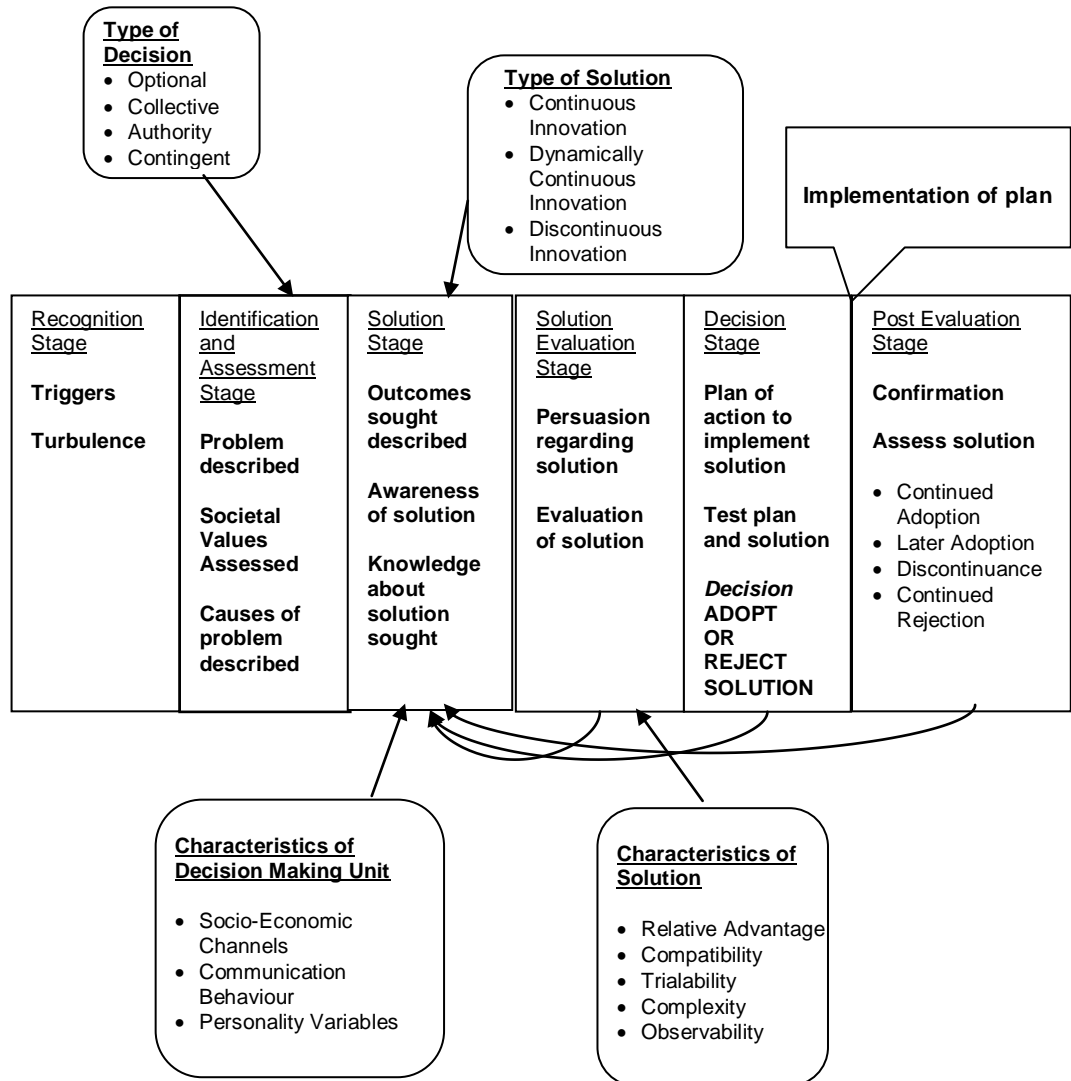
Podgórecki's framework (1990) combines both Zetterberg (1962) and Lazarsfeld and Reitz (1975), but adds in values, trial, implementation, and evaluation of implementation. This gives a more detailed view of the decision making process.

## 4.4 The Social Engineering Decision Making Process

The proposed conceptual framework (as shown in Figure 4.1) is based around Podgórecki's Sociotechnical Paradigm (1990), as it represents a fuller view of Social Engineering literature and is suited to variable users and situations. The Sociotechnical Paradigm (1990) is combined with the IDP outlined by Rogers (2003 – see Chapter Three). The stages in the conceptual framework will now be outlined with supporting

literature. The framework shows the decision making process of a Government for a Social Engineering intervention. Figure 4.2 shows how each of the frameworks have been combined.

**Figure 4.1: Social Engineering Decision Making Process**



#### 4.4.1 The State of Nature

In considering social change, the society's background must be understood first. This understanding comes from reviewing the state of nature of the society before the Social Engineering decision. All prior conditions affecting the adoption of a sought social change should be considered including, previous societal practices regarding social change, and their response to social change in general. The needs and problems of the

society will also affect social change acceptance, especially if the changes answer these needs. The more innovative a society considers themselves, the more open they will be to social changes also.

The social system's norms are another important factor affecting the adoption of social change. Communication norms may dictate the speed and efficiency of innovation information and general norms may dictate which social changes are acceptable. For instance, norms surrounding communication paths which dictate that women cannot communicate with one another will block social change among women if they need to be the communication vehicles (Rogers, 2003). Further, if there are norms and taboos surrounding social changes, the change may be blocked as people refuse to talk about them. These aspects come from the Diffusion literature (Rogers, 2003), and are also supported by Social Engineering academics (Alexander & Schmidt, 1996; Cherns, 1976; Kocowski, 1976; Mannheim, 1940).

#### **4.4.2 The Recognition Stage**

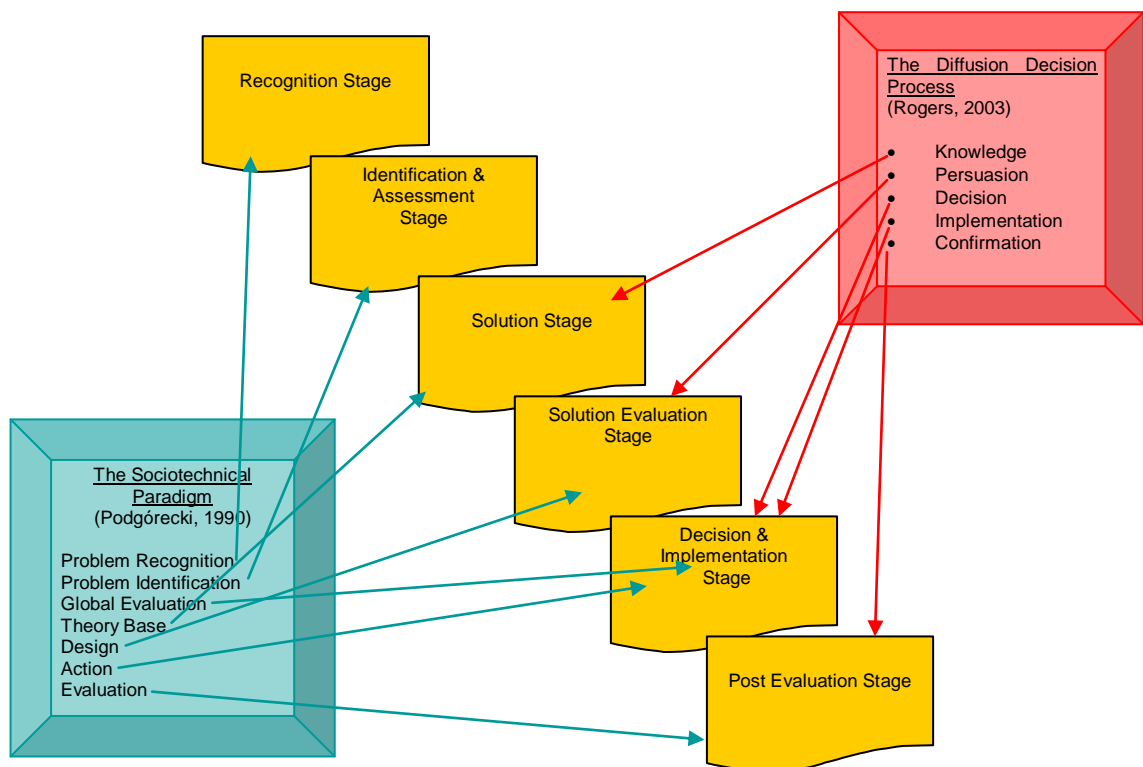
The first stage of the Social Engineering Decision Making Process is the Recognition stage (Podgórecki, 1990), where some sort of trigger occurs. This trigger creates turbulence within the society, bringing a problem/need or possibility to the fore (Alexander & Schmidt, 1996; Lazarsfeld & Reitz, 1975). The amount of tension created from the turbulence can range from a difficult situation, to a dangerous situation, through to a potentially explosive situation (Podgórecki, 1996). Recognition can come from such channels as the news (Podgórecki, 1990), or social events such as a down turn in the economy (Scott, 1998). For example, when a news story is aired that shows a two year old child beaten and killed by a parent this may create enough turbulence that the problem of child abuse is recognised by the Government.

The level of bias in the reporting of the problem is then assessed, and the decision made whether to use Social Engineering or some other form of intervention (Podgórecki, 1996). In summary, the Recognition stage is where perception and awareness of the problem occur.

### 4.4.3 The Identification and Assessment Stage

At the Identification and Assessment stage, the problem perceived in the Recognition stage is explored. Description of the problem and its context is sought, and the worth of

**Figure 4.2: Basis of the Social Engineering Decision Making Process**



solving the problem is assessed by matching it with the values of the society (Podgórecki, 1990; Alexander & McDonald, 1996; Yankelovich, 1991; Etzioni, 1976; Kocowski, 1976). Facts regarding the situation are then collected, and a description of the situation and its causes are made from them (Podgórecki, 1990). For example, with the case of the death of the two year old child due to abuse, information would be collected regarding the size, causes, and broader contextual issues of child abuse in the society. The context of the specific child abuse case would be discussed and conclusions could lead to Social Engineering responses if values match. Child abuse

would be seen as a problem if the values of the society are that violence towards children is unacceptable.

The first moderating factor of the process is introduced here and is the type of decision that is being made. There are four types of decisions that may be made according to Rogers (2003). These are optional, collective, authority and contingent (for full descriptions see section 3.2). Each of these will affect the Social Engineering Decision Making Process.

#### **4.4.4 The Solution Stage**

The Global Evaluation Stage follows the Identification and Assessment Stage according to Podgórecki (1990). However, there is more support for the Global Evaluation Stage to combine with the Persuasion stage of the process, so the Global Evaluation Stage will be discussed in section 4.4.5. The stage that follows on from the Identification and Assessment Stage instead, is the Theory Base Stage, relabeled the Solution Stage in the Social Engineering Decision Making Process described here.

According to Podgórecki (1990), a theory is chosen during the Solution Stage to inform and guide the rest of the stages. To make the decision making process more general and to take into consideration the diffusion of ideas in the decision making process, the IDP of Rogers (2003) has been chosen as the theory base. The IDP (Rogers, 2003) and Podgórecki's Sociotechnical Paradigm (1990) combine to form the rest of the stages in the Social Engineering Decision Making Process (See Figure 4.2 for how the two theories are combined).

The Solution Stage is made up of the Theory Base Stage (Podgórecki, 1990) and the Knowledge Stage of the IDP (Rogers, 2003). So extending Podgórecki (1990), solutions are not only collected and outcomes defined, but also specific knowledge of how the solution will achieve outcomes is sought. Information to decrease uncertainty over the solution and its effects is also collected (Podgórecki, 1990; Alexander & Schmidt, 1996; Yankelovich, 1991; Alexander & McDonald, 1996; Kocowski, 1976). For example, outcomes of solutions to the child abuse problem would be to decrease child abuse rates. Some possible solutions could be to increase punishment for child abuse,

introduce parenting courses, or to completely prohibit touching children in an aggressive manor. More information on each of these solutions would be sought to see their effectiveness.

According to Podgórecki (1990), there are four different strategies to identify solutions: Piecemeal independent factors (PIF), Global independent factors (GIF), Piecemeal dependent targets (PDT), and Global dependent targets (GDT).

- PIF is a strategy where solutions are chosen that will only change factors that have reliable and pre-specifiable effects when changed. If using this strategy, the Identification and Assessment Stage is very important as it will be used to identify factors for change. Only one factor is changed in the PIF strategy. For the child abuse example, one factor that could be changed would be the level of punishment for child abuse which would have a negative correlation with the level of abuse.
- The GIF strategy will look at changing a group of factors as opposed to one factor in the PIF strategy. Because a group of factors are changed at once, the complete consequences cannot be known. For example, a group of factors to decrease child abuse could include decreasing stressors on parents such as money problems, relationship problems, and poor parenting skills.
- PDT looks at a complete social area similar to the Social Engineering Decision Making Process. First, the problems with the social area are diagnosed and the social group's propensity to change measured. The progressive use of PIFs achieves the PDT strategy. For example parental stressors could be decreased one by one to decrease child abuse.
- The GDT strategy is an example of Utopian engineering as it looks to change the whole of society, not just one aspect or variable. Therefore, as stated in Chapter Two, this is not seen as an appropriate strategy. If this strategy was used for the child abuse problem, it may define the problem as being with parenting skills. The solution to this could be to have children brought up in group facilities by trained professionals only, with no parental contact.

The characteristics of the decision making unit moderate the Solution Stage and the rest of the Social Engineering Decision Making Process. Socio-economic channels, communication behaviors, and personality variables may affect the speed and efficiency of information flow as well as other aspects of decision making (Rogers, 2003; Alexander & Schmidt, 1996; Kojder, 1996).

A second moderating factor for the Solution Stage is the type of solution offered: continuous, dynamically continuous, or discontinuous. A continuous solution is an extension of an existing solution. For example, increasing the punishment for child abuse would be an extension of the punishment that already exists. A continuous innovation is less complex and more compatible with current beliefs because there is already a variant of it (Robertson, 1967).

A dynamically continuous solution is more disruptive than a continuous solution, though it is still based on existing solutions. This type of solution requires a little more understanding and linking to current beliefs and practices of the society (Robertson, 1967). This may be the case where the punishment for child abuse is a fine currently and the new solution suggested is imprisonment.

Lastly, a discontinuous solution is different from any solutions used currently, requiring behavior change (Robertson, 1967). For example, introducing a law where children would be raised in group facilities by trained professionals would be a complete departure from current practices.

#### **4.4.5 The Solution Evaluation Stage**

Podgórecki's Design Stage (1990) follows on from the Solution Stage and is combined with the Persuasion Stage of the IDP (Rogers, 2003), creating the Solution Evaluation Stage of the Social Engineering Decision Making Process. At the Solution Evaluation Stage, evaluations of solutions and their consequences take place and so evaluative information, based on outcomes, is sought (Podgórecki, 1990; Rogers, 2003; Alexander & McDonald, 1996; Zetterberg, 1962; Mannheim, 1940; Lazarsfeld & Reitz, 1975). For example, evaluative information regarding increasing the punishment for child abuse may be collected formally through Government committees and public submissions, or

informally through marketing communications and the media. Having more information available about a solution facilitates more effective evaluation, which increases the likelihood of adoption (Yankelovich, 1991, 1999; Alexander & McDonald, 1996).

The attributes of the solution will moderate the Solution Evaluation Stage (Rogers, 2003). These, as have been outlined in Section 3.3.1, are Relative Advantage, Compatibility, Trialability, Complexity, and Observability. While Compatibility is discussed again here briefly due to its link with Podgórecki's Global Evaluation Stage (1990), please refer back to Section 3.3.1 for full discussion of the attributes. Podgórecki's (1990) Global Evaluation Stage compares society's values with the values behind the solution, as happens with Compatibility (Rogers, 2003). As the two aspects mirror one another, the Global Evaluation Stage (Podgórecki, 1990) is combined with Compatibility at this point in the conceptual framework, rather than directly after the Identification and Assessment Stage. Following Solution Evaluation, the process may loop back to the Solution Stage if none of the solutions meet the evaluative criteria set by the decision making group.

#### **4.4.6 The Decision and Implementation Stage**

The Decision and Implementation Stage combines the Action Stage (Podgórecki, 1990), the Decision Stage, and the Implementation Stage (Rogers, 2003). This stage is behavioral where the others have been cognitive. At the Decision and Implementation Stage an implementation plan is formed and tested, and its consequences considered and adjusted for (Podgórecki, 1990; Rogers, 2003; Yankelovich, 1991; Lazarsfeld & Reitz, 1975; Podgórecki & Łoś, 1979), in line with Piecemeal Social Engineering (Popper, 1945). Specific information to create the implementation plan is sought such as how to attain and use the solution (Rogers, 2003). This stage is similar to the Solution Evaluation Stage; however the evaluations made here are physically tested. For example, the law to increase punishment for child abuse may be trialed through a few cases, giving time for evaluation and feedback. After the implementation has been evaluated, the solution is accepted or rejected. If it is rejected, the process reverts back to the Solution Stage and a search for more solutions.

#### 4.4.7 The Post Evaluation Stage

The last stage is the Post Evaluation Stage and combines the Evaluation Stage (Podgórecki, 1990) and Confirmation Stage (Rogers, 2003), and is where the solution's adoption or rejection is evaluated. Here the solution's effects are truly understood, and so the solution may be changed or rejected (Podgórecki, 1990; Rogers, 2003; Popper, 1945; Gershuny, 1976; Lazarsfeld & Reitz, 1975). If the solution is rejected, then the process starts at the Solution Stage again with another solution. For example, after increasing the punishment for child abuse to imprisonment, figures may show that child abuse levels were rising and so the law would be reassessed.

**Figure 4.3: Marketing Communication's role in Social Engineering (Adapted from Robertson, 1967)**



#### 4.4.8 Some Clarifications

The Social Engineering Decision Making Process proposes the decision making process of a Government for Social Engineering Decisions. It spans the general stages that a Government goes through as a whole. A macro-level Social Engineering Decision for a Government is different from general legislation as:

1. It is a law which aims to change the whole of society, not one group (Podgórecki, 1990).
2. Surrounding social and environmental forces facilitate the law, increasing its probability of social change success (Alexander & Schmidt, 1996), highlighting the match of the law with the values of the society (Czapow & Podgórecki, 1972; Podgórecki, 1990).

An example of macro-Level Social Engineering Laws would be subsidising tertiary education to increase the skill level of the workforce, at the time of a recession, when jobs are hard to find. Not only will the subsidy encourage further education, the lack of jobs will facilitate this behaviour too, in the hope that the recession would be over once studies had finished. A law that would not be considered macro-level Social Engineering would be introducing 20 free hours of child care to encourage parents to seek employment. This is only aimed at one group in society – parents – and while it does have some effect on many groups in society, the behaviour change sought (employment) is only for parents.

#### **4.4.9 The Influence of Marketing Communications and the Media**

Marketing communications and the mass media can be used to influence the Social Engineering Decision Making Process (Rogers, 2003; Mannheim, 1940; Hay, 1996; Narasimhan & Sen, 1983). Influence can be used to support or oppose particular solutions. The relationship between society and the Social Engineering Decision Making Process is mediated by marketing communications and the media (Robertson, 1967). Mediation occurs because of the communication role of marketing and the media, which can be used by both the Government and society, to express their views on the Social Engineering decision and solution (Lin & Burt, 1975; Mannheim, 1940; Rogers, 2003; Alexander & McDonald, 1996; Lazarsfeld, Berelson & Gaudet, 1948; Yankelovich, 1991). Marketing communications can be defined as “*the means by which [parties] attempt to inform, persuade, and remind [people] – directly or indirectly*” (Kotler & Keller, 2006, p G5). These can be divided into different communication mediums which include all of the marketing communications mix – “*advertising, sales promotion, events and experiences, public relations and publicity, direct marketing and personal selling*” (Kotler & Keller, 2006, p G5). The way in which marketing communications and the media can influence each of the stages in the Social Engineering Decision Making Process will now be explained.

Problem recognition has been created through marketing communications and the media in previous studies (Alexander & McDonald, 1996; Hay, 1996). The problem of international trade and education were brought to the fore through mass media in the

“help wanted” campaign (Alexander & McDonald, 1996 - See Section 2.4.2 for full description). While the negative effects of smoking, through public presentations and broadcasts, were highlighted in Canada (Hay, 1996 – See Section 3.6.1 for full description). These examples show that marketing communications and the media were used to create awareness of the problem in the Recognition stage.

For the Identification and Assessment stage, marketing communications were used to paint international trade and education as linked, and as problems worth solving in the ‘help wanted’ campaign (Alexander & McDonald, 1996). Media and marketing communications informing Canadians of the detrimental effects of smoking, also led to smoking being seen as a problem to be solved, especially for those people who had lost loved ones to smoking related illnesses (Hay, 1996).

Marketing communications can also be used in the Solution stage of the process (Rogers, 2003; Lazarsfeld, Berelson & Gaudet, 1948; Alexander & McDonald, 1996; Hay, 1996; Narasimhan & Sen; 1983). Rogers (2003) has found that knowledge of solutions can be brought about through mass communications (such as advertising). Marketing communications were also successfully used to bring about awareness and knowledge of the solution in both the “help wanted” and Canadian anti-smoking campaigns (Alexander & McDonald, 1996; Hay, 1996).

At the Solution Evaluation Stage of the Social Engineering Decision Making Process, Rogers proposes that interpersonal communications are the most effective form of communication (2003). This is generally achieved by seeking evaluative information about the solution from peers, especially opinion leaders. One place where opinion leaders gain their information is marketing communications, as they are more exposed to marketing communications than other groups (Rogers, 2003). However, while interpersonal communications are more effective, it is more difficult for stakeholders to co-ordinate than marketing communications (Robertson, 1967; Lin & Burt, 1975). Supporting the use of marketing communications at this stage, they were successfully used by both the “help wanted” and Canadian anti-smoking Social Engineering interventions (Alexander & McDonald, 1996; Hay, 1996; Narasimhan & Sen, 1983).

Specifically, marketing communications can be used to present evaluative information

regarding the solution in the Solution Evaluation stage (Alexander & McDonald, 1996; Hay, 1996; Narasimhan & Sen, 1983). Hay (1996) used advertisements and other marketing communications to help evaluation of different solutions in the Canadian Anti-Smoking Campaign. Newspaper supplements, print and television advertisements, television documentaries, and brochures were used to present evaluative information in the “help wanted” campaign (Alexander & McDonald, 1996).

Each of the characteristics of the solution can also be presented in marketing communications and the media to help the evaluative process (Shimp, 2007; Narasimhan & Sen, 1983):

- The relative advantage of the solution in comparison to other solutions can be illustrated.
- How the solution is compatible with the needs and values of the society can be highlighted.
- The complexity of the solution can be decreased through explaining it in a clear and concise manner.
- If the solution cannot be ‘observed’ (such as for behavioral solutions), its benefits can be presented.
- Trial can be dramatized if effects are known or benefits presented.

Marketing communications and the media cannot influence the Implementation and Decision stage or the Post Evaluation stage of the Social Engineering Decision Making Process. These stages do not support any outside interference, and interpersonal communication is the most effective and appropriate form of communication for final adoption or rejection of a solution, and for post evaluation (Rogers, 2003).

## **4.5 Conclusion**

This chapter has outlined the Social Engineering Decision Making Process which is the conceptual framework for this research. The chapter has explained and justified the conceptual framework. This decision making process is proposed for Social

Engineering decisions at a macro-level for Governments when they are deciding on Social Engineering legislation. The conceptual framework addresses Objective One of this research and will be used throughout the rest of the research to address Objectives Two and Three. To explore the usefulness of this conceptual framework, it is now illustrated through an historical analysis of shop trading hours in New Zealand. Special emphasis is placed on the role of marketing communications in the decision to introduce Sunday trading as the final Social Engineering Decision regarding shop trading hour deregulation. Chapter Five outlines the methodology for the exploration of Objectives Two and Three while Chapter Six presents the findings regarding the objectives. Chapter Seven then discusses the implications of the findings regarding Objectives One, Two, and Three.

## **Chapter Five: Methodology**

### **5.1 Introduction**

Chapter Five goes over the methodology used to explore Objectives Two and Three (as Chapter Four explores Objective One). It reviews the logic behind decisions in this research that allow for the exploration of the conceptual framework outlined in Chapter Four. This chapter begins with the reasoning behind the research questions, then moves to the philosophical assumptions behind the research methods. Details of the methodology, method, participants, data collection, and analysis follow. Trustworthiness is also discussed and ways to achieve it planned.

### **5.2 Research Purpose**

To be able to uncover how society can influence Government's Social Engineering decisions, marketing communication's role in Social Engineering decisions must be recognised. This understanding can be gained from looking at how marketing communications are diffused through the Government during Social Engineering decisions. Uncovering Governments' use of Social Engineering has been one of the main topics of macro-level Social Engineering research (See Podgórecki, Alexander & Shields, 1996; Cherns, 1976). Influence over Governmental Social Engineering decisions has not been addressed in the literature (see Chapter Two). Given the potentially detrimental effects of Social Engineering on a society, their views should be considered in Social Engineering decisions. To start with though, the decision making process used by Governments in Social Engineering situations needs to be uncovered

for it to be influenced, and so the first objective is:

- 1) To uncover the Social Engineering Decision Making Process.

This objective has already been achieved in the Social Engineering Decision Making Process conceptualized in Chapter Four where Social Engineering and Diffusion theory is blended into a conceptual framework of a Government's Social Engineering Decision Making Process.

The background to this research starts with the introduction of Sunday trading in New Zealand. The changes in shop trading hours in New Zealand have progressed from the first regulations in 1884, to almost total deregulation in 1990. The last significant leap, in 1990, was for Sunday trading to be introduced. New Zealand was one of the first Western countries to follow on from the United States in this endeavor (Price & Yandle, 1987). New Zealand is a Commonwealth Realm, and at the time the United Kingdom did not have Sunday trading (Richter, 1994). So how did New Zealand's Government arrang[e] and [channel] environmental and social forces to create a high probability that (Alexander & Schmidt, 1996, p1) Sunday trading would be accepted and implemented in New Zealand? The context of shop trading hour regulation allows for the Social Engineering Decision Making Process, uncovered in Objective One, to be fully explored and understood, leading to the second objective:

- 2) To explore the Social Engineering Decision Making Process, through its illustration.

Lastly, this thesis looks at how the Social Engineering Decision Making Process, uncovered by Objective One, and explored and illustrated in Objective Two, can be influenced by stakeholders. It is proposed that marketing communications and the media are an effective vehicle for stakeholders to influence the Social Engineering decision process, introducing Objective Three which is:

- 3) To explore the usefulness of marketing communications and the media during the Social Engineering Decision Making Process.

The contributions of this research are to Social Engineering, Marketing, Retailing and Society. The Social Engineering Decision Making Process for macro-level Governmental Social Engineering decisions will extend Social Engineering research. As will the use of a methodology (Historical – section 5.5.1) not used within Social Engineering research before. The application of marketing communications and the media to changing the final outcome of Social Engineering decisions is a new area of contribution to the Marketing discipline. Retailing will benefit through the exploration of Social Engineering in a retailing context, and through an historical analysis of shop trading hours in New Zealand. Identifying ways in which stakeholder groups may affect the Social Engineering decision of their Government will benefit Society.

### **5.3 Research Outline**

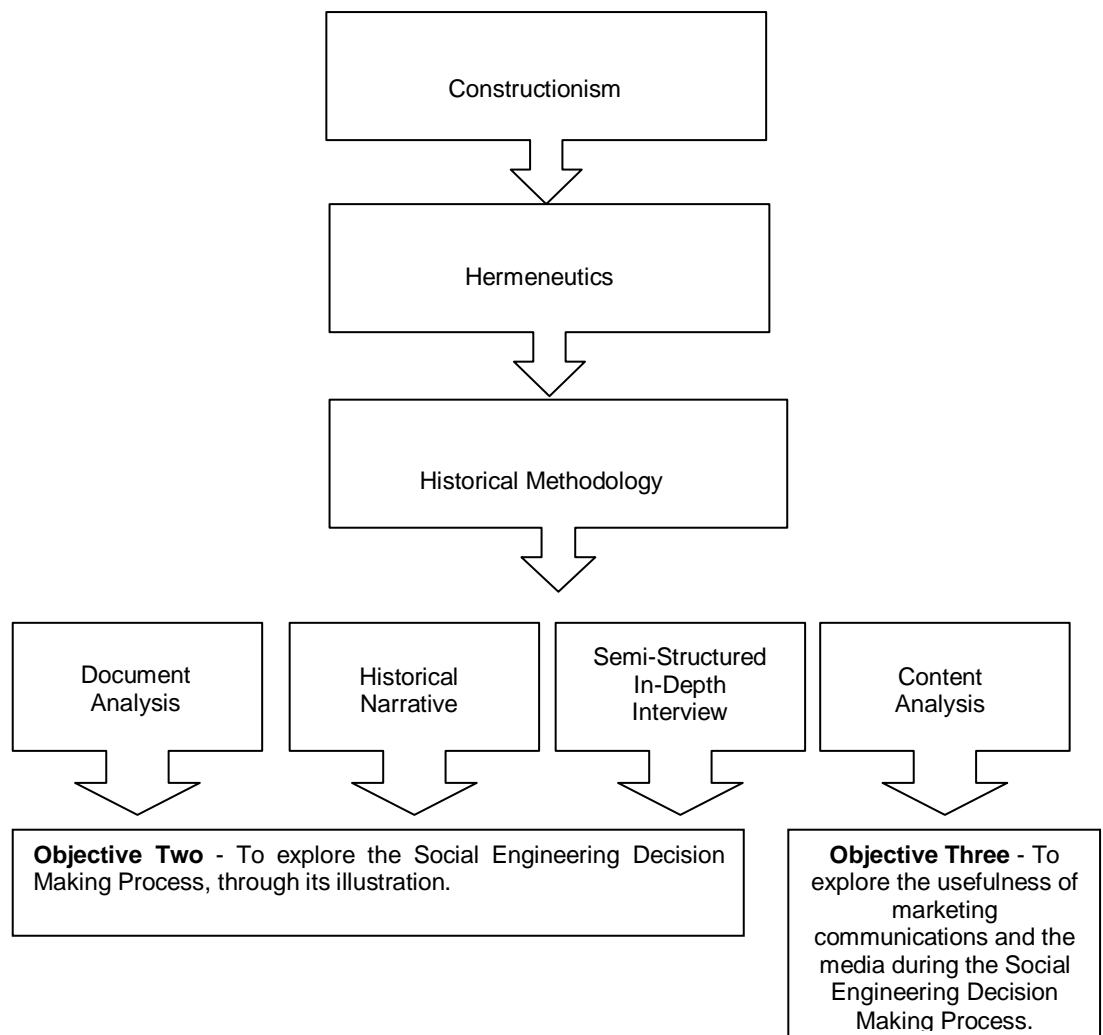
The researcher's epistemology is Constructionist leading to a Hermeneutic approach to research. To be able to meet the epistemological and theoretical assumptions and to achieve the research objectives, an historical methodology is followed. Other epistemologies and methodologies are inappropriate for this research context because they do not take into account the complexity of Social Engineering and the levels of interconnectedness that need to be acknowledged. These assumptions and objectives lead to multiple methods of document analysis, historical narrative, semi-structured in-depth interviews, and content analysis. Objective One is fulfilled in Chapter Four through the conceptual framework development. As noted in Figure 5.1, Objective Two is accomplished through document analysis which shapes the historical narrative which is explored further through the semi-structured in-depth interviews. The content analysis explores Objective Three. Justification for these decisions is now outlined in sections 5.4, 5.5 and 5.6.

### **5.4 Philosophical Approach**

The philosophical approach explained here, embodies the underlying beliefs of the

researcher regarding what knowledge is, and how it is created (Crotty, 1998). It is these underlying assumptions, teamed with the research questions, which give perspective and logic to the choices of methodology (Crotty, 1998). This section outlines the epistemology and theoretical perspective of this research, giving justification for its appropriateness in this research context.

**Figure 5.1: Overview of Research**



### 5.4.1 Epistemology

The philosophy underpinning assumptions about knowledge in this thesis is Constructionism. Under this philosophy, knowledge is created through people's

interpretations of their environment (Schwandt, 1994; Guba & Lincoln, 1989; Guba & Lincoln, 2000; Schütz, 1962). This means that each person constructs their own meaning of reality (Guba & Lincoln, 2000), potentially creating more than one meaning of a phenomenon (Guba & Lincoln, 1989; Hudson & Ozanne, 1988). Different interpretations occur because of the medium, language, and symbols surrounding the phenomenon (Goodman, 1978). This research explores interpretations of the development of shop trading hour law in New Zealand, through the exploration of multiple data sources including newspaper articles, opinion pieces, editorials, personal experiences, and parliamentary debate.

Individual interpretations (constructs), through consensus, create a general worldview of the subject studied, for that group of individuals (Smith, 1989; Hudson & Ozanne, 1988). This shared meaning is constructed over a long period, through language and history (Schwandt, 1994). Accordingly, constructions are historically and culturally bound. While there may be a consensus, researchers following a Constructionist philosophy do not try to find one true generalised interpretation of meaning (Guba & Lincoln, 1989). Instead of combining each person's interpretations to create one overarching view of the world, they understand that there is not one overarching view of the world. Instead, all interpretations are represented in their research, shared interpretations are acknowledged, and the origin of each interpretation is explored (Schwandt, 1994). In this thesis, each person's view is presented separately through direct quotes, in order to maintain the integrity of their interpretations. Differing interpretations are also be highlighted.

The role of the researcher under a Constructionist viewpoint is to interpret the meaning of constructions, inextricably linking them to the findings (Schwandt, 1994). In this research, participant's constructions are analysed for themes and applied to the conceptual framework. Description of this process is provided in order to assist transferability of the research findings.

Other epistemologies (for example Positivism), are inappropriate for this research as the interconnection and complexity of the research objectives and topic could not be fully explored. History, as well as Social Engineering, is vastly complex and contextual, implying that phenomena are never exactly repeated. Accordingly, there is no common

version of the phenomena to be measured and predicted. Social Engineering also expects that each society, along with their reaction to Social Engineering interventions, will be different due to the different interpretations and reactions of the actors in that society (Kojder, 1996). Diffusion also acknowledges this with respect to the interpretation and communication of innovations (Rogers, 2003). Both Diffusion and Social Engineering literature recognize that meaning may be transferred through language, and that it is up to the researcher to interpret the meaning (Rogers, 2003; Goćkowski, 1973, 1976), making Constructionism an appropriate epistemology for this research.

In summary then, the Constructionist philosophy of the researcher and the research areas has the following assumptions about knowledge:

- 1) There is no one generally shared knowledge of the world, as knowledge is constructed by people's interpretations of their world.
- 2) People can have shared knowledge if their interpretations agree with one another, but equally they may have contrasting interpretations.
- 3) Each construction is historically and culturally bound with the owner of the construction, but can be communicated to others through language, which can then be interpreted by a person such as a researcher.

#### **5.4.2 Theoretical Perspective**

The above assumptions of the research, which are embodied in Constructionism, lead to a theoretical perspective that is based on Hermeneutics. The theoretical perspective behind research presents a basis for the choices of methodology (Crotty, 1998). Hermeneutics is suitable for research with a Constructionist viewpoint (Guba & Lincoln, 1985; Klein & Myers, 1999). It also assumes that each person's constructions may differ and can be elicited through language (Guba & Lincoln, 1985; Schwandt, 1994, 2000; Grondin, 1994; Klein & Myers, 1999). Hermeneutics aims to uncover a consensus in constructions that is more informed than prior constructions. The view is more informed through an understanding of the complexity of a situation, its context, and process of meaning creation, the influences on both, and how both influence each

other (Kaplan & Maxwell, 1994).

Understanding is gained from viewing participants' constructions separately and as a whole, gaining a holistic view of the connections between constructions, while still acknowledging the individual's interpretation (Gadamer, 1975; Crotty, 1998; Klein & Myers, 1999). This principle of the Hermeneutic Circle (Gadamer, 1975) is enacted in this research through multiple iterations of data exploration, first separately in a document analysis, then as a whole to reflect on the historical narrative. Semi-structured in-depth interviews were conducted and first addressed separately, then as a whole, and then compared with documents separately, and combined as a whole in the historical narrative. Further iterations of analysis of the documents separately in a content analysis give insight to the historical narrative as a whole. However, each data source's interpretations are still presented separately in the findings sections to retain their individual status (Klein & Myers, 1999).

Contextualisation is another of the principles of Hermeneutics (Klein & Myers, 1999; Gadamer, 1975). Participants' interpretations are historically and culturally bound (Guba & Lincoln, 1989), and so their context must also be explored. Contextualisation needs to be undertaken explicitly by the researcher in order to understand how the situation which is being investigated emerged (Klein & Myers, 1999). This has been accomplished in this research through the historical narrative and adds to pre-understanding, which is also a prominent part of Hermeneutics. Hermeneutics assumes that the researcher will have knowledge of the subject that they are studying prior to conducting their research. This knowledge may be of theories and empirical findings, or experiences, ideas, and judgements. However it is embodied, this knowledge is critical to aid interpretation of constructions (Arnold & Fischer, 1994; Crotty, 1998; Gadamer, 1975; Garrison, 1996). Pre-understanding allows for the abstraction and generalisation of the constructions (Klein & Myers, 1999; Crotty, 1998; Madison, 1991; Soeffner, 2004) that is used to interpret them. The conceptual framework uncovered in Chapter Four is used to draw specific implications from the data about Social Engineering decision processes by abstraction and generalisation. Social Engineering also agrees that pre-understanding is needed to aid Social Engineering analysis (Goćkowski, 1976).

The use of pre-understanding implies the next principle of Hermeneutics – interaction –

that the data is constructed by the interaction between the researcher and participant. So not only do participants interpret phenomena, the researcher then interprets the participant's constructions (Klein & Myers, 1999). While the effect of this on the data is lessened by the use of historical data, the researcher's preconceptions will still affect the documentation and organisation of the material (Klein & Myers, 1999). Therefore, the researcher needs to be sensitive to this occurring and make their philosophical assumptions transparent, as is occurring in this section.

## **5.5 Methodological Strategies**

Methodology looks at the different strategies behind the choices of method for this research (Crotty, 1998). It will cover the logic of the decisions as well as their justification, according to the theoretical perspective, epistemology and disciplines studied. An historical methodology will be used in this research.

### **5.5.1 Historical Methodology**

In keeping with the above assumptions and beliefs, an appropriate qualitative methodology for this research is an historical methodology (Smith & Lux, 1993). There are two different philosophical approaches to an historical methodology (Jones & Monieson, 1990). One follows the French school - Annales - of development, and is more Positivist in its assumptions (Firat, 1987), while the other follows the German school of development, and is more Hermeneutic/Constructionist in its assumptions (Fullerton, 1987; Jones & Monieson, 1990; Firat, 1987). The difference in the two approaches is highlighted by their definitions. The more Positivist (French) approach defines historical research as "*the process of collecting, verifying, interpreting and presenting evidence from the past*" (Golder, 2000, p157). This version of the historical approach aims to collect information that is falsifiable (Calder & Tybout, 1987; Fogel & Elton, 1983), and able to generate causal scientific knowledge if collected using the historical method (Cochrane, 1929; Gottschalk, 1969; Iggers, 1979; Marwick, 1970; Salvemini, 1939). A number of authors (Cochrane, 1929; Gottschalk, 1969; Iggers, 1979; Marwick, 1970; Salvemini, 1939; Hempel, 1959; Savitt, 1980; Kumcu, 1987) advocate this approach. However, because of the assumptions explained in section 5.4,

this approach will not be used in this research. Instead, the second approach (As outlined by authors such as Smith & Lux, 1993; Fullerton, 1987; Firat, 1987; Nevett, 1991), which is more in line with constructionist and hermeneutical assumptions (Peter & Olson, 1983; Fullerton, 1987; Firat, 1987), will be followed.

Under the Constructionist and Hermeneutical view, historical research is concerned with change or continuity over time, and the specific contexts, geographies, events, and times where this change or continuity took place (Fullerton, 1987; Leff, 1969; Hollander, Rassuli, Jones & Dix, 2005; Savitt, 1980). It specifically seeks to investigate the causes and processes of changes, by looking at the deeper contextual happenings surrounding the events (Dray, 1957; 1964; 1971; 1981; Smith & Lux, 1993; Hollander et al., 2005). The cultural circumstances and ideological assumptions of the phenomena are explored (Mason, McKenney & Copeland, 1997). The main overarching assumption of historical analysis is constant change (Fullerton, 1987; Hollander, et al, 2005). Thus it seeks to identify, explain, and interpret change between two pre-selected time periods (Smith & Lux, 1993; Kumcu, 1987).

There are two consequences of this belief: 1) Social events and phenomena are time and place bound (Kumcu, 1987; Firat, 1987; Iggers, 1984), as with Constructionism and Hermeneutics (Gadamer, 1979; Stone, 1987) and 2) Prediction using behavioural theories cannot occur because of constant change (Firat, 1987; Iggers, 1984; Fullerton, 1987; Kloppenberg, 1989; Mandelbaum, 1977). So history is viewed as being discovered by the researcher, because they choose what time and contexts to explore (Smith & Lux, 1993). Pre-understanding, often in the form of theory, is frequently needed to help the researcher choose and interpret the data, or history, collected (Fullerton, 1987; Firat, 1987; Savitt, 1989; McArthur & Miller, 2006; Smith & Lux, 1993). This is also held by a hermeneutical perspective (Firat, 1987). The pre-understanding provided by the conceptual framework is used to choose and interpret the data collected in this thesis, and this approach has been used in many studies (Barger, 1955; Cox, Goodman & Fischandler, 1965; Bucklin, 1972; Hall, Knapp & Winsten, 1961).

Historical analysis aims to investigate, synthesise and interpret changes over time (Smith & Lux, 1993; Mason et al., 1997). An historical methodology uncovers the

cultural circumstances and ideological assumptions underlying phenomena such as change. It shows the role of decision making, as well as economic, social, and political forces (Firat, 1987; McCullagh, 1984; Mason et al., 1997). This gives the complexity, intricacy, and richness, of the phenomena within its historical, long term context (Lavin & Archdeacon, 1989; Nevett, 1990; Mason et al., 1997), identifying differences and similarities between repeated phenomena, and resistance to change (Mason et al., 1997). Historical analysis focuses on processes and their sequence or time order, and is especially good for uncovering these processes at a macro level in a social change context (Neuman, 2003), as is the case with this research. Exploring social change processes is also an aim of Diffusion research (Rogers, 2003). An historical methodology is able to address Objective Two which wishes to explore the Social Engineering Decision Making Process (Duff, 2005; Kojder, 1996; Podgórecki, 1990). Historical analysis is able to take into consideration the complexity of events, as well as contextual information that leads to and creates Social Engineering (Duff, 2005; Kojder, 1996; Podgórecki, 1990).

Retailing systems form and change due to tensions in social relationships, as well as contradictions between people and the unit produced and sold (Kumcu, 1987). To be able to understand the changes within the retail system, it is important to examine many of its different aspects including socioeconomic, cultural, political, marketing and any other historical happenings (Kumcu, 1987; Hollander, 1983; Boddewyn, 1966; Markin & Duncan, 1981; Roth & Klein, 1993). This means that an historical analysis is the most appropriate way to research retailing, which is also agreed upon by Savitt in this quote:

*“A history of retailing can provide a broader understanding of how environmental factors have been accommodated in the decisions of retailers...it also provides an understanding about processes involved in these decisions”*  
(Savitt, 1989, p326)

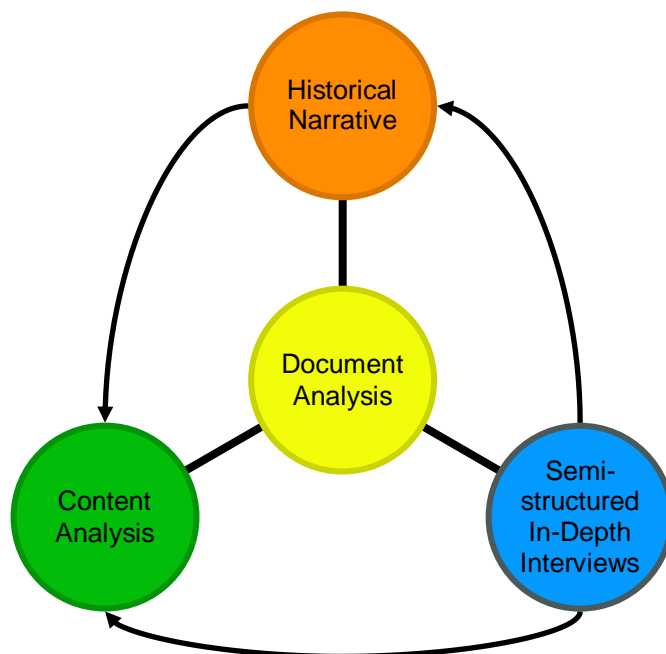
An historical methodology is also appropriate for this research as it helps to answer some of the limitations of Diffusion research identified in Chapter Three. Historical analysis can be used to study the wider context of Diffusions, such as introduction decisions (Rogers, 2003), and the pro-innovation bias (Rogers & Shoemaker, 1971; Downs & Mohr, 1976).

## 5.6 Method

This research uses multiple methods to answer the research objectives including: document analysis, historical narrative, semi-structured in-depth interviews, and content analysis. The data was collected in an iterative process as shown in Figure 5.2.

Objective Two is explored first. A document analysis was conducted which started to shape the timeline of the historical narrative. From framing the historical narrative, further questions were uncovered and the answers to these were sought through semi-structured in-depth interviews with eye-witnesses. The interviews gave access to new documents, and so further document analysis was conducted. The historical narrative was then finished using the resulting data, answering Objective Two. Objective Three was addressed by the content analysis of marketing communications and the media. First the document analysis uncovered the marketing communications and media for the content analysis.

**Figure 5.2: Overview of Iterations between Methods**



Then the historical narrative and semi-structured in-depth interviews were used to uncover possible themes. The themes were then explored in the content analysis and Objective Three met.

The sections that follow first explain and justify each of the methods of this research. The specific decisions surrounding the context, data and participants chosen are then outlined, after which the interview development is discussed. Lastly the data collection steps are reviewed.

### **5.6.1 Document Analysis**

Documents include information such as letters, memorandums, administrative documents, and newspaper articles (Yin, 2003). Documents are needed in historical analysis (Neuman, 2003; Golder, 2000), as they are often the only source of certain information. They are suitable sources of data for this study as they can give information from a long timeline, covering many different contexts and settings (Yin, 2003; Mason, 1996; Easton, 1995). These characteristics are critical for an historical analysis (Smith & Lux, 1993), and allow for the exploration of the Social Engineering concept which occurs over the long term (Podgórecki, 1990; Dunkerley, 1983). Documents have also been identified as a suitable source of data for Diffusion research (Rogers, 2003). Further, documents are stable and permit iterations of data exploration (Yin, 2003). This allows for in-depth study and understanding of the documents used. Lastly, many of the documents give factual evidence of the happenings during the Social Engineering decision (Yin, 2003). This allows for triangulation with other sources of data, such as the in-depth interviews, to give credibility to them.

Weaknesses of this approach start with access. Difficulties in finding or gaining approval to retrieve documents can occur (Yin, 2003). All of the documents sought for this study (such as newspaper articles and transcripts of parliamentary debate) are publicly available. However, when difficulties were encountered finding documents, relevant advocates (such as librarians) were used (Welch, 2000). Bias can be introduced to documents through researcher selection (Yin, 2003). While this is recognised as acceptable in historical analysis (Neuman, 2003), this is made transparent through a description of the development and use of selection criteria (see section 5.6.5 and 5.6.6).

### **5.6.2 Historical Narrative**

The second method that is used for this study is historical narrative. The historical method to produce the narrative is outlined by Smith & Lux (1993) and has three stages: Investigation, Synthesis and Interpretation. These stages will be first discussed as a whole and then the investigation stage choices will be explained in following sections in detail as they apply to the methods of this research. The justifications for using an historical narrative are the same as the reasoning behind an historical methodology (for justification see section 5.5.1).

The Investigation stage's first decision is what time period to study in order to answer the research questions. Data sources are then decided upon (Smith & Lux, 1993). These are firstly from public sources, before moving on to more primary sources (Mason et al., 1997). The context and sources chosen need to give historical facts, helping the researcher to understand causes, rather than more arbitrary facts that do not add to the analysis (Carr, 1961).

The Synthesis stage occurs in the findings chapter of this research (Chapter Six). It consists of an historical narrative that only includes relevant facts needed to answer the research question (Danto, 1985), as opposed to a description of every event over the time period. The narrative seeks to explain the changes that occurred between the time period using the Social Engineering Decision Making Process as a framing tool (Smith & Lux, 1993).

Lastly, the Interpretation stage of the historical analysis occurs in the discussion chapter (Chapter Seven), where the implications of the historical narrative are explored and discussed. This looks at the deep structural and long term causes of the introduction of trading on Sundays, as well as the specific triggers of each law (Smith & Lux, 1993).

### **5.6.3 Semi-Structured In-depth Interviews**

Semi-structured in-depth interviews are also used to collect data in this study. This is an accepted form of data collection for historical analysis (Neuman, 2003; Golder, 2000) because the research objectives and interview questions are clear. Interviews allow for

an exploration of the conceptual framework, and clarification of responses (Yin, 2003; Taylor & Bogdan, 1998; Sampson, 1996). They are also used to remedy some of the shortcomings of the use of documents. For instance, interviews gain wider contextual information, as well as sources for documents that would otherwise not be accessible (Robson & Foster, 1989). The interview questions (see section 5.6.7 and Appendix A) were created to explore the different stages of the conceptual framework outlined in Chapter Four and to probe the participant's own experiences of the event (Kaplan & Maxwell, 1994). Further, the insights gained, due to directed questioning, allow exploration of the relationship between different contextual elements (Yin, 2003) adding to the historical narrative (Neuman, 2003).

Potential problems with semi-structured in-depth interviews are with participant recall of information, which may fail or be inaccurate (Yin, 2003; Schacter, 2001; Neuman, 2003). However, as the Constructionist assumptions of this research outline, this is not really a problem for this research, but rather illustrates the many constructions people may have of an event. Other than problems with recall, participants may respond with information they think the researcher wishes to hear (Yin, 2003; Taylor & Bogdan, 1998). Triangulation of information, where responses and other data are compared, has addressed this (Golder, 2000). Lastly, the interviewer must strive to create a relaxed atmosphere that is not threatening or intimidating for participants (Taylor & Bogdan, 1998; Robson & Foster, 1989), to allow participants to feel comfortable enough to answer questions honestly. A relaxed atmosphere can be achieved through creating a rapport with participants, having an informal atmosphere, and allowing participants time to consider and answer questions (Taylor & Bogdan, 1998; Robson & Foster, 1989).

One last problem that is possible in semi-structured in-depth interviews is biases due to the researcher's question framing (Yin, 2003). This is addressed through careful pre-testing of the interview guidelines and interviewing techniques of the researcher.

#### **5.6.4 Content Analysis**

Content analysis categorises the message content of communications (Budd, Thorpe, &

Donohew, 1967). The content is summarised and used to compare communications (Paisley, 1969; Holsti, 1969; Kassarian, 1977), in order to interpret the communications and gain inferences (Kassarian, 1977). In this research, the content of communications is categorised according to themes identified in the historical narrative. Themes are an appropriate unit of analysis for content analysis as they allow for exploration of issues, beliefs, values and attitudes (Kassarian, 1977). Content analysis is appropriate for this research as it is a good form of analysis for documents (Kassarian, 1977; McDonough, 1975; Webb & Roberts, 1969) and multi-method studies (Brewer & Hunter, 1989; Kolbe & Burnett, 1991) such as this study. In meeting with Objective Three, content analysis is used to assess environmental variable's effects on message content (Kolbe & Burnett, 1991; Holbrook, 1977). This is important for the historical narrative, and to uncover the representation of each stakeholder group's concerns within the communications. Content analysis also gauges the effect of the message content on receivers (Kolbe & Burnett, 1991; Holbrook, 1977). This is critical to achieving Objective Three, which seeks to understand the influence of communications on the Government.

Potential weaknesses of content analysis stem from the researcher. The researcher chooses the data sources and categorises their message content, which could introduce bias (Kassarian, 1977; Kolbe & Burnett, 1991). This bias is addressed in this research through the trustworthiness criteria outlined in section 5.8. A post-hoc assessment of themes identified in the content analysis was undertaken by independent expert judges and the themes identified were deemed to be credible (see section 5.8.2 for a more detailed discussion of this process). The content analysis will cover the Social Engineering decision timeframe only (as outlined in section 5.6.5), as Objective Three seeks to explore marketing communications influence on the Social Engineering Decision Making Process only.

### **5.6.5 Development of Selection Criteria for Context Studied**

Historical narratives seek to identify, explain, and interpret the changes they study. To achieve this, description, explanation, and context, must all be included. The first decision regarding context is the phenomena to be studied – an event or change (Mason

et al., 1997). In order to create a narrative of the change, a beginning and end point in time need to be chosen. The historical narrative defines the circumstances at both points, explaining processes of change between them (Smith & Lux, 1993). This diachronic analysis acknowledges that the concept of time is constructed by each individual, and so the researcher must set the timeframe themselves (Smith & Lux, 1993).

### **Phenomena**

The phenomenon selected for this study was chosen using a theory based sampling method (Patton, 2002). Theory based sampling is used because this study looks at Social Engineering decisions, and needs to study an event where Social Engineering decisions took place (Patton, 1990; Stake, 1994). Many of the aspects in the conceptual framework also needed to be present in the event for the conceptual framework to be fully explored (Patton, 1990; Stake, 1994). Specifically the criteria used to choose the event were:

- A Social Engineering decision
- The use of marketing communications
- A business context
- Access to data

A Social Engineering decision was needed as the study is of Social Engineering decision processes. Marketing communications must have been used throughout the event, in order to achieve Objective Three. A business context was important for the applicability and relevance of this study to Marketing. Lastly, there needed to be access to data regarding the event for an historical narrative to be formed and Objective Two met.

After considering these conditions, a list of possible Social Engineering events and decisions was created. This list was then reviewed by the researcher and three senior colleagues as to which was the most appropriate. From this review, shop trading hour regulation in New Zealand was chosen as the Social Engineering event, and the

introduction of Sunday trading in New Zealand was selected as the Social Engineering decision. Shop trading hour regulation is an example of Social Engineering, first because it affected the whole of New Zealand society. Second, the New Zealand Government arrang[ed] and [channelled] environmental and social forces to create a high probability that (Alexander & Schmidt, 1996, p1) the final Social Engineering decision of Sunday trading was accepted. This was achieved through the progression of shop trading hour regulations, on top of other factors outlined in the historical narrative. There was a prominent use of marketing communications and the media during the time which are accessible through the internet and national archives as well as through interviews. Lastly, retailing is a business context.

Through the illustration of the introduction of Sunday trading in New Zealand, the study explores the relationship between the conceptual framework created and the event itself. That is, the decision for Sunday trading to be introduced. The historical narrative allows for the whole process of Social Engineering to be uncovered, and the final decision to be explored.

### **Timeframes**

In order to thoroughly explore the changes leading to the introduction of trading on Sundays, the study starts at the first shop trading hour law in 1884, and carries on until the introduction of Sunday trading in 1990. Data is collected up until just after the date of introduction to fully explore the conceptual framework. Periodization is a way of organising and grouping the data (McArthur & Miller, 2006). It is *“the process of dividing the chronological narrative into separately labelled and sequential time periods with fairly distinct beginning and end points”* (Hollander, et al., 2005, p32) and should signal important changes in the time periods.

Periodisation is better than presenting the data in straight chronological order as it helps to structure, summarise and present the results (Hollander, et al., 2005); helps to break possibly long time periods into chunks, making it easier to compare and contrast them; it also gives parameters to the investigation, helping to give criteria for categorising data (Hollander, et al., 2005). The periods used here are based on the major developments in the shop trading hour laws in New Zealand. The periods are:

- The Beginnings of Shop Trading Hour Regulation: 1884 – 1954
- The Shops and Offices Act 1955
- The Shop Trading Hours Act 1977
- The Shop Trading Hours Amendment Act 1980
- The Shop Trading Hours Act Repeal Act 1990

### **5.6.6 Data Selection Criteria**

Data sources were chosen using purposive sampling based on the conceptual framework, objectives, and methods (Golder, 2000; Neuman, 2003; Patton, 2002). The criteria for the data sources were as follows:

- The data is related to the Social Engineering process.
- The data helps to explore the aspects of the Social Engineering Decision Making Process outlined in this thesis.
- The data helps to explore the use of marketing communications and the media during this Social Engineering decision process.

Data was found through a search of parliamentary and national archives, with help from expert librarians in the field. Initially this started with the submissions for the Shop Trading Hours Act Repeal Bill (1990) and expanded to related documents and Legislation. Historical commentaries on New Zealand's development and legal history were also consulted. Marketing communications and media relating to the process were then located. This included newspapers and television throughout the process. Further marketing communications were identified through direct questioning in the in-depth interviews.

### **5.6.7 Interview Guide Development and Pre-Testing**

The interview guide (Appendix A) was developed based on the conceptual framework

(Chapter Four) and research objectives (Section 5.2). Smith & Lux (1993) suggests an interview in historical analysis start with a general question about the participant's experience of the event (Yin, 2003; Carson, Gilmore, Perry & Gronhaug, 2001). By having participants relay their experiences in temporal order, this helped to shape the historical narrative and explore the Social Engineering Decision Making Process. Other guiding questions followed to make sure that all of the aspects of the historical narrative and conceptual framework were covered (Neuman, 2003; Smith & Lux, 1993; Yin, 2003; Carson, et al., 2001). If not already covered, probing questions were asked regarding the use of marketing communications and the media throughout the event (Neuman, 2003; Smith & Lux, 1993; Yin, 2003; Carson, et al., 2001).

The interview guide was pre-tested on senior marketing academics as well as a senior sociology academic. This helped to ensure that the interview style of the researcher was appropriate and the questions themselves gained appropriate responses. The interview guide was then revised and re-tested until satisfactory.

#### **5.6.8 Participant Selection Criteria**

Purposive sampling is the basis of the selection criteria for participants. Here, participants were chosen due to the richness of information they possessed pertaining to the research objectives (Patton, 2002; Smith & Lux, 1993; Eisenhardt, 1989; Neuman, 2003). Therefore, participants for in-depth interviews were chosen using two criteria:

- Their relation to stakeholder groups during the Sunday trading Social Engineering decision.
- Their level of involvement in or knowledge of the Sunday trading decision.

A review of parliamentary documents/submissions regarding the intervention was undertaken to identify these groups. Then, a phone call or email to each of the groups followed in order to contact the specific people that have the most knowledge of the intervention. These participants were then contacted first via email and then with a follow up phone call explaining the study, ethics, and expectations of the participant. Lastly, interview times were confirmed.

There were five participants in this study, one representing each major stakeholder group from the time the legislation was drafted, including:

- A Labour Party Representative (Party in power)
- A National Party Representative (Opposition)
- A Trade Union Representative
- A Retail and Wholesale Merchants Association Representative
- A Keep Sunday Free Campaign Representative

### 5.6.9 Development of Criteria to Apply Conceptual Framework

To be able to explore the Social Engineering Decision Making Process through the introduction of Sunday trading, criteria were developed to apply the framework. Criteria of events that indicate each stage have been developed as per the Conceptual framework. As such, the criteria are based on the literature from Chapter Four. For an

**Table 5.1: Criteria to Apply the Social Engineering Decision Process to Events**

Identification & Assessment Stage	Solution Stage	Solution Evaluation Stage	Decision Stage	Post Evaluation Stage
Description of the problem and its causes	Solution suggestions	Evaluative information regarding the solution such as: Characteristics of the solution; Relative advantages; Ability to trial; Compatibility; Complexity; Ability to observe	Information about solution implementation and consequences	Post implementation assessment and evaluative information of solution
Discussion of whether this is a problem	Outcomes of the solution		Implementation testing and Re-construction of implementation plan after testing findings	Call for continuance of solution
Call for a solution to a problem			Adopt or Reject solution	Call for discontinuance of current solution

event to be considered as representing a particular stage, it must feature one, or all, of the criteria outlined under that stage in Table 5.1. In this research the criteria have been applied to the Government documents and historical narrative in order to achieve

Objective Two.

### **5.6.10 Data Collection**

What follows is an outline of the steps taken in data collection which is expanded on in the following paragraphs.

- 1) Submissions for the Shop Trading Hour Act Repeal Bill (1990) and Submissions to the Shop Trading Hour Advisory Committee collected.
- 2) Gained appropriate participant organisations from data and emailed organisations for individual's contact details.
- 3) Advertising, newspaper and magazine articles relating to Sunday trading collected.
- 4) New Zealand legal, religious and general history books consulted.
- 5) Legislation searched for shop trading hour laws.
- 6) Parliamentary debate (Hansard) searched for discussion of each change in the law.
- 7) Television archives on shop trading hour legislation collected.
- 8) Participants interviewed.
- 9) Followed up further magazine and newspaper articles uncovered in interviews.

The Shop Trading Hours Act Repeal Bill (1990) was first identified in the parliamentary transcripts (Hansard). This led to the discovery of the two committees (The Shop Trading Hours Advisory Committee and the Shop Trading Hours Select Committee), that were used to assess the introduction of Sunday trading between the years of 1987-1990. To uncover the different stakeholder views of the Bill, the submissions to both committees were sourced from the Parliamentary Library and Archives New Zealand. This gave the names and some contact details of the major stakeholders in this Social Engineering intervention. Secondary research techniques were then used to find the

different marketing communications mentioned in the submissions and any not mentioned were also sought through the use of the National Library databases. The search presented different sources of marketing communications, including The New Zealand Herald, The Dominion and The Evening Post newspapers as well as many trade magazines (See reference list for full list of sources). History books were then consulted relating to New Zealand's legal, religious, and general history and data collected to form the historical narrative. The whole list of shop trading hour laws was still not known at this point. Therefore the legislation was searched for all of the shop trading hour laws. Using the names of the laws, the Hansard debates were searched for discussions surrounding each of the laws so that the reasons behind them, and the major issues with them, were collected. The New Zealand Television Archives were then contacted, and a search was conducted of news and current affairs programs relating to shop trading hour laws. These were recorded in audio form as video form was not permitted (See transcripts of these in Appendix D)

Stakeholder groups were then asked for the contact details of a person that was involved in the submissions for the Shop Trading Hours Act Repeal Bill (1990). This person was then sent an introductory email, with the participant information sheets attached, and asked if they would mind being interviewed. There was one person who did not have an email address available and so was phoned in the first instance. The interviews took place over the phone, as this was the most convenient for all of the participants. One week before interviews, the participant was sent participant information sheets again. They were then contacted a day in advance to confirm they were still comfortable with participating and understood the study. Interviews started with a greeting and another confirmation that the participant had read and understood the consent and information forms as well as signed them. The participant was asked to post the forms back to the researcher. The interviewer also verbally explained the research, its purpose and possible outcomes. The interview was then conducted for no more than one hour for each participant. This was due to time pressures for participants.

The author endeavoured to create a relaxed, informal atmosphere to put participants at ease. The author made sure to have a conversation with each participant before the interview about other non-related matters. This was deemed important in order for participants to feel at ease enough to provide honest responses (Supphellen, 2000;

Taylor & Bogdan, 1998). Open-ended questions were asked and participants were then given time after each question to think about their responses. Silences were not filled by the author unless it was obvious that participants did not understand the question. Overall, due to pre-testing, there was little to no confusion over the meaning of the questions. The author did as little talking as possible, unless asked a question. However, questions were modified as needed, due to levels of understanding, fatigue and annoyance or probing. This led to an iterative and flexible questioning process that was aimed to uncover each person's interpretation of the events that took place (Supphellen, 2000). From these interviews, any other sources of marketing communications were identified and access to copies and related information sought from participants. Participants were rung after the interview if any of their responses needed further probing.

These interviews were audio taped, with the permission of the participants, and transcribed verbatim by the author. In following with ethics considerations regarding confidentiality, participants were made aware that their names may be identifiable in the research and their permission for this was sought. In keeping with the Hermeneutic technique, transcriptions were read after each interview. This was to enable reflection on areas that needed to be probed further in later interviews. This also helped to recognise patterns that were emerging and repeating. During this process, a detailed journal was kept with notes on topics, themes, iterations, reflections, and changes that needed to be made for further probing or a better interviewing technique. The transcripts were also sent to participants for them to review, change, explain or clarify as they saw fit (Transcripts of interviews can be found in Appendix C).

Further sources of data were identified in the interviews of the Retail Association and Trade Union. The relevant trade publications from the Retail Association were made available for the researcher and collected. The advertisements mentioned in the Trade Union interview were sought in the major newspapers. However, these advertisements could not be found (See the attached CD for a record of each of the marketing communications and media collected).

## 5.7 Data Analysis

According to the historical method, analysis and interpretation followed the guidelines set out by Golder (2000). The data collected in steps one – four (section 5.6.10), the submissions, newspaper and magazine articles, advertising, and history books, were first organised chronologically to shape the historical narrative. This highlighted where missing information regarding the legislation occurred. The missing information was then collected from the legislation itself and analysed for the changes each law represented to shop trading hours. Questions regarding reasons behind, and issues with the legislation were answered through the Hansard debates. When these questions could not be answered, interviews were turned to.

The semi-structured in-depth interviews were transcribed by the author into word documents to be analysed by hand. The author then reviewed the transcripts and documents, checking for transcribing accuracy, and to get a feel for the responses. Reviewing was an important step in the research process as it was important to understand participant's responses and to become familiar with the responses to prevent mis-readings (Ezzy, 2002; Huberman & Miles, 2002; Spiggle, 1994).

After the rest of the data had been collected, the historical narrative was completed, analysing the data according to its links to the conceptual framework (Golder, 2000; Neuman, 2003; Staples, 1987; Ezzy, 2002; Glaser, 1978; Strauss & Corbin, 1990). Lastly, patterns between the events and their potential influence on each other were assessed (Golder, 2000; Neuman, 2003). This iterative approach (Miles & Huberman, 1994) helped to identify the links between the evidence and conceptual framework (Glaser, 1978; Strauss & Corbin, 1990; Spiggle, 1994), as well as form the historical narrative.

Content analysis of marketing communications and the media took place last to fulfil Objective Three. The communications and media were first analysed for their themes. A list of themes to start this analysis was created from the historical narrative. Counts of the number of communications containing themes were first ascertained before the communications were put in time order. Relevant Government documents during the time of the Social Engineering decision were then analysed for their themes. Ordering

the communications meant that the content analysis could reflect on how many communications featured each theme, and whether the Government document directly following the set of communications also featured the themes.

A reflective journal was used throughout analysis to show the author's stream of thought on emerging patterns, contrasts and assumptions. These were kept in memos and journal entries. These reported the thought processes, questions, and ideas for coding and on-coding, and also helped to order and review thoughts on the iterative process being used (Strauss & Corbin, 1990; Spiggle, 1994; Taylor & Bogdan, 1998; Ezzy, 2002).

## **5.8 Quality Assessment**

Quantitative assessment of quality through validity and reliability is not suitable for this research. This is because they are based on the belief that 'one truth' may be found, which is not the theoretical perspective of this research. Addressing the quality of the research is important for the research to be seen as credible (Guba & Lincoln, 2000) however. What follows is a discussion of the criteria to be met for this research to be seen as credible and trustworthy. It is based on the writings of Guba and Lincoln (2000), highlighting the specific criteria of historical analysis. This section will also outline the reasons for, and the differences between, quantitative and qualitative assessment criteria for quality. The second section of quality assessment will look at the methods that have been adopted by this research to address each of the criteria for quality.

### **5.8.1 Trustworthiness Criteria**

The first criterion for trustworthiness is credibility, which corresponds to the concept of internal validity. Internal validity proposes research use methods to find the 'one truth'. This may be achieved through causal explanations ruling out other explanatory variables (Cook & Campbell, 1979). With the philosophical viewpoint of this research, there is not 'one truth' to be found. Instead, there are multiple constructions of reality, and so internal validity criteria are inappropriate for this thesis (Guba & Lincoln, 2000). Akin to internal validity, credibility proposes that multiple constructions must be

represented accurately, according to the participants, as well as the methods used (Guba & Lincoln, 2000). Credibility is one measure of trustworthiness used in this research.

External validity is concerned that findings can be generalised over different contexts and samples (Cook & Campbell, 1979). However, to be able to generalise findings in a qualitative context, the researcher must know the context studied, as well as the future context their findings will be applied to (Guba & Lincoln, 2000). As this is not possible, the findings and context of the study must be described in enough detail that a future researcher can assess their transferability (Guba & Lincoln, 2000). Transferability is the second trustworthiness criterion used in this research.

Dependability will replace the quality criteria of reliability. Reliability seeks consistent findings if identical methods are used on a similar sample (Kerlinger, 1973), generally through replications (Ford, 1975). However, this also assumes there is ‘one truth’ that can be found multiple times. As this is not the belief of this research, dependability will be assessed instead (Guba & Lincoln, 2000). Dependability takes into account multiple constructions that mean that the exact same findings can never be found (Guba & Lincoln, 2000). This incorporates aspects of instrumental decay, such as respondent fatigue and memory bias, as well as other unstable factors affecting the context differently each time research is conducted. Dependability makes adjustments for this in the research design (Guba & Lincoln, 2000). For research to be dependable, the researcher must prove that their methodological processes, decisions, and interpretations are logical (Guba & Lincoln, 1985).

Lastly, objectivity is found in quantitative research when findings are agreed upon and the methodology produces unquestionable, unbiased results (Guba & Lincoln, 2000). Thus, research is objective if it is value-free, with no influence introduced by the researcher. In contrast to this, qualitative research believes that the researcher is an integral part of the research process, and cannot be disconnected from the findings (see section 5.4 and 5.5). Therefore, confirmability of the findings will replace objectivity. Confirmability considers the quality of the participant’s responses, they must be unbiased and can be substantiated (Scriven, 1971). This corresponds with the quality assessment criteria of historical analysis – external and internal criticism (Smith & Lux, 1993).

### **5.8.2 Quality Assessment Processes**

Quality is directly assessed in this research through an audit trail (Halpern, 1983), as well as rich description. The audit trail facilitates credibility, dependability, and confirmability (Guba & Lincoln, 2000), while thick description assists transferability.

Specifically, triangulation and peer debriefing were used to show credibility (Guba & Lincoln, 2000). Triangulation was undertaken between the multiple sources of data. These included interviews, newspaper articles, magazine articles, advertisements, newsletters, submissions, television, committee reports, and parliamentary debate. Triangulation between these sources helped to confirm response interpretations (Denzin, 1989; Guba & Lincoln, 1985). Peer debriefing has a peer assess the findings as a good representation of the data. The peer acts as reviewer, seeking to uncover the researcher's biases and basis for their interpretations (Guba & Lincoln, 2000). This analysis was completed with initial agreement from the judges of 95% before being discussed, which is within an acceptable range of agreement (Miles & Huberman, 1994). Interpretations were then reviewed, looking at supporting data and the surrounding responses of the different quotes. After discussion and clarification, there was 100% agreement between the judges and researcher. The interpretations of responses represented the themes they had been assigned.

Transferability was addressed through rich description of the context and participants. Purposive sampling gave a wide range of information surrounding the phenomenon studied, so that future researchers are able to assess transferability of the findings (Guba & Lincoln, 2000). In summary, this thesis features descriptions of the participants (section 5.6.8), rich descriptions of the findings (Chapter Six), and appendices of the transcripts of responses (Appendix C) and television (Appendix D), as well as the marketing communications and media collected (Appendix D), to help describe the context and characteristics of the research for transferability for future researchers.

Dependability and confirmability were assessed through the audit which examined the process and findings of the research (Guba, 1981). The audit was undertaken by a senior academic who is well versed in the qualitative research area, and able to assess its trustworthiness. Six types of data were provided to the auditor for them to assess

trustworthiness (Halpern, 1983):

1. The raw data of the interviews and documents was provided, as well as the field notes which were held in a reflexive journal.
2. Data reduction and analysis techniques were provided. This was in the form of notes that had been taken regarding choices of data interpretation including the coding scheme used.
3. The data reconstruction and synthesis techniques and outcomes were also provided. These were in the form of the final structure of the themes identified in the research. The findings and conclusions, as well as the discussion section, which links the findings to the literature and conceptual framework, were provided also.
4. Process notes during data collection were given in the reflexive journal which also included methodological processes and notes on trustworthiness criteria and the audit trail.
5. The reflexive journal further included notes on the processes, thoughts, and feelings of the researcher throughout the research process.
6. Information on the way in which the data collection instruments were created was also provided. It consisted of the pilot forms of the interview guide as well as data collection schedules.

The judge agreed that the researcher's processes were logical and dependable and that the findings were based on the data and not coloured inappropriately by the inquirer's personal constructions (Guba & Lincoln, 2000; Flick, 2004). In these ways, the quality of the research was assessed on the basis of the criteria of credibility, transferability, dependability, and confirmability, through the use of an audit trail, peer debriefing, triangulation, thick description, and a reflexive journal (Guba & Lincoln, 2000).

## **5.9 Summary**

This chapter outlines and justifies the philosophical viewpoint of the researcher which underpins this research. It then moves on to outline the methodology and methods used to explore Objectives Two and Three. These methods allow for the exploration of the influence of marketing communications on Social Engineering decisions. They also give the methods for exploring the Social Engineering Decision Making Process which has been conceptualised in the thesis. Chapter Six now presents the findings from these methods. The findings explore the Social Engineering Decision Making Process through its illustration in an historical narrative of the shop trading hours legislation in New Zealand. Marketing communication's influence on the Social Engineering Decision Making Process is explored through a content analysis of the communications during the decision and the findings of this are presented in Chapter Six also. Implications of these findings are discussed in Chapter Seven.

## **Chapter Six: Findings**

### **6.1 Historical Narrative**

Deregulation of shop trading hours in a country like New Zealand is hard to think of as amazing in retrospect, but at the time was a relatively forward law in the world. The United States was one of the first countries to deregulate trading in some of their major states (Ingene, 1986), and New Zealand was one of the first countries to follow in its footsteps. So, how did a country like New Zealand, which valued weekend sport and family time (Gerbric, 1980), as well as the 40 hour working week, void of hypermarkets and megamalls, come to a 24 hour, seven day retail trading situation? This is the question that this historical narrative wishes to answer.

This historical narrative of shop trading hours in New Zealand works through each of the major changes in shop trading hour laws with particular attention paid to the introduction of Sunday trading – through The Shop Trading Hours Act Repeal Act (1990). Table 6.1 gives an overview of the changes in permitted opening hours, as well as the changes in decision making powers for flexible aspects of the law.

#### **6.1.1 The Beginnings of Shop Trading Hour Regulation**

Up until the mid 1880s there were no specific shop trading hour laws in New Zealand, and so Sunday trading was technically legal, although it was looked down upon by church members (Clarke, 2004). Each town's Sunday trading was policed through normative pressures. In the mainly Scottish Presbyterian city of Dunedin, trade was not undertaken (Clarke, 2004), but gold mining and worker towns had Sunday trading (Natusch, 1992). In 1884, the Police Offences Act prohibited trade in public places on a

**Table 6.1: Changes in Shop Trading Hours and Groups with Authority to Set Flexible Aspects of Law**

<b>Legislation</b>	<b>Change to Shop Trading Hours</b>	<b>Group with Authority to Set Trading Hours</b>
Police Offences Act 1884	No restrictions on shopping hours Monday-Saturday <ul style="list-style-type: none"> <li>• Shops to close Sundays</li> </ul>	
Shops & Shop Assistants Act 1894	No restrictions on Shop Trading Hours Monday – Saturday but <ul style="list-style-type: none"> <li>• Shops to close from 1pm one day of the week</li> <li>• Plus shops to close on Sunday</li> </ul>	<ul style="list-style-type: none"> <li>• District Council</li> </ul>
Shops & Offices Act 1904	Permitted trading hours: <ul style="list-style-type: none"> <li>• 8am – 6pm four days of the week</li> <li>• 8am – 9pm one day of the week</li> <li>• Close from 1pm one day of the week</li> <li>• Shops to close Sundays</li> </ul>	<ul style="list-style-type: none"> <li>• District Council</li> </ul>
Shops & Offices Act 1908	No change	<ul style="list-style-type: none"> <li>• Majority of Shop Owners</li> </ul>
Shops & Offices Act Amendment 1920	No change	<ul style="list-style-type: none"> <li>• Arbitration Court</li> </ul>
Shops & Offices Act 1945	No change	<ul style="list-style-type: none"> <li>• Magistrates</li> </ul>
Shops & Offices Act 1955	No Change	<ul style="list-style-type: none"> <li>• No Change</li> </ul>
Shop Trading Hours Act 1977	Permitted trading hours: <ul style="list-style-type: none"> <li>• 7am – 9pm Monday – Friday</li> <li>• Shops to close Saturday</li> <li>• Shops to close Sunday</li> </ul>	<ul style="list-style-type: none"> <li>• Shop Trading Hours Commission</li> <li>• Minister of Labour</li> </ul>
Shop Trading Hours Act Amendment 1980	Permitted trading hours: <ul style="list-style-type: none"> <li>• 7am-9pm Monday – Saturday</li> <li>• Shops to close Sunday</li> </ul>	<ul style="list-style-type: none"> <li>• Shop Trading Hours Commission</li> <li>• Minister of Labour</li> </ul>
Shop Trading Hours Act Repeal Act 1990	No regulation of Shop Trading Hours apart from: <ul style="list-style-type: none"> <li>• Shops to close Good Friday, Easter Sunday, Christmas Day, and for the morning of ANZAC day</li> </ul>	

Sunday (Police Offences Act, 1884), though these were the only restrictions to trading times. Trade was generally conducted between 8am - 6pm weekdays, and 8am - 10pm Saturdays (Shop Trading Hours Advisory Committee Report, 1988). The Shops and Shop Assistants Act (1894) decreased shop trading hours in 1894, by adding mandatory closing from 1pm on one day of the week. It was not until 1904 that shop trading hours were regulated specifically with permitted trading hours between 8am-6pm four days a

week and 8am-9pm one day (Shops & Offices Act, 1904).

Throughout the early formation of shop trading hour laws in New Zealand, it was recognised that geographically approximate groups of shops needed to have relatively uniform hours. The decision making power for the more flexible parts of the laws – the late night opening and the half day – was constantly shifted. In the beginning, this was decided by the individual retailer. The local council was assigned the duty in 1894 (Shops & Shop Assistants Act, 1894), and this power was again returned to retailers in 1908 (Shops & Offices Act, 1908). The arbitration court was given the duty in 1920, and also considered shop applications for exemptions (Shops & Offices Act Amendment, 1920). Eventually, the half day of opening was generally accepted as being on a Saturday. In 1945, magistrates were given the decision making authority (Shops & Offices Act, 1945) and were forced to consider Trade Union views as well, from 1948 (Shops & Offices Act, 1948).

Exemptions to the shop trading hour laws were a constant part of the legislation and came in the form of a list of products, product categories, and specific stores. Under the very first prohibition of Sunday trading (Police Offences Act, 1884), stock handlers, milkers, and hairdressers, were allowed to work after 9am on Sunday, and public transport platform bookstalls, emergency medical suppliers, and post office services such as telegrams, throughout the day (Police Offences Act, 1884). This list was significantly extended in the 1894 Shops and Shop Assistants Act with fishmongers, fruiterers, confectioners, coffee-houses, and eating-houses. If the owner lived on the premises, they were also exempt from shop trading hour law. Ten years later, in the Shops and Offices Act (1904), the list of exempt businesses increased to also include refreshment-rooms and bakers. In 1920 (Shops & Offices Act Amendment), smaller stores were added to the exempt list; if they did not employ any shop assistants, and could prove they would suffer hardship if closed. The tourism industry was also considered for the first time in 1920, with holiday resorts being allowed to apply for exemption to Saturday half day trading.

The context surrounding the early shop trading hour laws should be considered along with great leaps in technology, which increased New Zealanders quality of life. Travel

time across New Zealand had decreased to three days, due to better transport infrastructure. Refrigerated transport grew the country's exporting power for meat and dairy, along with the already growing trade in wool and grains. At the time, New Zealand had the highest living standards in the world (King, 2003). In 1921, Britain started going into recession and as the major importer of New Zealand's goods, this led to the decline of the New Zealand economy as well. The Balfour Definition (1926) gave New Zealand the means to combat recession and enter into new trade agreements with other countries. This was first undertaken in 1928, with Japan. By this time, there had already been a drop in farm export prices, and the New Zealand economy continued to deteriorate as commodity prices decreased further through 1928-1931 (Cheyne, O'Brien & Belgrave, 1997). While export prices fell by up to 40%, the Government also cut costs along with the minimum wage (King, 2003).

So it was under these conditions that Michael Joseph Savage, an avid socialist, was elected Prime Minister and the Labour party became the Government in 1935, implementing a Keynesian program (Condliffe, 1959; Roper, 2005). The party created a welfare state (Harris, Levine, Clark, Martin & McLeay, 1994) through the introduction of many social policies including: free schooling, increases to the minimum wage to support a wife and three children, compulsory Trade Union membership, almost free health care, and a pension scheme, for both the indigenous people of New Zealand - the Maori - as well as non-Maori (Cheyne et al., 1997; Sutch, 1966).

On the soldiers return from World War Two, there was an increase in births, conservatism, and materialism, as the country moved towards more urban than farm oriented lifestyles (King, 2003). This was coupled with an economic boom (GDP 4.47%), full employment (99.87%), high profits and productivity, low levels of inflation (5.46%), and rising real wages (Roper, 2005). Finally in 1947, 16 years after most other commonwealth countries, New Zealand ratified the Statute of Westminster. This allowed New Zealand complete autonomy from Britain in domestic as well as foreign affairs (Harris et al., 1994).

### 6.1.2 The Shops & Offices Act 1955

Some of the problems with the Shops and Offices Act (1948) were caused by enforcement (Nash, 1955a). Its implementation proved difficult as retailer's premises needed two entrances, so that the non-exempt goods side of the shop could be shut off from the exempt goods being sold (Sullivan, 1955a). There was a lot of illegal trading occurring (Sim, 1955; Barnes, 1955), and the lack of enforcement upset groups such as the Master Grocer's Federation (McDonald, 1955; Barnes, 1955). It was believed that by relaxing the law, a lot of the illegal trading would stop or become legal (Sim, 1955).

The Parliamentary discussion of the Shops and Offices Bill (1955) centered on the exempt goods list (Sullivan, 1955b; Howard, 1955), as it was seen as the obligation of the Government to make sure that "*the general public are able to obtain the necessary goods and services*" (Sullivan, 1955b, p2190), especially travelers, and those partaking in outdoor activities, at places such as the beach, who had forgotten essentials (Nash, 1955b; Kinsella, 1955; Sim, 1955). Petrol station opening (Nash, 1955b), the age and starting time of workers such as paper and milk delivery boys (Howard, 1955; Kinsella, 1955), the effect on the five day, 40 hour working week (Baxter, 1947; Fox, 1955), and penal rates (Fox, 1955), were also of concern.

Various stakeholder groups had different views on the Bill. Trade Unions wanted to protect the five day, 40 hour working week (Sullivan, 1955b; Fox, 1955), while small shop keepers supported the Bill as it increased the amount of products they could sell, along with the number of hours they could sell them (Sullivan, 1955b; Sim, 1955). Chain grocery stores did not want shop trading hours extended, though they did agree with extending the exempt goods list (Sullivan, 1955b; Barnes, 1955). The Associated Chambers of Commerce totally supported the Bill (Sullivan, 1955b), while representatives of the major Churches also supported the Bill, but asked for a limited extension of the exempt goods list (Somerville, 1955).

The power for policing of Sunday closure moved from the Police to the Department of Labour with the Shops and Offices Act (1955). The list of exempted shops had changed slightly too, and now only included: tobacconists, confectioners, convenience stores

called dairies, automobile related shops, fruit and vegetable shops, and florists (Shops & Offices Act, 1955).

### 6.1.3 The Shop Trading Hours Act 1977

The 1970s brought with it a change in the public's attitude toward supporting weekend trading. This was due to increased mobility, increases in the number of married couples who were both working, and the rising number of friends sharing a residence (Wood, 1977), which made convenient shopping all the more important. Economic stagnation enveloped the country, with high inflation (7.45%), declining profit (Real GDP 2.08%) and incomes, and the highest level of unemployment since the 1930s (8.5% - Roper, 2005). This decline was worldwide too, decreasing demand for New Zealand's exports (Roper, 2005; Gould, 1985; Skilling, 2001). These problems were exacerbated when Sir Robert Muldoon became Prime Minister with the National party from 1975-1984. He introduced wage, price and exchange rate freezes, controlled rents, and forced interest rates down (King, 2003). This extended regulation did not allow the New Zealand market to respond to global market forces (Treasury, 1984), causing further inflation and an increase in New Zealand export prices. The Trade Unions at the time were very powerful as well, and their strike action stopped wage decreases, which companies wanted to be able to compensate for dropping exports, all of which contributed to the high rates of unemployment (Roper, 2005).

The decline in the economy, coupled with changing views on weekend trading, made up the climate in 1977 when the Shops and Offices Acts were split and the Shop Trading Hours Act (1977) was introduced. The Bill was introduced because:

*“At the present time the law is obscure, and is to be found in the Act, in collective agreements, awards, decisions of the shops and offices exemption tribunal and the exempted goods list. Even lawyers have difficulty in finding and understanding the law. The committee urges a complete reappraisal and clarification of the law so that it may be easily found and understood by all those who are affected by it.”*

(Talboys, 1977, p816)

The problems with the Shops and Offices Act (1955) were again that many businesses

and consumers were breaking the law, and it was very hard to police (Faulkner, 1977a; Gordon, 1977). In some instances, inspectors were being physically obstructed from inspecting stores (Malcom, 1977b). The fines were so small, that some businesses were treating them as a licensing fee (Gordon, 1977). *“Evidence was given before the committee that one hardware shop had 45% of its turnover on Saturday morning. It was trading illegally”* (Gordon, 1977, p759-60). Some retailers were even advertising their illegal trading hours (Malcolm, 1977b). Over six hundred businesses were prosecuted in 1976 without much change in illegal trading rates (Luxton, 1977).

There were many groups who supported the Shop Trading Hours Bill (1977). A 10,000 person strong petition urged Parliament to extend trading hours (Malcolm, 1977a). Public opinion polls matched this view including the Heylen Poll (1971/6) and the Victoria University Poll of 1972, which was seconded by newspaper editors throughout the country (Malcom, 1977b). A large international supermarket chain named Woolworths, as well as Fletcher Challenge, who owned many malls (Arthur, 1977), also supported the Bill.

One concern over the Bill was the potential disruption to family life (Christie, 1977; Batchelor, 1977), because of the mostly female workforce (Rowling 1977b). Shops opening at 7am (as was permitted in the Bill), would both destroy, and inconvenience family life and childcare arrangements for working mothers (Tirikatene-Sullivan, 1977). Other concerns were for workers who may be forced to work unsociable hours, and the death of the traditional 40 hour working week (Gordon, 1977; Batchelor, 1977). The increased use of part timers, taking full-timers jobs, and decreases in the level of service to the public (Courtney, 1977), was also discussed. Some evidence for this concern came with the Employers Federation Submission stating:

*“Variations in shop trading hours cannot be effected without corresponding adjustments to provisions in collective agreements concerning working hours, overtime, and holidays. This would require changes in working hours, penalty provisions with a view to a system of flexible working hours or shift work.”*

(Employers Federation, 1977, p2)

Rising costs to retailers was also a fear for many (Batchelor, 1977), as it was felt

turnover would not increase, raising prices for consumers (Courtney, 1977), resulting in a reduction in the number of retailers (Rowling, 1977a). If turnover did increase, this could be due to credit and could plunge the nation into debt (Faulkner, 1977b).

The final version of the Shop Trading Hours Act (1977) increased permitted shop trading hours to between 7am and 9pm, Monday to Friday, while it now prohibited trade on both Saturday and Sunday. The Shop Trading Hours Commission was set up to deal with exemption and disciplinary matters and consisted of three people. When considering exemptions, they had to reflect on the public interest and demand, price effects, family and social effects, the area and type of custom, economic planning, surrounding shops, the 40 hour week, and limits on Sunday commerce (Gordon, 1977). This extended the list of considerations from that for the Shops and Offices Act (1955) which only considered public demand, the area, other shop owners, and the public interest of those living nearby (Gordon, 1977).

#### **6.1.4 The Shop Trading Hours Amendment Act 1980**

With businesses' lobbying (Roper, 1990; 1992; 1993), in 1980 the strict laws pertaining to Saturday trading were removed, allowing trading on Saturday from 7am-9pm (Shop Trading Hours Amendment Act, 1980). The Act also gave the Minister of Labour power to change items on the exempt goods list, without an Act of Parliament (Shop Trading Hours Amendment Act, 1980). The Bill was introduced to decrease the regulatory control the Government had on New Zealanders (Bolger, 1980a), without total deregulation (Burke, 1980a).

Public support for Saturday shopping was mixed, and was shown through multiple polls. The Heylen Poll showed 54% support and 43% against Saturday trading. The National Research Bureau Poll showed 57% support and 28% against with the majority of people against the trading being older and retired. It was argued that the older population's views should not be taken into consideration, as they were able to shop during week days because they did not have to work during those hours (Malcolm, 1980a). The Bill was more for working people because *“at present workers have difficulty in shopping for their requirements because their working hours correspond*

*almost exactly with shop trading hours*” (Bolger, 1980b, p3832). The National Research Bureau Poll also showed that 67% of people surveyed, felt a two day weekend was extremely important to them, and 79% thought it important to others. A majority of 64% of people stated they would not want to work on a Saturday, if they already worked Monday to Friday. Further the poll said that of the 57% who supported Saturday trading, 41% of them thought that extending shop opening hours Monday through Friday would also suffice (Butcher, 1980). A poll in the Daily Telegraph of Napier of 1000 people showed that 53.2% opposed Saturday trading and another poll in the Manawatu Evening Standard showed 60% of people surveyed opposed the Bill (Butcher, 1980). Another poll in the Ashburton Guardian showed that of 1181 votes, 13.25% of people supported the Bill (Rowling, 1980).

Trade Unions (Malcolm, 1980b), as well as some retailers, did not support the Bill (Gerbric, 1980). The Christchurch Star reported that, in a meeting of the Canterbury and Westland Retailers Association, 550 shops voted against the Bill, with 16 in favour on July 22, 1980 (Rowling, 1980). The National Council of Women also did not support the Bill, as it would affect women more, being the major group employed in retail (Isbey, 1980b). Up to 90% of the submissions to the Select Committee opposed the Bill (Isbey, 1980a). Potential consequences of the Bill included increases in prices by 15%, inflation, casualisation of the workforce, unemployment, destruction of the five day, 40 hour week, and detrimental effects on small businesses, family life, and sport on weekends (Gerbric, 1980). Increased shop trading hours could also lead to demand for other related services on the weekends, such as banks, transport, cleaners, and distribution (Isbey, 1980a).

It was argued these concerns were unfounded, as the law was only permissive, and did not force shops to open (Bolger, 1980a). A happy equilibrium (between retailers and customers) would eventually be reached (Allen, 1980). Some negated this claim, stating that shops would be forced to open to keep up with competition (Burke, 1980b). Debate then questioned whether the Government was forcing through the law when the country did not want it (Batchelor, 1980). It was decided however, that *“it is not the Government’s responsibility to create public opinion, or even to attempt to do so. It is the Government’s responsibility to reflect public opinion as far as possible”* (Beetham,

1980, p4912). It was believed by the Government that the public wanted Saturday trading, and so with that, the Bill was passed into an Act.

### **6.1.5 The Shop Trading Hours Act Repeal Act 1990**

Shop trading hours were almost completely deregulated in 1990. The Shop Trading Hours Act Repeal Act, liberalized shop trading hours to 24 hours a day, seven days a week, except for three and a half days of statutory holidays. Leading up to this, inflation had been steadily rising since 1980. In 1982, wages and prices were fixed to try to decrease it (Muldoon, 1982; 1983), also decreasing real wage costs for employers. Further benefiting business, voluntary unionism was introduced in 1983. When the fourth Labour party Government came into power in 1984, they adopted a market liberalization scheme with disinflationary policies, tax reform, and industrial relations reform, creating a less controlled labour market (Roper, 2005).

With the Labour party in power, many voters thought they would start to introduce more social policies, as they had in their previous terms; however this was not to be (Kelsey, 1993). This fourth Labour Government held a neoliberal philosophy assuming a self regulating economy, which tended toward equilibrium of full employment of people and resources (Whitewell, 1986). These assumptions implied that for full employment, there needed to be as little regulation and control from the Government as possible (Kelsey, 1993; Roper, 2005). These philosophies were not necessarily held by the Labour party to begin with, but they were certainly held by the Treasury. The Treasury then influenced the Labour party through their policy prescriptions (Roper, 1990; Oliver, 1989; Jesson, 1989).

Some of the deregulation that the fourth Labour Government undertook included the liberalization of the financial market. The New Zealand dollar was floated, foreign exchange controls were removed, and state owned enterprises were sold (Post, Telecommunications, and Banking). Those enterprises that remained were expected to be run as profitable businesses. Agricultural and consumer subsidies were phased out, and a goods and services tax was introduced. These policies eventually worked, decreasing inflation (from 15% in 1985 to 2.1% in 1992 – RBNZ, 2009) and national

debt, and increasing economic growth (Real GDP 0.39% - King, 2003; Roper, 2005). In 1987 Labour was again elected, but with the stock market crash (King, 2003), the economy went into another recession with unemployment rising again (Roper, 2005; King, 2003).

The Government's deregulation philosophy prior to 1989 meant that many stakeholder groups were expecting shop trading hours to be deregulated:

*"Well we'd been expecting it for quite some time and if you remember ...we'd had six years of deregulation. Following on from sort of Rogernomics economic reforms and so that's why we saw the repeal of shop trading hours legislation as something that would happen inevitably."*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

*"I mean the New Zealand economy had been turned over by the Labour Government between 84 and 90 and the New Zealand economy had been freed up in all sorts of ways, and this piece of what was essentially deregulation, in the minds of the people who were the principle figures in the Government of the day, this was just consistent with the general freeing up, you know, it's an ideological thing as much as anything else."*

(National Party Representative, Personal Communication, 4<sup>th</sup> November, 2008)

In the second half of the 1980s, more women joined the work force, weakening the traditional presumption of women shopping on week days (Shop Trading Hours Advisory Committee Report, 1988; National Council of Women of New Zealand Inc., 1988). Also, since the introduction of Saturday trading in 1980, there had been a change in the function of shopping. Before, it was a necessity, but shopping soon became a form of entertainment, and even a pastime (Shop Trading Hours Advisory Committee Report, 1988). To facilitate this, the number, and size of malls and shopping arcades also increased, and many shopping areas were enclosed to protect shoppers from weather. Other forms of entertainment, such as school holiday concerts for children, were added, along with parking, to entice shoppers on the weekend (Challenge Properties Ltd, 1988). Specific store categories also thrived in this new environment, especially video stores and hardware stores, with many people starting to do their own home maintenance and redecoration (Treasury, 1988; Shop Trading Hours Advisory Committee Report, 1988).

Retailers were benefiting from increases in technology, such as bar code scanning and Electronic Funds Transfers at Point Of Sale (EFTPOS - Kearns, Murphy & Friesen, 2001), along with increased use of computers for ordering stock. This made sales channels more flexible, and centralised retailer's skills. Advertising started to have more of an impact on sales of national brands, and while nationwide chain stores grew, small family stores suffered (Shop Trading Hours Advisory Committee Report, 1988). With these changes, retailers support of the Shop Trading Hours Act (1977) weakened, and it was seen as arbitrary, with no real purpose (New Zealand Employers Federation, 1988). This led to multitudes of infringements of the Act, which were generally not enforced.

On 21<sup>st</sup> December 1987, an advisory committee was approved by the Minister of Labour to investigate the Shop Trading Hours Act 1977. The problem of the current Act was brought to the fore when many holidays in 1987 fell on a Saturday causing shops to close for up to four days in a row due to public holiday clauses. Figure 6.2 gives a timeline of the events from 1984 to the introduction of the Shop Trading Hours Act Repeal Act (1990) which will be discussed throughout the rest of this section.

#### **6.1.5.1 Problems with the Shop Trading Hours Act (1977)**

The main problems with the Shop Trading Hours Act (1977) were again enforcement, along with exemption applications (Clark, 1989; Wellington Regional Retailers' Association Inc., 1988; New Zealand Employers Federation, 1988). Shops were inspected once every five years (Shop Trading Hours Advisory Committee Report, 1988), and if a shop was caught trading non-exempt items outside of trading hours, fines were not large enough to deter the stores from recommitting the offence: ranging from \$50-\$200 dollars usually, with a maximum of \$1000 (Treasury, 1988).

*“But the level of penalty was not exactly off putting to people who wanted to carry on breaching the law, so it was a bit of a, as I said a bit of a side show really that went on to entertain everyone.”*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

Enforcers of the Act also felt that policing every single non exempt item seemed petty, and were less enthusiastic to fine stores for smaller numbers of non exempt item sales

(Shop Trading Hours Advisory Committee Report, 1988). The Government was not

**Table 6.2: Timeline of Events from 1984 to the Introduction of the Shop Trading Hours Act Repeal Act (1990).**

<b>Date</b>	<b>Event</b>
<b>1984</b>	Fourth Labour Government comes into power and embarks on market liberalization.
<b>1987</b>	Multiple public holidays fall on Saturdays, causing shops to close for up to four days in a row.  Shop Trading Hours Act Advisory Committee formed.
<b>1988</b> June	Shop Trading Hours Advisory Committee report completed.
<b>1988</b> December	Manukau Mall granted exemption to trade on Sundays before Christmas.
<b>1989</b> November/December	Retailers Association starts talks with Minister of Labour regarding shop trading hours.  Distribution Workers Federation starts talks with Minister of Labour regarding shop trading hours.  Rush of applications for Sunday trading exemptions before Christmas.
<b>1989</b> December 1 <sup>st</sup>	Keep Sunday Free Coalition brings case against Foodtown supermarket in Palmerston North. Awaiting verdict.
<b>1989</b> December 3 <sup>rd</sup>	Executive Order issued granting trial of deregulation.
<b>1989</b> December 5 <sup>th</sup>	Shop Trading Hours Act Repeal Bill (1990) introduced into Parliament for its first reading.  Labour Select Committee formed.
<b>1990</b> March	Labour Select Committee report completed.  Second Reading.
<b>1990</b> June	Third Reading.  Enactment of Shop Trading Hours Act Repeal Act 1990.
<b>1990</b> August	Shop Trading Hours Act Repeal Act 1990 commences.

adequately funding enforcement of the Act (New Zealand Distribution Workers Federation, 1988; Central Distribution Union, 1988). Due to this, other interested parties took it upon themselves to police the Act. The Distribution Workers Federation constantly brought breaches of the Act before the commission and won most of their cases.

*“There was quite a lot of work from our side in terms of union officials I suppose dobbing shops and shopping areas in to the Department of Labour... I recollect we won most of them because they were sort of simple breaches of the legislation and once you had the evidence it was sort of cut and dried.”*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

The Commission had also been reduced to a single person considering exemption applications and who, between 1980 and 1987, received 582 applications. The application process was slow and cumbersome because of this, with a significant backlog (Shop Trading Hours Advisory Committee Report, 1988).

The exempt list of items that could be sold at any time was once again a major problem. Unanticipated goods, which would be necessary to use close to purchase time, were part of the list, such as food, personal items, sporting and household goods and things to do with garden, home, and car maintenance (Shop Trading Hours Act, 1977). Goods such as consumer durables, whose need could be anticipated, were not allowed to be on sale outside of shop trading hours (Shop Trading Hours Act, 1977). However, the exempt goods list was in the form of a list of products which produced many anomalies, such as dishwashing liquid being allowed to be sold, but not shampoo, a frozen dinner could be sold, but not a fresh chicken (Shop Trading Hours Act, 1977). There were also exemptions by shop category subject, shops not covered in the law (video hireage shops), and shops especially exempted by the Act such as Bazaars and booksellers at transport areas (Shop Trading Hours Act, 1977).

*“If you read the list of what could be sold on the Sunday and what couldn’t be, what a [convenience store] could stock and what it couldn’t... It was ridiculous...it’s absolutely nuts I mean that’s one of the big drivers in this law...You can’t have a law you can’t enforce.”*

(Labour Party Representative, Personal Communication, 17<sup>th</sup> November, 2008)

It was agreed that at a minimum, something had to be done about the exempt goods list:

*“there wasn’t a great deal of coherence about it all, there needed to be more consistency...and a better thought out set of rules that did not rely upon local exemptions to work.”*

(National Party Representative, Personal Communication, 4<sup>th</sup> November, 2008)

Dairies did not think the regulation of shopping hours was a problem (Dairy Confectionary Mixed Business Association Incorporated, 1988). A Dairy is a corner store that is at a convenient distance to people’s houses, where goods can quickly be brought without queuing (Shop Trading Hours Act, 1977). A Dairy traditionally sold the items on the approved goods list only, and so could open 24 hours a day, seven days a week. The Act protected small businesses by giving them this competitive advantage over large businesses.

Others argued that regulation of shop trading hours was a problem because they believed in free markets (New Zealand Business Roundtable, 1988; New Zealand Tourist and Publicity Department, 1988; Retail and Wholesale Merchants’ Association of New Zealand Inc., 1988). They felt that the advantage given to small retailers selling exempt items was unfair (Rotorua Business Association Inc., 1988; Department of Trade & Industry, 1988; Clark, 1989).

#### **6.1.5.2 Outcomes Sought**

One of the outcomes sought from a law change, was to help retailers increase turnover in the recession of the time (Rotorua Business Association, 1988; Wellington Regional Retailers’ Association Inc, 1988). The Shop Trading Hours Act (1977) prevented retailers from extending their trading hours to increase turnover in the financially hard times of the era, as well as limiting the amount of jobs that were available (Department of Trade & Industry, 1988; Challenge Properties Ltd, 1988).

Another outcome anticipated was an increase in tourist spending (New Zealand Business Roundtable, 1988; New Zealand Distribution Workers Federation, 1988;

Retail and Wholesale Merchants Association of New Zealand Inc, 1988; Clark, 1989).

*“... the Tourism industry is a big driver of this sort of law... Because there was a tradition in those days, tourists came to New Zealand and it was closed on the weekend you know...And Sunday trading was a bit of a picture of that, the lack of ability to trade on Sunday, so I think that, with the increased numbers of Tourists, it would’ve been a driver of this as well.”*

(Labour Party Representative, Personal Communication, 17<sup>th</sup> November, 2008)

Tourism was sustaining its growth in New Zealand at the time, and was a significant employer. The then Minister for Tourism, Fran Wilde, stated that visitors to the country spent \$130 million a year in retail stores. Extending trading hours would increase this by a further \$150 million (Wilde, 1989; New Zealand Tourist & Publicity Department, 1990). Deregulation of trading hours, increasing numbers of visitors, decreases in import licensing, and reductions in tariffs, would contribute to a reduction in the cost of goods, and boost economic growth (Butcher, 1989).

However, it was also argued that tourists did not mind the regulation of shop trading hours in New Zealand, and the basis of the argument was a misrepresented analysis of tourist figures.

*“The Government didn’t have a leg to stand on, it had no rational reasons for what it was doing, the argument that Helen Clark was actually putting forward at the time had to do with tourists. And her own department had done a survey and it showed that a negligible number of tourists had some interest in Sunday trading, so it simply made no sense.”*

(Keep Sunday Free Representative, Personal Communication, 4<sup>th</sup> November, 2008)

Indeed, the figures of the report found that while the highest tourist spenders were dissatisfied with New Zealand’s shopping hours, they wished for more late night shopping during the week, not Sunday trading. One percent of Australian tourists wished for Sunday trading, while no other tourists supported it (New Zealand Tourist & Publicity Department, 1988).

There was public support for deregulation, according to the large turnovers of illegally

trading shops (Department of Trade & Industry, 1988; New Zealand Tourist & Publicity Department, 1988; New Zealand Clerical Workers Association, 1988). Support was also seen through public petitions that accompanied exemption applications (Shop Trading Hours Advisory Committee Report, 1988). As the Advisory Committee said of the public's opinion "*...if the public will for the law is not strong and does not continue to communicate itself as being strong, then there is no place for the law*" (Shop Trading Hours Advisory Committee Report, 1988, p62-63).

### **6.1.5.3 Suggested Solutions**

There were many solutions suggested for the Shop Trading Hours Act (1977), ranging from small changes, to repeal. The unions advocated clauses to protect workers from being forced to work on Sundays and late nights, and stop discrimination against them for refusal of extended hours (New Zealand Distribution Workers Federation, 1988; Shop Trading Hours Advisory Committee Report, 1988). They also suggested increasing the penalties for opening illegally, and giving unions power to police illegal opening (New Zealand Distribution Workers Federation, 1990).

*"...that would be one of the areas we would be arguing with the Government for a long period of time, to make the penalty something which would actually be off putting to somebody who wanted to breach the legislation, but of course we were never successful."*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

A politician, John Terris, suggested a half day of opening on Sundays and was supported by other MPs such as M.L. Wellington:

*"I was attracted by the suggestion of the member for Western Hutt [Mr Terris] which I read in a newspaper. He said that shops may close on Sunday mornings but open on Sunday afternoons. This seems to be very sensible"*

(Hon. M.L. Wellington, 5<sup>th</sup> December, 1989, p14332)

Other smaller changes suggested were to add a section to exempt tourist areas, exempt stores by size, by category or class, or improve the exempt goods list (Shop Trading Hours Advisory Committee Report, 1988).

The Treasury also had suggestions, along with the Department of Labour, the Department of Trade and Industry, and the Tourist and Publicity Department. These were again to a) amend the Act to remove its technical deficiencies, b) amend the Act to extend trading hours, c) shift the policing of the Act to the local Government, or d) repeal the Act (The Shop Trading Hours Advisory Committee, 1988).

The Advisory Committee could not agree on one solution, instead, their suggestions were to: a) leave the Act as it was, b) amend the Act or c) repeal the Act. The committee could not agree on which course to recommend, but agreed the law was ambiguous because of the amount of exemptions (Shop Trading Hour Advisory Committee, 1988).

In July 1989, the Retailer's Association secretary, Barry Purdy, started asking for the Shop Trading Hours Advisory Committee's report to be made public (McNeill, 1989). Then, in November/December 1989, both the Retailer's Association and the Distribution Workers Federation, started to push for their case to be heard by the new Minister of Labour, Helen Clark:

*"Kevin Smith, Barry Purdy and legal and financial officer Michael Brooks met Labour Minister Helen Clark to push for Government action to clarify the situation. One option explored as an interim arrangement was the possibility of amending the prohibited goods list by vastly increasing the range of merchandise that could be sold on Sundays...'We trust that the Shop Trading Hours Act will be repealed before Waitangi Day, so that there is no gap between the interim arrangement and the Act being repealed,' says Mr Smith."*

(McNeill, 1989)

*"The national secretary of the Distribution Workers Federation, Mr Paul Kimble, said the unions had had 'quite a bit of discussion with the Government' on the details of the new legislation. The result of the talks, which began the week before the Government announced its decision to legalise Sunday trading, was 'some progress' on the crucial issue of allowing workers to choose whether to work on Sunday...'We are reasonably confident that we have been able to secure sufficient protection,' Mr Kimble said...He said the distribution workers' unions were not in a strong position to negotiate against such pressure through the award process...'Our preference would be to see it done through legislation which would be deemed to be in awards...'...The unions also want the legislation to guarantee that present fulltime workers have the first option for Sunday work."*

(Collins, 1989b)

Both of these requests were adhered to by Helen Clark. The immediate instigation of Sunday trading, which the Retailer's Association advocated, was contested as undemocratic when it was introduced (see section 6.1.5.4). The inclusion of worker provisions in clause three, as requested by the Distribution Workers Federation, was among the most debated clauses of the Bill (see section 6.1.5.5).

#### **6.1.5.4 Deregulation Trial**

In December 1989, an Executive Order was issued by the Minister of Labour - Helen Clark. The Executive Order extended the list of exempted items to include nearly every consumer item (Executive Order, 1989). This effectively deregulated shop trading hours, and introduced Sunday trading. At the original time of the Executive Order (1989), there was some outrage at the way in which the trial had been enacted before the Bill had been evaluated:

*"In effect, a farce is being acted out under urgency on a Saturday morning. A Bill is being introduced that will repeal the trading hours of shops as from 30<sup>th</sup> April 1990, but the effect of the Bill is in practice already..."*

(Bolger 1989, 14315)

Discussion surrounded the Government's violation of due process and obstruction of the public and business voice (Bolger, 1989; Birch, 1989; NARGON, 1990; Second New Zealand Sweating Commission, 1990). The Labour Government responded that the Executive Order (1989) was within the rights of the Minister of Labour and *"It allows for the opportunity to evaluate the circumstances to which the law will relate in advance of that law governing it"* (Palmer, 1989, p14318).

Other explanations for the timing of the Executive Order (1989) were the Commonwealth Games, which were being held in New Zealand in January, 1990. The Executive Order (1989) would help tourism (Palmer, 1989). It was also timed to help extend trading hours for Christmas shopping (National Party Representative, Personal Communication, 4<sup>th</sup> November, 2008). Another explanation was the large numbers of exemption applications that the commission had to deal with that year. There were so many applications, it was impossible for the commission to give each application a

hearing, and many businesses would not be given exemptions in time for Christmas (New Zealand Distribution Workers Federation, 1990). This situation occurred because in 1988, Manukau mall was given an exemption to trade a few Sundays before Christmas and their trade was very successful (Abernethy, 1989).

A related outcome of the rush in applications came from the Keep Sunday Free Coalition, who put a case against a Foodtown supermarket in Palmerston North. The supermarket was applying for exemption to trade on three Sundays in December 1989, and they were close to being given a verdict when the Executive Order (1989) was given. The whole of this case is presented in Figure 6.1.

The deregulation of shop trading hours was seen as especially surprising legislation from a Labour Government:

*“...an example of what was wrong with democracy, especially since this was being done by a Labour Government whose entire historical background, said that they opposed it and who had not said anything to the contrary when elected was bone jarring literally...it should never have been introduced by Labour. It was National who should have introduced it, but they didn’t dare. That was the really funny thing. But Labour having been kind enough to do it, they weren’t going to object.”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008)

Debate was also had over how the timing of the Executive Order (1989) reduced democracy through a reduction in participation in the submission process:

*“Well you have to remember we’re talking 1989-90 we’re talking after 6 years of Rogernomics if you look at Douglas’s autobiography you’ll see he quite consciously set out to prevent opposition by driving everything through so fast that it was impossible to make any opposition because no one could focus on what so after 5, 6 years of that most people are saying well this is going to happen regardless of whether it is right and regardless of whether we want it or not there isn’t anything we can do...”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008)

It was found that Sunday trading, after the Executive Order (1989), was not very widespread, and the trial did in fact help the committee with their recommendations

**Figure 6.1: The Case of Keep Sunday Free versus Foodtown Palmerston North**

### **Keep Sunday Free Case**

The case of Keep Sunday Free versus Foodtown, Palmerston North, started at the beginning of December 1989, when the supermarket applied to open for the three Sundays leading up to Christmas. An interview with a representative from the Keep Sunday Free Coalition states that their case was one of the instigators of the Executive Order (1989). Their main argument was that the supermarket was applying for exemption due to the public benefit condition of the legislation, and so they wanted to outline that there was no public benefit from their opening (Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008).

*“...we reached the Christmas period and a supermarket in Palmerston North, ... one of the large supermarkets, said we want to open and stated an intent to open on the Sundays leading into Christmas, and we fought that...we put up eight different kinds of witness, we put up the... unions to say their piece ... we put up the Minister of All Saints in Palmerston North ... and he wanted to talk about the pressure on his congregation at Christmas, we put up the Chairman of the Samaritans who wanted to talk about increasing suicide rates, ... we put up Steve Maharey because he was an expert on small businesses...I put myself on the stand as a historian, which I am I'm a professional historian, to talk about the intent behind the Act that existed.... We put up the managing director of another equally large supermarket and he said we don't want to do this, but if they open we must. And we put up the head of a different supermarket from Fielding which was 12 miles away. Who said we have surveyed all our staff, none of us want to work, but if they are going to open in Palmerston, we have no choice. It was a really interesting package when you put the eight together. And I'm sure as anything we won the case, I cannot see how we could not have won the case there really was no answer to what we were saying...So the commissioner anyway, this was a Friday, he was supposed to meet me at nine in the morning, at something like 3.30pm, he called a halt to all proceedings and said he would reserve his judgment. That was on Friday. And certainly by Monday 9am but I think it was on Sunday, Helen Clark as Minister of Labour announced that legislation of urgency would be produced on the issue. And the judge never actually produced a judgment on the case, because he said frankly there wasn't any point.”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008)

(Foodstuffs, 1990; Collins, 1990). The trial started in December of 1989 and was at first set to finish on February 6<sup>th</sup> 1990, but was later extended to March 20<sup>th</sup>, and then April 29<sup>th</sup> 1990. Helen Clark defended the extension in the media, saying it was “*senseless to reimpose a restrictive regime...extending the current [trial]...will simply continue to give retailers and the public the opportunity to exercise choice in the matter*” (1990).

On December 5<sup>th</sup> 1989, the Minister of Labour, Helen Clark, introduced a Bill to repeal the Act, deregulating shop trading hours, while also having clauses to protect workers and retailers (Clark, 1989). The protections were for current worker contracts (not future), and stated that shops could not be forced to open on any of the extended hours introduced by the Bill (after 9pm and on Sundays). This provision was especially important for retailers in places such as malls, who generally had to open if the rest of the mall was open. Another provision was that current employees should be given first rights to extra hours, before new staff were hired. Current staff could not be discriminated against should they refuse the hours though. Security and transport, if needed, must be provided for shop workers working past 9pm (Clark, 1989). Lastly, the unions must be involved with employment processes surrounding trading hour extensions, and the shop must give employees four weeks’ notice of extending their opening hours (Mallard, 1989).

#### **6.1.5.5 Stakeholder Viewpoints**

There were only three submissions supporting the Bill in its entirety - the National Council of Women of New Zealand Inc. (1990), New Zealand Tourist Industry Federation (1990), and the New Zealand Motor Vehicle Dealers Institute (1990).

One argument against Sunday trading, was to keep the day free from commercial activity to spend time: with families, sport, the community, and to relax (Keep Sunday Free Coalition, 1990; Save Our Sundays Campaign, 1990; New Zealand Distribution Workers, 1990; Catholic Commission for Justice, Peace & Development, 1990; Joint Methodist-Presbyterian Public Questions Committee, 1990; Foodstuffs, 1990).

*“Do we want to destroy the very quality that attracts so many tourists to New*

*Zealand – the fact that we place a high priority on the constructive use of leisure? New Zealand has, after all, the best-performing sports people in the world per head of population, and that is no accident. That is a matter of life-style, the things we value in this country, including proper and responsible priority of leisure. Do we want to ignore the fact that our spiritual and psychological well-being as a nation is promoted by the nature of the New Zealand weekend, and the New Zealand Sunday in particular? That respect for leisure and its benefits is something we will lose with open-slather Sunday shopping.”*

(Terris, 1989, p14330)

It was felt that the law was inherently Christian, and as many New Zealanders were not Christian, to create a law based on one religion was not appropriate (Treasury, 1990). An argument against deregulation of shop trading hours was its major negative impacts on: families and social patterns, economic planning - especially of transport - and other businesses that were needed to service retailers (Second New Zealand Sweating Commission, 1990; The Save Our Sunday Campaign, 1990; NARGON, 1990; Keep Sunday Free Coalition, 1990). Increased prices to cover the increased wages was also a concern (Bolger, 1989; Joint Methodist-Presbyterian Public Questions Committee, 1990; New Zealand Distribution Workers Federation, 1990; Foodstuffs, 1990; NARGON, 1990; The Save Our Sunday Campaign, 1990; Keep Sunday Free Coalition, 1990).

Many negative social effects could follow for employees too, including: stress and loss of time with family, inadequate childcare, decreased involvement in the community, as well as sports and religious groups, because financial compulsion would lead people to work on Sundays (Second New Zealand Sweating Commission, 1990; The Save Our Sunday Campaign, 1990; NARGON, 1990; Keep Sunday Free Coalition, 1990; Shop Trading Hours Advisory Committee Report, 1988). Further negative effects for employees were casualisation of the workforce (Distribution Workers Federation, 1990; Second New Zealand Sweating Commission, 1990), and eventual removal of penal rates for weekend and late night work (Distribution Workers Federation, 1990; National Council of Women of New Zealand Inc, 1990; Second New Zealand Sweating Commission, 1990). Penal rates were in jeopardy as they could not reasonably be kept if trading over seven days was normal, and this was well known by the Trade Unions:

*“But if they open they were going to have to face paying penal rates, and we knew that given the economics of the retail industry very quickly employers would be coming along and asking, putting pressure on to reduce those rates. So we could see very clearly that that was the sequence of the argument that would flow through to us so that was another reason for resisting because people knew that the rates would be under pressure.”*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

Statistics supported concerns about casualisation, with 40% of retail employees working less than 30 hours a week compared to 32.7% in 1980. They also showed an increase in the use of younger staff (often of school age) during hours of penal pay, and increased turnover of those staff (Treasury, 1990). However, the total number of jobs in the retail industry was increasing, compared with other industries, both part and full time workers, showing that full-timers' jobs were not being taken away from them (Treasury, 1990). Murray McLean (CEO of hardware chain Mitre 10), stated that with more trading hours, Mitre 10 could employ 300-500 more staff (McClean, 1989) and McDonalds could employ a further 7000 people (Williamson, 1989).

Concerns over casualisation were paramount to the unions who felt it would then decrease their bargaining power even more:

*“So when that happens [casualisation] that means your workforce is working over a longer period of time, it's harder for the union and for the delegates, the workplace delegates, to kind of get to a huge range of people because you are working all sorts of hours of the day and night. People who come in on people who are only working a few hours here and there don't have a primary commitment to the job or to the employer. So over time you would be likely to experience a sort of erosion of the, the bargaining strength and the sort of influence that you might be able to bring to bear in the workplace. Not that we had a lot in the first place...”*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008)

An aspect of the Bill supported by the unions was clause three, which protected workers from being forced to work, or discriminated against should they choose not to work, through legislated awards (Labour Select Committee Report, 1990; Collins, 1990). The legislation protected current workers only; it did not protect future workers, especially young workers who would be asked, before being employed, whether they would work the extended hours, and would be declined the job should they refuse (Storey, 1990).

Employers did not support clause three. Many large organisation's supported the Bill if clause three were removed, including Smiths City Group Ltd (1990), Woolworths and DEKA New Zealand Ltd (1990), New Zealand Employers Federation (1990), Progressive Enterprises (1990), Challenge Properties Ltd (1990), New Zealand Business Roundtable (1990), and the Retail and Wholesale Merchants Association (1990). Businesses did not want worker awards to be built into the law (Mallard, 1989). They felt appropriate awards had already been negotiated for Saturday work, and could be extended to Sunday trade conditions (Woolworths New Zealand Ltd and DEKA New Zealand Ltd, 1990; Treasury, 1990; New Zealand Employers Federation, 1990; Progressive Enterprises Ltd, 1990; Challenge Properties Ltd, 1990). However, current awards were insufficient according to the Second New Zealand Sweating Commission (1990).

Another argument against clause three was that awards could be negotiated out of employee's contracts, and so it was felt the clause served no real purpose (Bolger, 20<sup>th</sup> March, 1990, p 783). Employers, unions and employees, were perfectly capable of negotiating awards without Government intervention, as had been proven in the case of Saturday trading (Birch, 1990). The Government countered that the awards were there as a minimum protection to workers (Industrial Relations Service, 1990a). Lastly, it was reasoned that the protection was not offered to any other workers, so it was unfair to give it to shop workers only:

*"The Bill gives shop workers a special status not enjoyed by other workers in similar circumstances. Many workers are required to work on Sundays, statutory holidays, and at night, including entertainers, the police, fire service, medical workers, transport workers, pilots, journalists, seamen, farmhands, fruit pickers...The multitude of workers do not receive special protection in regard to the days and hours that may be worked. Such matters are provided for in the relevant awards and agreements by negotiation under the usual procedures. Statutory protection of the kind proposed is not provided for any other group of workers, nor has it been necessary for the present Act to provide protection for the workers in dairies or shops given exemption to trade under the existing legislation."*

(New Zealand Employers Federation, 1990, p778)

Apart from employee concerns, one of the major anxieties for many was the danger to small retailers if larger stores had unregulated hours. This would increase competition for small stores and it was felt, would lead to the demise of many small businesses (Joint Methodist-Presbyterian Public Questions Committee, 1990; New Zealand Distribution Workers Federation, 1990; NARGON, 1990; Foodstuffs, 1990). There would also be an added pressure for those servicing retailers, such as banks and distribution centers, who would also need to open extended hours (NARGON, 1990; Foodstuffs, 1990; New Zealand Distribution Workers Federation, 1990). It was feared that this would create general opening throughout the country and take away the quintessential quiet Sunday. However, it was countered that many professions already worked on a Sunday without general opening occurring (Challenge Properties Ltd, 1990; Progressive Enterprises Ltd, 1990; New Zealand Employers Federation, 1990). Also, extended hours provided extra money for workers (Shop Trading Hours Advisory Committee Report, 1988). Some current Sunday activities required shops to be open, such as gardening and home maintenance, which would not create general opening but enable people to stay at home and spend time doing these things with their families.

The National Association of Retail Grocers and Supermarkets of New Zealand (NARGON) also opposed the Bill. It seems at the time there was not total agreement amongst retailers as to deregulation of shop trading hours:

*“And if my memory serves me correctly there was a great big scrap amongst the grocery industry at that time because Foodstuffs was not supportive of trading on Sunday. Now I may be wrong in that but that was my memory, so what I’m saying is that retailing had, there were different people despite the trade association having a specific view that probably reflected its philosophy at the time, different retailers would have different views on whether or not shops should open on Saturday let alone open on Sunday.”*

(Retail and Wholesale Merchants Association Representative, Personal Communication, 10<sup>th</sup> November, 2008)

On the public front, the Heylen Research Centre Survey showed that 50% of the 1000 people they interviewed did not see a problem with shop trading hours as they stood. However of the 50% that did not approve of the current shop trading hours, only 20% wanted Sunday trading specifically. Of the 1000 people interviewed, 52% did not see a problem with Sunday shopping in general however (Foodstuffs, 1990). The National

Research Bureau Poll showed a majority support for Sunday trading in convenience stores, garden centers, chemists, home improvement stores, and supermarkets, but not for car sales yards, travel agents, stationers, furniture shops, and dress shops (Shop Trading Hours Advisory Committee Report, 1988). The Charles Crothers and Allan Levett Poll, which was commissioned by the Distribution Workers Federation, showed overwhelmingly that 75.3% of the 500 people they surveyed wanted shop trading hours to be extended (Distribution Workers Federation, 1988). The Consumer Council Poll showed that 58% of people given questionnaires, wanted shops to open on Sundays, with 50% of those wanting shops to only open from 1pm on Sundays (Shop Trading Hours Advisory Committee Report, 1988). Of 173 shop keepers surveyed in Palmerston North, only 16% of them stated they would open on a Sunday (Keep Sunday Free Coalition, 1990).

Lastly, the Save our Sunday Campaign had a Poll conducted for them by the National Research Bureau, of 2000 people. This showed a slightly different result from the other surveys as it was conducted in the 20 largest cities in New Zealand with 1000 females and 1000 males. It found that 50% did not want Sunday trading, 45% did, and 5% were unsure (Save Our Sunday Campaign, 1990). A petition was also given as a submission to the Advisory Committee from the Southern Distribution Union in which 92% of the 1554 people represented, stated they did not want any more shopping hours, and 95% stated that they did not want Sunday shopping (Shop Trading Hours Advisory Committee Report, 1988).

Overall, the report of the Select Committee (1990) recommended that the Bill should proceed the way it was with the four clauses: 1) with the short title and commencement at 30 April, 1990 2) with the repeal to the Shop Trading Hours Act (1977) and its amendments, as well as abolishing the Shop Trading Hours Commission 3) protecting workers, and with 4) provisions to protect retailers from being forced to open, and prosecutions against illegal trading already brought against retailers to continue.

Politicians argued with the Select Committee's recommendations on the grounds that submissions were collected over the Christmas period, and so many organisations could not, or did not submit (Birch, 1990; Tennet, 1990). Further, due to the Executive Order

(1989), many organizations felt their submissions would be a waste of time and so also did not submit. On 28<sup>th</sup> June, 1990, the third reading of the Bill took place with opposition support and only one change and that being to the date of commencement. This meant that the Shop Trading Hours Act Repeal Act (1990) commenced on 1<sup>st</sup> August 1990 allowing trading 24 hours a day, seven days a week apart from Anzac day morning, Easter Friday, Easter Sunday, and Christmas Day (Shop Trading Hours Act Repeal Act, 1990).

#### **6.1.5.6 Post Evaluation Stage**

After the Shop Trading Hours Act Repeal Act (1990) the amount of shopping increased slowly:

*“...and when they did introduce it very little trading was done on Sundays for a long time. And in much of the country it still isn’t. It’s really Auckland and places like that, that have the population base to allow it.”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008)

The country was still going through a recession and retail sales declined between 1989 and 1991 (Edwards & Holmes, 1994), to the distress of the retail industry (McNeill, 1990). People were spending less, and saving more, or paying off their debts quicker (Retailers Dispute Sales Statistics Rise, 1990). Sales increased slightly in December of 1990 but *“[a]n increase of 2.6% in retail sales during December did nothing to compensate for a year in which sales in almost every category were below the rate of inflation”* (December Sales, 1991).

One of the main long term consequences of the Act, as seen through the eyes of the major stakeholders at the time, is the increase in commercialism:

*“So I think we now have a culture where people think of entertainment, and love going shopping. I find that hard to understand personally as a male, {laughs} but there’s this sort of huge culture of shop ‘till you drop and that sort of stuff. That wasn’t really around there at that time. And I think the Shop Trading Hours Act as a tiny proportion as a tiny part of that general kind of move to rampant consumerism which is kind of culturally embedded in a lot of countries now. That sort of led to all sorts of other interesting things like people kind of going on the net to buy things and credit squeezes and that sort of stuff. And that now we’re experiencing on the global scale. But anyway, the Shop Hours*

*Trading Act is just a little tiny step along the way to creating the environment or creating the opportunity I suppose for people to shop whenever they want. So they do. You can go to the Supermarket anytime of the day or night just about”*

(Trade Union Representative, Personal Communication, 5<sup>th</sup> November, 2008).

The change in shop trading hours has also created much more of an emphasis on weekend trading for retailers:

*“... if you look at the last 20 year period you see a phenomenal change in the structure of retail which is largely come about through the expansion of chain stores like for instance The Warehouse that now is in every small town in New Zealand. Increased competition for small retailers. But in addition to that you had the involvement of these huge shopping mall complexes and now I would argue that weekend trading is probably more important than any day during the week.”*

(Retail and Wholesale Merchants Association Representative, Personal Communication, 10<sup>th</sup> November, 2008).

Small businesses have also suffered:

*“What it did do of course, was undermine the whole position of dairies. In a big way and it did change the nature of the community and ... what we said in our submissions were basically correct.”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008).

As was predicted by submissions, Statistics New Zealand (2000) shows that the number of full time employees decreased between 1986 at 1,278,210 to 1,151,199 in 1991 and the number of part-timers increased from 237,145 to 301,300 (Statistics New Zealand, 2003). Though this cannot be contributed to shop trading hours only. Union power also diminished, with the number of members, and unions decreasing (see Table 6.3). But overall there are many effects on society:

*“Well one of the points about the old style weekend was that it was a day in which older people got looked after, it was the day in which the family actually got together, the weekend was the time in which children played sport and the parents went along and supported and it was often parent run. And there’s clearly much less of all of that because as a result families are more fractured. Today you have politicians all saying we care deeply about families but what they’ve actually done hasn’t been supportive of family life. It doesn’t mean that some families don’t find perfectly adequate ways through it, but there’s just less than they, than there used to be and it isn’t good.”*

(Keep Sunday Free Coalition Representative, Personal Communication, 4<sup>th</sup> November, 2008).

**Table 6.3: Union Figures 1986-1992**

Year	Number of Unions	Number of Union Members
1986	227	489,763
1987	208	496,063
1988	202	649,857
1989	170	611,265
1990	104	610,300*
1991	80	515,331
1992	58	428,160
Source	(Department of Labour, 1900-1987; 1988-1992)	(Department of Labour, 1900-1987; 1988-1992) *(New Zealand Official Year Books, 1993)

There have been nine attempts to further deregulate from the Shop Trading Hours Act Repeal Act (1990) from the time it was introduced until the date of this research (2009). All of which sought to further liberalize trading hours. Only one of the Bills succeeded in being passed into law, the Shop Trading Hours Repeal Amendment Act (2001). This allows garden centers to open on Easter Sunday. Though most of the Bills are regarding Easter weekend trading, all of the anticipated amendments have proposed deregulation of some, or all, of the remaining three and a half non-trading days.

In 1997, the ACT party proposed total deregulation of shop trading hours, making trading legal 365 days a year, 24 hours a day; in 2002 the Rotorua District Council (Easter Sunday Shop Trading) Bill tried to gain exemption for Rotorua for Easter Sunday; In 2004, the ACT party again sought to deregulate all but ANZAC day from trade restrictions, though some protections were added for workers for Easter weekend. In 2004, another Bill was introduced to give city councils the authority to exempt stores from trading restrictions over Easter; and in 2007, two more Bills sought to firstly give

exemption to tourist spots over Easter weekend, and then again to give councils the power to grant Easter weekend exemptions after consulting the local community (Department of Labour, 2008).

### **6.1.6 Sunday Trading Deregulation, Comparisons with Other Countries**

Now that this thesis has uncovered the circumstances surrounding the changes in shop trading hours for New Zealand, especially the introduction of Sunday trading hours, it is time to briefly compare their experience with other countries. This section will first compare New Zealand's experience of Sunday trade deregulation with the United States (US) and Canada. The US deregulated Sunday trading in most of its states before New Zealand, and Canada went through their deregulation at the same time as New Zealand. It will then compare New Zealand with the United Kingdom's (UK) experience, which introduced Sunday trading after New Zealand.

#### **6.1.6.1 The United States and Canada**

Sunday trading regulations are referred to as blue laws in the US, and had been steadily reduced over the years before New Zealand deregulated Sunday trading. In 1955, 33 states had blue laws (Ingene, 1986), which was lowered to 25 states by 1970, and 13 in 1984 (Price & Yandle, 1987). Over this time, the blue laws regarding Sunday shopping hours were either repealed or struck down by the State courts (Ingene, 1986). Cases brought against the blue laws labeled them unconstitutional due to their religious basis (Barron, 1965). The Supreme Court ruled however, that the blue laws were not unconstitutional, because they were not motivated by religious faith, but provided a common day of rest and recreation for the community (Barron, 1965). Regardless of this ruling, later courts still struck down the laws in some states (Ingene, 1986).

Price and Yandle (1987) found that some of the reasons for the decrease in the number of states with blue laws between 1970 and 1984 were due to more women entering the workforce. This increased the opportunity costs of shopping, and led to shared shopping duties within households, amplifying demand for Sunday trading. Chain stores thrived and grew in this environment, introducing larger numbers of products and further

increasing demand. Sunday shopping was needed as a legitimate and low cost leisure pursuit for families, and the blue laws were preventing this (Gordon, 1966). Originally, stores opposed Sunday trading because they felt they better utilised their space by compressing their business into six days. This changed, however, with consumer enthusiasm that Sunday trading would lead to a decrease in prices, when retailer's fixed costs were spread over seven days instead of six. Concerns with Sunday shopping regarded the day of rest and spiritual revitalization it gave, and the feeling that another day of trade was not necessary. Even the Trade unions' interest in defending the laws decreased (Price & Yandle, 1987).

Canada had a similar experience to the US with their Sunday trading law, the Lord's Day Act (1906), which prohibited trade on Sundays. In 1960, the Federal Parliament of Canada created the Canadian Bill of Rights, including freedom of religion. They also included a clause stating that any legislation not consistent with the Canadian Bill of Rights was invalid. Not long after this, in 1963, a case was brought against the Lord's Day Act (1906), accusing it of being against freedom of religion. The courts did not agree, finding the effects of the law secular, because they did not prevent religious practice. Any negative effect was only financial. Later, in 1985 though, the Act was found to be unconstitutional, and each province was given the right to decide their own Sunday trading laws (Barron, 1965). Alberta was the first to allow Sunday trading in 1985, followed by Quebec in 1992, and Newfoundland in 1998, while the rest of the provinces have had either experimentation or some level of deregulation as well (Skuterud, 2005).

Comparing these countries, it seems that the US and Canada mainly changed their Sunday trading laws because they were found to be unconstitutional, due to their religious underpinnings.

#### **6.1.6.2 The United Kingdom**

We will now turn to a country that is more similar in political structure to New Zealand, the UK. In 1984, an official committee of inquiry, headed by Robin Auld, recommended total deregulation of shop trading hours in the UK (Kay & Morris, 1987). The problems with The Shops Act (1950) were with the exempt list (Clements, 1987;

Kirby, 1992; Barnard, 1994; Richter, 1994), and enforcement (Clements, 1987; Barnard, 1994; Richter, 1994; Smith, 1995; Kirby, 1992), with the fine for breach being too low (Clements, 1987; Barnard, 1994), mirroring some of the problems with the Shop Trading Hours Act (1977) in New Zealand. The Shops Bill (1986) was then put forward by the Thatcher Government and was defeated in the House of Commons at the second reading. The Bill was blocked by a coalition of churchmen, trade unions, retailers and some sections of the general public (Clements, 1987; Richter, 1994), due mainly to religious reasons (Richter, 1994).

The concerns with Sunday trading in the UK mirror those of New Zealand such as: shops being forced to open to remain competitive (de Mezza, 1984), doubts an increase in turnover would occur (de Mezza, 1984; Richter, 1994), concerns for price increases to compensate for increased retailer costs (de Mezza, 1984; Kay & Morris, 1987; Ingham, 1992), pressure for employees to work unsociable hours (Richter, 1994; Smith, 1995; Kirby, 1992), casualisation, and a decrease in penal rates (Richter, 1994; Smith, 1995) as well as stress on families, and less time for social gatherings, recreation and worship (Richter, 1994; Kirby, 1992).

Similar to New Zealand, the arguments for Sunday trading were that the option to trade meant retailers could work more efficiently (de Mezza, 1984), and there would be many more jobs created (Richter, 1994; Kirby, 1992). Sunday trading would also help working people to be able to shop conveniently (Richter, 1994; de Mezza, 1984), and allow for family time while shopping (Richter, 1994; Kirby, 1992). Others argued that the day was needed as a day of rest and socializing, along with worship (Barnard, 1994).

In 1993, an options Bill was put forward to Parliament with three options for trading hour law reform. The first was total deregulation, the second was partial deregulation and the third option was tightening of the current laws (Barnard, 1994). Option two was supported by the Shopping hours reform council, who were in turn supported by consumer representatives, tourist boards, manufacturers, and many retailers, as well as some unions (Richter, 1994). The third option of partial deregulation was supported by the Keep Sunday Special Campaign who had allied themselves with other trade unions, The National Chamber of Trade, The British Retailers Association, The British

Hardware Federation, The Council of Churches for Britain and Ireland, The Catholic Bishops' Conference, The Anglican Evangelical Assembly, The Conservative Family Campaign, and some retailers (Richter, 1994). The second option of partial deregulation, as advocated by the Shopping Hours Reform Council was chosen under a free vote. The final law states that shops under 280sqm, may open at any time, and larger shops may open for six hours in a row on a Sunday between the hours of 10am-6pm (Sunday Trading Act, 1994).

### **6.1.6.3 Comparison**

It seems that the worker was the main priority for shop trading hour legislation in New Zealand in 1955. In 1977 though, there seemed to be a fundamental shift to supporting the consumer, which in turn supported business. Increased discussion of the rights of consumers, to be able to buy what they wished, when they wished, is found in the 1977, 1980 and finally 1990 discussion, and final Acts, through larger exempt lists and wider hours of operation. It seemed that the main driver of the 1955 Act was to update a very outdated law, while for the 1977 Act it was to clean up the confusing 1955 Act and uniform the opening hours. The driver for the 1980 Act was to decrease some of the large amounts of regulation that had been introduced by Robert Muldoon. Boosting the economy by answering consumer's needs drove the 1990 Act.

For New Zealand, legalising much of the then illegal trading was a large reason for the changes in shop trading hours. Retailers and consumers were the cause of illegal trade, facilitating it, so it could be said that their voices were the loudest considered. The decreasing power of unions also seems to coincide with each deregulation initiative. This is a very different story from the experience of the US and Canada who found that the religious basis of the law was its undoing. Far from mirroring this argument, there was not much mention of religion in the argument in New Zealand.

Religion was a factor in the blocking of the Shops Bill (1986) in the UK, but the power of the unions at the time was also a major factor. The UK's experience of deregulation more closely resembles New Zealand's journey. The arguments for and against the law seem to be very similar, however, there is more of an emphasis on the religious basis of the law in the UK (Richter, 1994), which again was not very present in the New

Zealand experience. The religious basis can still be seen in the UK Sunday trading law, which allows six hours of trade between 10am-6pm, most stores now open from 11am-5pm, potentially allowing time for Sunday worship (Richter, 1994).

Comparing all of the countries, the religious basis of the law was behind the deregulation of Sunday trade in the US & Canada. Religion was one of the main reasons for the protection of Sunday trade regulation in the UK, and the lack of emphasis on religion could be seen as a factor in New Zealand's adoption of Sunday trading at a relatively early time compared with the rest of the world.

## **6.2 Content Analysis**

In summary of this research so far, the conceptual framework in Chapter Four meets Objective One, and the historical narrative of shop trading hours in New Zealand explores the second Objective. The third Objective, to explore the usefulness of marketing communications and the media during the Social Engineering Decision Making Process, will be explored in this section. As has been explained in Chapter Five, this will be accomplished through a content analysis of marketing communications and media relating to the Social Engineering Decision Making Process undertaken in the introduction of the Sunday trading decision by the Government. This objective seeks to explore whether the communications were effective in influencing the Government. This influence may be seen through transcripts of Government discussions regarding the Bill, and Government reports regarding the Bill. Influence of marketing communications will be supported if themes from the marketing communications are also mentioned in later Government documents and discussions.

There is already some support from the New Zealand Government that this may occur. Ex Prime Minister Geoffry Palmer, in his book, "Bridled Power" (Palmer & Palmer, 2004), revealed some of the processes in Parliament. Media plays a crucial and influential role both for the public and politicians. The media report the happenings of the house to the public, who in turn vote for their preferred party and politician. This means that politicians are concerned with the public's opinion on legislation. He states that the parliamentary librarians provide politicians with almost all available communications regarding Bills, should they wish to use them (Palmer & Palmer,

2004). This is one of the ways in which politicians gain the views of the public (along with submissions and one-on-one communications), in order to represent them in Parliament and ensure their own survival in the next elections (Palmer & Palmer, 2004).

### 6.2.1 Theme Descriptions

The content of marketing communications and media were analysed for themes. Theme identification was informed by the historical narrative, and the resulting themes are summarised in Table 6.4. The left hand column in the table shows the theme codes that were used as shorthand to reference the themes in Table 6.5 and Figure 6.2 which summarise the findings of the content analysis. Themes surrounded the points of discussion that were used to try to persuade politicians to accept or reject the Bill. They represent different stakeholder costs and benefits from repeal. They also show general issues with the Shop Trading Hours Act (1977), general benefits from repeal, and justifications for and against repeal. Each theme was used both positively and negatively by opposers or supporters of the Bill. The themes are described in the next section with supporting quotes following each theme.

#### 6.2.1.1 Issues with the Current Act

This set of themes regard issues with the implementation of the Shop Trading Hours Act (1977). Issues include its policing, exempt list, and the Shop Trading Hours Commission, as well as general confusion over the implementation of the law.

##### **Polc: Policing**

This theme refers to how the Shop Trading Hours Act (1977) was being policed up until December 1989. The Act, in effect, was not being policed, as there were not enough funds put into its policing. More inspectors were needed to police the law because so many businesses were breaking it.

*“The law as it stands at the moment is completely unenforceable. There are hundreds and hundreds of shops all over the country opening illegally to satisfy customer needs and the Labour Department simply cannot police it.”*

(Shopping, 1980)

*“They [The inspectors] do their best within the limit of man power, we can afford, but by we I mean the tax payers.”*

(Shop Trading Hours Act, 1978)

**Table 6.4: Theme Descriptions**

Theme Code	Theme Name
<i>Issues with the Current Act</i>	
Polc	Policing
Exmt	Exempt List
Coms	Commission
<i>Public Benefits from Repeal</i>	
Dmnd	Demand
CsmB	Consumer Benefit
<i>Public Costs from Repeal</i>	
Prce	Prices
Faml	Families
Soct	Society
Chrs	Christian Day
<i>Economic Benefits from Repeal</i>	
Trsm	Tourism
Jobs	Jobs
Trde	Trade
<i>Employee Costs from Repeal</i>	
WHrs	Working Hours
WFrc	Workers Forced to Work
RBFrc	Related Businesses Forced to Open
Penl	Penal Rates
Csln	Casualisation
Jnrs	Juniors
LwPy	Low Pay Rates
UnPw	Union Power
<i>Retailer Benefits from Repeal</i>	
UnfA	Unfair Advantages
Frdm	Freedom of Choice
Efnc	Efficiency
<i>Retailer Costs from Repeal</i>	
RFrc	Retailers Forced to Open
Spnd	Spending Levels
SmlR	Small Retailer Destruction
<i>Legislation</i>	
Demc	Democracy
LgAw	Legislated Awards
OWkd	Other Weekend Industries
<i>Justification</i>	
OCnt	Other Countries
SatS	Saturday Shopping
PolS	Polls

### **Exmt: Exempt List**

Discussions on this theme consider the many anomalies that the Shop Trading Hours Act (1977) exempt list presented. These included things such as frozen chicken dinners being legal to buy at all times, but a fresh chicken illegal. There seemed to be no real pattern to the exempt list.

*“I personally think they are ridiculous, you have got situations where you’re allowed to sell paint on a Saturday, you’re not allowed to sell all paint...So you get all these anomalies where some things are ok to sell, others, that are totally related are not allowed to be sold.”*

(Shopping, 1980)

### **Coms: Commission**

The Commission theme talked about the process of applying for exemptions to the Shop Trading Hours Act (1977). It was stated as a long, involved, and expensive process. To add to this, there were many complaints that the commission was overloaded with applications, making the process even slower.

*“More than a thousand shops would have to flout the law to open on Sundays next month because of a huge backlog of applications for Sunday trading”*

(Abernethy, 1989)

### **6.2.1.2 Public Benefits of Repeal**

Themes surrounding the public benefit of the Shop Trading Hours Act (1977) repeal, start with meeting the public’s demand for trading, and go on to other more general consumer benefits.

### **Dmnd: Demand**

A reason put forward for the deregulation of shop trading hours was public demand. People shopping illegally was testament to this, as well as people shopping at exempt stores.

*“...when the Manukau City Centre mall in Auckland opened the Sunday before Christmas last year, more than 50, 000 people shopped there in one day, demonstrating the demand for Sunday shopping.”*

(Abernethy, 1989)

### **CsmB: Consumer Benefit**

The regulation of shop trading hours decreased consumer benefits also. The limited times for shopping meant that many people were not able to do their shopping conveniently.

*“New Zealanders would also appreciate the more flexible hours.”*

(Shops Get Sunday Trading Go-Ahead, 1989)

*“Finally the only advantage for the public with seven day shopping will be the freedom of choice as to where and at what time they may choose to shop.”*

(Abel, 1990)

### **6.2.1.3 Public Costs from Repeal**

Many more themes related to costs to the public and society should shop trading hours be deregulated. These costs included price increases, and effects on families, society, and the Christian holy day.

#### **Prce: Prices**

One concern was that if retailers opened longer hours, they would have more costs from expenses such as power and penal rates of pay. If there was not an increase in spending, these increased costs would be passed on to consumers, through price increases.

*“...substantially increased overheads, wages and costs, [would] have to be passed on...”*

(NZPA, 1990a)

*“...and could cause a rise in the price of groceries by increasing overheads for retailers.”*

(Bell, 1990b)

#### **Faml: Families**

Another of the negative effects that were envisioned if deregulation occurred was that families would suffer. This would be through the increase in working hours for one or

both of the parents. Along with childcare issues, this could also decrease time spent together as a family.

*“Sunday is a special day for the family. No other day in the week offers such opportunities for family gatherings and activities.”*

(NZPA, 1990b)

*“Approximately 100, 000 workers could be directly involved in Sunday trading. This would deny them the opportunity to enjoy Sunday with their families. It would also lead to social problems, where children are left at home without parental control.”*

(Quayle, 1990b)

### **Soct: Society**

The potential negative effects on society and the community were based on the fact that Sunday was a common day off work for most people. This allowed time for many meetings and community events, such as sports, to take place on this day. Therefore, if the day became another working day, less people would participate in the community, there would be less sport, and less volunteers.

*“Stop and think for a moment about how many national and regional social, sporting and hobby clubs and organizations depend on knowing that most people aren’t working across the weekend, so they can get together. Swimming meets and university extramural courses, cricket matches and meeting of the New Zealand Philatelic Federation, table tennis tournaments and tramping and natural history outings: what makes many such activities viable at present is that society is organized so as to take a break at one recognized time. Suppose that regular Sunday trading were legalized and took off just in the Auckland area. That would be enough to cause major disruption of our whole society.”*

(Gwynn, 1990a)

### **Chrs: Christian Day**

One of the arguments against the introduction of Sunday trading was that Sunday was a Christian day of holy observance and should be kept as sacred.

*“Sunday is a special day for Christian people...Sunday trading will...prevent some Christians from attending worship.”*

(Quayle, 1990b)

Many people countered that the nation as a whole was not Christian, and so this should

not be used as a reason against deregulation.

*“Mr Quayle refers to Christians’ special day, which raises the question, how on earth do our many Jewish and Moslem families get by on Saturdays and Fridays?...New Zealand is not a Christian country...”*

(Jones, 1990)

#### **6.2.1.4 Economic Benefits from Repeal**

One of the persuasive messages in support of the Bill is shown in the theme of improving the economy. When general consumer and tourist spending increased after the repeal of the Bill the increase in jobs, trade, and efficiency would boost the economy.

##### **Trsm: Tourism**

One of the major arguments for deregulation of shop trading hours was to facilitate increased tourist spending. It was argued by some that New Zealand was missing out on a lot of tourist dollars due to the regulation of shop trading hours.

*“Tourists coming to New Zealand are often going home with money in their pockets. International travelers are accustomed to having seven-day-a-week shopping.”*

(McNeill, 1989d)

However, the statistics cited for this argument were actually misquoted so many others argued that tourists did not wish for increased shopping hours.

*“...Government claims that Sunday trading was needed to encourage tourism were grossly exaggerated...surveys showed that those visitors who were dissatisfied with shop hours indicated they were too short Monday – Saturday and opened too late. None indicated they wanted Sunday shopping.”*

(Hollings, 1990)

##### **Jobs: Jobs**

It was reasoned that deregulation of shop trading hours would increase the number of available jobs because shops would need more staff to cover the extra hours.

*“...it can only create employment...”*

(Sunday Trading, 1983)

*“When competition increases consumer well-being it also increases economic growth and employment opportunities...”*

(Haarmeyer, 1988)

#### **Trade: Trade**

To further boost the economy, it was thought that an increase in the number of possible trading hours would also increase the amount of trade for retailers. Some people did not support this view.

*“Others who are leading the charge mistakenly believe Sunday trading will boost flagging retail sales in a permanently depressed economy.”*

(Holland, 1989a)

#### **6.2.1.5 Employee Costs from Repeal**

The largest number of themes relates to the costs that employees may have to bear if the Shop Trading Hours Act (1977) was repealed. Costs include changes in working hours and pay rates, being forced to work, an increased use of juniors, along with casualisation of the workforce decreasing Trade Union’s bargaining power.

#### **WHrs: Working Hours**

The 40 hour, five day working week was one basis of concern. Stakeholders were worried that deregulation of shop trading hours would open the flood gates to longer and longer working hours.

*“The union had already received calls from some shopkeepers opposed to the reform and the increased working hours it would bring.”*

(Holland, 1989b)

*“Where is ‘freedom’ for the shop managers who worked for 27 days without a break in December...”*

(Gwynn, 1990a)

#### **WFrc: Workers Forced to Work**

Related to this, workers were worried they would be forced to work on Sundays. This was not only for current work places, but especially for those who were seeking employment, and could not gain it unless they agreed to work on a Sunday.

*“The Government has been warned by an official advisory committee that many shop assistants could be pressured into working on Sundays against their will if Sunday trading is allowed.”*

(Collins, 1989a)

#### **RBFr: Related Businesses Forced to Open**

One affect of deregulation of shop trading hours would be that other businesses who serviced retailers would also be forced to open, such as suppliers and banks. It was feared that this would inevitably lead to widespread Sunday trading and 24 hour, seven day work for all of the country.

*“It will not be just retailers who will have to work Sundays. With 7 day shopping – everyone in the chain of distribution will in the long term be effected – manufacturers, delivery drivers, cleaners, clerical workers, warehouses and many others.”*

(Abel, 1990)

#### **PenI: Penal Rates**

It was agreed by both sides that if total deregulation of shop trading hours was to occur, then penal rates would disappear. This would be because Sundays and night work would become normal hours, and so penal rates would not apply. Further, it was stated that many retailers would not be able to afford to pay their staff penal rates for the extended hours and so the rates would be phased out.

*“...an ultimatum may be issued: either you co-operate with our proposed changes in the penal rates or your wages will not be increased this year.”*

(A Matter of Right and Wrong, 1989)

*“As that proceeds, calls to erode or eliminate penal rates will gather strength and could gain public support if these rates were perceived to be stopping the Sunday shopping tasted in December.”*

(Luke, 1990)

#### **CsIn: Casualisation**

Workers worried about the impending possibility of their working day being split into shifts. It was also a concern that there would be increasing numbers of part time positions and a decreasing number of full time positions.

*“The trends in retail hours of work and casualisation have gone far beyond the degree of flexibility in hours required for parents of school age children. These workers require regular part time employment not very part time hours, or casual, or temporary work.”*

(New Zealand Distribution Workers Federation, 1989)

*“Sunday trading could create more part-time jobs, but reduce total labour requirements.”*

(Casual and Junior Staff Being Used, 1989)

### **Jnrs: Juniors**

An increasing amount of younger, teenage workers were being employed in retail, and people worried that this number would keep increasing if deregulation occurred. The education of the juniors who were working was also a concern. It was shown that junior's school grades were suffering because of working as they were tired at school and had less time to study.

*“The committee found that extending shopping hours to Sunday would create more jobs for part-timers, with marked use of juniors.”*

(Casual and Junior Staff Being Used, 1989)

*“Many young workers in the industry are in fact students. The standard of their schooling is bound to deteriorate if they are employed not only on late nights but Saturdays and Sundays.”*

(New Zealand Distribution Workers Federation, 1989)

### **LwPy: Low Pay Rates**

It was pointed out that the retail industry had one of the lowest pay rates in the country, and that penal rates were the only way that worker's incomes were supplemented. Therefore should the deregulation of trading hours lead to the removal of penal rates, shop employees would be in an even worse position.

*“...their report which documented low pay and poor working conditions among many retail workers.”*

(Hollings, 1990)

### **UnPw: Union Power**

The lessening of power for the unions within the retail industry was also discussed.

Their decreasing power was due to the problems they had with contacting so many workplaces, and the number of part-timers.

*“With fewer than 20 percent of part-timers joining the union at the moment, further casualisation will mean falling membership and less bargaining power.”*  
(Galloway, 1988)

#### **6.2.1.6 Retailer Benefits from Repeal**

The first theme that surrounded the benefits to retailers from deregulation of shop trading hours was Unfair Advantages. Currently exempt retailers had unfair trading advantages over non exempt retailers. Therefore, the next benefit of repeal was the freedom for retailers to be able to open when demand dictated, and in so doing, be more efficient.

##### **UnfA: Unfair Advantages**

This theme explored the trading advantage that exempt stores such as dairies had over other stores.

*“It is unfair to place arbitrary restrictions on retailers when other sections of the economy have been given greater freedom.”*  
(Editorial – Sunday Row Needs Sense, 1989)

*“For a long time the ban on Sunday trading has been ludicrous simply because it has been applied unevenly...Victoria Park had the right to sell on Sundays. But the things they were selling [were] unlawful to sell elsewhere. How to justify one privileged group?”*

(Editorial – Now its up to the Customers, 1989)

##### **Frdm: Freedom of Choice**

Following on from this was the theme of freedom of choice. This was more a matter of principle against Government regulation. Retailers felt they had the right to open when public demand dictated it.

*“[The] disregarded law should be repealed, so that traders could respond to consumer demand as they perceived it in their area.”*  
(McNeill, 1989d)

*“If retailers can trade more successfully in certain places by using Sundays, they should be given that advantage.”*

(Editorial – Sunday Row Needs Sense, 1989)

#### **Efnc: Efficiency**

If shops are allowed to open when demand dictated, then they would not have staff working at times when they would be sitting idle. This would allow retailers to apply their resources more efficiently.

*“...unless you condense all your business over one day a week, you are actually better off spreading the rather heavy costs of running your supermarkets over a maximum number of days.”*

(Quester, 1989)

#### **6.2.1.7 Retailer Costs from Repeal**

The themes for costs of repeal were hotly contested between retailers, and included being forced to open, the destruction of smaller retailers, and a lack of increased consumer spending.

#### **RForc: Retailers Forced to Open**

Though not through contracts, other retailers who did not want to open were worried about being forced to open. They felt that if other shops in their area or product line opened, they would be forced to open to remain competitive. Other retailers in places such as malls were concerned about their contractual obligations to open.

*“The freedom of choice for retailers will be eroded, in that competitive pressure will cause many reluctant traders to open for extended hours.”*

(Quayle, 1990b)

*“Opinion among grocers...is that they are personally not in favour of Sunday trading, but would go along with it if necessary.”*

(Sunday Trading Hits North Island Stores, 1989)

#### **Spend: Spending Levels**

Against the view that trade would increase as opening hours increased, many

stakeholders argued that there was no spare money for consumers to spend. This would mean spending levels would not increase, negating many of the benefits to retailers from the repeal.

*“Moreover, the evidence may also not indicate the extent to which Sunday Trading could cannibalise the customer base for Saturday shopping. In other words, there may not be an increase in the total number of people who shop over the week-end...”*

(A Matter of Right and Wrong, 1989)

#### **SmlR: Small Retailer Destruction**

The Shop Trading Hours Act (1977) safeguarded small retailers, such as dairies, against their larger competitors through the exemption system. It was argued that to remove the legislation would mean the destruction of many small retailers who would be unable to cope with the increased competition.

*“Sunday trading will provide big business with the opportunity to squeeze out the patronage and support for small shops and make it difficult for them to survive.”*

(Quayle, 1990a)

#### **6.2.1.8 Legislation**

Another theme that was discussed a lot was legislation in other industries, compared with legislation for the retailing industry. It was also argued passionately that democracy had been circumvented with the Executive Order.

#### **Demc: Democracy**

Many felt that in issuing the Executive Order before going through the Select Committee process, the Government had forced through the Repeal in an undemocratic way.

*“We are more worried the Government is signaling permanent change without giving opponents of Sunday trading the full opportunity to mount an effective campaign.”*

(Editorial – Shoppers Will Vote on Change, 1989)

*“The corridors of power are virtually empty today, that’s one criticism that even*

*the Government's own members are making of it. That is to introduce such an important legislation under urgency at this time of year."*

(Urgency, 1989)

### **LgAw: Legislated Awards**

One theme of discussions surrounding the Bill was the awards that were being legislated for. Clause three held awards such as: employees being given the first right to extra hours, but not being forced to work them, and the number of weeks notice to be given by retailers if they were to open extended hours. Some argued that the awards were necessary, as retailers were already exploiting workers.

*"Unions representing shop assistants say they feel 'a lot happier' about Sunday shopping after negotiating new legislation to protect workers' rights to refuse to work on Sundays."*

(Collins, 1989b)

*"...the union welcomed the Government's commitment to securing protections for workers, but said they must be tight and should be incorporated in legislation and awards. They needed to cover areas such as the rights of existing workers, the question of avoidance of compulsion to work, security and transport."*

(Protection of Workers Crucial Issue – Unions, 1989)

Retailers argued they were not necessary, as many of the issues had already been dealt with when Saturday trading was introduced, and should instead be mutually agreed upon through arbitration between the employer and employee.

*"Terms and conditions for workers should be negotiated between employers and employees and covered by industrial awards."*

(No Grounds For Special Protection, 1990)

### **OWkd: Other Weekend Industries**

One theme brought up the fact that there were many professions who already worked on Sundays, so there should not be special legislation for shop workers working on a Sunday. These people worked without legislated awards and so shop workers could also.

*"Hundreds of thousands of people work on Sunday such as nurses, doctors, policemen, the entertainment industry, tourist employees....No one makes them."*

*They choose their careers aware of that requirement.”*

(Jones, 1990)

#### **6.2.1.9 Justification**

This set of justification themes look at the different reasons that were given for or against the Bill, these included lessons from Saturday shopping, and other countries' laws, as well as public opinion polls.

##### **OCnt: Other Countries**

Examples from other countries' shop trading hour laws and experiences were often quoted to support regulation or deregulation of the trading hours.

*“True, there are economically ‘progressive’ states in America which do have unrestricted Sunday trading. But there are also many economically ‘progressive’ countries in Europe that don’t.”*

(Gwynn, 1990b)

*“...countries which retain restrictions on Sunday trading include England, West Germany, Australia, Austria, Belgium, Finland, Norway, Italy and the Netherlands.”*

(Hollings, 1990)

##### **SatS: Saturday Shopping**

Lessons learnt from Saturday shopping were also used as justification for or against concerns.

*“Yet remember it was the unions who opposed Saturday trading, threatening industrial action, higher prices and the end of family life. Yet two years later, Saturday shopping has become just another facet of New Zealand the way you want it.”*

(Sunday Trading, 1983)

##### **Pols: Polls**

Polls were used as indications of public support for Sunday trading, though there was not an overall agreement from them as to whether the majority of the public actually supported Sunday trading or not.

*“A group called Save our Sundays has joined the debate, commissioning a survey on proposed changes to Sunday activities. Of 2000 people, half were against...”*

(Galloway, 1988)

*“First, he said, polls showed 50 per cent of New Zealanders do not want Sunday shopping as opposed to 45 per cent who do and 5 per cent who do not know.”*

(Jones, 1990)

## **6.2.2 Analysis of Themes**

Table 6.5, summarises the collected marketing communications related to Sunday trading (These documents are provided in Appendix D). The table is set out so that the dates of the marketing communications are clear; they range from 31 May 1977 to 17 May 1990. The Government documents analysed are direct discussions and reports regarding the Social Engineering decision of Sunday trading represented by the Bill (These documents are provided in Appendix D). They are:

G1 – The Shop Trading Hours Advisory Committee Report (1988)

G2 – The First Reading of the Shop Trading Hours Act Repeal Bill (1989)

G3 – Analysis of Shop Trading Hour Select Committee Submissions (Office of the Clerk, 1990)

G4 – Briefing Report for the Labour Select Committee (Industrial Relations Service, 1990a)

G5 – Departmental Summary of Submissions Etc (Industrial Relations Service, 1990b)

G6 – Report of Labour Committee in Hansard (1990)

G7 – The Second Reading of the Shop Trading Hours Act Repeal Bill (1990)

G8 – The Third Reading of the Shop Trading Hours Act Repeal Bill (1990)

Each of the themes in the marketing communications and Government documents are

listed. From Table 6.5, it can be seen that throughout the whole of 1989, there was a steady stream of marketing communications regarding the shop trading hours legislation. Unsurprisingly, this peaked from December 1989 to March 1990, starting at the time of the Executive Order (1989) and ending after the Bill was enacted. What is possibly surprising is the lack of material surrounding the Advisory Committee's research and report, other than submissions. This may have been due to the report not being made public until over a year later, between August and November 1989.

**Table 6.5: Summary of Marketing Communications Content Analysis**

Date	Source	Themes
31 May 1977	Saturday Morning (1977)	Dmnd, Prce, Faml, Soct, WHrs Pols, RFrc, Frdm
1 November 1977	Shop Trading Hours (1977)	Coms
6 March 1978	Shop Trading Hours Act (1978)	Polc, Exmt, Coms, Soct
20 May 1980	Shopping (1980)	Polc, Exmt, Dmnd, Prce, Soct, Pols, Csln, Frdm, SmlR; LgAw
3 June 1983	Sunday Trading (1983)	Dmnd, Jobs, Soct, SatS, Frdm
25 February 1988	Auckland Retail Grocers & Supermarkets Association (1988)	Polc, Exmt, Pols
March 1988	New Zealand Business Roundtable (1988)	Exmt, CsmB, Faml, Chrs, Trsm, Jobs, Trde, WHrs, WFrc, Csln, LwPy, UnPw, UnfA, Frdm, RFrc, SmlR, OCnt, SatS
March 1988	New Zealand Distribution Workers Federation (1988)	Polc, Exmt, Coms, Dmnd, CsmB, Prce, Faml, Soct, Chrs, Trsm, WFrc, Penl, Csln, Jnrs, LwPy, UnPw, Frdm, RFrc, Spnd, SmlR, LgAw, Ocnc, SatS, Pols
March 1988	Department of Trade and Industry (1988)	Polc, Exmt, Coms, Dmnd, CsmB, Prce, Chrs, Trsm, Jobs, Trde, WFrc, Csln, Efnc, RFrc, SmlR, LgAw, OWkd, OCnt, SatS, Pols
March 1988	Post Office Union Inc (1988)	Prce, Faml, Penl, Csln, Jnrs, LwPy, RFrc, Spnd, SatS
March 1988	New Zealand Commission for Evangelisation, Justice and Development (1988)	Faml, Soct, Chrs, OCnt
March 1988	Retail and Wholesale Merchants Association of New Zealand Inc. (1988)	Polc, Dmnd, CsmB, Faml, Soct, Trsm, Jobs, WFrc, Penl, Csln, UnfA, Frdm, Spnd, OWkd, OCnt, SatS
March 1988	Wellington Regional Retailers' Association Inc. (1988)	Polc, Exmt, Dmnd, CsmB, Prce, Faml, Chrs, Trsm, Jobs, Trde, WFrc, Penl, UnfA, Frdm, Efnc, SatS
March 1988	Central Distribution Union (1988)	Polc, Prce, Trsm, WHrs, WFrc, RBFR, Penl, Csln, Jnrs, LwPy, UnPw, SmlR, OCnt, SatS
March 1988	National Council of Women of New Zealand Inc (1988)	Dmnd, CsmB, Prce, Faml, Trsm, Jobs, WHrs, WFrc, Penl, LwPy, Frdm, OCnt, SatS
March 1988	New Zealand Employers Federation Inc (1988)	Polc, Exmt, Coms, Frdm, Efnc, SatS
March 1988	The New Zealand Returned Services' Association Inc. (1988)	Trsm
March 1988	New Zealand Tourism Council (1988)	Trsm, Dmnd, Chrs, Frdm, Efnc, LgAw, OCnt, SatS
March 1988	Industrial Affiliates Council New Zealand Labour Party (1988)	Faml, Soct, Chrs, WHrs, WFrc, RBFR, Penl, Csln, Jnrs, LwPy, UnPw, SatS
March 1988	The Labour Women's Council (1988)	Faml, Soct, Chrs, WHrs, Penl, Csln, Jnrs, LwPy
March 1988	New Zealand Clerical Workers Association (1988)	Dmnd, Faml, WFrc, RBFR, Penl, Csln, Jnrs, LwPy, SmlR
March 1988	New Zealand Federated Hotel, Hospital, Restaurant and	Trsm, WHrs, RBFR, Penl, Csln, OCnt, SatS

**Table 6.5: Summary of Marketing Communications Content Analysis (continued)**

	Related Trades Employees' Industrial Association of Workers (1988)	
March 1988	The Salvation Army (1988)	Prce, Faml, Soct, Chrs, OCnt
March 1988	The Taupo Retailers' and Businesses' Association (1988)	Trsm, Jobs, Frdm, Efnc
March 1988	Rotorua Business Association Inc. (1988)	Trsm, Jobs, Trde
March 1988	Hawkes Bay Organiser of the Central Distribution Union (1988)	Polc, Faml, Trsm, WHrs, RBFr, Penl, Csln, Jnrs, LwPy, UnPw, Spnd, SmlR, SatS
March 1988	Challenge Properties Ltd (1988)	Dmnd, CsmB, Prce, Soct, Chrs, Trsm, Jobs, WHrs, WFrc, Csln, UnfA, Efnc, Spnd, SmlR, OCnt, SatS
March 1988	NARGON (1988a)	Polc, Frdm, SatS, Pols
29 April 1988	NARGON (1988b)	Prce, Soct, Spnd, SmlR, OCnt
<b>30 June 1988</b>	<b>G1 - Advisory Committee Report</b>	<b>Polc, Exmt, Coms, Dmnd, CsmB, Prce, Faml, Soct, Chrs, Trsm, Jobs, Trde, WHrs, WFrc, Penl, Csln, Jnrs, UnPw, UnfA, Frdm, Efnc, RFrc, SmlR, LgAw, SatS, Pols</b>
9 August 1988	Haarmeyer (1988)	Dmnd, Jobs, Trde, Efnc, Prce, Penl, SmlR, UnPw, LgAw
23 August 1988	Trotter (1988)	CsmB, Efnc, Penl, Csln, Jnrs, SmlR, UnPw
January 1989	Keep Sunday Free (1989)	Dmnd, Jobs, Efnc, Trsm, Faml, Soct, Penl, Chrs, OWkd, Frdm, OCnt
January 1989	Central Distribution Union (1989)	Faml, Penl, Csln, Dmnd
February 1989	Extra Working Hours Provision in Award (1989)	LgAw
February 1989	McNeill (1989a)	Polc, Dmnd, SatS, Frdm
March 1989	A Matter of Right & Wrong (1989)	Polc, Exmt, Dmnd, Trsm, Faml, Soct, Penl, RFrc, Frdm, Spnd, SmlR
March 1989	Sunday Trading Hits North Island Stores (1989)	Exmt, RFrc, SmlR
March 1989	Hilsgen (1989a)	Exmt, Dmnd, Pols, LwPy, RFrc, Frdm
April 1989	The Auckland Weekend (1989)	Exmt, Soct, Penl, Chrs, Polc, Csln, LwPy, OCnt
May 1989	Purdy (1989)	Trsm
May 1989	Quester (1989)	Dmnd, Efnc, SatS, Frdm, SmlR, OCnt
June 1989	McNeill (1989b)	Trsm
June 1989	Hilsgen (1989b)	Trsm
August 1989	Dawson (1989)	Prce, Faml, Soct, RBFr, SmlR
3 August 1989	Slade (1989)	Polc, Coms
6 August 1989	Galloway (1989)	Exmt, Faml, Soct, WFrc, Penl, Pols, Chrs, Frdm, UnPw
November 1989	McNeill (1989c)	Trsm
8 November 1989	Abernethy (1989)	Coms, Dmnd
21 November 1989	Editorial – Sunday Row Needs Sense (1989)	Coms, Trde, Soct, UnfA, Frdm
December 1989	McNeill (1989d)	Polc, Exmt, Coms, Dmnd, Trde, Trsm, Frdm
December 1989	McNeill (1989e)	Polc, Exmt, Coms, Dmnd, Trsm, UnfA, LgAw
4 December 1989	Shop Hours (1989)	Soct
<b>5 December 1989</b>	<b>G2 - First Reading</b>	<b>Polc, Exmt, Coms, Dmnd, Jobs, Trsm, Prce, Faml, Soct, WFrc, Penl, SatS, Pols, UnfA, RFrc, Frdm, Spnd, SmlR, LgAw, Demc</b>
5 December 1989	Editorial – Shoppers Will Vote on Change (1989)	Soct, WFrc, Chrs, Demc
5 December 1989	Staff Reporter (1989)	RFrc
5 December 1989	Holland (1989a)	Trde, Spnd
5 December 1989	Shops Get Sunday Trading Go-Ahead (1989)	Coms, CsmB, Dmnd, Trde, Trsm, Prce, RFrc, Frdm, SmlR

**Table 6.5: Summary of Marketing Communications Content Analysis (continued)**

5 December 1989	Holland (1989b)	Exmt, Dmnd, Trde, Trsm, WHrs Penl, Frdm, LgAw
5 December 1989	Sunday Trading (1989a)	Exmt, Trde, Trsm, Soct, Chrs, Ocnc, Demc
6 December 1989	Holland (1989c)	Prce, RFrc, Spnd
6 December 1989	Casual and Junior Staff Being Used (1989)	Exmt, Prce, Csln, Jnrs, SmlR
6 December 1989	Collins (1989)	Dmnd, Soct, WFrc, Penl, Chrs, OWkd
6 December 1989	NZPA (1989a)	Trsm, Faml, Soct
7 December 1989	Editorial – Now it's Up to the Customers (1989)	UnfA, Frdm
7 December 1989	Quayle (1989a)	Dmnd, Trsm, Prce, Faml, Pols, Chrs, RFrc, SmlR, Demc
8 December 1989	Cresswell (1989)	Pols
9 December 1989	Collins (1989b)	WFrc, UnPw, LgAw
9 December 1989	Ramsay (1989)	Coms, Trsm, WFrc, RFrc, Frdm
9 December 1989	Urgency (1989)	Demc
11 December 1989	NZPA (1989b)	WFrc
11 December 1989	Editorial – Sunday Will Survive (1989)	Coms, Dmnd, Chrs, OWkd, Frdm
11 December 1989	NZPA (1989c)	Trsm, Demc
11 December 1989	NZPA (1989d)	WFrc, LgAw
11 December 1989	Evans & NZPA (1989)	Dmnd
15 December 1989	Sunday Shops Survey Under Fire (1989)	Pols
17 December 1989	Sunday Trading (1989b)	Dmnd
18 December 1989	Malls Winning Sunday Shoppers' Dollars (1989)	Dmnd
19 December 1989	Best (1989)	Chrs
January 1990	Ashby (1990)	Trde, Spnd
January 1990	Abel (1990)	CsmB, Dmnd, Jobs, Trsm, Faml, Penl, RBFR, RFrc, SmlR
3 January 1990	Quayle (1990a)	Dmnd, Trsm, Prce, Faml, Pols, RFrc, SmlR, Demc
5 January 1990	Rankin (1990a)	Prce, WFrc
6 January 1990	Trotter (1990)	Trsm, Soct, Ocnc, UnPw
9 January 1990	Rankin (1990b)	RFrc
11 January 1990	Iosefa (1990)	Dmnd, Prce, Faml, WHrs WFrc, Penl, RBFR, RFrc, Frdm, Spnd
15 January 1990	Jones (1990)	Trsm, Faml, Soct, WFrc, Pols, Chrs, OWkd, RFrc, Frdm
19 January 1990	Keep Sunday Free (1990a)	Soct, Penl, SmlR, OCnc
20 January 1990	Luke (1990)	Dmnd, WFrc, Penl, Csln, LwPy, Frdm, UnPw, LgAw
23 January 1990	Goulter (1990)	Penl
25 January 1990	Quayle (1990b)	Prce, Faml, Soct, Pols, RFrc, SmlR, OCnc
31 January 1990	Gwynn (1990a)	Prce, Faml, Soct, WFrc, Chrs, Csln, Jnrs, RFrc, Spnd, SmlR, OCnc
February 1990	McNeill (1990a)	Penl
February 1990	Keep Sunday Free (1990b)	Dmnd, Trsm, Prce, Faml, Soct, Pols, RBFR
February 1990	NARGON (1990)	Jobs, Prce, Soct, RBFR, Csln, RFrc, Spnd, SmlR, Ocnc, LgAw
February 1990	Foodstuffs (1990)	Trsm, Prce, Soct, Pols, RBFR, Spnd, SmlR
February 1990	Woolworths New Zealand Ltd & DEKA New Zealand Ltd (1990)	Efnc, LgAw
February 1990	Retail & Wholesale Merchants Association of New Zealand (1990)	LgAw
February 1990	New Zealand Business Roundtable (1990)	LgAw

**Table 6.5: Summary of Marketing Communications Content Analysis (continued)**

February 1990	The Department of Trade and Industry – The Treasury (1990)	Exmt, Dmnd, Trsm, Prce, Soct, WFrc, Pols, Csln, RFrc, Frdm, OCnt, LgAw
February 1990	New Zealand Tourist & Publicity Department (1990)	Coms, Dmnd, Jobs, Trsm, Pols, OCnt
February 1990	Motor Vehicle Institute (1990)	None
February 1990	Save Our Sunday Campaign (1990)	Dmnd, Prce, Soct, Pols, RFrc, SmlR, Trsm
February 1990	New Zealand Distribution Workers Federation (1990)	Polc, Coms, Dmnd, Jobs, Faml, Soct, WFrc, Penl, RBFrc, Csln, Jnrs, RFrc, Spnd, SmlR, OCnt, UnPw, LgAw
February 1990	New Zealand Employers Federation (1990)	CsmB, Jobs, Efnc, Trsm, UnfA, OWkd, LgAw
February 1990	Progressive Enterprises Ltd New Zealand Ltd (1990)	OWkd, Frdm, LgAw
February 1990	Challenge Properties Ltd (1990)	Polc, Dmnd, Soct, LgAw
February 1990	National Council of Women of New Zealand Inc (1990)	Trsm, WHrs Penl, RFrc, Frdm
February 1990	Catholic Commission for Justice, Peace & Development (1990)	Polc, Dmnd, Soct, Penl, Csln
February 1990	Joint Methodist-Presbyterian Public Questions Committee (1990)	Soct, Spnd, SmlR
February 1990	Second New Zealand Sweating Commission (1990a)	Dmnd
8 February 1990	Gwynn (1990b)	Prce, Faml, Soct, Penl, Chrs, Csln, Jnrs, Spnd, OCnt
<b>15 February 1990</b>	<b>G3 – Analysis of Submissions (Office of the Clerk)</b>	<b>Exmt, Dmnd, Prce, Faml, Soct, Chrs, Trsm, Jobs, Trde, WFrc, Penl, Csln, Jnrs, LwPy, Efnc, RFrc, Spnd, SmlR, Demc, LgAw, OCnt, Pols</b>
<b>20 February 1990</b>	<b>G4 – Briefing Report for the Labour Select Committee</b>	<b>Polc, Exmt, Coms, Dmnd, CsmB, Prce, Faml, Soct, Chrs, Trsm, Jobs, Trde, WHrs, WFrc, Csln, Jnrs, UnPw, UnfA, Frdm, Efnc, RFrc, Spnd, SmlR, LgAw, OCnt</b>
21 February 1990	Bell (1990a)	Faml, Soct, RFrc, Spnd, OCnt
22 February 1990	NZPA (1990a)	Prce, Csln, Jnrs, Spnd, LgAw
22 February 1990	Bell (1990b)	Prce, Soct, Penl, Frdm, SmlR
28 February 1990	Second New Zealand Sweating Commission (1990b)	Faml, Penl, Csln, Jnrs, LwPy, UnPw
March 1990	No Grounds For Special Protection (1990)	LgAw
7 March 1990	NZPA (1990b)	Faml, Soct, Chrs
7 March 1990	PA (1990)	Polc, Csln
7 March 1990	NZPA (1990c)	Polc, Prce, Faml, Soct, Chrs, Csln, RFrc, UnPw, Demc
<b>8 March 1990</b>	<b>G5 – Departmental Summary of Submissions Etc (Industrial Relations Service)</b>	<b>Dmnd, CsmB, Prce, Faml, Soct, Chrs, Jobs, WHrs, WFrc, UnPw, UnfA, Frdm, Efnc, RFrc, SmlR, LgAw, OWkd, OCnt, SatS, Pols</b>
<b>20 March 1990</b>	<b>G6 - Report of Labour Committee in Hansard</b>	<b>Polc, Exmt, Coms, Dmnd, Trsm, Faml, Soct, SatS, Pols, UnfA, RBFrc, RFrc, Frdm, LgAw, Demc</b>

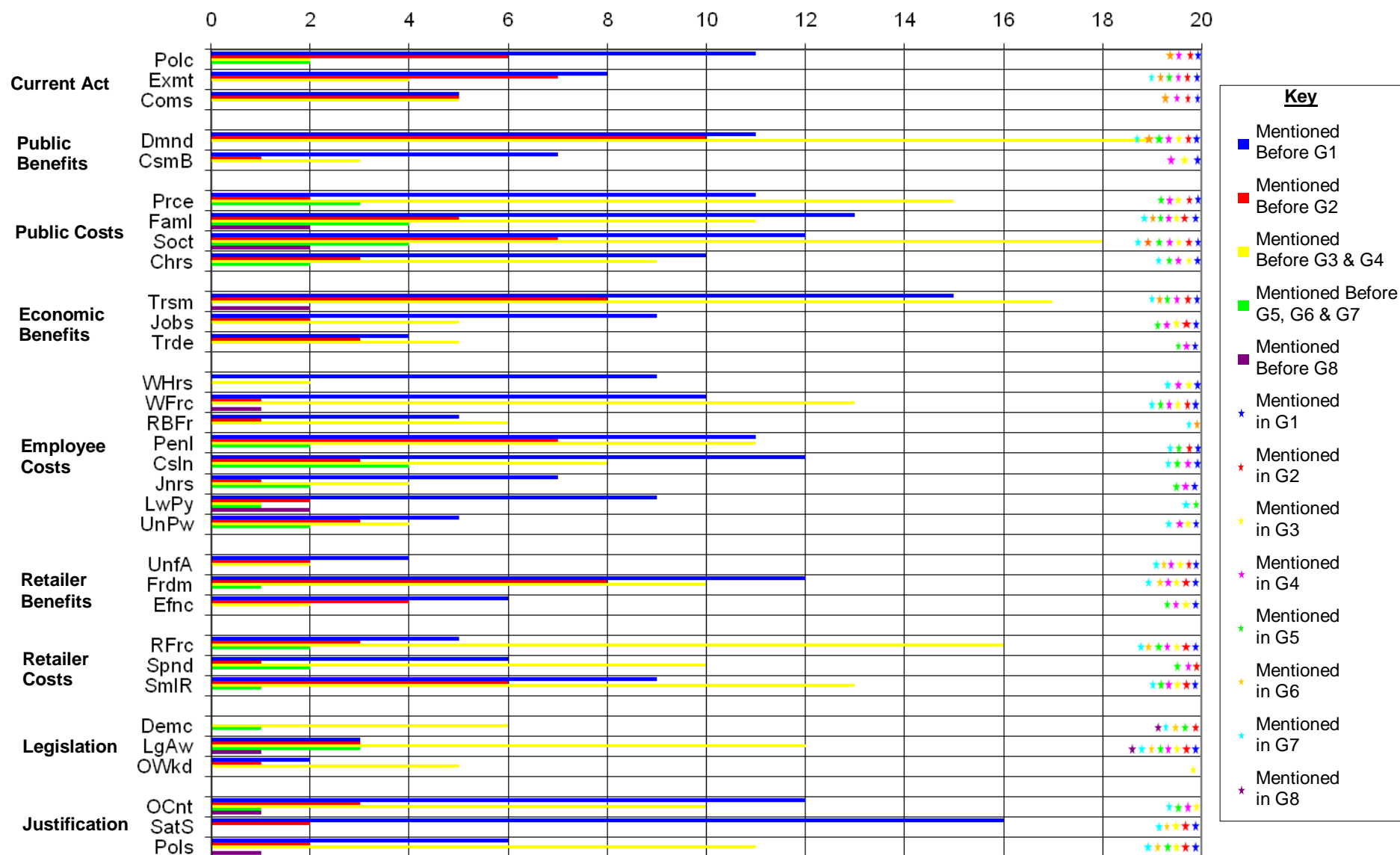
**Table 6.5: Summary of Marketing Communications Content Analysis (continued)**

<b>20 March 1990</b>	<b>G7 - Second Reading</b>	<i>Exmt, Dmnd, Trsm, Faml, Soct, WHrs WFrc, Penl, SatS, Pols, Chrs, UnfA, RBFr, Csln, LwPy, RFrc, Frdm, SmlR, Ocnc, UnPw, LgAw, Demc</i>
24 March 1990	Hollings (1990)	Trsm, Faml, Soct, LwPy, OCnt
26 March 1990	NZPA (1990d)	Trsm, Faml, Soct
26 March 1990	Quayle (1990c)	Pols
17 May 1990	Kennedy (1990)	WFrc, LwPy, LgAw
<b>28 June 1990</b>	<b>G8 - Third Reading</b>	<b>LgAw, Demc</b>

To further explore the themes and their patterns, Figure 6.2 shows the number of times each of the themes was mentioned in marketing communications directly before each Government document, in the bars to the left. The stars on the right indicate whether the theme was mentioned in each Government document. If the Government was effected by the marketing communications, it would be expected that the themes from the marketing communications would also be discussed in the Government documents.

There does seem to be some consistency with the number of times a theme was mentioned in marketing communications, and whether or not this theme would be discussed by the Government. For instance, the themes of most concern to the public according to marketing communications, were: Society (Mentioned in 43 communications), Tourism (Mentioned in 42 communications), Demand (40), and Family (35). While the themes of most concern to Government were: Legislated Awards (Mentioned in all 8 Government documents), Society, Demand, Family, and Retailers Being Forced to Open (Mentioned in 7 of the Government documents). Society, Demand, and Family were therefore three themes of concern for both the public and the Government. These themes are all to do with consumer's benefits and costs from repeal of the Act.

Figure 6.2: Number of Times Themes Mentioned in Marketing Communications Compared with Government Documents



However, there are many themes that were discussed in more than three marketing communications directly prior to the Government documents, which were not acknowledged by the closest following Government document. This occurred for G1 where Other Countries (Mentioned 12 times directly prior to G1), Low Pay (9), Spending (6), and Related Businesses Forced to Open (5), were mentioned in marketing communications but not in the Government document following them. Further, Small Retailers (Mentioned 6 times directly prior to G2), Commission (5), and Efficiency (4) were not mentioned in G2. Many themes covered in marketing communications before G3 were not mentioned in G3. Some of the themes were then subsequently covered by G4 five days later. The themes that were not included in G3, but were discussed in G4 were: Tourism (Mentioned 17 times prior), Spending (10), Casualisation (8), Trade (5), Commission (5), Juniors (4), and Exemptions (4). This might seem inconsequential as these themes were subsequently covered by G4 five days later. However, four themes were not covered by G3 or G4 though they were mentioned multiple times directly before the two documents. These were: Penal Rates (11), Related Businesses Being Forced to Open (6), Democracy (6), and Efficiency (4).

On the flip side of this, there were many themes that were not mentioned in marketing communications, which were then mentioned in the Government documents straight after. For G2, Democracy was a theme mentioned in the Government discussion that was not yet mentioned in the marketing communications. This can be explained as Democracy was a theme that was brought about by the introduction of the Executive Order (1989) before the Bill. G2 occurred very close to the Executive Order and was the introduction of the Bill, so this would have been the first chance for the theme to have appeared.

In G3, Saturday Shopping was discussed, although it was not in previous marketing communications. In each of G5, 6 and 7, Exempt List, Demand, Tourism, and Polls were discussed without previous marketing communications mentioning them. Jobs, Trade, and Efficiency were discussed in G5, without any marketing communications mentioning these themes immediately prior. Related Businesses Being Forced to Work, Unfair Advantage, and Saturday Shopping were all discussed in G6 and G7 but not in G5, even though there were no marketing communications directly beforehand mentioning them. Lastly, Working Hours and Workers Forced to Work, were discussed

in G7, and were not discussed in any marketing communications directly before the document.

To look further into the interaction between marketing communications and Government discussions, Figure 6.2 can be added to Table 6.6 to gain a fuller picture. Table 6.6 summarises which themes were mentioned in each Government document, and how many times each theme was mentioned in marketing communications overall.

It could be argued that the progression of themes discussed was not due to any marketing communication's influences. Politicians generally read previous Hansard debates and formed their arguments based on those, or other Governmental reports. However, in looking at Table 6.6, it can be seen that many of the themes that were mentioned in previous Governmental documents, were not mentioned in later ones or were inconsistently mentioned, such as Policing, Exemptions, and Commission. Moreover, new themes were introduced in some Government documents that had not been discussed in previous Governmental documents, such as Related Businesses Being Forced to Open at G6, Low Pay at G5, Spending, and Democracy at G2, and Other Weekend Industries, and Other Countries at G3. There must have been other reasons for the agenda of topics discussed, which may have been due to marketing communications accompanied by repetition effects and priming.

Another thing to note in Table 6.6 is the main focus of the Government discussions throughout, and whose concerns they reflect. The major arguments used against the Bill in most of the Government documents were the Consumer Costs of repeal (as opposed to the Employee Costs of the repeal) and Retailer costs from the repeal. The most used arguments for the Bill were the Retailer's benefits from the repeal and in the beginning, the Economic Benefits of the repeal. Justification of the repeal was not used as much as would have been expected. These show more of a focus on pushing the law through for retailers, and holding off on the law for the public, and also show a lack of concern for employees.

**Table 6.6: Comparison of Government Documents**

Theme	Theme in G1	Theme in G2	Theme in G3	Theme in G4	Theme in G5	Theme in G6	Theme in G7	Theme in G8	Number of Times Theme Mentioned
<b>Current Issues with the Act</b>									
Polc	X	X		X		X			21
Exmt	X	X		X	X	X	X		19
Coms	X	X		X		X			15
<b>Consumer Benefits from Repeal</b>									
Dmnd	X	X	X	X	X	X	X		40
CsmB	X		X	X					11
<b>Consumer Costs from Repeal</b>									
Prce	X	X	X	X	X				31
Faml	X	X	X	X	X	X	X		35
Soct	X	X	X	X	X	X	X		43
Chrs	X		X	X	X		X		24
<b>Economic Benefits from Repeal</b>									
Trsm	X	X		X	X	X	X		42
Jobs	X	X	X	X	X				16
Trde	X			X	X				12
<b>Employee Costs from Repeal</b>									
WHrs	X		X	X			X		11
WFrc	X	X	X	X	X		X		25
RBFrc						X	X		12
Penl	X	X			X		X		31
Csln	X			X	X		X		27
Jnrs	X			X	X				14
LwPy					X		X		15
UnPw	X		X	X			X		14
<b>Retailer Benefits from Repeal</b>									
UnfA	X	X	X	X		X	X		8
Frdm	X	X	X	X		X	X		31
Efnc	X		X	X	X				12
<b>Retailer Costs from Repeal</b>									
RFrc	X	X	X	X	X	X	X		26
Spnd		X		X	X				19
SmlR	X	X	X	X	X		X		29
<b>Legislation</b>									
Demc		X			X	X	X	X	7
LgAw	X	X	X	X	X	X	X	X	22
OWkd			X						8
<b>Justification</b>									
OCnt			X	X	X		X		27
SatS	X	X	X			X	X		18
PolS	X	X	X		X	X	X		20

Overall, these tables show some anomalies in the topics of discussion for Governmental documents surrounding the Shop Trading Hours Act Repeal Bill (1990), when

compared with the themes that were of concern to different stakeholder groups. Interpretation of these findings will be discussed in section 7.4 and possible reasons and implications covered.

### **6.3 Conclusion**

This chapter has outlined the findings of this research. It first covered the historical narrative of shop trading hours in New Zealand. The historical narrative helps to fulfil Objective Two of this research. Particular attention was given to the Shop Trading Hours Act Repeal Bill (1990), because the decision regarding this was the Social Engineering decision chosen for this research. While the overall shop trading hour's narrative shows the Social Engineering process, the decision regarding Sunday trading was used to illustrate the Social Engineering Decision Making Process outlined in Chapter Four. The discussion of how the narrative illustrates the decision making process follows in Chapter Seven, section 7.3.

The second part of this chapter gave the content analysis of marketing communications and media during the Social Engineering Decision Making Process. The content analysis allowed for an exploration of Objective Three, and showed areas where the communications may have influenced Government discussions. It is proposed that influence can be shown if themes mentioned before the Government document were then shown in the Government document. Implications of this for Objective Three will be discussed in Chapter Seven, section 7.4.

## **Chapter Seven: Discussion**

### **7.1 Summary of Research**

This research set out to explore the effect of marketing communications on Social Engineering decisions. The first objective was to:

1. Uncover the Social Engineering Decision Making Process.

Objective One was achieved through a literature review of Social Engineering and Diffusion. This revealed the Social Engineering Decision Making Process when Podgórecki's Sociotechnical Paradigm (1990) was combined with Roger's Innovation Diffusion Process (2003). By blending theory based on Social Engineering decision making and Diffusion, the conceptual framework gives a process by which marketing communications are diffused through the Government during Social Engineering decisions. It explores how marketing communications influence the decision making process. The next objective of the research was to:

2. Explore the Social Engineering Decision Making Process, through its illustration.

Multiple methods including document analysis, semi-structured in-depth interviews, and historical narrative were used to explore the Social Engineering Decision Making Process uncovered in Chapter Four. First, document analysis outlined the main events in the historical narrative of shop trading hours in New Zealand. Second, semi-structured in-depth interviews expanded on the historical narrative, creating a richer understanding of the events. A more detailed focus on the Shop Trading Hours Act Repeal Bill (1990), allowed for an exploration of the Social Engineering Decision Making Process of the

New Zealand Government regarding Sunday trading. The research shows support for the Social Engineering Decision Making Process. The last objective of this research was:

3. To explore the usefulness of marketing communications and the media during the Social Engineering Decision Making Process.

This research proposed that marketing communications and the media could be used by stakeholders to influence the Government's final Social Engineering decision. This assumption was based on the Diffusion literature (Rogers, 2003), previous Social Engineering literature (Yankelovich, 1991), and the Government themselves (Palmer & Palmer, 2004). First, the document analysis and interviews formed the historical narrative. The historical narrative was then used to identify key themes from stakeholder's persuasive arguments. Lastly, a content analysis of marketing communications and media was conducted based on the themes identified. The related Government documents regarding the Bill were also analysed for themes. This made it possible to see if the stakeholder's views (themes) were taken into consideration by the Government. It was found that marketing communications did have an influence on the Social Engineering Decision Making Process.

The following sections of this thesis interpret its findings, discussing implications for each objective. The academic, managerial, and policy implications of the research follow, along with limitations and suggestions for future research.

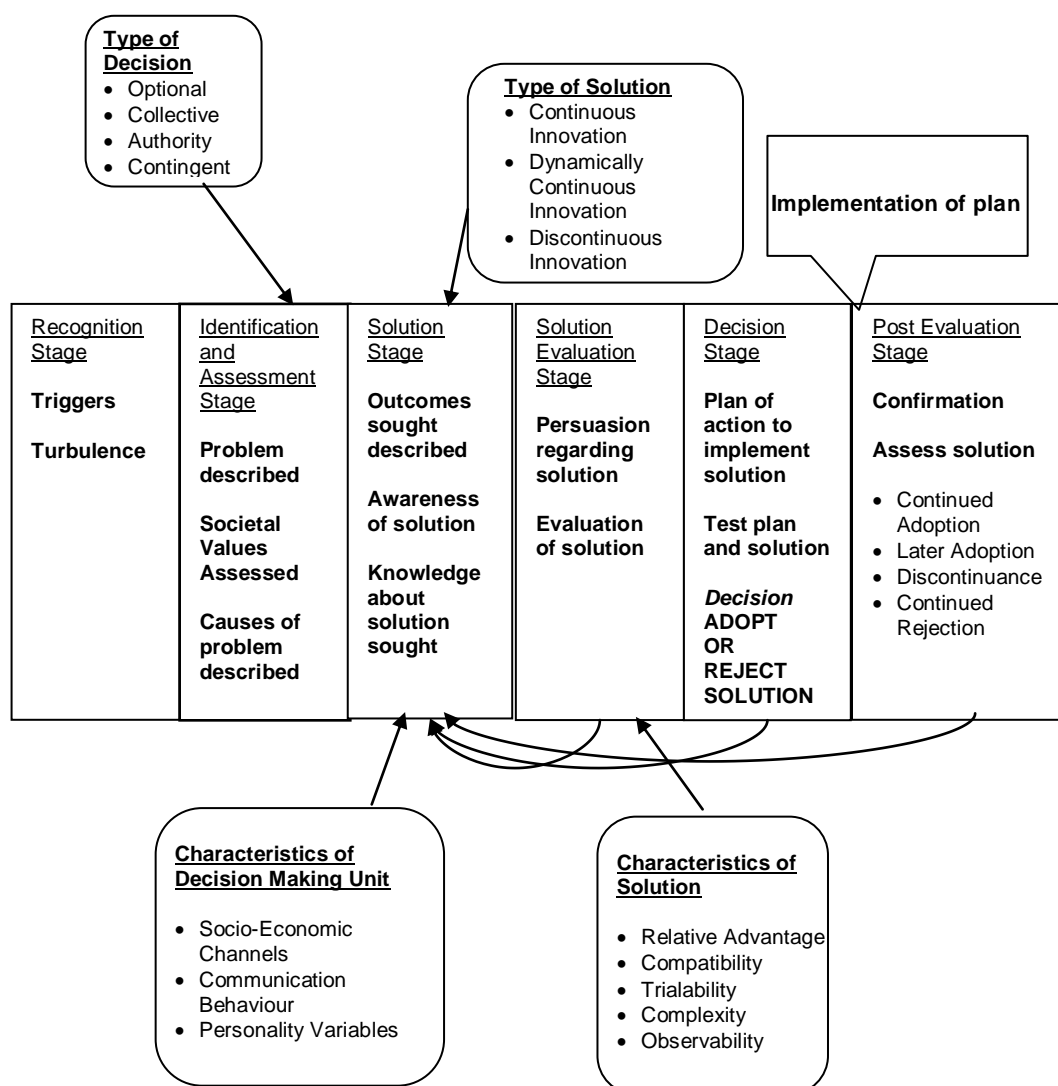
## **7.2 Objective One: Uncovering the Social Engineering Decision Making Process**

The purpose of Social Engineering research has been to uncover Social Engineering events and the processes that led to them. The Social Engineering Decision Making Process (SEDP) follows on from other Social Engineering research also uncovering Social Engineering processes. However, it extends the past research by considering the step before implementation, focusing instead on the choice of Social Engineering intervention and how marketing communications affect that choice. Through the literature review of Social Engineering and Diffusion, the SEDP, outlined in Chapter Four, was uncovered through the blending of Diffusion and Social Engineering theory.

This conceptual framework satisfies Objective One and is shown again in Figure 7.1.

In considering the SEDP, it is apparent that it is similar to other decision making processes, even though it was derived from completely different literature. In the interests of providing a thorough discussion of the SEDP, its similarities and differences compared with other similar decision making processes will now be considered.

**Figure 7.1: The Social Engineering Decision Making Process**



The Consumer Decision Making Process (Blackwell, Miniard & Engel, 2006) and the stages of Managerial Decision Making (MDP – McCall & Kaplan, 1990) are two decision making processes that are similar to the SEDP. However the Consumer Decision Making Process (Blackwell et al., 2006) is a decision making process for

individuals and as such cannot be applied to the SEDP, which is a formal group decision making process. The Managerial Decision Making Process is a group decision making process, and so will be compared with the SEDP in the rest of this section. Table 7.1 shows where the stages from the Managerial Decision Making Process are similar to the SEDP.

**Table 7.1: Comparison of the Social Engineering and Managerial Decision Making Processes.**

SOCIAL ENGINEERING DECISION MAKING PROCESS	MANAGERIAL DECISION MAKING (McCall & Kaplan, 1990)
<b>Recognition Stage</b> Triggers Turbulence	<b>Recognition Stage</b> Structured or unstructured problems
<b>Identification and Assessment Stage</b> Problem described Societal Values Assessed Causes of problem described	<b>Interpretation Stage</b> Define problem Give meaning to problem
<b>Solution Stage</b> Outcomes sought described Awareness of solution Knowledge about solution sought	<b>Focus Stage</b> Problems to focus on are chosen  <b>Choice Stage</b> Develop solutions Evaluate solutions Solution selection •Quick-action choice •Convolved-action choice
<b>Solution Evaluation Stage</b> Persuasion regarding solution Evaluation of solution	
<b>Decision Stage</b> Plan of action to implement solution Test plan and solution Decision	
<b>Post Evaluation Stage</b> Confirmation Assess solution <ul style="list-style-type: none"> <li>Continued Adoption</li> <li>Later Adoption</li> <li>Discontinuance</li> <li>Continued Rejection</li> </ul>	<b>Consequences Stage</b> Evaluation of results from solution implemented

The first stage in the MDP is Recognition, where a problem is brought to the manager's attention. The problem can be structured or unstructured (McCall & Kaplan, 1990). A structured problem is straightforward and can be solved immediately, ending the decision making process. An unstructured problem is more complex and the underlying

problem may be unclear, leading to a longer period of problem solving (McCall & Kaplan, 1990). The MDP Recognition stage is similar to the SEDP Recognition stage as it also acknowledges the role of triggers in problem identification. In contrast, the problem for the SEDP will always be unstructured, reflecting the complexity of macro-level decisions.

The Interpretation stage of the MDP mirrors the Identification and Assessment stage of the SEDP. In the Interpretation stage, the manager gives meaning to the problem, defining it while searching for its causes. The manager then decides whether to try to solve the problem (McCall & Kaplan, 1990). The problem and its causes are also described in the SEDP. Society's values are then applied to the problem, which is similar to the meaning given in the MDP, before the decision to use Social Engineering is made.

After interpreting the problem, managers decide on which issues to focus. This Focus stage has managers decide which of the problem's causes to attend to, how much focus to give each of them, and in what order. There will always be too many problems for a management group to deal with each and every one (McCall & Kaplan, 1990). The Solution stage of the SEDP looks at the problem in a different manner to the MDP. Where the MDP focuses on which problems to solve, the SEDP considers the outcomes sought. The SEDP then moves on to seeking solutions and information to achieve their sought outcomes. This shows a more holistic perspective in Social Engineering decisions than in Managerial decisions.

The MDP then moves onto the Choice stage where the management group develops courses of action to solve their chosen problems. There are two ways managers can choose their implementation plan. The first is a quick-action choice, which can be used with structured problems where the management group has the authority to implement solutions, and solution information search is limited. This type of decision would take between a few minutes and a few days (McCall & Kaplan, 1990). The SEDP deals with the second method of choosing an implementation plan - a convoluted-action choice. A convoluted-action choice is used with complex, unstructured problems, where many people's vested interests must be taken into account. This type of decision would take a longer time because of trade-offs, negotiations, conflict, and political processes. Convoluted-action choices are not frequently undertaken by managers (McCall &

Kaplan, 1990). The SEDP is even more involved with solution decisions than the MDP, due to the high risk decisions and complex mix of interconnecting variables.

Once the solution has been implemented, the SEDP moves on to the Post Evaluation Stage, whilst the MDP moves on to the Consequences stage. Both of the processes evaluate the results of the solutions and decide whether to continue with them (McCall & Kaplan, 1990).

The difference between the MDP (McCall & Kaplan, 1990) and the SEDP stems from the type of decision that is being made and the time spent on the decision. Normally, managers make quick-action decisions, where they are the overall decision maker, for a clearly structured problem. This leads to a quick decision with a limited search for information and solutions. Managers are not often involved in convoluted-action choices with unstructured problems, and multiple vested interests (McCall & Kaplan, 1990).

A Social Engineering decision is a convoluted-action choice and the decision making is on a larger scale. For Social Engineering decisions, all levels of society are included in a more holistic manner than with Managerial decisions. Managerial decisions are concerned with their organisation, and effects on their stakeholders. Social Engineering from a Government affects the whole of society and so more time and consideration is needed. For instance, each of the stages in the SEDP is formally covered by Governmental processes (these are identified in section 7.3). Managerial decisions are not as orderly. Managers may jump through or miss steps at any point, as they generally have a fragmented and hectic decision style (McCall & Kaplan, 1990). This is different from the formal process of the SEDP where, as was mentioned before, each of the steps need to be completed.

Decision making models generally follow the same pattern of stages: A problem is found, a solution is sought and information gathered, solutions are evaluated, and a choice is made between them. Overall however, the SEDP is different from other decision making processes. First of all, this is because the basic contexts of the processes differ, where Social Engineering decisions necessarily take into account society. The SEDP is used by Governments over decisions that will lead to societal change. Decision making processes then, represent the different levels of

implementation and involvement, at the micro (consumer decisions), mezzo (managerial decisions), and macro-levels (Social Engineering decisions). Consequently, involvement with decisions is higher at a macro-level and so the time for the decision is longer. A Social Engineering decision could span more than 20 years, while a consumer and managerial decision could range from one minute to no more than a few years. The amount of information sought also increases as the level of focus becomes wider. As Social Engineering at a macro-level considers society wide implementation, solutions and problems are assessed for their fit with society's values. This is an addition to other decision making processes, as are the exploration of implementation, and its testing and consequent assessment. These additions illustrate the more complex nature of a Social Engineering decision over other decision making processes.

Acknowledging the vast similarities between the decision making processes, it is possible that decision making processes may be represented on a continuum.

**Figure 7.2: Decision Making Continuum**

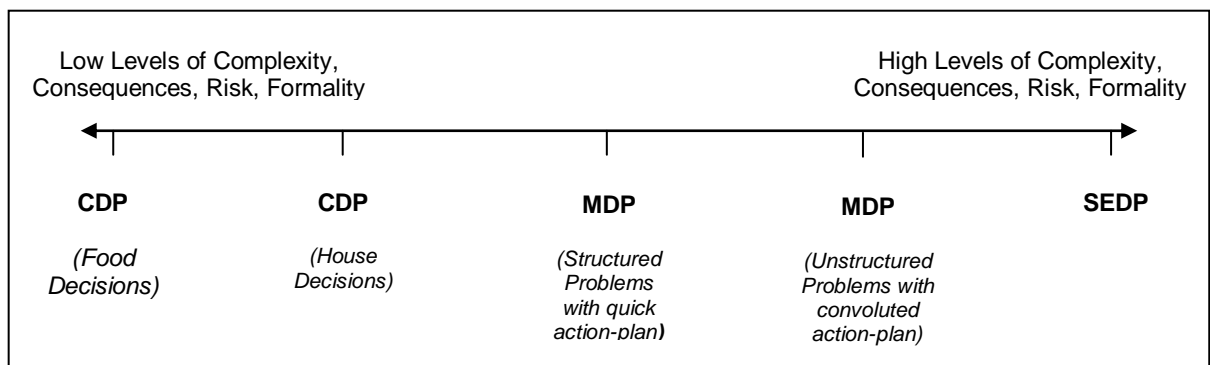


Figure 7.2 shows that the differences between the decision making processes stem from their differences in levels of complexity, consequences, risk and formality. The continuum shows simple consumer decisions (according to the Consumer Decision Making Process – CDP) that sit at low complexity levels, such as food choices (Blackwell et al., 2006). This type of choice is generally one with small consequences and thus low levels of risk are involved. It is also a very informal decision making process where a consumer may skip or jump to and from steps in the process. Moving up the continuum, a consumer decision regarding purchasing a house (one of the most complex consumer decisions according to Blackwell et al., 2006) will have higher levels of complexity and larger consequences. This will increase the risk associated with the decision and may also formalise the decision process more due to legal documents.

Increasing the level of complexity, the MDP comes next. A structured problem would have moderate levels of complexity, and larger consequences than consumer decisions. Due to the business nature of the decision, there is more risk and possible formality, where reports, requisitions, and budgets may need to be made for a solution to be implemented. Unstructured problems with a convoluted action-plan would have a higher degree of complexity for managers as they assess the source of the problem and deal with multiple stakeholders. The problem and its solution may have larger consequences than a quick action plan due to the amount of people with vested interests in the issue. Involvement of multiple parties, vying for their own solution, would naturally increase the risk of the decision for the manager. The process would become more formal so that all parties could be involved.

Lastly, the most complex, consequential, risky, and formal decision process is the SEDP. This is because a Social Engineering decision is one that will affect the whole of society rather than select groups of stakeholders. Further, the decision is carried out by the Government and as such, follows legislative procedures that are completely formal.

### **7.3 Objective Two: An Illustration of the Social Engineering Decision Making Process.**

The historical narrative presented in Chapter Six explored the history of shop trading hour laws in New Zealand. Supporting the conceptualisation of the SEDP, it is illustrated through the Government's decision to introduce Sunday trading with the Shop Trading Hours Act Repeal Act (1990). This section explicitly applies the Sunday trading decision to the SEDP. Table 7.3 shows the events in the decision to adopt Sunday trading that illustrate each stage of the SEDP. The order of the stages corresponds to the New Zealand Government's decision making process for the Shop Trading Hours Act Repeal Act (1990). This means that there are two sections where Solution Evaluation takes place, differing from the proposed framework. This will be discussed further in the following sections.

Indifference toward Sunday trading prevailed before the Shop Trading Hours Act Repeal Bill (1990) was introduced. Many shops traded on a Sunday, most with exemptions, others illegally, however there was no public outrage at this practice. The trigger that encouraged problem Recognition occurred in 1988, when multiple holidays

fell on Fridays and Saturdays causing shop closures for up to four days in a row. This, along with growing numbers of exemption applications, led to the Shop Trading Hours Advisory Committee being created.

The advisory committee illustrates the Identification and Assessment stage of the process. They identified the problems with regulation of shop trading hours, and assessed their scope. The advisory committee also implicitly looked at the values of New Zealanders, ascertaining whether New Zealanders felt the problem needed to be solved. This can be seen through many of the sections in their report such as Chapter three and four where they assess present day conditions in New Zealand, and the appropriateness of the Act according to those conditions (Shop Trading Hours Advisory Committee Report, 1988). They also sought submissions and results of polls regarding the issue to gain further understanding of the fit with values the current Act possessed (Shop Trading Hours Advisory Committee Report, 1988).

The Solution Suggestion stage contained solutions given from the Advisory Committee report. There was more than one solution suggested because the committee could not come to an agreement over the issue. This was perhaps unsurprising as the members of the advisory committee each represented different stakeholder groups with varied opinions on the matter. The solution that then became the Executive Order (1989) came from a conversation between the Minister of Labour at the time and Barry Purdy, the secretary of the Retail and Wholesale Merchants Association. Barry Purdy asked the Labour Minister for a solution so that deregulation of shop trading hours would take place before Christmas and continue over the summer until at least Waitangi day. Paul Kimble from the Distribution Workers Federation contributed significantly to the solution that became the Bill through a personal conversation with the Minister of Labour. He asked that the Minister take care of the rights of workers: that they would not be forced to work, that they would have first rights to work extended hours and that they would be kept safe if they were working late at night. All of these provisions were included in clause three of the Shop Trading Hours Act Repeal Bill (1990).

**Table 7.3: The Social Engineering Decision Making Process for the Shop Trading Hours Act Repeal Bill (1990)**

STAGE	Recognition	Identification and Assessment	Solution Stage	Solution Evaluation	Decision to Trial Solution	Decision to Evaluate and Reform Implementation Plan Solution Evaluation	Adoption	Post Evaluation
EVENTS	Multiple holidays causing long periods of shop closure	Advisory Committee Inquiry	Advisory Committee Inquiry Retailer's Association Distribution Workers Federation	Bill drafted by Department of Labour	Executive Order (1989) undertaken	Select Committee First, second and third readings	Bill enacted	Further deregulation sought
COMMUNICATION TYPE		Marketing Communication	Interpersonal Communication	Interpersonal Communication	Interpersonal Communication	Marketing Communication		Marketing and Interpersonal Communication

The Department of Labour then moved on to evaluating the solution suggestions. Using their own discussions and the advisory committee report for evaluative information, they drafted the Shop Trading Hours Act Repeal Bill (1990). Under the normal course of events in Parliament, the Minister of Labour should then have introduced the Bill to Parliament, allowing public evaluation of the solution (Palmer & Palmer, 2004). However the Government skipped this crucial step and instead moved straight to implementation testing in the decision stage by putting the Executive Order (1989) into operation.

After the Executive Order (1989), the Bill was introduced into Parliament and this skipping of public evaluation was considered undemocratic by politicians and the public alike. Therefore, though the Government had intended the Parliamentary debates and Select Committee to focus on reforming the implementation of the solution, the debates and submissions dragged the process back through the solution evaluation stage as well. Thus the solution evaluation and reform of the implementation plan took place at the same time. The Select Committee, first, second and third readings of the Bill both evaluated the solution and implementation testing, and revised the implementation plan.

Post evaluation of the Shop Trading Hours Act Repeal Act (1990) is still occurring. Multiple Bills introduced into Parliament illustrate this (as shown in section 6.1.5.6).

### **7.3.1 Implications from Objective Two**

The first implication from the illustration of the SEDP is that it lends support to each of the stages. This illustration from the Shop Trading Hours Act Repeal Act (1990) decision highlights the importance of the order and fulfilment of each of the stages in the SEDP. As a Social Engineering decision is one which affects society, it is only reasonable that they should have a say in the law. By the Labour Department evaluating the law without public or stakeholder input, this skipped past an important aspect of the Solution Evaluation stage. The uproar over the Government being undemocratic in introducing the Executive Order (1989) before the Bill was evaluated, also supports this assumption.

Further, the normal order of proceedings for the legislative process for the New Zealand

Government also supports the stages in the SEDP. The normal legislative process is (Palmer & Palmer, 2004):

1. Bill introduced into the House.
2. First reading.
3. Select Committee formed to evaluate the Bill according to public submissions.
4. The revised Bill, accompanied by a summary of the submissions, is then made available to Parliament.
5. The second reading and committee of the whole house follows whereby the specifics of the Bill are discussed.
6. Lastly the third reading and passage of the Bill occur.

Referring to Table 7.4, the expected SEDP under normal circumstances for the New Zealand Government starts with a trigger at the Recognition stage. The use of an Advisory Committee signals the Identification and Assessment Stage and results in solution suggestions. Other solutions suggested at the Solution stage would come from relevant stakeholder groups. The solution suggestions are then used by the relevant Government department to draw up a Bill at the Solution Evaluation stage. A Select Committee along with the first reading and debate of the Bill will help to evaluate it. If it is selected to continue, the Decision Implementation stage is conducted during the second and third readings where the Bill and its implementation may be trialled and revised. If the Bill is enacted, Post Evaluation occurs with either further change to the law, or a general acceptance of it. Identifying specific events that occur at each of the stages of the SEDP helps stakeholders identify which stage of the process the Government is in. This is particularly needed for the implications of Objective Three.

#### **7.4 Objective Three: The Effects of Marketing Communications and the Media on the Social Engineering Decision Making Process.**

The main question to be answered through this objective is whether marketing communications effectively influenced the Government. This would be seen through the

themes in marketing communications being discussed in Government documents. Further support would be shown through the change in the Shop Trading Hours Act Repeal Bill (1990) from the time of introduction to the time of enactment. This study has found mixed support for the influence of marketing communications and media on the Government in this Social Engineering decision. First of all, there is some support that overall, the themes mentioned in marketing communications and the media affected the themes talked about in Government documents. The top four themes that were mentioned the most in marketing communications were also discussed the most throughout all of the Government documents. These were the themes of Society, Tourism, Demand, and Family. Overall however, many themes from marketing communications were not mentioned in Government documents. Other themes were mentioned in Government documents but not in marketing communications. There is some ambiguity over what influences the themes discussed by Government. It could be that the themes are based on previous Government documents; however this also has not been supported by this study.

There is some support for the argument, that the more a theme is mentioned in marketing communications, the more likely it is that the theme will also be discussed by the Government. For instance, if you break the themes into their super-ordinate themes, it can be seen that marketing communications focused mostly on the cost to employees of the repeal (with 149 marketing communications discussing this), consumer costs if the Act was repealed (133), and retailer costs if the Act was repealed (74). However the Government focused on consumer costs if the Act was repealed (through 75% of Government documents), retailer costs of repeal (71%), and retailer benefits from repeal (67%). So while marketing communications seemed to focus on the effect of repeal on the average person, the Government focused on businesses.

The above gives a confusing implication; it seems that at the specific theme level, the number of times that a theme is mentioned in marketing communications has some bearing on whether the theme will be discussed in Government documents. However, it seems that when stakeholder positions are looked at in the super-ordinate level of the themes, this does not follow through. While the Government documents did talk about

**Table 7.4: The Expected Social Engineering Decision Making Process for New Zealand Government**

<b>STAGE</b>	Recognition	Identification and Assessment	Solution Stage	Solution Evaluation	Decision to Trial Solution, Evaluate and Reform Implementation Plan	Adoption or Rejection	Post Evaluation
<b>EVENTS</b>	Through Triggers	Advisory Committee Inquiry	Advisory Committee Inquiry Stakeholder Recommendations	Bill drafted by relevant Government Department Select Committee First reading	Select Committee Second Reading Third Reading	Bill enacted	Further changes to law sought
<b>COMMUNICATION TYPE</b>	Mass Media	Marketing Communications	Interpersonal Communications	Marketing Communications	Interpersonal Communications		Marketing and Interpersonal Communications

the second and third most represented areas in marketing communications (consumer costs and retailer costs), they did not talk very much about the most represented area, the cost to workers, as much as would be expected considering the number of times this area was discussed in marketing communications. Worker costs were only discussed in 48% of the Government documents. One reason for this anomaly could be because a lot of the worker's costs were legislated for in the Bill in clause three. Therefore, while discussion was not directly about the cost to workers, it was about the awards that were being legislated for them.

Giving these findings more managerial application, the effect of marketing communications on each stage will now be discussed. This will help stakeholder groups to know when interpersonal communications versus mass media communications are more appropriate. As was outlined in section 7.3, the Advisory Committee Report (1988 - G1) spanned the Identification and Assessment as well as the Solution stages. 100% of the themes mentioned in marketing communications were also mentioned in G1. These themes were mentioned in between two and 16 marketing communications. This implies that at the Identification and Assessment stage, marketing communications are very effective at influencing the Government's representation of the problem. However, not all of the themes mentioned in G1 were reflected in the Solution Evaluation stage. This implies that while marketing communications were effective at communicating solution suggestions in the Solution stage, they were not effective in persuading the Government to include their suggestions in the Bill. At the solution stage, the most effective form of communication was interpersonal communication. It was here that the conversation between the retailers association and the Minister of Labour amounted in the Executive Order (1989). It was also here that the conversation between the unions and the Minister of Labour led to the inclusion of clause three. Thus at the Solution stage, interpersonal communications were most effective.

Unfortunately, the Solution Evaluation stage was one in which there were only interpersonal communications inside the Labour Department. However, as has been shown in section 7.3 this would not have been the normal course of events. Lack of marketing communications at this initial evaluation stage meant that at the Decision stage, the process was forced back through the Solution Evaluation stage in a more public manner. This caused the Decision stage of reforming the implementation plan

and solution evaluation to occur at the same time. So, for the Solution Evaluation stage (G2-G6), it seems that mass communications are important for stakeholder acceptance. However for the reform of the implementation plan (G7 & G8), it seems that marketing communications were not effective in influencing the Government document topics. These two stages will be expanded upon now based on Table 7.5.

For the Solution Evaluation stage and Government documents G2-G6, themes mentioned more than 14 times during the stage, were mentioned in 80-100% of the Government documents during that stage. There were two themes, however, that this did not happen for: the first was penal rates, which was mentioned 20 times and only occurred in discussions in 40% of the Government documents. This could have been because the Government had no intention of legislating penal rates and so found no point in discussing them; the second, was Casualisation which was mentioned in 15 marketing communications and was only discussed in 40% of the Government documents. The reason for this could have been that the original argument from the advisory committee was that the retail industry was heading towards casualisation before deregulation of shop trading hours occurred. Therefore again, the Government did not think that it was a legitimate issue to discuss.

At the Decision stage, there were no marketing communications between G6 and G7 and so, there can be no implication drawn from that document. There were however, marketing communications before G8. There was no pattern to the amount of times a theme was mentioned and whether or not it was then discussed in Government documents for the Decision stage. This adds support to the lack of marketing communication influence on the Decision stage. Due to the irregular nature of the trial of the solution in this context, this conclusion is an area for future research.

Overall, there was some effect from marketing communications and the media on the final Act. Two aspects of the original Bill were changed in the final Act. The first was the concern for keeping special days, possibly answering the themes of Family, Society, and Christian Holy Days. These themes together were mentioned in 102 marketing communications and 88% of the Government documents. The original Bill proposed complete deregulation of shop trading hours, which would allow trading for seven days a week, 365 days a year. However, the final Act prohibited trading on three and a half days of the year (unless exempt). The holidays are Good Friday, Easter Sunday,

Christmas day and before 1pm on ANZAC day, three of which are Christian holy days.

**Table 7.5: Comparison of Government Documents**

Theme	Theme in G1	Theme in G2	Theme in G3	Theme in G4	Theme in G5	Theme in G6	Theme in G7	Theme in G8	Number of Times Theme Mentioned
<b>Current Issues with the Act</b>									
Polc	X	X		X		X			21
Exmt	X	X		X	X	X	X		19
Coms	X	X		X		X			15
<b>Consumer Benefits from Repeal</b>									
Dmnd	X	X	X	X	X	X	X		40
CsmB	X		X	X					11
<b>Consumer Costs from Repeal</b>									
Prce	X	X	X	X	X				31
Faml	X	X	X	X	X	X	X		35
SocT	X	X	X	X	X	X	X		43
Chrs	X		X	X	X		X		24
<b>Economic Benefits from Repeal</b>									
Trsm	X	X		X	X	X	X		42
Jobs	X	X	X	X	X				16
Trde	X			X	X				12
<b>Employee Costs from Repeal</b>									
WHrs	X		X	X			X		11
WFrc	X	X	X	X	X		X		25
RBFrc	X					X	X		12
Penl	X	X			X		X		31
Csln	X			X	X		X		27
Jnrs	X			X	X				14
LwPy	X				X		X		15
UnPw	X		X	X			X		14
<b>Retailer Benefits from Repeal</b>									
UnfA	X	X	X	X		X	X		8
Frdm	X	X	X	X		X	X		31
Efnc	X		X	X	X				12
<b>Retailer Costs from Repeal</b>									
RFrc	X	X	X	X	X	X	X		26
Spnd	X	X		X	X				19
SmlR	X	X	X	X	X		X		29
<b>Legislation</b>									
Demc		X			X	X	X	X	7
LgAw	X	X	X	X	X	X	X	X	22
OWkd	X		X						8
<b>Justification</b>									
OCnt	X		X	X	X		X		27
SatS	X	X	X			X	X		18
PolS	X	X	X		X	X	X		20

The second area where a change occurred between the Bill and final Act is under the

protective schedule. There was a lot of concern that workers would be forced to work on Sundays or unduly persecuted should they refuse. This was shown through the theme of “Workers forced to work” which was mentioned in 25 marketing communications and 75% of Government documents. The Act added further protection in this case for workers with the clause:

*“No undue influence shall be applied to any worker in an attempt to induce that worker to agree to work on a protected day or night. No action shall be taken to discriminate against or disadvantage any worker not wishing to work on a protected day or night.”*

(Shop Trading Hours Act Repeal Act, 1990, Schedule, Protective Provisions, clause 1)

This was changed from the Bill version which read:

*“No worker shall be required to work on a protected day or night.”*

(Shop Trading Hours Act Repeal Bill, 1990, Schedule, Protective provisions, clause 3)

These give additional support that there was some effect on the Government from marketing communications and the media. Implications for stakeholder groups are that marketing communications are most effective in the Solution Evaluation stage of the SEDP; whereas interpersonal communications are most effective during the Solution stage.

## 7.5 Academic Contribution

Academic contributions from this thesis are to the disciplines of Social Engineering, Marketing, and Retailing. This thesis adds to the body of knowledge surrounding Social Engineering by applying the Innovation Decision Process (Rogers, 2003) to Social Engineering for the first time. The resulting decision making framework contributes to Social Engineering theory. This framework uncovers the SEDP for the Government in New Zealand and other countries whose parliamentary systems are based on the Westminster system. This application is important as most other studies have been carried out by Scandinavian and American academics and so apply to different political systems.

The contribution to Marketing comes from the application of marketing

communications to influence Social Engineering decisions. This is the first time that this has been carried out and adds to both the Social Engineering and Marketing disciplines. The influence of Marketing Communications on Social Engineering decisions is a positive step in the Social Engineering literature, as many people believe that Social Engineering is inappropriate. The influence of Marketing Communications on Social Engineering gives hope of shaping Social Engineering outcomes to benefit society.

This study has emphasised the importance of the order of the SEDP, as seen by the uproar and backtracking during the Shop Trading Hours Act Repeal Bill (1990) after the Executive Order (1989). Further, the influence of mass versus interpersonal communications has been explored and applied to Social Engineering, again adding to the Social Engineering and marketing disciplines. These two findings highlight that not only is the order of stages important, but the types of communications are important too.

The contributions to Retail for this thesis are twofold. Firstly, the exploration of how Social Engineering can be carried out through Retail adds to the applications of the discipline. In this event, the particular change in morals and beliefs of the New Zealand society were towards consumerism. Beforehand, consumer behaviour had been of secondary importance to other areas of New Zealand social life such as the family and community. The change in law shows the change in the beliefs that shopping was now an important right of members in society.

The second contribution to Retailing is the historical narrative surrounding shop trading hour legislation in New Zealand. Historical narratives are important as they add to and help in understanding the intricacies and influences of aspects in every discipline. This historical narrative has contributed to the understanding of the deregulation of shop trading hours in New Zealand. It has added to the literature surrounding Sunday trading laws throughout the world. This in depth exploration of shop trading hours gives understanding to all of the associated influences and may be used to inform other research in the Retail and Marketing disciplines.

Lastly, this thesis contributes a new methodology and method for the study of Social Engineering. The Historical methodology, content analysis, and historical narrative have not been used in Social Engineering literature to date. These were most appropriate

here in the combination of Marketing and Social Engineering and add to the approaches for research in the area. This multiple method approach has allowed for a rigorous exploration of Social Engineering, Marketing, and Retail, and how these disciplines have intertwined and influenced one another in this context.

## **7.6 Managerial Contribution**

The managerial implications of this research are for both Governments and Marketers. Implications for Governments regard ordering and communication of their decision making process. Marketing implications surround marketing communication execution and budgeting.

First, implications for Governments partaking in Social Engineering decisions are based on the importance of following each of the stages of the SEDP in order. Under a democratic political system, it is important to gain majority support for the Government to be re-elected. Therefore, if conducting Social Engineering decision making, this study shows it may be that the stages should occur in order and be fully completed; otherwise there will be mistrust of the Government as happened in this event. Here, the Government did not allow for public debate of the solution and skipped to the trial phase. The public and politicians then dragged the process back through these stages properly in order to have their say. Many people were unhappy with the Government after this and still mistrust them. They saw the trial as a ‘pushing through’ of the law without taking into account the public’s views. After this, the same Government was not re-elected in the following elections.

Marketing implications show Marketing managers for stakeholder groups when to focus their budgets on mass communications, when to focus on interpersonal versus mass communications and how many marketing communications are necessary. First of all, as shown in Table 7.4, this research has outlined how Marketing managers can know what stage of the SEDP the Government is in. If there is an advisory committee or inquiry, the Government is going through the Identification and Assessment stage and the outcome of these inquiries will be solution suggestions. This is a good time to spend some of the marketing budget to help shape the problem in the Government’s eyes. The issues that were discussed in the first document were the issues that were subsequently

discussed throughout the rest of the decision making process, with only one new issue arising, and so this is an important stage to get the stakeholder group's position and concerns across.

The Introduction of the Bill, along with the First reading and Select Committee, are carried out during the Solution Evaluation stage. This is the best time to spend the marketing budget on mass communications aimed at persuading the acceptance or rejection of the Bill. Further, it may be that the point that the group is trying to make is that it needs to be mentioned in more than 14 marketing communications for it to be discussed by the Government.

The three most effective times for stakeholders to try to influence the process are in the Identification and Assessment stage and the Solution Evaluation stage through mass communications, and the Solution Suggestion stage through interpersonal communications. Due to the limited budgets of most stakeholder groups, the media was also included in this study. This means that stakeholders are not limited to mass communications such as advertising which can be expensive for limited budgets. They can also partake in public relations and use press releases and related activities to send out their messages.

## **7.7 Limitations**

While there have been many contributions to the disciplines of Social Engineering, Marketing, and Retailing from this study, there are some limitations to it that will now be discussed. The first regards the irregular order of the legislative process used by the Government in this context. While the irregular order helped to emphasise the importance of the correct order, there may be further implications found if a more usual legislative process is studied.

Some small methodological limitations surrounded the interviews. First of all, the time of the interviews was just before and after the November 2008 elections in New Zealand. This meant that some of the participants in the Shop Trading Hours Act Repeal Bill (1990) were not available for interviews. To address this, interviews were undertaken with a key figure from each of the stakeholder groups to get a full picture of the events.

Another problem with the interviews was the time lapse between the Act and the interview. It had been 10 years since the Advisory Committee for the Act was set up. Therefore some participants were unclear over the details and ‘misremembered’ things. For instance one participant stated they had put advertisements in the newspaper; however on inspection of the newspapers during the time, there were no advertisements in them. To address this limitation, the participants were contacted prior to the interviews and given a briefing of the research and the interview questions. Further, participant’s recollections were cross-checked with other interviews and public documents. Lastly, each participant was offered their interview transcript so that they were able to comment on them if they remembered other aspects.

The last limitation of this research regards the moderating variables. Due to the time frame of the research, only one event could be studied. As only one event was studied, its set of moderating variables could not be compared with other sets of moderating variables, which would be the best way to research them. This is an area for future research as the Social Engineering process may turn out differently with different moderating variables.

## **7.8 Future Research**

There are many avenues for future research in this area. The first is by studying a Social Engineering decision that occurs through the normal legislative process. This would lend more support to the classification of the Social Engineering Decision Making Process stages, based on the New Zealand legislative process. Studies exploring different types of laws, such as more social or emotive laws, will give a broader perspective to the model. Considering multiple Social Engineering decisions in one study would also uncover the differing effects of the moderating variables. Applying the conceptual framework to different democratic legislative systems would help in generalising the process and make it more applicable outside of New Zealand.

A longitudinal study starting when a Bill is introduced would also be another future method to pursue. This would allow for the collection of all communications from all stakeholders as they happen, and interviews throughout would address memory issues. Further, there were not as many advertisements in this study as would have been

expected. Studies where more advertisements were used by stakeholders would strengthen the findings. Further, there were not many marketing communications or media between the Solution Evaluation and Decision stage. More marketing communications between these stages may find more influence on the decision stage than was found in this study. These types of studies would help to explore the influence of marketing communications on the decision stage which was not supported here.

## **7.9 Summary and Conclusion**

This research has uncovered the Social Engineering Decision Making Process through blending Social Engineering and Diffusion theory. The use of Diffusion theory was necessary to be able to understand how marketing communications diffused through the Government and affected Social Engineering decisions. The resulting Social Engineering Decision Making Process illustrates the Governmental decision making process for Social Engineering decisions. The thesis reports an historical narrative of shop trading hour legislation and content analysis of marketing communications and media during the decision to introduce Sunday trading. The findings of the research support the conceptualisation of the Social Engineering Decision Making Process. The research also finds that marketing communications are effective in influencing Social Engineering decisions. This is an important finding for Marketing, Retailing, Social Engineering, and especially society.

Through using multiple disciplines in this study, each discipline is extended and new areas of research are opened up. Social Engineering has been studied in a different light to previous research through considering the decision to Socially Engineer as opposed to Social Engineering itself. Marketing and marketing communications gain another area of influence which has before been unexplored. Lastly, Retailing's use for Social Engineering has been discussed and the historical narrative of shop trading hours in New Zealand adds a new level of understanding to the worldwide Sunday trading discussion.

This research also contributes to society. Some previous Social Engineering interventions have delivered suffering to the society they were implemented in. This framework allows influence before Social Engineering implementation. It allows the

society to have a say in how they are socially engineered, and the outcomes sought of the Social Engineering. While this study cannot be generalised to all types of political systems, it is hoped that future studies will endeavour to do this.

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## **Appendix A:**

### **Indicative Semi-Structured In-Depth Interview Guidelines**

#### **Opening**

My PhD is looking at the introduction of the Shop Trading Hours Repeal Act in 1990. I'm basically looking at why the Bill was introduced at that particular time, why it was accepted at the time and if any marketing communications might have influenced people's acceptance of the Bill.

#### **Questions**

1. I have read Hansard, but I was wondering if I could get in your own words the main reasoning behind the Bill?
2. In your opinion, why was the Bill introduced when it was? (December 1989)
3. Do you think that New Zealand in general was very open to the change at the time?
4. What were the previous everyday shop trading practices before the Shop Trading Hours Repeal Act 1990 was introduced? Was there much trade on Sundays?

Marketing communications are any form of communication that you or others may have used to tell people your views, it could include adverts, newsletters, newspaper articles, brochures or letter box drops or anything that may have gotten you on the news.

5. Are there any marketing communications about the Bill that you recall that I might not know about? Could you describe them for me?
6. How do you think New Zealand has changed since Sunday trading has been in place?

**Appendix B:**  
**Participant Information Sheet and Consent Form**

# Participant Information Sheet



**Date Information Sheet Produced:**

22 April 2008

**Project Title**

The Social Engineering Decision Process

**An Invitation**

My name is Ann-Marie Kennedy Thompson. I am a student at Auckland University of Technology enrolled for a PhD in the Department of Marketing.

You are invited to participate in my research and I would appreciate any assistance you can offer me. As part of my thesis I am conducting research into the introduction of Sunday trading in New Zealand. Your participation in this research is completely voluntary and you may withdraw at any time without adverse consequences.

**What is the purpose of this research?**

This research will be looking at the way in which marketing communications can affect governmental decisions which are classed as social engineering decisions that aim to shape society. It will do this through looking at the marketing communications used during the decision for and introduction of Sunday trading. The resulting thesis will go towards the completion of my PhD and there may be further publications from the information in the form of a book, conference presentation and journal article for marketing academics.

**How was I chosen for this invitation?**

You were chosen to participate in this research because of your involvement during the introduction of the Sunday trading bill. Your organisation was identified through its submission to the select committee for the bill and you were identified as the expert in the event by your organisation.

**What will happen in this research?**

For you to participate in this research I would ask one hour of your time to discuss any marketing communications that your organisation presented during the decisions surrounding the bill. I will also be asking you whether I might be able to access those specific marketing communications. This informal interview can take place at a venue of your choice or if you

would prefer could take place over the phone. I would ask that the interview be recorded by audiotape, but this will only happen with your consent.

**What are the benefits?**

This research will benefit other stakeholder groups that wish to give their viewpoints on social engineering laws that the government or other governing bodies wish to introduce. It will identify the key times in the decision making process for the groups to use their sparse resources to create and distribute marketing communications to make a difference in the decision.

**How will my privacy be protected?**

Your name will not be used in any of the documentation and write up of the research however your organisation may be identified.

**What are the costs of participating in this research?**

This research should take up no more than 1 hour of your time.

**What opportunity do I have to consider this invitation?**

I would ask that you reply to this letter within 1 week of receiving it so that I might organise travel arrangements to come and see you. However, remember that you are not obligated to participate and can withdraw from the research at any time up until one month after we have had our interview by giving me a call or email without any consequences.

**How do I agree to participate in this research?**

If you agree to participate in this research please contact me and we will set up an appropriate time to meet. You will need to fill out a consent form which I have attached. I will collect this form from you when we meet for the interview.

**Will I receive feedback on the results of this research?**

I will then contact you again in March 2009 to see if you would like a summary of the findings and implications of the study.

**What do I do if I have concerns about this research?**

Any concerns regarding the nature of this project should be notified in the first instance to the Project Supervisor, *Dr Andrew Parsons*, [a.parsons@aut.ac.nz](mailto:a.parsons@aut.ac.nz), 09 921 9999 ext 5040.

Concerns regarding the conduct of the research should be notified to the Executive Secretary, AUTECH, Madeline Banda, [madeline.banda@aut.ac.nz](mailto:madeline.banda@aut.ac.nz), 921 9999 ext 8044.

**Whom do I contact for further information about this research?**

***Researcher Contact Details:***

Ann-Marie Kennedy Thompson

[Ann-marie.thompson@aut.ac.nz](mailto:Ann-marie.thompson@aut.ac.nz)

09 921 9999 ext 5040

***Project Supervisor Contact Details:***

Dr Andrew Parsons

[a.parsons@aut.ac.nz](mailto:a.parsons@aut.ac.nz)

09 921 9999 ext 5040

**Approved by the Auckland University of Technology Ethics Committee on 21<sup>st</sup> May 2008, AUTEK Reference number 08/73 *The social engineering decision process.***



# Consent Form

*Project title:*                   ***The Social Engineering Decision Process***

*Project Supervisor:*   ***Dr Andrew Parsons***

*Researcher:*                   ***Ann-Marie Kennedy Thompson***

- ☐ I have read and understood the information provided about this research project in the Information Sheet dated 22 April 2008.
- ☐ I have had an opportunity to ask questions and to have them answered.
- ☐ I understand that notes will be taken during the interviews and that they will also be audio-taped and transcribed.
- ☐ I understand that I may withdraw myself or any information that I have provided for this project up to one month after the date of this interview, without being disadvantaged in any way.
- ☐ If I withdraw, I understand that all relevant information including tapes and transcripts, or parts thereof, will be destroyed.
- ☐ I agree to take part in this research.
- ☐ I wish to receive a copy of the report from the research (please tick one): Yes ☐ No ☐

Participant's

signature:

.....

Participant's

name:

.....

Participant's Contact Details (if appropriate):

## Appendices

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Date:

***Approved by the Auckland University of Technology Ethics Committee on 21 May 2008 AUTEC***

***Reference number 08/73***

## **Appendix C:**

### **Interview Transcripts**

Please see attached CD for Interview Transcripts under folder name:

#### **Interview Transcripts**

Interview transcripts included are for:

- A Labour Party Representative (Party in power)
- A National Party Representative (Opposition)
- A Trade Union Representative
- A Retail and Wholesale Merchants Association Representative
- A Keep Sunday Free Campaign Representative

## **Appendix D:**

### **Marketing Communications, Media, and Government Documents**

Please see attached CD for copies of Marketing Communications, Media and Government Documents analysed in this thesis under folder names:

#### **Marketing Communications and Media**

and

#### **Government Documents**

The Marketing Communications and Media folder includes copies of all of the communications from Table 6.5.

The Government Documents folder includes copies of:

- G1 – The Shop Trading Hours Advisory Committee Report (1988)
- G2 – The First Reading of the Shop Trading Hours Act Repeal Bill (1989)
- G3 – Analysis of Shop Trading Hour Select Committee Submissions (Office of the Clerk, 1990)
- G4 – Briefing Report for the Labour Select Committee (Industrial Relations Service, 1990a)
- G5 – Departmental Summary of Submissions Etc (Industrial Relations Service, 1990b)
- G6 – Report of Labour Committee in Hansard (1990)
- G7 – The Second Reading of the Shop Trading Hours Act Repeal Bill (1990)
- G8 – The Third Reading of the Shop Trading Hours Act Repeal Bill (1990)