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THE NEW DRAGON:

**CALIFORNIA LAW ENFORCEMENT AND THE IMPACT
OF IMMIGRATION FROM HONG KONG AFTER 1997**

by

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Sacramento, California

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This Command College Independent Study Project is a FUTURES study of a particular emerging issue in law enforcement. Its purpose is NOT to predict the future, but rather to project a number of possible scenarios for strategic planning consideration.

Defining the future differs from analyzing the past because the future has not yet happened. In this project, useful alternatives have been formulated systematically so that the planner can respond to a range of possible future environments.

Managing the future means influencing the future--creating it, constraining it, adapting to it. A futures study points the way.

The views and conclusions expressed in this Command College project are those of the author and are not necessarily those of the Commission on Peace Officer Standards and Training (POST).

"The truth is that most people will not be able to leave Hong Kong, but would if they could. Such is the mistrust of China that given the offer of a passport and financial assistance, few people would refuse the opportunity to leave Hong Kong before 1997. The professional classes are especially fearful of Communist rule, and most of the wealthy business classes already have their U.S. green card or equivalent and will leave some time before 1997. Under the most optimistic scenario, a slow down of the economy before 1997 appears inevitable; at worst, civil disorder and a financial collapse cannot be ruled out."

**-- George L Hicks,
Hong Kong After the Sino-British Agreement:
The Illusion of Stability**

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EXECUTIVE SUMMARY

SECTION ONE: A FUTURES STUDY

On June 30, 1997, The United Kingdom will cede title to The Crown Colony Of Hong Kong to The People's Republic Of China. The prospect of an oppressive takeover by the communist government has created a general sense of fear and anxiety among the people which has become a driving force behind increased levels of emigration. The People's Government has attempted to assure the people that it needs their economic know-how, and that no radical changes in the social and economic structures of the colony will be forthcoming. To that end, The People's Government agreed to the terms of The Sino-British Joint Declaration of 1984, in which it agreed to a fifty-year hands-off policy in regard to Hong Kong's internal affairs. This declaration has proven to be less than persuasive, however; and, in May, 1991, emigration reached a high watermark of 10,000 per week. The rate of emigration is anticipated to accelerate as the date of transition approaches. Information obtained from the U.S. Departments of Immigration and Census indicates that the California is a resettlement destination of choice on the Pacific Rim.

The main issue of the study is: **What will be the impact of immigration from the former Crown Colony Of Hong Kong on law enforcement in California by the year 2007?** The sub-issue questions are: (1) Will this immigration result in intercultural clashes between newly-arrived ethnic Chinese residents and other minority groups, which will impact law enforcement? (2) Will this immigration result in new patterns of criminal victimization and increased demand for police services? (3) Will the phenomena of the Chinese Triads become a significant factor in California and impact law enforcement needs?

The futures study section of this study utilized a literature review, nominal group, targeted interviews and a Modified Conventional Delphi Process to identify and analyze significant trends and events which impact the issue. Six important issue-related trends were identified as: 1) The level of intercultural conflict; 2) Level of ethnic Chinese population in California; 3) Level of demand for Chinese-speaking government services; 4) Level of victimization of persons of Chinese ethnicity; 5) Level of identified Chinese organized crime activity; and 6) Level of Chinese street gang activity. The future of the trends and of the potential impact of trend-related events was forecast. Forecasts were used to develop three scenarios, from which a normative

scenario was chosen for further study. This view of the future describes a feared but possible state in which police have been unsuccessful in meeting the needs of a newly-arrived Chinese immigrant community.

SECTION TWO: A STRATEGIC PLAN

The Santa Ana Police Department is selected as a model for development of a strategic plan designed to mitigate the negative aspects of the normative scenario. The organization's environmental strengths, weaknesses, threats and opportunities are identified and evaluated. Stakeholders are examined, such as the Chief of Police, the Asian community, the Hispanic community and the City Manager. Specific policies are developed and a community outreach strategy recommended to achieve the goal.

SECTION THREE: TRANSITION MANAGEMENT

The current level of commitment of the critical mass stakeholders is evaluated and strategies developed to move that commitment to a desired position for strategy support. The critical mass required is the Chief of Police, the City Manager, the president of the employee's bargaining unit, a senior department manager and leaders of two community associations. Negotiations will be required to overcome resistance or well-meaning interference. Implementation will require coordination of community and political interests. Implementation technologies include instilling the vision, constant communication, team building, an action plan, training and responsibility charting.

SECTION FOUR: CONCLUSIONS AND RECOMMENDATIONS

Main issue: It was concluded that immigration to California will be driven by actions of the governments of The People's Republic of China and The United States relative to transition of authority in Hong Kong. It was concluded that non-military interference in the internal affairs of Hong Kong will probably result in immigration to California in a range from 50,000 to 94,000 persons by the year 2007. Should the P.R.C. intervene militarily in Hong Kong's internal affairs, that immigration could reach approximately 260,000 persons. The impact of immigration on law enforcement in California will be significant, as related to the sub-issues.

To answer the subissue of intercultural conflict, it was concluded that conflict will occur as social resistance to change, and will be manifested through increased political action to maintain the status quo, and increased racism. This will pose considerable challenge to law enforcement in delivering equitable service to the whole community in a politically volatile environment, while attempting to develop innovative programs to meet the needs of a newly-arrived immigrant community.

To answer the subissue of increased victimization, it was concluded that a newly-arrived Chinese immigrant community is at significant risk of victimization, and that cultural biases and distrust of police exacerbate that problem. Penetrating cultural barriers and building a positive working relationship with that newly-arrived community will pose considerable challenge.

To answer the subissue of increased Chinese Triad activity, it was concluded that activity by Triad organized crime groups will increase, and that the influence of these groups poses a significant threat and challenge to law enforcement.

Recommended actions for law enforcement agencies include: monitoring events in Hong Kong as an indicator of change; developing strong relationships with the Asian community; recruitment of Chinese-speaking personnel; and, cultural awareness training programs.

INTRODUCTION

A brief synopsis of issues relevant to immigration from Hong Kong.

CHAPTER ONE: DEFINING THE FUTURE

What will be the impact of immigration from the former Crown Colony of Hong Kong on law enforcement in California by the year 2007?

CHAPTER TWO: STRATEGIC MANAGEMENT

A strategic plan for addressing the police service needs of a newly-arrived Chinese immigrant community.

CHAPTER THREE: TRANSITION MANAGEMENT

Managing organizational transition from the present state to a desired future state.

CHAPTER FOUR: CONCLUSIONS AND RECOMMENDATIONS

The answers, organizational recommendations and recommendations for future research.

CONTENTS

INTRODUCTION	1
Hong Kong - The Impact Of International Events On California	1
Issues For Study	2
Intercultural Conflict	3
Victimization And Demand For Police Services	4
The Impact Of Chinese Triads	5
Scope Of The Study	6
Overview Of The Study	6
SECTION: DEFINING THE FUTURE	7
Purpose	7
Environmental Scan	7
Literature Review	7
Nominal Group	9
Interviews	9
Trends And Events For Study	11
Futures Forecasting	13
Trend And Event Forecasting	13
Trends And Forecasts	13
Events And Forecasts	18
Cross Impact Analysis	22
Scenarios	26
Exploratory Scenario	27
Normative Scenario	29
Hypothetical Scenario	31
SECTION TWO: A STRATEGIC PLAN	33
Purpose	33
The Setting	33
Macro And Micro-Mission Statements	34
Situational Analysis	34
Opportunities	35
Threats	35
Strengths	36
Weaknesses	37
Internal Capabilities Analysis	38
Strategic Assumption Surfacing Technique	38
Stakeholder Analysis	38
Modified Policy Delphi	42
Policy Alternatives	42
Recommended Policy	44
Implementation Plan	45
Action Steps And Time Lines	45
Negotiating The Strategy	46

SECTION THREE: TRANSITION MANAGEMENT	47
Purpose	47
Commitment Strategy	47
Critical Mass	47
Transition Management Structure	51
Implementation Technologies	54
Communicating The Vision	54
Team Building	54
Action Plan	54
Constant Communication	55
Training	55
Celebration Of Small Successes	55
Responsibility Charting	55

SECTION FOUR: CONCLUSIONS AND RECOMMENDATIONS	56
The Issue	56
Sub-Issue One	58
Sub-Issue Two	58
Sub-Issue Three	59
Recommended Actions	59
Recommendations For Future Study	60

BIBLIOGRAPHY	106
---------------------	------------

ENDNOTES	113
-----------------	------------

APPENDICES

Appendix A	Hong Kong - A Place And People In Transition	61
Appendix B	The Triad Societies	68
Appendix C	Preliminary Nominal Group	73
Appendix D	Emerging Trends Identified By Nominal Group Panel	74
Appendix E	Future Events Identified By Nominal Group Panel	76
Appendix F	Experts Interviewed	78
Appendix G	Modified Conventional Delphi Panel	79
Appendix H	Modified Conventional Delphi Process	80
Appendix I	Trend Forecast Graphs	87
Appendix J	Event Forecast Graphs	93
Appendix K	Internal Capabilities Analysis	99
Appendix L	Strategic Assumption Map	100
Appendix M	Alternative Strategies	101
Appendix N	Strategy Selection Criteria	102
Appendix O	Implementation Plan	103
Appendix P	Responsibility Chart	105

TABLES

Table 1	Trend Evaluations	17
Table 2	Event Evaluations	21
Table 3	Cross-Impact Analysis	25
Table 4	Commitment Chart	53

ILLUSTRATIONS

Illustration 1	Relevance Tree	12
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**INTRODUCTION:
A BRIEF SYNOPSIS OF ISSUES RELEVANT
TO IMMIGRATION FROM HONG KONG**

Hong Kong - The Impact Of International Events On California: On June 30, 1997, the United Kingdom will return title of The Crown Colony of Hong Kong to the People's Republic Of China (P.R.C.). This action culminates 17 years of planning and negotiation concerning the end of one of the world's last remaining vestiges of the British Empire, and has its roots in over 150 years of struggle between the two nations over the issue.

Located on the South China Coast immediately adjacent to the Guangdong Province of the P.R.C., the Colony consists of only 415 square miles of land area and has a population of approximately 5.8 million persons.¹ Eight percent of the Colony's land area was ceded in perpetuity by the Emperor of China to Great Britain as conquered land following the Opium Wars of the mid-nineteenth century. The remaining area, The New Territories, consists of leaseholds granted to Great Britain as compensation for damages following The Boxer Rebellion of 1898.²

Hong Kong remains a trading colony overseen by British administration and in which business is free to prosper, with minimal regulation or government control. The Colony is an international free trade zone and has one of the world's most vibrant economies. Hong Kong ranks eleventh among the world's economies, and has been called one of The Four Dragons Of Asia, along with Taiwan, Singapore and S. Korea.³

The P. R.C. has consistently taken the position that the issue of Hong Kong is one of Chinese sovereignty and that the treaties which established its existence were null and void. As a result, negotiations concerning renewal of leaseholds for The New Territories were not possible. The British government deemed the Colony not viable without The New Territories and, in 1981, entered into negotiations with the P.R.C. concerning return of the Colony to Chinese rule and an orderly transition of power.⁴

Those negotiations resulted in The Sino-British Joint Declaration On The Question Of Hong Kong of 1984. Under terms of the Joint Declaration, the P.R.C. has agreed to a policy under which Hong Kong will become a Special Administrative Region of the P.R.C. and no changes will be made to the social or economic structure of the former colony for a period of fifty years.⁵ During that period, the former colony will be governed by a democratically elected legislature, the first elections for which will be held in 1995.

The People's Government and the British administration have attempted to convince the people of Hong Kong that strict compliance with terms and conditions of the Joint Declaration is in the

best interests of the P.R.C. and that no radical changes will be forthcoming. It is argued by those supporting this view that the P.R.C. needs Hong Kong's economic know-how, port facilities and capitalist system to develop China's economy, and that actions in contravention of the Joint Declaration would be harmful to China's foreign policy interests.⁶

Their arguments have proven less than persuasive, in spite of the relatively uninterrupted business activity of the Colony. The prospect of an oppressive communist takeover has created a climate of fear and anxiety among the Colony's population. This climate is understandable given the P.R.C.'s record over the past two decades on domestic affairs; and, when it is considered that over one-half of the Colony's population fled communist oppression between 1948 and 1980.⁷ This fear is so pervasive that emigration from the Colony has soared, reaching a high watermark of 62,000 persons in 1988.⁸ By 1997, it is estimated that nearly 600,000 persons will have secured foreign passports and right of abode, permitting them to flee the Colony.⁹ Over fifty-seven percent of the Colony's population has stated that they would leave prior to 1997, given the opportunity to do so.¹⁰ Emigration has proven to be of such concern that, in 1990, the British government enacted a "safety net" program, under which U.K. citizenship and right of abode will be granted to 50,000 key officials, corporate principals and community leaders as incentive to remain in Hong Kong.¹¹

ISSUES FOR STUDY: In 1983, immigration to the U.S. from Hong Kong was 5,948.¹² In 1984, following signing of the Joint Declaration, immigration rose to 12,290 and has remained near that level since.¹³ These figures do not represent the full impact of changes in immigration, however. Under U.S. immigration law, persons legally residing in this country are, after two years residence, entitled to bring immediate family members. These persons are excluded from immigration quotas. This supplemental, or chain immigration, may increase numbers of persons legally entering the country by up to five hundred percent.¹⁴ Information obtained from the U.S. Departments of Immigration and Census indicates that California is the stated resettlement location of choice for over one third of persons immigrating from Hong Kong, and that 47% of all Asians residing in this country live in one of six Metropolitan Statistical Areas (MSA), four of which are in California.¹⁵ If immigration levels increase, California will be one of the most heavily impacted areas on The Pacific Rim.¹⁶

The fate of Hong Kong and levels of emigration from the Colony preceding and following 1997 are unclear. However, given the potential impact on police service delivery systems in this state, the issue begs study now, lest responsible law enforcement officials repeat mistakes of the past and of past immigrations.

The objective of this paper is to explore issues relative to the transition of Hong Kong to rule by the P.R.C. in 1997, and the impact of that transition on law enforcement in California. In doing so, it is anticipated that insight may be provided to assist law enforcement managers to prepare for changes which will affect their communities as a result of that issue. This will be accomplished by answering the issue question: **What will be the impact of immigration from the former Crown Colony of Hong Kong on law enforcement in California by the year 2007?**

For purpose of this study, three subissues have been developed for consideration:

- Will this immigration result in intercultural clashes between newly arrived ethnic Chinese residents and other minority groups, which will impact law enforcement?
- Will this immigration result in new patterns of criminal victimization and increased demand for police services?
- Will the phenomena of the Chinese Triads become a significant factor in California and impact law enforcement?

Intercultural Conflict: Literature and interviews suggest that should the transition of authority in Hong Kong be accompanied by little or no disruption or communist interference, immigration will be limited in scope and consist primarily of the well-educated and the wealthy -- the financial and entrepreneurial leadership of the Colony.¹⁷ However, should transition be traumatic and forceful, immigration will be dramatic in scope, as limited by U.S. law, and include large numbers of the poor, the under-educated, the semi-skilled and the unskilled. Even in the best of cases, the potential for intercultural conflict is present.¹⁸

Such has been the experience of Vancouver, B.C., long known for its large Chinese community. Over the past decade, Vancouver has been the resettlement area of substantial numbers of immigrants from both Hong Kong and mainland China.¹⁹ Resentment of recent immigrants and resistance to continued large-scale immigration is endemic and the source of open conflict. This conflict lies not just between the ethnic Chinese community and the white majority, but also between recent immigrants and the remainder of the settled community, of which approximately 20% is of Chinese ethnicity. The sources of conflict are multi-varied and have as their bases the highly visible wealth of the newcomers and the deep political and factional animosities which exist within the Chinese community itself. In the words of one acknowledged expert in the field of Police/Asian community relations in Canada, "It's traditionals vs. non-traditionals, long-settled vs. newly arrived, Taiwan vs. P.R.C., communist vs. anti-communist, white vs. asian."²⁰

Such has also been the case in this country in communities such as Monterey Park and San Marino, CA. which boast large Chinese populations.²¹ In those communities, intercultural conflict has followed much the same pattern as Vancouver, and has been based on the same factors. Open resentment by other cultural and racial groups has led in recent years to political action as a backlash to Asian attempts to gain political power, and even resulted in abortive attempts to bar further Chinese immigration to the city and to eliminate Chinese as an official language of public business. This, inspite of the fact that the majority of city residents are Chinese.²²

A climate of anti-Asian sentiment currently exists in this nation, as exhibited by the media attention paid to the subject of "Japan bashing". Within recent months incidents have occurred throughout the state involving assaults against Asians. Recently, members of a white-supremist group were charged and convicted for an assault on an Asian person under state laws dealing with racially-motivated terrorism.²³ Intercultural conflict is a reality within our multicultural communities. This paper will attempt to explore the level of intercultural conflict which may accompany immigration relevant to this issue.

Victimization And Demand For Police Services: From 1980 to 1990, the Asian population of California grew by 127%, by far the fastest growing segment of the state's population.²⁴ Asians now comprise 9.1% of the total state population, or 2,845,659 persons. Of those, Chinese total 704,850 persons or 39.1% of all Asians.²⁵

As previously discussed, the scope of immigration which may be anticipated from Hong Kong after 1997 will be largely dependent on the actions of the People's Government. However, some observations may be made as to present service needs of the Chinese community and the current state of affairs in Hong Kong.

Research and interviews indicate that approximately 63% of Chinese persons residing in California are foreign-born.²⁶ According to Chief Daniel Cross of the Monterey Park Police Department, nearly all foreign-born Chinese residents of his city require bilingual services.²⁷ This observation appears to be valid elsewhere. In a survey conducted of Asian population groups in Orange County for the Orange County Transit District in 1989, 90% of Chinese respondents stated that they understood English fairly well, 30% stated that language was one of most significant problems affecting their lives in this country and 74% stated that Chinese was the primary language in their homes.²⁸

In Hong Kong, the need for bilingual services is critical. Although English is the primary language of government and business, Chinese-speaking services are increasing rapidly due to demand from the general population and at the insistence of the P.R.C., which required Chinese to be the primary language of the colony by 1997. The situation is not one of just English or Chinese. Although public education is compulsory through the ninth grade, language competency of the population is inadequate for most official purposes.²⁹ Jurgen Domes, Director of the Research Unit on Chinese and East Asian Politics at the Faculty of Law and Economics, Saar University, Germany, recently reported that in regard to language competency, "The government has had to admit that standards have been declining in one very serious respect; too many people are unable to express themselves properly in either Chinese or English."³⁰

Literature and interviews suggest that the culture of the Chinese community may play a significant part in this issue. Immigrants from Hong Kong and other Chinese countries tend to remain in culturally-isolated communities, whether they settle in urban Chinese-populated areas or in the suburbs. Due to distrust of police and cultural taboos which tend to prevent them from reporting criminal victimization, they are susceptible to victimization by those elements which prey on the Asian community. Research indicates that the Chinese community is heavily victimized by Chinese organized crime groups and street gangs and that criminal activity within that community is significantly underreported. As recently arrived persons become familiar with the American criminal justice system and overcome cultural taboos, criminal activity tends to be more frequently reported, requiring services to meet rising demand.³¹ This paper will attempt to explore the level of victimization and demand for police services which may accompany immigration relevant to this issue.

The Impact Of Chinese Triads: Fifty-eight organized crime groups known as Triads are headquartered in Hong Kong. These societies began over 350 years ago as secret resistance armies assembled to fight against the First Ming Dynasty in order to restore the Ching family to power.³² In the centuries since, they have become structured criminal organizations active in political corruption, theft, gambling, burglary, extortion, money laundering, fraud, assault, kidnap, murder and narcotics. The Hong Kong Triads control over 73% of the worlds supply of China White heroin.³³ With a known membership of 80,000 to 100,000 in Hong Kong alone, these groups are best defined as criminal gangs who use the rituals, secrecy and blood brotherhood of the ancient Triad Societies to further their purposes regardless of the laws of the countries in which they operate.³⁴

During Senate Judiciary Committee hearings conducted in 1990, Chairman Joseph Biden stated

that, "Asian Triads will be the dominant organized crime force in this country by the middle of this decade."³⁵ In 1991, the Federal Bureau of Investigation estimated that by the year 2000, Triads will exceed 9,000 members, twice the size of the La Cosa Nostra at its peak. In recognition of that fact, the Bureau declared Triads to be the first priority for its efforts in the future.³⁶ That concern seems to be born out by the seizure in Hayward, CA in 1991, of 1,080 pounds of China White heroin smuggled by a Triad group, and the fact that domestic heroin seizures have increased by 43% since 1985.³⁷

On October 2, 1991, the Officer In Charge of U.S. Immigration and Naturalization Service operations in Hong Kong stated, "Triad groups are seeking to relocate to the U.S. where they will attempt to recruit youth gang members as an infrastructural necessity for additional incursions into the Chinese Communities."³⁸ In San Francisco, the Wo Hop To Triad from Hong Kong has made significant gains in assuming control over Asian street gang operations through intimidation and murder.³⁹ This paper will attempt to explore the level of Triad influence which may be anticipated as a result of immigration relevant to this issue.

SCOPE OF THE STUDY: This study will concentrate on medium-sized law enforcement agencies of between 100 and 400 sworn personnel within the four urban Metropolitan Statistical Areas located in California anticipated to be most impacted by this issue. Those areas are, specifically, San Francisco-San Jose, Los Angeles-Long Beach, San Diego and Anaheim-Santa Ana. Immigration will refer to immigration from Hong Kong resulting from transition of authority in the Colony on July 1, 1997. Intercultural conflict will refer to discord, racism or violence resulting from contact or conflict between the Chinese culture and other non-Chinese cultures. Demand for police services will refer to requests for police and non-enforcement community outreach services directly benefiting the Chinese community. Triad will refer to Chinese organized crime groups based in Hong Kong and utilizing the rituals of the ancient Triad Societies of China.

OVERVIEW OF THE STUDY: Section One will consist of a futures study in which trends and events relative to this issue will be defined and forecast. Three distinct scenarios of the future describing "worst case", "surprise free" and "desired but attainable" states will be developed from forecasts. Section Two will consist of a Strategic Development Plan in which external and internal organizational analysis will be utilized to develop policies and strategies within the context of the Santa Ana Police Department. Section Three will consist of a Transition Management Plan in which internal organizational analysis, responsibility analysis and evaluation methodology will be developed.

Purpose: Of critical importance in futures research is identification and analysis of the social, technical, environmental, economic and political context of the issue under study. This analysis begins with a comprehensive examination of relevant existing conditions, or the present state. After the present state is known, an assessment of forces and influences likely to impact those conditions is conducted. That process requires identification of trends which are associated with the issue, and potential events which would impact the issue by affecting those trends. The varying impacts of identified trends and events define the context within which the future of the issue lies, and determine the course of the issue over time. For the purpose of this study, the future is defined as the next fifteen years.

Environmental Scan: To begin study of the issue in question, three methodologies were utilized to scan the environment: a review of literature relevant to the issue; a Nominal Group to develop a preliminary listing of potential trends and events for study; and, targeted interviews of experts and knowledgeable persons to refine trends and events for forecasting.

Literature Review - An extensive review was conducted of current literature concerning the transfer of Hong Kong to the possession of the People's Republic of China on July 1, 1997. That review took place over a period of six months, and was conducted to gather initial information regarding the social, technological, environmental, economic and political context of the transfer, and its potential immigration impact on California. Over one-hundred items of literature relevant to the issue were reviewed and analyzed. For a suggested reading list, see Bibliography, page 106.

The literature review revealed three areas of relevancy to the issue:

1. Potential for immigration
2. Social conflict
3. Organized crime movement to the U.S.

Potential For Immigration - Central to determining impact relative to this issue, is an assessment of the level of immigration from Hong Kong which may occur between the present and the end point of study in 2007, when full impact of immigration will be apparent. To be sure, immigration will be largely driven by the actions of The People's Republic of China between the present and 1997. However, the literature suggests that a general sense of anxiety and fear pervades the colony's population. As a result, large numbers of persons with the necessary means to emigrate are securing foreign residency documents, should flight become a necessity. Should The People's Government show signs of internal manipulation of the colony's affairs over

SECTION ONE: DEFINING THE FUTURE

**WHAT WILL BE THE IMPACT OF IMMIGRATION FROM
THE FORMER CROWN COLONY OF HONG KONG ON
LAW ENFORCEMENT IN CALIFORNIA BY THE YEAR 2007?**

the next five years, or of oppressive action following transition in 1997, as many as two million persons with legal travel documents could flee.⁴⁰ The primary destination points for those persons are the U.S., Canada and Australia. How many would enter the U.S. is unknown, but California is a primary legal immigration destination of choice.

Legal immigration is largely controlled by U.S. immigration quotas. However, attempts are underway to liberalize immigration requirements from Asia; and, private sector initiatives to attract wealthy Hong Kong businessmen, under quota exclusions for business investment, are flourishing.⁴¹ The experience of Canada, where immigration laws are more liberal may be a guide. Since 1984, fully two-percent of Hong Kong's population has immigrated to Canada and that number is expected to double again in the next five years -- in a best case scenario.⁴² In addition to legal immigration, illegal immigration from Hong Kong and The People's Republic of China has increased dramatically, now ranking second only to illegal immigration from Mexico.⁴³ Again, California is a prime destination of choice.

Social Conflict - Intercultural conflict between a newly-arrived Chinese immigrant population and established Anglo and minority communities is highly likely. Such has been, and continues to be, the case in cities where significant numbers of Chinese immigrants have settled. In San Marino, CA, conflict over cultural norms created confrontations between local government and Chinese residents, adversely affecting intercultural relations and requiring exceptional effort by all parties to resolve.⁴⁴ In Monterey Park, CA, the experience was similar and resulted in open political conflict and Anglo backlash to prevent further Chinese immigration to the city.⁴⁵ In Vancouver, B.C., Canada, rising levels of immigration from Hong Kong has created conflict between the long-settled Chinese community and recent immigrants.⁴⁶ Other minority groups also appear to resent the prospect of increased immigration. In a recent article in "Working World" magazine concerning immigration issues, a minority person stated, "I'm black and frustrated. It seems to me that the concerns and issues of blacks have been lost in the shuffle due to all the attention focused on new immigrants fromAsia. Our problems have never been fully addressed and now we're still getting the short end of the stick."⁴⁷ One need only review events concerning attacks on Korean-American merchants during the recent civil disorder in Los Angeles, CA, to understand the potential for intercultural conflict between existing minority groups and a recently-arrived Chinese immigrant population.

Organized Crime Movement To The United States - Fifty-eight Triad Societies are headquartered in Hong Kong. With an estimated membership ranging from 80, 000 to 100,000 persons, these ancient secret criminal societies pervade and influence the economic and social

structure of the colony through labor racketeering, extortion, theft, narcotics, business infiltration, fraud, money laundering and official corruption. The Triads also exert influence in the U.S., and the prospect of increased Triad presence has been of increasing concern over the past decade. The U.S. Presidential Commission On Crime of 1984, predicted that Asian organized crime groups, particularly Triad Societies, would become the foremost organized crime problem in this country by the end of the 1990's, and pointed to transfer of authority in Hong Kong as being of particular concern.⁴⁸ During Senate hearings in 1990, Robert M. Bryan, Deputy Director of the Federal Bureau of Investigation, echoed those same concerns. He stated that a movement of only ten percent of the the membership of the Hong Kong Triads to the U.S. following 1997, would result in an organized crime presence nearly five times that of La Cosa Nostra at the peak of its power in the early 1970's.⁴⁹ During Senate hearings conducted in 1991 in regard to Asian organized crime, evidence was presented as to growing Triad influence in several major U.S. cities and attempts to recruit Chinese and Viet Nameese street gangs for Triad membership.⁵⁰

Nominal Group - A group of seven persons knowledgeable in the subject matter area was brought together to develop a preliminary listing of trends and events (See Appendix C). In a first round of discussions, the panel identified thirty-seven trends and twenty-four events as being relevant to, and having potential impact on, the issue. In a second round of discussions, the panel refined the first listing to thirteen trends and seven events considered as being most important and worthy of further study (See Appendices D and E).

Interviews - The researcher was able to interview fifteen subject matter experts in the fields of law enforcement, government, media, intercultural relations, immigration, commerce, academe and foreign relations. The researcher was particularly fortunate in being able to interview a senior British consulate official with several years experience in Hong Kong, an expert in U.S. immigration and census research on the issue, a professor of criminology with several years experience as a police officer in Hong Kong, and a Hong Kong Government official posted to the United States (See Appendix F).

The experts were presented with the issue question and preliminary lists of trends and events identified by the Nominal Group panel. Each was asked to identify areas of concern which would impact California. Discussion focused on four issues:

1. The numbers of persons who could be anticipated to emigrate from Hong Kong to California.

2. The educational level and language proficiency of those persons, which would have impact on police service delivery systems and define need for specialized services.
3. The potential for intercultural conflict as a result of immigration relative to the issue.
4. The potential for Triad Society movement to the United States.

Disagreement was apparent among the experts regarding numbers of persons who might be anticipated to immigrate. Experts associated with business interests and government agencies provided lower estimates, expressing their belief that oppressive action by the People's Government was not in the interests of China, and that emigration from the colony would not exceed a few hundred thousand. Recent immigrants and academics provided higher estimates, citing actions by the People's Government displaying a willingness to act in contravention of existing agreements, and their personal knowledge of emigration-related events in the colony. All agreed, however, that the level of emigration from the colony will be driven by the actions of the People's Government over the next five years. The experts also agreed that immigration to the United States will occur, and that California will receive a significant number of those immigrants.

The experts were in agreement regarding the profile of persons anticipated to resettle in California. All agreed that the first to arrive would represent the business and government elite of the colony and those with sufficient means to leave in any event. Those persons would be best described as well-educated, wealthy, entrepreneurial, and highly talented individuals, familiar with American business practices. Many would bring existing corporations and businesses with them, and should have little trouble integrating into the American culture. Should actions of The People's Government create massive flight from the colony, the profile would shift significantly. This expanded immigration would include the less-educated, less prepared, unskilled and semi-skilled majority of Hong Kong's population. These persons would have more difficulty assimilating into American society, and would present the same concerns as those experienced over the past twenty years as a result of Indo-Chinese immigration. All agreed that bilingual services would be a necessity, regardless of the socio-economic strata from which the immigrants originated. Chief of Police Daniel Cross of the Monterey Park California Police Department stated that his city has seen a considerable influx of Chinese immigrants over the past decade, and his experience has been such that he will hire only Chinese-speaking persons for officer or public contact positions.⁵¹

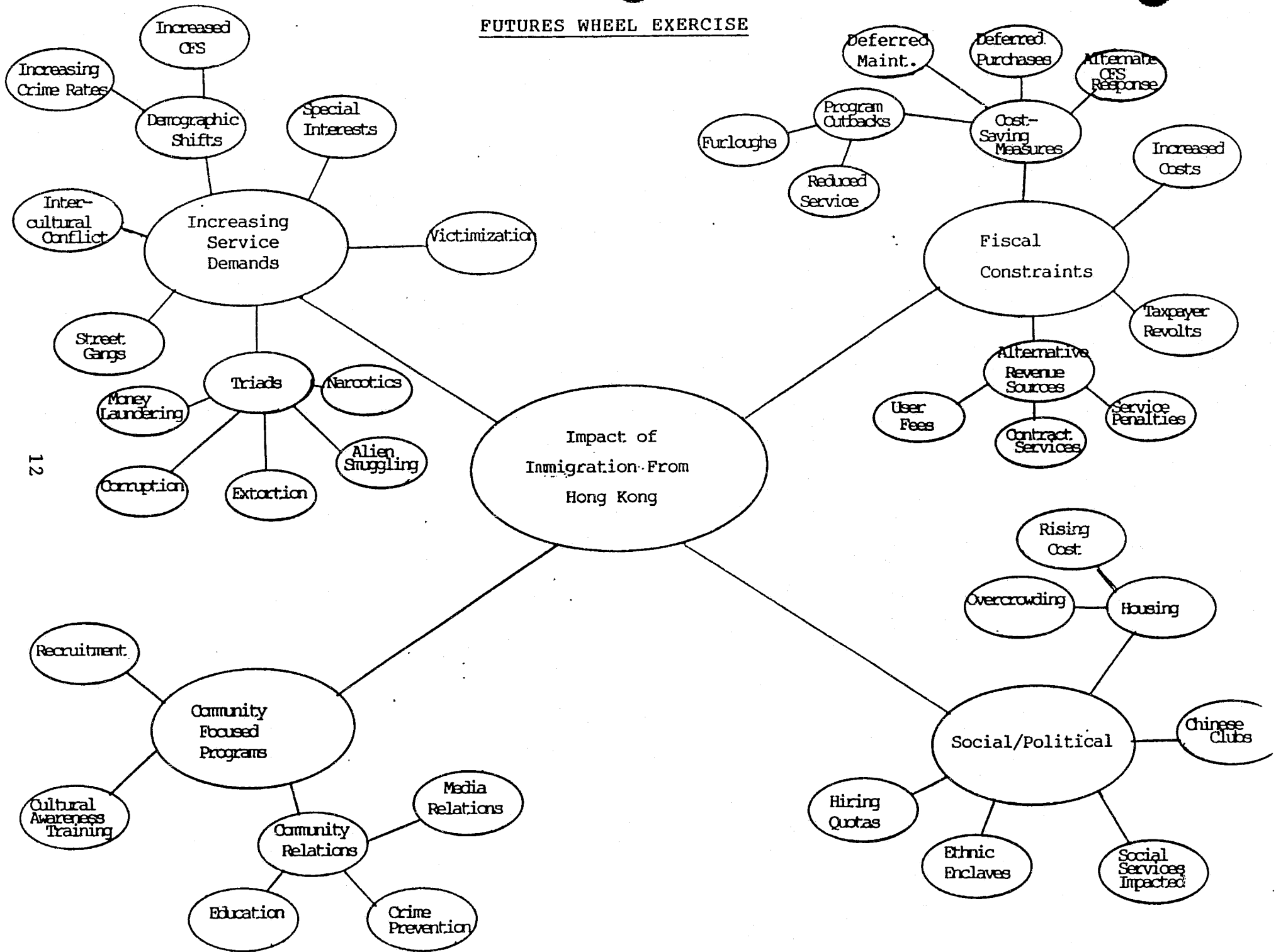
Intercultural Conflict - The experts agreed that some level of intercultural conflict will occur

between newly-arrived immigrants from Hong Kong and existing majority and minority populations. This conflict will consist of resistance from existing populations to visible changes in the appearance of the community, and to cultural differences between Chinese customs and accepted social norms. For law enforcement agencies, conflict will be seen in the political environment, in interracial tension and in the necessity of educating officers as to traditions and customs of the Chinese culture. The experts agreed that the newly-arrived will remain intensely proud of their Chinese heritage and traditions, and will tend to remain centered in social groupings reflective of their common heritage.

Triad Movement To The United States - The experts agreed that members of the Triad Societies would be among those entering the United States. Law enforcement experts interviewed, pointed to increased Triad activity in their jurisdictions over the past few years as evidence of increasing Triad influence in California. They agreed that movement to the United States would not indicate a complete transfer of operations to this country, as the history and culture of the Societies was firmly rooted in China. Rather, Society operations would become decentralized, with a command structure in this country to control U.S. operations. All agreed that the majority of those Triad members leaving Hong Kong would be the wealthy upper-echelon leadership of the Societies, and that it would be necessary to build a criminal infrastructure here through local recruitment. Law enforcement experts stated that considerable evidence exists of Triad attempts to recruit Asian gang members to further establish their presence. All agreed that the Triad Societies pose a significant threat to law enforcement efforts to control organized criminal activity in California.

Trends and Events for Study: Information obtained from the Environmental Scan process contributed to the formulation of a futures wheel (Illustration #1) which depicts the various factors impacting the issue and defining the context within which strategic policy decisions should be made. This information was also used to critically review the results of the preliminary nominal group, resulting in a final list of six trends and six events for futures forecasting.

FUTURES WHEEL EXERCISE



Future Forecasting: A major component of a strategic plan is identification and analysis of significant trends (a cluster of interrelated events, beginning in the past and continuing into the future) that are related to the issue question. During this process, it was necessary to forecast the relative direction (increase or decrease) of each identified trend, and to estimate trend levels into the future. That forecast determined what the trend line probably "will be", and what it "should be" at any future point in time during the study period. Divergence between those two forecasts will be of significant concern in the formulation of a strategic plan.

To complete the trend analysis, the effects of identified potential events (discrete occurrences which occur at a specific point in time) were evaluated. Negative and positive impacts relative to the level of each trend were also examined.

Trend and Event Forecasts: A nine member panel consisting of subject matter experts was assembled utilizing telephone and fax communications (See Appendix G). The panel was assigned the task of forecasting the identified trends and events utilizing a Modified Conventional Delphi (MCD) technique (See Appendix H). The results of MCD forecasts are summarized below and displayed in the Trend Evaluation Table (See Table 1, page 17) and in the Event Evaluation Table (See Table 2, page 21). A graphic display of trend and event forecast data is contained in Appendices I and J.

TRENDS:

Trend 1 (T1) - Level of Intercultural Conflict

This trend reflects the level of disagreement or disharmony in society as a result of a clash of values, social norms, traditions or customs, resulting from bringing a newly-arrived Chinese immigrant population into close contact with existing population groups. The MCD forecast represents that level of conflict present in urban California population centers over the next fifteen years relative to the study issue. The panel was unified in their forecast of a rise in the level of conflict over the next ten years to a level approximately fifty points greater than that experienced today. In the time period between ten and fifteen years from today, the level of the trend will continue to rise but much less significantly, increasing only ten additional points by the fifteen year mark. The panel forecast that the "should be" level of the trend would also increase, but to a lesser degree, rising only fifteen points by ten years, then falling ten points over the next ten years. Upon interview, the panel felt that some increase in intercultural conflict

relative to the issue was unavoidable, even in a perfect world; but that the level of conflict would fall after the bulk of immigration had been experienced by 2002. In the real world, though, the level of conflict will increase significantly as the bulk of immigration is experienced, then continue to increase more slowly through the end of the study.

Trend 2 (T2) - Level of Ethnic Chinese Population in California

This trend reflects the level of ethnic Chinese population in California in proportion to the balance of the State's population. The MCD panel felt that the level of Chinese population in the State will rise significantly to a level approximately sixty points greater than that today by end of the study period. The panel felt that the "should be" level of the trend would also increase, but to a lesser degree, increasing by only twenty-five points. Upon interview, panel members felt that, given the present increase in Asian population as compared to other racial groups, an increase in the level of the trend was certain over the next fifteen years. Given the impact of increased immigration from Hong Kong relevant to the issue, however, the level of the trend would rise to a greater degree, with the divergence of the forecasts representing the impact of Hong Kong immigration.

Trend 3 (T3) - Level of Demand For Chinese-Speaking Government Services

This trend reflects the level of public demand for governmental services in Chinese dialects to address the service needs of that community. The MCD panel forecast that the level of demand will rise by twenty-five points over the next five years, and then rise at nearly twice that rate of increase, or by forty points, within the next five years. The rate of increase will then nearly level off over the last five years of the study period. The panel felt that the "should be" forecast would rise similarly to a point nearly equal to the "will be" forecast by end of the study period. However, at ten years, the level of the "should be" forecast was nearly eighteen points lower, indicating considerable divergence between what will and should be. Upon interview, the panel felt that over the next fifteen years, the Chinese community will become increasingly vocal in its demands for bilingual and other specialized governmental services. The pressures of increased immigration will accelerate that demand, as the Chinese community finds

political support for its demands from other minority groups, immigrant advocacy groups and the police in their search for ways to improve service delivery.

Trend 4 (T4) - Level of Victimization of Persons of Chinese Ethnicity

This trend reflects the level of persons of Chinese ethnicity who fall victim to reported crime. The MCD panel felt that the level of ethnic Chinese persons reporting that they had been the victims of criminal acts would rise steadily over the next fifteen years to a point approximately fifty points greater than that today. The panel felt that the "should be" forecast would also rise, but at a slower rate, and to a significantly lower level by end of the study period. Upon interview, the panel felt that the rise in both forecasts reflected the rising crime rate prevalent in society in general, and increased willingness of foreign-born persons to report victimization. The panel felt that the divergence between the forecasts reflects the higher level of victimization by street gang activity and through fraud of newly-arrived immigrants that exists within the Chinese community, and offered a policy area to be explored.

Trend 5 (T5) - Level of Chinese Organized Crime Activity

This trend reflects the level of criminal activity by traditional Chinese organized crime groups, the Triad Societies, in California over the next fifteen years. The MCD panel felt that such activity will increase steadily to a level forty points above that of today by end of the study period. The "should be" forecast reached the same level, a forty point increase, by end of the study period. Interestingly, the trend showed considerable divergence, a spread of fifteen points, at the five year point. Upon interview, the panel felt that, given known future events in Hong Kong, a significant rise in the level of organized crime activity was inevitable as immigration from the colony increased over the study period. The panel felt, however, that members of the Triad Societies would be among the first to leave the colony; and, in the real world, the influence of the Societies would be felt sooner, rather than later, as immigration progressed.

Trend 6 (T6) - Level of Chinese Street Gang Activity

This trend reflects the criminal activity of ethnic Chinese street gangs in California over the next fifteen years. The MCD panel felt that activity by these

criminal groups will increase significantly over the study period to a level fifty points above that of today. The "should be" forecast also increased but to a level fifteen points lower than the "will be" forecast. Upon interview, the panel felt that this divergence was primarily due to the impacts of social displacement, language barriers and decreased educational opportunities on the children of Chinese immigrants; and, that the attractiveness of the gang lifestyle to those disaffected youth would not be realized until those children reached their teen years. Panel members pointed to similar experience in the Viet Nameese immigrant population over the past twenty years, and the rise in similar gang activity in the past few years, as evidence of this projected phenomena.

T R E N D E V A L U A T I O N

Table 1

TREND STATEMENT (ABBREVIATED)		Level OF THE TREND * (Today = 100)				
#		5 years ago	Today	Five years from now	* Ten years from now	* Fifteen years from now
1	Level of Intercultural conflict	75	100	125 / 110	150 / 115	160 / 105
2	Level of ethnic Chinese population in California	75	100	125 / 120	140 / 130	160 / 150
3	Level of demand for Chinese-speaking government services	75	100	125 / 135	165 / 152.5	175 / 170
4	Level of victimization of persons of Chinese ethnicity	80	100	115 / 115	135 / 127.5	150 / 137.5
5	Level of identified Chinese organized crime activity	80	100	120 / 105	125 / 120	140 / 140
6	Level of Chinese street gang activity	80	100	115 / 110	125 / 120	150 / 135

* Panel Medians
(7 members)

* Five years from now
"will be"/"should be"

* Ten years from now
"will be"/"should be"

*15 years from now
"Will be"/"Should be"

EVENTS:

Event 1 (E1) - The People's Republic of China Violates Terms and Conditions of Its Hands-Off Policy Toward Hong Kong

The People's Republic of China abrogates the terms of The Sino-British Joint Declaration of 1984, and initiates repressive control measures in Hong Kong. The MCD panel expressed a high level of confidence that this event will occur within the study period. The median panel forecast reached a level of 80% within ten years and remained at that level through the end of the study period. The panel forecast the probability of the event occurring within five years as 10%, indicating a belief that such action by the P.R.C. would probably not occur prior to assumption of authority in 1997. The forecast of the effect on the issue was a positive impact of 5, with a negative impact of 8. This event is related to all six trends and is a driving force behind emigration from the colony.

Event 2 (E2) - The U.S. Congress Revises the Definition of Refugee Under the Refugee Act of 1980 to Grant Admission to Persons Fleeing the Fear of Oppression in Hong Kong

The United States Congress redefines the definition of refugee, originally established under the Refugee Act of 1980, to specifically include persons attempting to flee Hong Kong due to fear of future or imminent communist persecution. The MCD panel forecast a slightly better than 50/50 chance of this event occurring during the study period. The median probability of this event occurring rose to 60% by end of the study period, but was only at a level of 30% probability by ten years. Upon interview, panel members felt that this event would occur only in the event of military action to oppress the people of Hong Kong. Panel members felt that the probability of such action was low for at least five years after 1997. The forecast of effect of this event on the issue was evenly balanced at 7. Panel members felt that this event would positively impact the issue by easing intercultural conflict, but would accelerate the negative impacts of other trends on law enforcement in California.

Event 3 (E3) - P.O.S.T. Mandates A Minimum Level of Intercultural Awareness Training for All Peace Officers and Civilian Employees of Police Agencies

The California Commission on Peace Officer Standards and Training mandates that all employees of police agencies in California must receive a minimum number of hours of training in cultural awareness and sensitivity. The MCD panel forecast a high probability that this event would occur within the study period, reaching a median probability of 80% within fifteen years. Interestingly, the panel forecast the probability of this event occurring by ten years as only 50%. Upon interview, panel members stated that this event would most probably occur in response to public demand and political pressure after the full impact of immigration had occurred. Panel members felt would be sometime after 2002. The forecast of effect of this event on the issue was a negligible negative effect of 2, and a positive effect of 8. This event is directly related to Trend 1 - Level of Intercultural Conflict, Trend 2 - Level of Ethnic Chinese Population in California and Trend 3 - Level of Demand For Chinese-Speaking Government Services.

Event 4 (E4) - Public Protests in Support of Changes in Immigration Policy to Allow Increased Immigration From Hong Kong Occur in Major U.S. Cities

Coalitions of immigration advocacy groups and civil rights activists stage public demonstrations in major U.S. cities where sizable Asian populations reside, supporting sweeping revisions in U.S. immigration laws to allow increased immigration from Hong Kong and other Asian nations. The MCD panel expressed a very high level of confidence that this event would occur within the study period. The median probability of occurrence rose to 70% within ten years and to a high of 90% within fifteen years. Upon interview, panel members felt that the probability of this event occurring was directly related to growth in political clout of the Asian population; and, that political action on such issues of concern to a recent immigrant population would be likely. The forecast of the effect of this event on the issue was a negative impact of 4, and a positive impact of 7. This event is directly related to Trend 1 - Level of Intercultural Conflict and Trend 2 - Level of Ethnic Chinese Population in California.

Event 5 (E5) - The California Department of Justice States Control of Asian Street Gangs in the State's Five Largest Metropolitan Areas Has Been Consolidated by Chinese Triad Societies

An announcement is made by the California Department of Justice, acknowledging that Chinese Triad Societies are controlling the activities of Asian street gangs in the state's five largest metropolitan areas to further Triad criminal enterprises in this country. The MCD panel felt that the median probability of this event occurring during the study period was slight, rising to no more than 50% within the study period. Upon interview, panel members felt that the Societies would lack sufficient strength or coercive power to accomplish this task within the time period of the study, and stated that Chinese street gangs existing in the state's major metropolitan areas would resist consolidation as not being in their respective interests. The forecast of effect on the issue was decidedly negative, reaching 8, and the positive effect of the event on the issue was a negligible 2. This event is directly related to Trend 4 - Level of Victimization of Persons of Chinese Ethnicity, Trend 5 - Level of Identified Chinese Organized Crime Activity and Trend 6 - Level of Chinese Street Gang Activity.

Event 6 (E6) - The Asian population of California Exceeds Fifteen Percent of State Population

As a result of growth in the size of the Asian population in California in comparison to other racial groups, the Asian population surpasses 15% of the total population of the state. The MCD panel expressed a very high level of confidence that this event would occur. The panel forecast the median probability of this event occurring as 70% by five years and 100% by ten years. Upon interview, panel members stated that, given the combined influences of present levels of immigration from Hong Kong and other Asian countries, illegal immigration from Asia and increased immigration from Hong Kong relative to this issue, this event would certainly occur within ten years. The negative forecast of effect on the issue was 4, and the positive forecast of effect on the issue was a very high 8. This event is related to all trends forecast.

EVENT EVALUATION

Table 2

	EVENT STATEMENT	Years until probability first exceeds zero	Probability ++			Impact on the issue area if the event occurred	
			5 Years from now (0-100)	10 years from now (0-100)	15 Years from now (0-100)	Positive (0-100)	Negative (0-100)
1	The People's Republic of China violates terms and conditions of its hands-off policy toward Hong Kong	5	10	80	80	5	8
2	US Congress revises definition of refugee under the Refugee Act of 1980 to grant admission to persons fleeing the fear of oppression in Hong Kong	5	20	30	60	7	7
3	P.O.S.T. mandates a minimum level of intercultural awareness training for all peace officers and civilian employees of police agencies	4	20	50	90	8	2
4	Public protests in support of changes in immigration policy to allow increased immigration from Hong Kong occur in major US cities	5	50	70	90	7	4
5	D.O.J. states control of Asian street gangs in state's five largest metropolitan areas has been consolidated by Chinese organized crime Triads	5	15	25	50	2	8
6	Asian population of California exceeds 15% of state population	5	70	100	100	8	4

++ Panel medians, N=7

Cross-Impact Analysis: A key element in the completion of a futures study of a given issue is assessment of the impact of identified events as they occur and are played out against relevant trends. A Cross-Impact Analysis identifies the most prominent trends and events within a set for use in developing future scenarios. The analysis assumes that each forecast event actually occurs during the study period, and measures estimated impact of each event against all other events and trends within the set. Impacting events are referred to as "actors", and impacted events and trends are referred to as "reactors". Impact is measured against the forecast of the Modified Conventional Delphi panel as plus or minus percentage change at the point of maximum impact.

To obtain the data required for this stage of the futures study, a panel of three law enforcement managers was assembled as a consensus panel. The panel identified actor events and reactor events and trends, and completed the Cross-Impact Analysis portion of the study. The five most potent actor events were identified by the number of impacts on reactor trends and events. These actor events will be considered as a focus for policy action. Results of the Cross-Impact Analysis are summarized below and displayed in Table 4, Cross-Impact Evaluation, on page 25.

Event 1 (E1) - The People's Republic Of China Violates Terms And Conditions Of Its Hands-Off Policy Toward Hong Kong

An event of this magnitude would have significant impact on eight other trends and events in the set, and would be a significant driving force behind dramatically increased immigration from Hong Kong. This event would create increased pressure on the U.S. government for immigration reform, probably resulting in redefinition of "refugee" to include persons fleeing the colony. Ultimately, the event would cause considerable pressure on law enforcement agencies to provide specialized services to meet the needs of a rapidly growing refugee population, similar to the impact on law enforcement of the Indo-Chinese refugee influx of the 1970's. Event 2, Event 4, Event 6, Trend 2, Trend 3, Trend 5 and Trend 6 were significantly impacted by this event with increases of at least 50% above forecast levels.

Event 2 (E2) - U.S. Congress Revises Definition Of Refugee Under The Refugee Act Of 1980 To Grant Admission To Persons Fleeing The Fear Of Oppression In Hong Kong

The occurrence of this event would impact eight trends and events in the set. A redefinition of refugee in this context would dramatically increase the size of the Chinese population in California and would result in increased demand for specialized services. At the same time, the level of activity, and resultant victimization by, Chinese organized crime and street gangs would increase as a direct reflection of increased population. Notably, should this event occur at the volition of Congress and not as a result of public pressure, the possibility of widespread public demonstrations in support of immigration reform would be avoided. Event 5, Event 6, Trend 2, Trend 3 and Trend 6 were impacted by increases of at least 50% above forecast levels. Trends 4 and 5 received moderate positive impact in the 30% range. Event 4 received a significant negative impact of 70% below forecast probability of occurrence.

Event 4 (E4) - Public Protests In Support Of Changes In Immigration Policy To Allow Increased Immigration From Hong Kong Occur In Major U.S. Cities

The occurrence of this event positively impacted the probability of occurrence of three other events. More significantly, this event impacted the forecast levels of all six trends, though impact only ranged from insignificant to moderate. The greatest impact of this event is in creating substantial pressure on the U.S. Congress to revise immigration policy. That event has substantially greater impact within the set, making this event a triggering event more than a direct actor event. No other event or trend was impacted more than 40% above forecast levels. The impact of this event appears to indicate that, although public protest is a significant force for change in a political context, other events and trends are unaffected outside that context unless political action results. Event 4, Event 2, Event 3, Event 6 and Trends 1 through 6 were impacted.

Event 5 (E5) - The California Department Of Justice States That Control Of Asian Street Gangs In The State's Five Largest Metropolitan Areas Has Been Consolidated By Chinese Organized Crime Triads

The occurrence of this event impacted five of six trends, but only one other event. Were this event to occur, it would only have a minor positive impact on mandated cultural awareness training. On the other hand, and logically, this event would have significant impact on the victimization of ethnic Chinese persons at the hands of Chinese street gangs. A moderate increase would be experienced in the area of demand for specialized services for the Chinese community, probably as a result of activism in that area by those willing to speak out against the gangs. Some increase would also be experienced in the area of the level of Chinese population as a result of increased activity by the Triads and street gangs in illegal immigration. Event 1, Trend 1, Trend 3, Trend 4, Trend 5 and Trend 6 were impacted.

Event 6 (E6) - The Asian Population Of California Exceeds Fifteen Percent Of State Population

This event was clearly the most powerful actor event in the set. Although only three events were impacted, all six trends were impacted, three at least 70% above forecast levels. A substantial increase in the level of Chinese population will have tremendous impact on both the political and law enforcement arenas, resulting in strident demands from a politically powerful minority for increased specialized services to meet the service needs of the Asian community. Increased victimization of ethnic Chinese persons and a significant rise in activity of both Triad Societies and Chinese street gangs will be cited as demonstrating the need for such services by the Chinese community. In response to this population growth and political pressure, P.O.S.T may expedite attempts to mandate intercultural training. The probability of public protests to change immigration law for the benefit of the Asian community may result. However, Congress will be less than receptive. Event 2, Event 3, Event 4 and Trends 1 through 6 were impacted.

CROSS - IMPACT EVALUATION

TABLE 3 - Cross-Impact Evaluation
Consensus panel, N-3

MATRIX												Maximum impact (% change ±) / Years to Maximum	"IMPACT" TOTALS
Panel Agreement													
E1	E2	E3	E4	E5	E6	T1	T2	T3	T4	T5	T6		
E1	+60/8		+85/8	+25/11	+90/9		+75/9	+60/8.5		+70/11	+50/9	E1 8	
E2			-70/12	+50/12	+80/12		+70/13	+75/12.5	+35/13	+30/12.5	+75/13.5	E2 8	
E3						-15/13		+20/13.5	-25/13.5		-10/13	E3 4	
E4	+60/8	+40/9			+40/9	+15/7	+30/8	+15/8	+5/8	+10/7.5	+15/7.5	E4 9	
E5		+10/12				+10/12.5		+20/12.5	+50/12.5	+30/12.5	+75/12.5	E5 6	
E6	-20/7.5	+20/7.5	+15/8			+30/8	+90/7.5	+80/8	+70/8	+75/8.5	75/8	E6 9	
"IMPACT" TOTALS													
E1	E2	E3	E4	E5	E6	T1	T2	T3	T4	T5	T6		
0	3	3	3	2	6	4	4	6	5	5	6		

**** Legend**

- | | | | |
|--------------------------------------|------------------------------|------------------------------|-----------------------------|
| E1 P.R.C. violates Joint Declaration | E5 Gang control consolidated | T1 Intercultural conflict | T5 Organized crime activity |
| E2 Congress redefines refugee | E6 Asians exceed 15% | T2 Chinese population = +15% | T6 Street gang activity |
| E3 Post mandates training | | T3 Chinese-speaking services | |
| E4 Protests support immigration | | T4 Victimization of Chinese | |

Scenarios: In the process of developing policy to address future needs, it is of considerable benefit to develop a view of what the future may look like in operational terms. This is accomplished by developing scenarios describing the impacts of trends and events relative to the issue under study, so that the future state of the organization, and the environment in which the organization exists, may be examined. These scenarios become a starting point for strategic action to avoid, mitigate or enhance the impact of the study issue on the organization.

The three scenarios presented are:

1. Exploratory Mode (Surprise Free Scenario)
2. Hypothetical Mode (What If Scenario)
3. Normative Mode (Desired and Attainable Scenario)

All three scenarios take place in the City of Santa Ana in the year 2007, and are set against the actual conditions of the community anticipated to exist relative to the study issue. A detailed description of the City Of Santa Ana is provided in Section Two: Strategic Planning.

EXPLORATORY SCENARIO

**SIGNAGE ORDINANCE NARROWLY DEFEATED,
MEASURE SEEN AS ANTI-CHINESE BY ASIAN CHAMBER OF COMMERCE
THE ORANGE COUNTY REGISTER**

January 23, 2007

**CHINESE COMMUNITY DEMANDS MORE BILINGUAL POLICE
THE ORANGE COUNTY REGISTER**

March 22, 2007

**CHIEF SAYS ASIAN GANG ACTIVITY UP 50% IN PAST TEN YEARS,
SAYS MORE MONEY NEEDED TO COMBAT THE GANGS
THE ORANGE COUNTY REGISTER**

June 1, 2007

The Chief of Police sat in Council Chambers, preparing for the evening's meeting. His staff had done their usual excellent job in preparing him for the issues which might be raised. The department had come under criticism at the last meeting for its lack of success in dealing with a rising rate of gang-related crime affecting the city's Chinese community. The Chief expected fireworks over his interview with the local English-language newspaper the day after the last meeting, but his answers were prepared.

Over the past fifteen years, the Asian population of the state had increased at a higher rate than any other population segment. Since 1990, the Asian population had grown over 300%, nearly twice the rate of any other population segment. The fastest-growing Asian group, state-wide as well as in the city, had been the Chinese. The expansion of that community had been primarily as a result of the attractive business climate of the city and a thriving and cohesive Chinese residential and business community. Nearly half of the Asians in the city were now Chinese, and the total Asian population was now slightly over 15%, only 3% less than the Anglo population.

That fact, and the rapid changes in the community over the past several years, had created considerable conflict between the newly-arrived Chinese and the city's older power structure. Conflicts over English versus Chinese-language retail signage and recent resistance to the School District's new bilingual Chinese school curriculum had been prime examples of a growing Anglo backlash. The Anglo community had formed an uneasy political alliance with the city's Hispanic majority, who resented attempts by government to proactively meet the needs of the

Asian community, claiming that the needs of their community had not been met for over two generations. Together, they formed a political block to action designed to improve service to the Chinese community.

Recently, however, an Asian political coalition had formed, spurred on by the efforts of the newly-formed Asian Chamber of Commerce. This political minority had become openly confrontational with Council, demanding additional community outreach programs and bilingual services. Central to their arguments was the issue of increasing victimization of their community at the hands of Chinese street gangs. As the Chinese population of the city had grown, the gangs had naturally followed. As in Los Angeles and San Francisco, the organized gangs presented a considerable challenge to law enforcement. Protection rackets, business extortion, loan sharking, narcotics and illegal gambling had become the gangs' stock and trade, and were seriously impacting the Chinese community. In recent months, several violent confrontations between rival gangs had occurred, signalling a growing struggle for control over areas of the city's Chinese retail areas.

The Chief knew that his department was unprepared to deal effectively with problems in the Chinese community. Fear of retaliation from gangs, cultural reluctance to deal with the police and distrust of authority made it difficult to adequately assess the extent of the problem. Despite recent protests and statements of concern by the Chamber, the Chinese community remained isolated and outside the city's mainstream. Much of the problem hidden and unknown to outsiders.

A lack of sufficient numbers of bilingual personnel and outreach programs made efforts to penetrate the cultural biases of the Chinese community a difficult task at best. Unable to communicate effectively or to proactively address the needs of the city's Chinese residents, the department had been forced to take a position of dealing with issues only when brought to its attention, and to cleaning up the mess after crime had occurred. Proactive and community-based initiatives had been only minimally effective, and traditional incident-driven methods were the only viable option. The Chief had made a number of proposals to expand service to the Chinese community through aggressive recruitment of bilingual sworn and non-sworn personnel, but each had required more resources in a tight economy, and had been rejected by Council. Without change in the attitudes of the political majority coalition toward Chinese, improvement in service delivery would be nearly impossible.

NORMATIVE SCENARIO

STATE'S ASIAN POPULATION EXCEEDS 15%

THE ORANGE COUNTY REGISTER

February 15, 2001

ASIAN GROUPS LAUD STATE PROGRAM ON INTERCULTURAL AWARENESS

THE ORANGE COUNTY REGISTER

October 7, 2006

SANTA ANA POLICE REPORT CRIME IN CHINESE COMMUNITY ON DECLINE

THE SANTA ANA CHINESE DAILY NEWS

May 25, 2007

The Chief sat at the head table, waiting to be called to the podium. This was the second time this year that the Chinese Chamber of Commerce had asked him to give a luncheon address on issues affecting their community. He had been contacted by the Chamber's President, Mr. Peng, shortly after his press conference on May 24th. The Chamber wanted to know more about the decrease in crime in the Chinese community and how the community could help in keeping that positive trend going. The Chief reviewed his notes and focused on the issue.

Over the past fifteen years, the complexion of the city had changed considerably and had become a true cosmopolitan community. Prior to 2002, the city had a large and rapidly growing Asian community of primarily Indo-Chinese and Korean origins. Then, in that year, demonstrations occurred in several major cities in support of changes in immigration law to expand immigration from Asia. Congress responded by passing the Immigration Reform Act of 2002. The natural beneficiaries of that action were the people of Hong Kong. Over 600,000 persons in the colony had the foreign passports permitting them to leave, but few could enter the U.S. prior to immigration reform. Since that action, the Asian population of Santa Ana had doubled in five years. Asians were now over 25% of the city's population, and the Chinese were nearly half of the Asian population. Perhaps it was that factor, as well as the political coalitions between Asian and Anglo minorities to balance Hispanic political power, that explained a relative lack of increase in intercultural conflict in the community, as compared to the rest of the county.

The explosive growth of the Chinese population had placed considerable strain on police resources in trying to meet the service needs of that community. The majority of Chinese immigrants spoke little English and had a cultural bias against cooperation with the police. A lack of bilingual officers fluent in Chinese had created immediate service problems which had

grown worse over time. Unable to provide adequate bilingual service, the department had been unable to overcome those cultural biases, and had been forced to rely on cooperative citizens and telephone-linked translation services provided by the California Highway Patrol to address crime in the Chinese community. Recruitment efforts were underway to hire bilingual employees, but would take years to realize significant benefit.

The Chinese community fell prey to increased Chinese street gang activity. The gangs naturally followed as the Chinese population of the city grew. In the vacuum created by effective and culturally aware law enforcement, the gangs flourished. Victimization within the Chinese community had risen by over 100% in the past five years. The Triad Societies from Hong Kong had also made their presence known. Intelligence sources indicated that a Triad organization was establishing a foothold in Santa Ana to further its criminal enterprises.

As the Chinese community grew in size, they had also grown in political awareness. Coalitions with the other Asian groups had produced considerable pressure at the local and state level for specialized services to meet the needs of the Asian community. Those efforts had been successful to some degree. Two years earlier, P.O.S.T. had mandated a minimum of forty hours of intercultural awareness training, including rudimentary Chinese-language phrases and sentence structure, for all employees of police departments statewide. The effects of that mandate had been significant. The ability of his department to deliver culturally sensitive service and to handle basic services in Chinese had paid handsomely in penetrating the cultural biases of the Chinese community. To be sure, reported victimization had risen initially as increasing numbers of Chinese persons reported criminal acts. However, the good news was that in this year, Chinese street gang crime was down 10% and the level of victimization within the Chinese community was down 25%.

That was the good news the Chief had come to deliver. Positive outreach programs were effective in reducing crime and reaching a newly-arrived immigrant community. The key element was the ability to communicate in order create understanding and awareness of problems and common ground.

HYPOTHETICAL SCENARIO

FOUR DEAD IN CHINATOWN SHOOTOUT

THE ORANGE COUNTY REGISTER

June 21, 2007

CHINESE COMMUNITY PICKETS COUNCIL MEETING,

DEMANDS FOR MORE POLICE TO DEAL WITH RAMPANT CRIME

THE SANTA ANA CHINESE DAILY NEWS

July 15, 2007

DEALING WITH CRIME IN LITTLE CHINA,

THE SANTA ANA EXPERIENCE

THE F.B.I. LAW ENFORCEMENT BULLETIN

May 15, 2007

"Another gang shooting.", Lt. Choe muttered, as his police car lurched and weaved through heavy traffic enroute to the scene. "If only the department, or somebody, had seen this coming fifteen years ago! Maybe we could have done something to keep things from getting this bad." He knew that lack of planning by the city and police department was not completely to blame. After all, much of what had happened in Santa Ana had been as a result of events over which the city had no control.

Prior to 1995, Santa Ana had been a predominately Hispanic city. The Asian community was less than 10% of the population. Then, in 1995, the People's Republic of China had begun their takeover of Hong Kong, two years early and in violation of the terms of their agreement with Britain. Dissatisfied with the outcome of democratic elections in the colony in that year, The People's Government had moved to take the colony through occupation. Their actions caused an international incident that soon passed, but the the fallout of the takeover had not.

Millions of Chinese clamored to escape the communists. In the U.S., coalitions of Asian rights and immigration reform groups held demonstrations to press for immigration reform to address the issue. In response, Congress had passed the Immigration Reform Act of 1996, which included a provision to make persons residing in Hong Kong "refugees". The influx from Hong Kong had been unexpected. Between 1996 and 2002, 2.5 million persons fled the colony. To be sure, Canada and Australia had absorbed their share, but one million Chinese immigrants and refugees arrived in America. Of those, 400,000 settled in California's five largest metropolitan areas, including Santa Ana. In five short years, the Chinese population of the city grew by over

50,000 persons. Living in overcrowded conditions, lacking adequate English skills and without sufficient employment opportunity, immigrants had swelled the welfare rolls and overburdened the city's infrastructure. They remained in a cohesive, ethnically-centered community, and Santa Ana had its Chinatown.

Conflict between the newly-arrived Chinese immigrants and the city's older power structure created deep divisions in the community. Over the past several years, the city had experienced a number of racially-motivated hate crimes against Chinese. The conflict was apparent in the political environment, as the Anglo and Hispanic majority resisted the changing nature of the city. An ordinance banning Chinese-language signage was under review by the courts, and would probably be found unconstitutional. The evening before, Council had passed a resolution attacking a plan by the school district to implement a bilingual Chinese curriculum. Reaction in the Asian community had been to form a political coalition which had recently demonstrated at Council, demanding a significant increase in bilingual services. Last week, the coalition filed a federal civil rights action against the city, alleging racial bias by Council in systematically denying the Asian community adequate government services and police protection.

Understandably, Chinese street gangs from California, and from Hong Kong, had found fertile ground for their criminal activities, and for recruitment of immigrant youth. The gangs controlled much of the city's Chinese retail and residential areas, and the Chinese community had become a victim population. Crime and business extortion flourished under street-level control of the gangs. As in many California cities, the Triad Societies from Hong Kong, had taken control of the gangs for their own purposes. Over the past year, a violent conflict had broken out, as Triad controlled gangs and remaining factions of independent street gangs fought over control of territory and criminal profits.

One year earlier, in 2005, P.O.S.T. had mandated a forty-hour course in intercultural relations for all police department employees to address problems experienced statewide in dealing with the Chinese problem. The impact of that course looked promising, but the problems were such that it would take years to adequately penetrate the barriers of language and cultural biases which prevented the department from effectively addressing the problems of the Chinese community. Perhaps conditions would improve over time. Efforts to recruit bilingual officers and public contact employees, although started much too late, had begun to show some success. Many Chinese, particularly the young, were becoming acculturized and were resisting the gangs. Lt. Choe turned to the Chinese-American Explorer Scout in the back seat and whom he had commandeered to translate, "Just stick with me, kid. You'll be alright."

SECTION II: A STRATEGIC PLAN

**Addressing The Police Service Needs Of
A Newly-Arrived Chinese Immigrant Community**

Purpose: Strategic planning is a structured process through which a desired future state may be achieved, or the effects of an anticipated but undesirable future state mitigated. The process consists of three identifiable stages. The first of these is development of a mission statement which defines the direction of the organization and parameters within which policy decision-making is to be made. The second is analysis of organizational readiness and capability for change, as well as factors within the external and internal environment which may help or hinder change. The third is development of policy to produce the desired effect on the organization relative to the future. For purpose of this study, the Normative Scenario has been selected as offering the greatest potential for policy development in order to mitigate the impact of a "feared but possible" future.

The Setting: The City of Santa Ana is located 45 miles southeast of Los Angeles and is a culturally diverse urban community. The city has a full-time population of 300,000 residents and is the second most densely populated city in the state. The 1990 census indicates that the ethnic representation of the city is 65% Hispanic, 9% Asian and 3% black. Since 1980, the Hispanic population of the community has grown 110%, while the Asian population has grown over 200%. During the same period, the White population decreased 10%.⁵²

The explosive growth of the city's minority population has created rapid and sweeping changes in the social, economic and political fabric of the community. The Santa Ana Unified School District reports that minority students comprise 93% of current enrollment and that over 40 languages and dialects are spoken by the district's student population.⁵³ Portions of the city's retail areas reflect the cultural diversity of the community through signage, architecture and product lines. Spanish and a number of Asian dialects have become accepted languages of business and commerce. Although the Anglo minority remains influential, the political environment of the community is evolving to that of political pluralism representing the diversity of the community's electorate.⁵⁴

Santa Ana boasts a strong economic base with a well-developed light manufacturing segment and significant growth over the past decade in the service industry segment. The city aggressively seeks out and retains business investment and promotes a close working relationship between public and private sectors. The majority of residents are employed within the community at or near minimum wage and spend their incomes within the community, minimizing sales tax revenue losses. Santa Ana is also the seat of government for Orange County and benefits from the legal, financial and other governmental trades associated with being a government center. Because of these factors, Santa Ana is in a better revenue position

than many other California cities. However, the discontinuation of federal funding for some local programs has unavoidably impacted the city. Continued recessionary impacts will adversely influence government's ability to raise and spend revenues on government services.

The Santa Ana Police Department totals 625 positions, 425 of which are sworn officer positions and 200 of which are non-sworn line and management positions. The department aggressively recruits bilingual personnel. Bilingual capability in one of the primary languages spoken within the community is considered a minimum requirement for hiring, and 27% of sworn personnel and 37% of all personnel are bilingual in Spanish. However, only 1.5% of all personnel are bilingual in any of the varied Asian dialects spoken within the city.

Macro and Micro-Mission Statements: The macro-mission of the Santa Ana Police Department is a statement of organizational purpose which provides a clear sense of the department's direction, focus for the department's daily operations and a guide for policy decision-making. The macro-mission statement of the Santa Ana Police Department is:

To ensure the safety and security of all people in our city by providing responsive and professional police services with compassion and concern.

Our mission is accomplished within the moral and legal standards of our community, through a problem solving partnership with the community and members of the department.

A micro-mission is a statement of a particular organizational value, and defines that value relative to the overall mission. Within the context of this study issue, a group of three department managers developed the following micro-mission statement to reinforce the department's commitment to addressing service needs of a newly-arrived immigrant population:

The Santa Ana Police Department recognizes that it exists within a society characterized by cultural diversity and demographic change. The department shall proactively respond to such change so as to provide effective police service to all residents of our community.

Situational Analysis: A critical element in any strategic plan is an assessment of the environment in which change must occur in order to develop a picture of helping and hindering influences and forces which exist. For this study, two assessment techniques were used. First, a scan of the external environment in which the organization lives was conducted to determine "opportunities and threats" relevant to this issue. Second, a scan of the internal environment of the organization was conducted to identify "strengths and weaknesses" which could affect policy development and implementation. For purpose of this paper, opportunities are defined as any existing circumstances, conditions or trends within the external environment favorable to policy

development and implementation. Threats are defined as any unfavorable circumstances, trends or conditions. Strengths are defined as any organizational resources which may be utilized to assist in the development and implementation of policy or process to bring about desired change relevant to this issue. Weaknesses are defined as those conditions, circumstances or persons which would inhibit desired change. A group of five department managers was used to develop information required for analysis.

Opportunities: Much of the impact of the demographic shifts which have occurred in Santa Ana has been positive. The influence of the combined Hispanic and Asian cultures has brought a resurgence of the values of family, responsibility and strong neighborhoods which are critical to the success of policing efforts in any community. These values have created deep concern over the issues of crime and improving the quality of life of all residents. Both groups have been outspoken in their support for programs designed to improve the department's ability to meet their service needs. These minority communities offer a significant support base for policy development and implementation, as they are consumers of approximately 74% of police services.

In 1975, the Santa Ana Police Department implemented its Community-Oriented Policing Program. This program emphasizes a strong partnership with the community in addressing the city's policing needs. In 1990, the department embarked on a major restructuring of the program with implementation of the concepts of Problem-Oriented Policing, or Community Policing, as advocated by Dr. George Kelling and others.⁵⁵ Through this program, long-term solutions to problems are sought to preserve and improve the quality of life of the community's neighborhoods. Both programs have been well-received and the department has been lauded for its non-traditional approach to community service. These conditions, more than any other, offer the department its greatest opportunity for success in implementing policy to bring about change within the context of this issue.

Threats: While much of the impact of growth of the minority community has been positive, this demographic shift has also created cultural clashes in which the once-dominant Anglo community sees its way of life threatened and openly expresses a desire to return to the way things used to be. This population segment points to substandard property maintenance, rising crime rates and the amount of police services required for minority needs, as evidence of community deterioration at the hands of minorities. Department efforts to reach long-term solutions to community problems utilizing non-traditional methods are viewed with suspicion,

as the Anglo community presses for more traditional policing methods to control minority-related crime and protect it's shrinking community.

Conflict between Anglo, Hispanic and Asian populations is also evident in the city's political environment, which is characterized by a powerful but relatively small Anglo minority struggling to retain power and minimize the influence of a numerically superior, but politically ineffective minority majority. Historically, local election voter turn-out has been small, with most voters being middle-class Anglos residing in two of the city's six wards. Only two of the city's seven elected officials are Hispanic and none are Asian. The political reality is such that minority councilpersons are dependent on the support of the Anglo community to be effective while not turning their backs on the minorities they represent. Anglo councilpersons face a similar dilemma, in that they are in a position to represent the interests of the city's Anglo minority, but are fearful of antagonizing the city's large non-Anglo community. This environment of social and political conflict creates uncertainty and discourages action which may upset or alter the delicate balance which exists between the Anglo and minority communities and is a significant threat to acheiving desired change.

As a natural result of the city's highly uncertain and volatile political climate, political leadership is fiscally conservative and highly reactive to community political pressure in its approach to new service delivery programs and strategies. Fiscal decisions are sometimes made on incomplete information, or in response to special interest attention. As City Council has approval authority over expenditure of funds for new programs, desirable change may be endangered by political influences beyond control of the department.

Strengths: The Santa Ana Police Department enjoys a high level of support from the community, which considers the department as responsive, efficient, effective and highly professional. Through the department's Community-Oriented Policing Program, the department enjoys a close working relationship with all segments of the community in its efforts to deal with crime and quality of life issues. This support will lend credence to department initiatives to implement change.

The management team of the police department proactively approaches operational issues affecting the department and the community. This action-oriented philosophy is generally supported by employees and management enjoys a high level of credibility in approaching issues and dealing with them before crises arise, and will serve to positively influence decision-making relative to this issue.

The police department prides itself on an organizational climate which fosters creativity and innovation. This is demonstrated on a daily basis by the manner in which the department addresses community problems and service delivery processes. Through Community Policing, personnel are empowered to identify problems which affect the community and address them with full organizational support. This philosophy has proven to be highly successful, resulting in innovative and creative solutions to long-standing community concerns.

The department encourages a long view of organizational and policing issues. Quick fixes or band-aid approaches to community or organizational concerns are acceptable only while long-term solutions are being developed and implemented. This view adds credibility to policy implemented to create desired change. The department is currently in the process of implementing a Total Quality Service (TQS) program, which is based on the principles of noted statistician W. Edwards Deming.³⁶ TQS stresses the production of high quality government services through continuous improvement and examination of systems and processes. With its origins in what has been referred to as the Japanese style of management, TQS has at its root, empowerment of employees to address internal organizational issues at the lowest levels of the organization. This environment serves the organization well as it deals with service delivery issues and enhances the organization's ability to create desirable change.

Weaknesses: Although Santa Ana is in a better financial situation than many California cities, the economic climate of the city has placed government in the position of exercising strong fiscal restraint in daily operations. These restraints have required scale-backs in non-essential services and limited implementation of new programs except where clear and present need is apparent. Fiscal restraints may adversely affect change where expenditure of funds is required.

The Santa Ana Police Department is organized into functional divisions. Between divisions, normal competition exists over service priorities and the resources to accomplish individual divisional goals. Given the present economic situation of fiscal restraint, strategies and policy which require diversion of personnel or fiscal resources from existing programs will be resisted, potentially affecting the ability to create desired change.

The department has had a long history of conflict with the Santa Ana Police Officer's Association. In recent years, the SAPOA has become politically active, supporting candidates for local election who are friendly to their views through financial contributions and overt political activity by the association's Political Action Committee. Given the volatile political climate of the community, the political relationships of the SAPOA present a significant

challenge to management in implementing change. Policy proposed to address a non-immediate need, and which will divert resources from traditional enforcement programs, will encounter opposition from the association. This resistance is a considerable inhibiting factor to implementing desired change.

Internal Capabilities Analysis: In order to further assess the organization's strengths and weaknesses, it was necessary to assess the organization's capability and readiness for change. As a result, an Internal Capabilities Analysis instrument was completed. Analysis indicates that the organization possesses considerable senior and mid-level management resources which may be utilized to create desired change. The community, particularly the Asian community, is properly placed to accept policy relative to this issue. Financial resources, however, are lacking, should a large expenditure of funds be required to implement change necessary to achieve the desired scenario. The Santa Ana Police Officer's Association is not in a position of readiness for change and the position of the association will require modification in order to avoid resistance. The political leadership of the community shows both capability and readiness for change.

These factors indicate that the organization is receptive to change, if strong leadership is exercised to modify the position of the SAPOA and to ensure the support of the community and its political leadership. This support will be critical, should expenditure of funds be required to affect change without adverse impact on other department operations or programs.

Results of analysis are displayed in the Internal Capabilities Analysis Table (Appendix K).

Strategic Assumption Surfacing Technique (SAST): An important part of the strategic planning process is identification of persons and/or groups which are impacted by desired scenario. These persons are known as "stakeholders" and consist of three identifiable subgroups: 1) those who are impacted by policy or decision; 2) those who care about what you do; and 3) those who influence or control what you do. The object of the Strategic Assumption Surfacing Technique is to identify stakeholders and make informed assumptions about their position relative to the issue. This analysis was completed with assistance from five Santa Ana Police Department managers.

Stakeholder Analysis: The following list represents those stakeholders whose support is necessary to create change required to achieve the desired scenario. Assumptions relative to their respective positions on the issue, the certainty of those assumptions and importance of each, are displayed on the Strategic Assumption Map (Appendix L).

1. The Asian Community - President, Vietnamese Chamber of Commerce - Supportive and critical to the strategy-

The Asian community is the most obvious stakeholder as they stand to gain from policy designed to positively address the issues of a growing Asian population. The Asian community will support policy developed to improve police services and cultural sensitivity of the police to their community's needs. This community will attempt to build political support for such policy by building political coalitions to influence decision-making and resource allocation.

2. The Hispanic Community - National Director, Hermandad Mexicano Nacional-

Supportive, if policy is perceived to benefit their community, and important to the strategy -

The Hispanic community has supported policy which serves the interests of minority groups but has been critical of inadequate numbers of bilingual and bicultural personnel on the department. However, they have been supportive of the department in general, and efforts to address service inequities. The Hispanic community will support policy to address the service needs of the Asian community, but only if policy also addresses the needs of the Hispanic community, or if the Hispanic community will not suffer loss of service.

3. Chief of Police -

Supportive and critical to policy -

The Chief of Police is ultimately responsible for the success or failure of policy and for service delivery to all segments of the population. Policy which improves that process benefits him personally and the effectiveness of the agency. Success or failure bears greatly on future resources and personal political support at Council and in the community. The Chief will support policy which shows a likelihood of success and political acceptability, and will seek demonstrable and quantifiable results in as rapid a manner as possible to justify fiscal resources required.

4. The Santa Ana Police Officer's Association - President, SAPOA -

Support dependent on perceived impact on association membership - very important -

The association has a significant stake in this issue. The addition of personnel

or other resources to ease workload on existing officers and prevent exacerbation of the problem of delivering service to the minority community is in the best interests of the membership. The association will support policy if it may be shown that resources will be made available to address service needs and ease workload of minority personnel. The association will oppose policy if it is perceived that policy will delay additional resources or disadvantage non-minority personnel.

5. The City Council -

Conditionally supportive - Important if additional fiscal resources required - The City Council has a significant political stake in policy which will improve delivery of police services. This issue is of particular importance as Council stands to gain political support from an increasingly powerful minority community which comprises the vast majority of the city's population. Council will support policy or allocation of resources which will gain support in the minority community, without adverse impact on the Anglo community, and which shows real potential for success.

6. The City Manager -

Conditional support - Important - The City Manager is responsible to Council for efficient use of Public resources and for effective service delivery. Due to fiscal restraints, The Manager must limit support to those issues which are immediate and where action is required to meet an important need. The Manager will support policy if a real need can be shown which affects efficient delivery of services, but will not support policy where need is ill-defined.

7. Other City Departments -

Non-supportive - Somewhat important - The Police Department is but one of 11 city departments. Due to the economic situation of the city, resources which may be required will, of necessity, come from other department operating budgets. City departments will not support policy which costs them fiscal resources and which benefits only the police.

8. Neighborhood Associations -

Highly supportive - Critical to policy -

Santa Ana boasts 37 active Neighborhood Associations involved in the improvement of living conditions in their neighborhoods. The majority of residents of those neighborhoods are minority persons. The Associations have a significant stake in policy which affects the delivery of service to any segment of the community and improves conditions within their neighborhoods.

9. The Business Community -

Mixed, conditionally supportive - Somewhat important to policy -

The business community has an interest in any policy which affects the delivery of police services. A significant number of business owners are members of the minority community, as are their employees. Additionally, any improvement in service which improves the quality of life in the community affects the profitability of their businesses and potential return on their investments. The business community will actively support policy which offers a tangible improvement in the delivery of police services to the community, but will not support policy which fails to do so in the short run.

10. The Media -

Neutral to supportive - Important to public opinion regarding policy which may affect the support base of other stakeholders -

The local media have an interest in any action of government which it deems newsworthy and which is the subject of controversy in the community. The media are a strong advocate of the rights of the minority community and are critical of government action in this area. The media would support policy which is perceived as benefitting the minority community without reduction in service levels to other segments of the community. The media would not support policy perceived to be a token measure with no real impact or which results in reductions in service levels to other segments of the community.

11. Captain, Field Support Division, Santa Ana Police Department

Very supportive - Critical to strategy -

The community relations functions of the department are centralized in the Department's Field Support Division. Strategies involving outreach based programs would come under his command. The Captain is supportive of such programs and of innovative solutions to community concerns.

Modified Policy Delphi: Nine persons were assembled into a Modified Policy Delphi Panel. The panel consisted of five members of the Santa Ana Police Department command staff, three city government managers and one academic. The panel formulated, discussed and selected policy alternatives offering the greatest probability of realizing the selected scenario. Seventeen possible policy alternatives were selected which addressed the issue (See Appendix M). The panel reviewed and evaluated alternatives by criteria which maximized desirability, stakeholder acceptance and feasibility (See Appendix N). From the original list, three policy alternatives were selected which offered the greatest likelihood of success. These are discussed below:

1. Develop a recruitment program for bilingual, bicultural, Chinese-speaking personnel. The Santa Ana Police Department should develop a recruitment program targeting bicultural persons fluent in the major Chinese dialects. Utilizing a variety of marketing techniques, suitable candidates could be located and hired, expanding bilingual service capability and increasing the department's Asian ethnic representation.

PROS: A long-term and relatively permanent solution to language barrier issues. A means to improve effective service levels within that population segment, while improving service levels city-wide through addition of personnel. A means to penetrate the mistrust and suspicion of authority often exhibited by a newly-arrived minority immigrant population through enhanced community outreach and crime prevention program

An accepted strategy to address minority recruitment issues

CONS: No short-run or immediate impact due to program development lead time and training requirements

No guarantee that adequate numbers of qualified candidates could be secured

Negative impact on present service levels, given the need to maintain non-bilingual vacancies to facilitate hiring of Chinese-speaking candidates
Resistance from the Hispanic majority as vacancies are unfilled by Spanish-speaking candidates available within the Hispanic community

history of limited success within the Asian community

Resistance from the Santa Ana Police Officer's Association

Resistance from the Anglo community due to short-term impact on service levels

2. Establish an Office of Asian Affairs Within The Police Department.

The Santa Ana Police Department should establish a community relations function specifically tailored to meet the needs of a growing Asian community. This unit would serve as government liaison with, and provide community outreach services to, that community utilizing foreign language resources of the Asian community when required.

PROS: Would provide an active police presence within the Chinese community

Would result in increased trust and interaction with a newly-arrived Chinese community and enhance service delivery to other Asian population groups

Would be seen by stakeholders as a proactive strategy to improve relations with a growing Asian community

Would incur minimum reductions in city-wide service delivery

CONS: Significant fiscal impact from salaries, training costs and preparation of bilingual materials

Would not address bilingual service needs

Would not address inequities of service to the Asian community

Would be resisted by the Hispanic community as no similar program exists for that population group, or if service reductions to that community result

3. Establish an Office of Asian Affairs within the Police Department with foreign language bank capability.

The Santa Ana Police Department should establish a community relations function specifically tailored to meet the needs of a growing Asian community. This unit would serve as government liaison with, and provide community outreach services to, that community. This function should be combined with a language bank staffed by bilingual Asian language-speaking citizen volunteers available for public functions or by telephone when needed for translation services by field personnel.

PROS: Would provide an active outreach presence within the Chinese community

Would result in short-term benefit in service delivery improvement to the Chinese and Asian community

Would result in increased trust and interaction with a newly-arrived Chinese community and enhance service delivery to other Asian groups

Would be seen by stakeholders as a proactive strategy to improve relations to a growing Asian community

Would improve service delivery to the Asian community as a whole due to enhanced Asian language capability

CONS: Significant fiscal impact due to salaries, training costs, preparation of bilingual materials, acquisition of required telephone equipment and training of volunteers

Administrative difficulties in supervising a volunteer-based program

Cumbersome in field situations but workable with appropriate policy

Would be resisted by the Hispanic community as no similar program exists for that population group, or if service reductions to that community result

After consideration of each of the proposed policies, the Modified Policy Delphi panel selected alternative three as having the greatest likelihood of achieving success in attaining the desired future of the normative scenario. Although this policy does not result in long-term solution to the issue, it does offer short-term impact at relatively low cost.

The panel preferred alternative one as the best long-term policy. However, the panel pointed out the difficulties historically experienced by agencies throughout the state in securing adequate numbers of qualified candidates bilingual in any language. The panel offered the selected alternative as a means to provide bilingual enforcement and community outreach services to a newly-arrived Chinese population in the shortest possible time, while allowing time for other recruitment activities to bear results.

Implementation of this policy alternative will require close contact with minority constituencies and education of city management and council as to the nature of the issue. Each must be convinced that this alternative offers the greatest potential of dealing with the issue before reaching crisis proportions. Each must also be convinced that this alternative addresses the service needs of a rapidly growing minority community, while not resulting in reductions in service delivery to their communities or constituencies.

Implementation Plan: A Transition Management Plan to implement the selected strategy will be discussed in Section Three. Prior to transition, however, it is necessary to establish an implementation plan which identifies required action steps and resources, and which establishes a time line for implementation. The basic plan for implementation of the selected strategy is summarized below and displayed in Appendix O (Implementation Plan).

Formation of Study Group - This phase involves identification of critical stakeholders and key department staff who will comprise a project design or study group, and securing their commitment to that process. It is estimated that this phase will require one month.

Study Group Or Design Phase - This phase involves design of the program by the Study Group. This process will necessarily require assessment of current and desired service levels, resources required, program structure requirements, goals, objectives and evaluation criteria. It is estimated that this phase will require three months.

Preparation Of Program And Proposal Documentation - This phase involves the detailed preparation of program proposals, regulations and operational procedures, budget documents and historical documentation. It is estimated that this phase will require three months.

Presentation Of Proposal To City Council - This phase involves presentation of the proposal to City Council for budgetary approval. City Council meets twice monthly, and it will be necessary to schedule the issue for agenda well in advance. This time period will also permit pre-meeting consultation with Council to maximize potential for successful action, and minimize resistance. It is estimated that this phase will require one month.

Internal Announcement Of Program - This phase of the program calls for the Chief of Police to present the program to the department through informational meetings and internal memoranda. This process is of critical importance to demonstrate the Chief Executive's commitment to the program, establish the program as a department priority and minimize internal resistance. It is estimated that this phase will require one month.

Program Start-Up - This phase involves selection of program staff, acquisition of equipment and capital items and training of department personnel. It is estimated that this phase will require three months.

Selection And Training Of Volunteer Translators - This phase involves recruitment,

selection and training of citizen volunteer translators to staff the program. It is estimated that this phase will require four months, and must be completed prior to the date the program becomes operational.

Implement Program - This phase describes the date on which the program becomes operational. It is estimated that the program will require 16 months to become operational.

Program Evaluation - It will be of critical importance to evaluate the program periodically to ensure continued effectiveness and modify the program as required to meet changing circumstances within the department, community and political environment. It is recommended that a comprehensive reevaluation be conducted at six-month intervals.

Negotiating The Strategy: The primary objectives in negotiating acceptance of this strategy are to effectively communicate a need for action, and to secure participation of key stakeholders in the development of the program. These factors are critical and non-negotiable. If the selected strategy is to be acceptable to those key stakeholders who comprise the critical mass necessary for success, total "buy-in" is essential. Involving those stakeholders in the problem awareness and program planning process, will build a sense of "ownership" which will overcome anticipated resistance and contribute to successful implementation.

Some components of this strategy are of lesser importance and are negotiable, in order to accomplish the mission. Selection of Study Group members is of lesser importance than the constituencies they represent. City management and City Council will have preferences as to who should participate in the group for political reasons. This strategy has strong implications for the Hispanic community as well. Although Spanish-speaking services are readily available, access to such services could be improved through a similar program. Both areas offer ample room for compromise without significant impact on program content or effectiveness.

The most desirable negotiating strategy, obviously, is one in which all parties gain from participation in the process. In dealing with the issue of new service programs for specific minority groups in a politically charged, diverse, multi-cultural community such as Santa Ana, the stakes are high, and the need to satisfy all parties even more critical. It is absolutely essential that adequate negotiating leverage be obtained through a win-win scenario that emphasizes mutual interests of all parties. By involving all parties in program development and identifying areas of potential compromise in advance, the chances of a successful negotiation process are enhanced significantly.

SECTION THREE: TRANSITION MANAGEMENT

**MANAGING ORGANIZATIONAL TRANSITION FROM
PRESENT STATE TO DESIRED FUTURE STATE**

Purpose: Of critical importance to successful implementation of change is the process of organizational transition, or moving the organization from the present state to a desired future state. Proper management of transition can ensure successful implementation of policy. Improperly managed, transition guarantees failure. A transition management plan serves as a guide, or blueprint, for a strategic course of action designed to successfully manage change, effectively deal with opposition and minimize organizational disruption. A transition management plan consists of three identifiable parts: 1) Identification of individuals critical to the strategy and analysis of their commitment; 2) Development of an organizational structure to facilitate change; and, 3) Analysis of methods required to facilitate the process.

Commitment Strategy: In order to successfully implement the strategy it is essential to identify those persons both within and without the organization whose support is critical to make change happen. The stakeholders identified in Section Two, Strategic Plan, form the basis for identification of these key persons, or critical mass, and for analysis of commitment to the strategy.

Six persons were identified as being crucial to the implementation process. Those persons are; the Chief of Police, the City Manager, the President of the Viet Nameese Chamber of Commerce, the National Director of the Hermandad Mexicana Nacional, the President of the Santa Ana Police Officer's Association and the Commander of the Field Support Division, Santa Ana Police Department. The current level of commitment of each of these critical mass actors and the level of commitment necessary to make change happen is evaluated in the following discussion, and displayed on the Commitment Chart (page 53).

1. Chief of Police - As CEO of a major city department, the Chief of Police is burdened with a number of complex responsibilities which direct his attention outside the organization and away from daily operational issues. He is primarily responsible for establishing the vision for the organization and steering the course of the agency in dealing with future events. He deals less with internal issues affecting service delivery than with city government and the community. His awareness of internal issues and program needs is largely limited to information brought to him by staff. As a result, his level of commitment to the strategy is at a level of letting it happen. To ensure success, his level of commitment must be moved to that of helping change happen to take advantage of his influence within the community and city government.

The Chief of Police is justly proud of his long-standing commitment to addressing the

needs of the city's large minority community. He is a strong advocate of programs which improve effectiveness of the agency's service to all residents. He is a cautious and analytical administrator who does not favor unnecessary change or allocation of resources to potential problems where need is not clearly apparent. To move the Chief to the desired position, an approach should be used which emphasizes the factual nature of the issue, its impending impact and benefit to be gained by implementing the strategy.

2. The City Manager - The management of the City of Santa Ana is faced with the task of providing service to the community in an environment of shrinking economic resources. City management is committed to improving the quality of life within the community, and doing so with the least possible expenditure of tax dollars. The City Manager is responsible for these goals and is an outspoken proponent of the philosophy of doing more with less.

He is keenly aware that the city bears the reputation of a crime-ridden decaying urban core. He is also aware of the need to present the city as a safe place to work and live in order to realize economic stability and growth. As a result, he is interested in any strategy which will improve the effectiveness of the police department in addressing public safety needs. He advocates public safety as being a primary city concern, and emphasizes the successes of the department in improving service as a way to positively impact the city's image.

The City Manager is a logical and analytical individual who prefers to deal with facts. It is this personal trait which would cause him to see this strategy as a way to address the city's image and attract investment by a newly-arrived Chinese immigrant community. As a result, the City Manager would attempt to make change happen in an attempt to force change seen as desirable. Unfortunately, this position would be seen as opportunistic and self-serving by his detractors, who are numerous within the political arena. His position must be moved to helping change happen to ensure success. The City Manager would respond most favorably to rational argument based on facts and logic as to benefit for the city from the program implementation, and the role his position must play in that process.

3. President of the Viet Nameese Chamber of Commerce - The Asian population of the city is primarily Indo-Chinese and Korean in origin and comprises approximately 9% of total population. The Asian community is loosely organized into a number of ethnically-based

associations created to provide social service support unavailable or inadequately delivered by government agencies. These associations have assumed political influence as they have realized their power potential and become acculturized to the political system. Although there is no cohesive organization governing activities of these associations, the Viet Nameese Chamber of Commerce is commonly recognized as the largest, most influential and politically powerful. As a result of political coalitions within the Asian community, the president of the chamber stands as a recognized spokesman for the Asian community.

The president of the chamber is personally committed to improving delivery of government service to the Asian community and is a strong supporter of programs tailored to the special needs of the recent immigrant. He is also a shrewd and opportunistic individual, who would see this strategy as a means to expand his personal influence and power. He would attempt to make things happen.

His position could prove detrimental, as his opportunism is as well-recognized as his commitment to Asian community issues. Absent an identified alternative community leader to champion the strategy, his position must be moved to helping change happen. By this means, it would be possible to exploit his influence to garner support, without adverse reaction caused by his taking ownership of the program. This would be best accomplished by appealing to his business sense, presenting a logical argument that his assuming of an ownership role might endanger successful implementation, while psychologically appealing to his personal commitment to improving conditions within his community.

4. The National Director of the Hermandad Mexicano Nacional - Over the past 20 years, the Hispanic community has made significant political gains in Santa Ana. From a largely hidden, second-class population, disenfranchised and ignored by the Anglo majority, Hispanics have become a powerful political force within the community. Much of this increase in influence is due to rapid growth in Hispanic population -- to the point that Hispanics outnumber Anglos two to one. However, much has been as a result of dedicated efforts of Hispanic advocacy and civil rights groups to address inadequacies in government service to their community. One of the oldest, largest and most influential groups involved in this struggle is the Hermandad Mexicano Nacional. The Hermandad has become nationally powerful, with offices in ten major cities. The founder of the organization is currently National Director, and is a Santa Ana resident.

His support is crucial from another aspect. Critical to the city's efforts to preserve and restore the city's neighborhoods and reputation are the city's fifty neighborhood associations. Driven by a desire to improve quality of life in the community through joint citizen-government action, the associations have grown in political influence. One of the largest and most politically influential of these associations is a coalition of neighborhoods known as Santa Ana Neighborhood Organizations (S.A.N.O.), also headed headed by the National Director of the Hermandad.

Quality of life in the community and serving the needs of the Hispanic community through advocacy are deeply held emotional commitments of the director. No program similar to the proposed strategy exists for the Hispanic community, despite an obvious need for improved Spanish-language police services for the city's Hispanic majority. He would see the strategy as being clear evidence of inequity in government's dealing with minority communities, and would take a position to block change. By approaching him on an emotional level and emphasizing benefits which might be realized for the community as a whole, it would be possible to garner his support. It would be helpful to have a fall-back position through which the strategy could be implemented to serve the Hispanic as well as Asian communities.

5. The President of the Santa Ana Police Officer's Association - Throughout the history of labor relations between department and the employee bargaining unit, the SAPOA has consistently assumed the position of adversary to both police and city management. In recent years, the SAPOA has become increasingly militant in its political activities, and has aggressively sought political advantage, through lobbying and direct action at Council, on issues affecting the association's membership. This activity has caused the association's actions to be erratic, unpredictable and politically adversarial.

The association's president sees himself as solely representing the department's 600 non-management employees. As a result of his recent fourth election to office, he believes he leads by mandate and has independent authority to act in the association's interest. He is a strong advocate of traditional policing methods and a detractor of community outreach programs, which he sees as stripping resources from enforcement activities and denying the membership of personnel and equipment necessary to control crime. He would see the proposed strategy as a public relations ploy, unnecessarily consuming enforcement resources. He would assume a position to block change.

Although the association's support is not critical to successful implementation, resistance could be difficult to overcome and would create difficulties during implementation and ongoing operations. To avoid such interference, his position must be changed to that of letting change happen. He would be most receptive to an approach which would psychologically appeal to his self-image and stress the benefit to his political acceptability and stature. It would also be persuasive to present factual information as to the benefit of a language bank in operational situations so that he could defend his position to the association's membership.

6. Captain, Field Support Division, Santa Ana Police Department - The Santa Ana Police Department has had a long and successful history of using non-traditional, community-based policing strategies. The Captain is recognized within the department and community as a dynamic, highly-capable leader with a strong personal commitment to Community Policing. He has a national reputation as an expert and strong advocate in the field of police problem-solving strategies. He possesses exceptional interpersonal skills and has extensive experience as a manager, having served in that capacity in every functional division of the department. He is highly credible within the political environment and city government, at both management and operational levels. He enjoys the followership of a group of creative and motivated managers, who share his enthusiasm for Community Policing, and who are seen as the motivating force behind organizational change and progress. The Captain is intimately aware of the need to develop new strategies to effectively deliver service to the community.

As Commander of the Field Support Division, he is directly responsible for the department's Community Relations, Crime Prevention and Community Outreach programs. The proposed Office of Asian Affairs would fall under his command. As a result, he would be in a position to help change happen. Were he to be offered the position of project manager for this strategy, his position would become that of making change happen. The Captain would welcome this assignment as a means to improve service delivery to a growing segment of the city's service population, and to develop community-based strategies to address an identified need, furthering the department's transformation to a Community Policing agency.

Transition Management Structure: Implementation of this plan would require close coordination of persons and process actions both internal and external to the organization. Due to the nature of the issue and the proposed strategy, implementation would also have a strong political context.

C O M M I T M E N T C H A R T

Table 4

Actors in Critical Mass	Block Change	Let change happen	Help change happen	Make change happen
Chief of Police		X 0	
City Manager			0 X
President Vietnamese Chamber of Commerce			0 X
National Director Hermandad Mexicano Nacional	X 0		
Santa Ana Police Officers Association President	X 0		
Field Support Division Commander			X 0

X - Present commitment

0 - Minimum commitment

It is crucial to successful transition that one person be in a position to speak with authority in a politically charged atmosphere. This is particularly true in this case, where support from influential community members is essential to maintaining momentum, and where those persons would prefer to deal with an organization member in a decision-making position.

A "Project Manager" transition structure would be most appropriate to the conditions present in this process. This structure calls for the Chief of Police to select a staff member to serve as his designee and to speak on his behalf during implementation. This structure is well-suited to situations where the Chief cannot directly oversee the transition; where strict accountability in transition planning is necessary; where implementation must be conducted independent of daily operations; and, where resources of multiple organizational, government and community elements are required. Given the complexity of the task of coordinating the various elements required, this structure will enable the project manager to determine what strategies and procedural steps are necessary, and to fix accountability to ensure timely compliance. This critical element permits the project manager to deal effectively with the political environment of the transition and to oversee the implementation process, while other assigned persons attend to the myriad details involved.

The person selected to serve as project manager must possess a variety of skills and talents to be successful in the complex environment of this transition. The manager must be technically competent in each of the functional areas involved and must have a strong action orientation to keep the transition process on track. The manager must be a skilled communicator, capable of complex negotiations and able to deal effectively in both technical and political environments. He or she must be credible, possess excellent interpersonal skills and be capable of building and maintaining a high level of trust within a working team.

Transition Technologies: The process of transition is one of the most sensitive and feared aspects of organizational life and management. By moving the organization from a known state, through uncertainty and lack of structure, to an unknown future state, transition naturally affects the employee group's most basic needs for security and certainty. In the best of circumstances, transition can result in resistance and anxiety. These conditions are normal, can be anticipated and can be managed to minimize organizational impact. If improperly managed, hostility can result, significantly impacting organizational operations and reducing the possibility of successful implementation.

In order to minimize uncertainty and resistance in the change process, a variety of strategies and tools may be employed to create a positive atmosphere conducive to successful transition. Each stresses open and clear communication of the rationale for, and status of change; involvement of employees in the change process; and, fixing of responsibility for actions and decisions. Through such strategies, it is possible to foster ownership and reduce organizational anxiety. Seven specific strategies have been identified:

1. **Communicating the vision:** In organizational transition, like in any journey, it is critical for those involved to know and understand the destination. To minimize confusion, reduce uncertainty and make change less unsettling, it is crucial that the vision of the desired future of the organization be communicated to all affected employees. This process serves to involve rank and file members of the organization in the change process and to instill a sense of ownership in the change itself. Employees who understand the vision and who are involved in the process become committed to the change.
2. **Team Building:** To accomplish change in a complex environment, it is often necessary to meld the interests and priorities of a variety of persons and functional units into an action-oriented team. This is best accomplished by involving them in policy formulation and planning of the transition process to build ownership and commitment.
3. **Action Plan:** For all members of the transition team and organization to understand the transition process, it is essential that the project be broken down into incremental steps required to successfully accomplish implementation. In doing so, the complex becomes understandable as a series of smaller, more easily attainable goals. As in planning a journey, progress is more easily understood as a series of intermediary destinations along the way. These small goals, or destinations, comprise a roadmap to be followed to the final destination. An Action Plan accomplishes much the same function by making a

SECTION FOUR: CONCLUSIONS AND RECOMMENDATIONS

THE ANSWERS, ORGANIZATIONAL RECOMMENDATIONS

AND RECOMMENDATIONS FOR FUTURE RESEARCH

complex process understandable and less daunting, while providing a clear map of the route to be taken and a means to evaluate progress.

4. **Evaluation Feedback System:** During transition, it is critical to continually inform all employees of the progress of the change process, the results of ongoing program evaluation and the desired outcome of change. This process reduces uncertainty on the part of those who must ultimately perform the work envisioned, and makes change less frightening and acceptable.
5. **Training:** It is essential that all employees impacted by organizational transition be thoroughly trained as to the need for and plan for change, and the work they shall be expected to perform following transition. Training provides necessary job skills and instills a sense of security in affected employees, while reducing fear and uncertainty.
6. **Celebration of Small Successes:** If there were no scoreboards at football games, it is doubtful that fans would come or that players would play so enthusiastically. Progress and success are measured by the score of the game, whether on the playing field or at the worksite. As human beings and organizations, we maintain momentum and measure worth by small wins as much as by large ones. Showing the score and praising the players is a clear demonstration of commitment by management to the transition process and to the welfare of the employee group.
7. **Responsibility Charting:** To minimize uncertainty and maximize performance, it is critical to clearly establish how the responsibilities of all parties fit into the transition process. No single party has the same level of responsibility at each stage of transition. As each individual unit serves a separate function in accomplishing the overall objective, each project element carries a differing level of responsibility. This method describes specific process elements; where, and with whom, responsibility lies for each; and, the supporting roles of other participants. This permits parties to clearly understand how each element contributes to accomplishment of the process, and provides a perspective of individual and team roles. For the purpose of this paper, a consensus of five police department managers completed a Responsibility Chart defining the roles of persons involved in the implementation of the proposed strategy and their respective levels of responsibility (See Appendix P).

This final section of the study is presented in three segments. The first is a presentation of answers to the issue and sub-issue questions. The second is a series of recommendations for law enforcement agencies responding to the issue in the future. The last contains recommended areas for future study.

The Issue: What will be the impact of immigration from the former crown colony of Hong Kong on law enforcement in California by the year 2007? The impact of immigration from Hong Kong relative to this issue is uncertain and impacted by unstable forces both internal and external to the issue. The actions of both The People's Republic of China and The United States, and the psychology of the people will drive both the level of immigration and the profile of those who immigrate. However, from study, it may be concluded that the level of impact is directly related to the numbers of persons immigrating to California. It may also be concluded that immigration will occur within a specific numeric range. Using information obtained from interviews, literature review and forecast data, it may be possible to predict that level of immigration to a reasonable level of confidence.

The actions of The People's Republic of China over the next five years will largely frame the context of the issue as it develops. Disagreement exists as to the P.R.C.'s intent for Hong Kong. On one hand, government officials and business representatives state the intent is benign, and that China desperately needs Hong Kong to remain as it is, so that Hong Kong may benefit China. On the other, persons close to the people talk of distrust of China and the dismal record of that nation in serving the call of political philosophy at the expense of its people. Both talk of a forty-five year history of political instability on domestic issues, and wonder how the pendulum will swing over the next several years.

The psychology of the transition will play a significant role in determining the fate of the colony's people and the level of immigration which may be anticipated. The fear and anxiety of the population is such that daily events in China, and every word of that nations' leaders, are analyzed and examined as harbingers of things to come. Fear of communist oppression will, as transition draws close, become the driving force behind individual decisions to stay or leave.

In the best case, the People's Government will scrupulously adhere to the terms of the Sino-British Joint Declaration of 1984, and will not take action in Hong Kong for 50 years. In such case, immigration impact on California will be minimal. Should the situation in Hong Kong become less stable, through Chinese action to manipulate elections in 1995 or interfere in Hong Kong's economic and social systems, approximately 250,000 persons hold foreign travel

document and are prepared to leave. Should the P.R.C. attempt to eliminate democratic political systems in the colony, as many as 600,000 persons could emigrate to other countries. Should the People's Government take military action to occupy the colony, in violation of terms of the Sino-British Joint Declaration, emigration estimates run as high as 2 million persons. Forecasts point to a high likelihood that The People's Government will violate the terms of the Sino-British Joint Declaration. Forecasts indicate that action by the P.R.C. will probably occur during the period of this study. Interviews and literature suggest that action will not be by military occupation.

The future of the issue is not driven solely by events and attitudes in Asia. U.S. immigration policy plays a determining role in the level of immigration which may occur. Modification of existing policy in response to events in Asia, or in reaction to public demand for action, would dramatically affect the outcome of the issue, and its impact on law enforcement. In a recent publication for the Population Reference Bureau, Robert Gardner, a noted immigration policy researcher, stated, "Projections of the future size of the Asian-American population are particularly risky because U.S. immigration policy is so important in determining that size and this policy may well change. The continuing efforts to change existing immigration law.....could, if successful, have a marked effect on that flow."⁵⁷ Forecasts indicate a high likelihood that modification of U.S. immigration policy to increase legal admissions from the colony, will occur during the period of this study in response to public pressure generated by events in Hong Kong. No information was available as to the extent to which immigration quotas could be modified. However, given that the U.S. is one of three destinations of persons emigrating from Hong Kong, it is reasonable to assume that one-third of those persons would immigrate to this country if permitted to do so.

Between 1984 and 1990, approximately 60,000 persons immigrated to the U.S. from Hong Kong. Forecasts contained in this study suggest that between 250,000 and 600,000 additional persons will emigrate, depending on the level of internal intervention by the P.R.C. If one-third immigrate to the U.S., it is probable that the range of anticipated immigration to this country, at that level of intervention, will total approximately 140,000 to 260,000 persons. Current patterns of Asian immigration resettlement since 1980, indicate that 36% of Chinese immigrants resettle in California. If that pattern remains unchanged, California will receive a total immigration of between 50,000 and 95,000 persons. However, should the situation in Hong Kong be seen as unstable by the P.R.C., it is probable that The People's Government would set aside the Sino-British Joint Declaration and occupy the colony. Should this occur, and using the same logic, total immigration to California would probably reach 260,000 persons.

Subissues:

Subissue 1. Will this immigration result in intercultural clashes between newly-arrived ethnic Chinese residents and other minority groups which will impact law enforcement? The experience of other cities, and other countries, is that intercultural conflict will occur. The level of this conflict is inextricably tied to the level of immigration and type of immigrant which may be anticipated. Should immigration be minimal, or in the lower end of the projected range, the newly-arrived may be anticipated to be the business and government elite of the colony. These persons may be best described as motivated, well-educated and wealthy. If immigration is sizable, the profile may be anticipated to include the under-educated, under-skilled and unprepared.

Interviews, literature and group forecasts indicate that as the level of immigration rises, so will the level of intercultural conflict. This conflict will be seen by law enforcement agencies as instability in the political climate of the community, as existing minorities struggle to retain influence, and reject the values and sociopolitical incursions of the immigrant community. As immigration rises and the complexion of the immigrant community changes, conflict will become more pronounced, and outward displays of racism more evident, in response to a greater perceived threat to political influence and jobs. The primary impact on law enforcement agencies will be through resources to fund programs for service delivery to the minority community. However, if inadequately addressed through outreach or community-based mediation programs, intercultural conflict may become open and criminal.

Subissue 2: Will this immigration result in new patterns of criminal victimization and increased demand for police services? Literature and interviews suggest that newly-arrived persons from Hong Kong tend to remain in culturally-centered Chinese communities, have cultural biases against reporting criminal acts and harbor a deep-seated distrust of police. These factors make a newly-arrived immigrant population particularly susceptible to victimization. Forecasts indicate that as the level of immigration increases, the forecast level of victimization also increases, but at a faster rate. Newly-arrived immigrants appear particularly susceptible to fraud, extortion and robbery, and are attracted to both legal and illegal gambling. This is born out by the fact that between 150 and 200 illegal gambling parlors catering to the Asian community are estimated to exist in Los Angeles County alone.⁵⁸

A particular phenomena associated with the Chinese community is that of Chinese street gangs. These organized criminal groups operate in every city where a concentrated Chinese population exists. The stock and trade of the gangs is crime directed at their own community, and they are

particularly adept at business extortion and intimidation by violence. Where a Chinese immigrant population settles, the gangs may be anticipated to follow. In some cities where Chinese communities have been long-standing, this new pattern of victimization will be familiar. But, for other cities where Chinese immigration will be a new phenomena, so will be this new and unfamiliar pattern of crime.

Subissue 3. Will the phenomena of the Chinese Triads become a significant factor in California and impact law enforcement? Movement of at least leadership elements of the Triad Societies has already begun. It is probable that increased movement will occur as the date of transition draws close. In cities in Canada and the United States where concentrated Chinese communities exist, the influence of the Triads is known, and considerable police resources expended in studying their activities and prosecuting members where possible. The Triads rank among the world's most feared criminal organizations because of their size, influence and ruthlessness.

The Wo Hop To, San Yee On, Wo Kwon Lok, Dai Huen Jau and 14K Triads are known to operate in California at this time. In the San Francisco and San Jose areas, the Wo Hop To has made considerable progress over the past three years in consolidating control over Chinese and ethnic Chinese Viet Ching street gang factions. The Federal Bureau of Investigation has predicted an upsurge in Triad activity in this country relative to this issue, and has declared Asian organized crime and the Triad Societies to be the Bureaus' top priority for the 1990's. As 1997 approaches, Triads will become a more significant and dangerous factor in California.

Recommended Actions: The full picture of immigration from Hong Kong will become clearer as events unfold over the next few years, both on the international and domestic scenes. The future of this issue will offer challenge and opportunity to law enforcement agencies prepared for change. However, it is incumbent upon agencies to look at the events relative to the issue as they unfold, so as not to be caught unprepared, as has been the history of law enforcement in dealing with past immigrations.

In light of information developed during this study, the following is recommended:

- Law enforcement agencies must monitor events as they unfold in Hong Kong relative to the issue as an early warning indicator of immigration trends to follow.
- Agencies must periodically monitor the size of the Chinese community within their jurisdictions for change indicating increased immigration activity.
- Police/community relationships must be developed and nurtured with the

- existing Asian community, and be given the highest organizational priority.
- Agencies must monitor Asian gang activity in their communities for signs of movement or increased activity.
 - Agencies must begin recruitment of Chinese-speaking personnel in order to meet future need.
 - Agencies must establish service to the community as a priority in their mission statements, organizational values, policies and procedures.
 - Agencies must begin the process of cultural sensitization through intercultural awareness training in those cultures existing within their communities.

Recommendations For Further Study: During the course of the study, the following issue areas were identified for future study:

Given that Triads will probably become a factor in California, how will law enforcement deal with that powerful, criminal influence? How will law enforcement deal with the possibility of Triad attempts to infiltrate and corrupt public institutions and the police?

Given that intercultural conflict is a factor in our communities, how will police deal with intercultural conflict within the community? How will agencies deal with intercultural conflict and awareness within police departments? Should the police be involved in dealing with such issues in the community, and in what capacity?

What types of community outreach programs will be used in the future to identify community needs and to penetrate barriers between police and community?

The potential impacts of this issue on law enforcement in California over the next fifteen years are significant and far-reaching. This study, hopefully, touched on a few of those issues.

APPENDICES

APPENDIX A

HONG KONG, A PLACE AND PEOPLE IN TRANSITION

Fragrant Harbor: The British Crown Colony of Hong Kong stands as an anachronism among the trading nations of today's global economy. One of the last remnants of British Colonialism, Hong Kong was created out of the turmoil of the Opium Wars of the mid-nineteenth century. Fragrant Harbor, as Hong Kong Island is known in Cantonese, was a thriving trading outpost controlled by The British East India Company in the early 1800's. It was also the center for an illegal trade in opium which adversely impacted China, as the government-owned company and other international privateers traded opium for Chinese silks and commodities.⁵⁹

In 1839, a Chinese army under command of Lin Tse-Hsu, Commissioner of Canton, layed siege to the island and seized a large inventory of opium in an attempt to end the trade which was addicting so many Chinese. The war that followed resulted in the Convention of Chuanbi of 1841, and ended with the Treaty of Nanking of 1842, under which the Emperor ceded the island to the British government.⁶⁰ In 1860, the Second Anglo-Chinese War (1856 - 1860), or The Second Opium War, was concluded with the Convention of Peking under which the southern portion of the Kowloon peninsula and Stonecutter's Island were also ceded in perpetuity.⁶¹ Following the Boxer Rebellion of 1898, The New Territories, which comprise 92% of the land area of the Colony, were leased to the British government for ninety-nine years as compensation for damages.⁶²

From these less than auspicious beginnings, Hong Kong has developed and prospered under British colonial administration. Today, the Colony, which encompasses only 415 square miles, boasts the world's eleventh-largest trading economy.⁶³ With a population estimated at 5.85 million persons, the Colony yields a Per Capita Gross Domestic Product of \$12,000US per year, second only to Japan in Asia.⁶⁴ With a shipping capacity greater than all ports on China's south coast combined, Hong Kong is the primary entrepot for international trade with China and is the People's Republic's primary trading partner.⁶⁵ This relationship is critical to continued survival of the Colony, as only 8% of the Colony's land area is arable and the colony is almost totally dependent on the People's Republic of China (P.R.C.) for its food and water requirements.⁶⁶

Since implementation of the "Open Door Policy" by the P.R.C. in 1979, that relationship has strengthened to the point that Hong Kong and the P.R.C. are economically interdependent. As of 1990, 45% of the Gross National Product of the P.R.C. resulted from trade with Hong Kong,

and over 2.5 million jobs in the P.R.C. were dependent on capital investment by Hong Kong interests.⁶⁷ In addition, Guangdong Province and the Shenzhen Special Economic Zone (S.E.Z.) of the P.R.C., which are immediately adjacent to the Colony, have become home to over 6,300 joint-venture businesses, funded by \$26 billion in Hong Kong controlled capital, and account for one-third of China's foreign exchange earnings.⁶⁸

Despite its position as a major world trading center, Hong Kong remains strongly linked to its colonial origins. With a workforce of 2.8 million persons, Hong Kong remains a trading colony under British administration.⁶⁹ Under that system, the Colony does not have a democratic government, but is overseen by a British administration which consults with trade and popular representatives to provide public services, leaving business to operate in an atmosphere relatively free of regulation or control.⁷⁰ As such, Hong Kong is often described as a shining example of the success of private enterprise where government keeps out of business.

Yet all is not as it would appear on the surface. Lack of government oversight has created a system rife with corruption and organized criminality.⁷¹ As described by Mr. Alan Woo, Executive Director of Asian Rehabilitation Services for the County of Los Angeles, and a frequent traveler to Hong Kong, "It's the wild west of business. Even if it's trading guns for narcotics, for jewels, for money. However you can make a buck, it's OK in Hong Kong."⁷² This view and Hong Kong's links to its origins as a narcotics trade center appear to be born out by the facts that over 50% of the world's supply of Southeast Asian heroin passes through Hong Kong, and that the 58 Chinese organized crime groups, or Triads, headquartered in Hong Kong control approximately 74% of the world's supply of heroin.⁷³

1997 - The Issue Of Transition: In the late 1970's, the approaching expiry of leases for the New Territories became of vital concern to both the British and Chinese governments.⁷⁴ The P.R.C. had made its view clear in March, 1972 in a letter to the United Nations in which it stated that the matter of Hong Kong was one of China's sovereign right.⁷⁵

In 1981, negotiations were opened by Her Majesty's government with the government of the P.R.C. Again, the P.R.C. made its position clear, "It must be pointed out that these treaties which involve the Hong Kong area were products of British Imperialism 'gunboat policy' and invasion of China in the nineteenth century. The Chinese people have always held that these treaties are illegal and therefore null and void."⁷⁶ Realizing that the Colony was not viable without the New Territories, Her Majesty's Government attempted to secure the most orderly transition for return of the Colony and New Territories to the P.R.C.⁷⁷

Negotiations continued until 1984. As it was clear that any form of British administration for the area was unacceptable, the British government negotiated for a system whereby stability within the Colony's economic and social systems could be assured.⁷⁸ Agreement was reached on December 19, 1984, with signing of The Sino-British Joint Declaration On The Future Of Hong Kong.⁷⁹

The Declaration creates an orderly process for transition to rule by the P.R.C. on July 1, 1997, and assures stability for the Colony through a 50 year hands-off policy. This policy of "I kuo liang chih" or "One country, two systems.", attempts to guarantee that the social systems and economic structure of the Colony will remain untouched while the P.R.C. assumes responsibility for external affairs and defense of the former colony.⁸⁰ Critical to the process of orderly transition are the creation of a constitution and body of laws to govern the Colony and the implementation of democratic rule.

The constitution was promulgated by the National Peoples' Congress on April 4, 1990 as the Basic Law Of The Hong Kong Special Administrative Region Of The People's Republic Of China.⁸¹ The process of democratization is proceeding. Elections addressing incremental portions of the Colony will be held over the next five years. In 1995, the first fully democratic elections will be held in the Colony.⁸²

The question remains, however. Will China abide by the terms and conditions of the agreement? Opinion varies. Officials of both the Hong Kong and British governments state that abrogating terms of the Joint Declaration would not be in the interest of the P.R.C. Those interviewed and literature reviewed point to the benefits for the P.R.C. from uninterrupted access to Hong Kong's shipping facilities and capitalistic experience. This view holds that the transition will be orderly with little impact on the Colony.

Other knowledgeable persons give a less optimistic view. In a recent analysis of events since 1984, Mr. George L. Hicks, a recognized authority, stated, "Clearly, China would not tolerate press freedom, free elections, genuine representative government, or any political dissidence. The concept of Hong Kong people ruling Hong Kong with a degree of autonomy was also effectively ruled out. Not that any of these actions were surprising.⁸³ Such concerns are understandable in view of statements such as that made during a press interview in May, 1991, by Jiang Zimen, the General Secretary of the Chinese Communist Party, "The concepts of human rights, democracy and freedom are all relative. They have different meanings and natures under different systems."⁸⁴

The course of transition from colonial administration to communist rule, and the impact on Hong Kong of that transition, remain unclear.⁸⁵ However, as one senior Hong Kong government official put it, "No one in government wants to negatively affect what's going on. No one is talking about a worst case scenario -- at least not openly."⁸⁶

The People Of Hong Kong -- Uncertainty And Preparation: As the date of transition approaches, the future of Hong Kong and its people remains uncertain. The impact of transition, however, has been felt since before the signing of the Sino-British Joint Declaration.

As negotiations proceeded between the British and Chinese governments, the effects of Chinese intransigence and British concessions were felt and reflected in the daily lives and business climate of the Colony.⁸⁷ The impact of unfolding events was exacerbated by the refusal of the British government to grant blanket British citizenship status to Hong Kong-born persons, denying them the safety net of a British passport and right of abode in England.⁸⁸

In mid-1982, the Hang Seng Stock Exchange lost an unprecedented fifty points due to plunging stock prices; and, the Hong Kong Dollar lost 70% of its value relative to the American Dollar.⁸⁹ By September, 1982, land values fell to one-fifth their pre-September values.⁹⁰ By September, 1983, it became necessary to set an artificial exchange rate of \$7.80HK to \$1.00US.⁹¹ Emigration from the colony began to soar, resulting in steadily increasing "brain drain" adversely affecting both private and public sectors.⁹² By 1990, it became necessary for the Hong Kong government to recruit persons from other Southeast Asian countries to fill vacant civil service positions within the Colony due to lack of interested and qualified applicants within the Colony's recruiting pool.⁹³

With signing of the Joint Declaration, the business climate of the Colony improved. In recent years, rapid growth in the building and finance sectors, as well as dramatic gains in trade, particularly with the P.R.C., have created the perception that the People's government would not repudiate the terms of the Joint Declaration.⁹⁴ A sense of official optimism prevails and the business community and government regard recent relaxation of ideological controls by the P.R.C. as good signs for the future. This sense of optimism was reflected in a recent interview with Mr. Peter Wong, owner of Kader, Inc., one of the world's major toymakers, headquartered in Hong Kong, "We've given them jobs, helped them improve their standard of living. Officially China is taking over Hong Kong. But really, economically, it's Hong Kong that is taking over China".⁹⁵ Despite visible or surface improvements, anxiety remains.

A significant portion of the population of the Colony is comprised of immigrants and refugees from China who fled communist oppression in the years since 1949, and who fear the establishment of communist authority in Hong Kong. Since 1984, the mood of the people has been less than optimistic as events in China have unfolded. The Tiananmen Square incident of June, 1989 is a vivid example of continued communist oppression.⁹⁶ Over 10 million persons are imprisoned in China, over 100,000 of which are political prisoners.⁹⁷ In August, 1991, the People's Government attacked the Pope and the Catholic Church through official media channels as being responsible for the downfall of communism in Eastern Europe; and used that rationale to launch a campaign of oppression against organized religion, resulting in the disappearance of several priests.⁹⁸ In February, 1992, the People's Government established deadlines for the formal adoption of Puthonga, or Mandarin, as the official language of China, while the predominate language of Hong Kong is Cantonese.⁹⁹ In March, 1992, the People's Government began mass arrests of Mongolians for political dissidence.¹⁰⁰ These events occurred and continue, even as China speaks openly about its movement to relax ideological controls.¹⁰¹

Similarly, events in Hong Kong have proven equally unsettling. In 1990, the P.R.C. announced its intent to station troops in Hong Kong after 1997.¹⁰² Within the past two years, bands of armed criminals from the P.R.C. have been responsible for a skyrocketing crime wave, and creating concern that the P.R.C. will intervene forcefully to restore order.¹⁰³ Recently, during negotiations between the P.R.C. and Hong Kong over construction of the new Chek Lap Kok International Airport, the People's Government refused to negotiate until granted concessions by the Hong Kong government. In the words of one Hong Kong legislator, "This does not bode well for the future."¹⁰⁴

Of considerable concern is the political future of the P.R.C. itself. The nation's present policies of economic reform and relative moderation on human rights issues are the legacy of the nation's retired leader, Deng Xiaoping. Still the most powerful man in China, Deng and his followers maintain the upper hand in the internal struggle between conservative and moderate party factions.¹⁰⁵ Deng, however, is 83 years old. Considerable concern exists as to the future of his policies.

The situation was aptly described in a 1991 report prepared by the Criminal Intelligence Service, Canada, "Residents of Hong Kong fear the repercussions that may result when the communist government takes power in the colony. This point, together with the fact that Great Britain will not allow any special dispensation to Hong Kong residents, has created a state of fear throughout the colony. Recent estimates show that approximately 1,000 people depart the

colony each week in order to find a safe haven from the Communist Party in China."¹⁰⁶

Economic resources appear to be responding to the climate of uncertainty which exists over the Colony's future. In spite of the improving business picture following signing of the Joint Declaration, investment capital and liquid holdings have been moving out of the Colony at an increasing rate.¹⁰⁷ Over 70 companies have moved their headquarters out of Hong Kong since 1985.¹⁰⁸ In March, 1984, Jardine, Matheson and Co., the largest and most influential trading house and holding company in Hong Kong, reincorporated in Bermuda while leaving its Hong Kong operations intact.¹⁰⁹ In December, 1990, The Hong Kong And Shanghai Banking Corporation, the largest and oldest in the Colony, reorganized as a British holding company with headquarters outside Hong Kong.¹¹⁰ Since 1984, the majority of long term investments in the Colony have been government projects or have been funded by bank loans from foreign sources.¹¹¹ Between 1989 and 1990 alone, funds on deposit in Hong Kong banks decreased by 2.5% while loans to business from offshore-held banks increased by 40.6%.¹¹² As one businessman and investor has stated, "In the absence of any investment surveys, it is impossible to prove the proposition that most investors had confidence in Hong Kong for a few years, little after 1990, and none after 1997. The brutal fact is that hardly anyone trusts China, which, given events since 1949, is hardly surprising."¹¹³

A survey conducted in 1982 indicated that approximately 57% of the general population, and 70% of those age 15 to 24, would emigrate from Hong Kong prior to 1997 if given the opportunity.¹¹⁴ As of 1988, it has been estimated that 250,000 persons have secured the means to leave the Colony through foreign passports, foreign permits of residence and funds transfers. Another 350,000 persons are in a position to secure such documents prior to 1997.¹¹⁵ The Hong Kong government claims not to monitor the movement of persons out of Hong Kong, but admits that emigration from the Colony has risen from approximately 20,000 per year in the early 1980's to a peak of 62,000 in 1990 and 1991.¹¹⁶ "For those with money and connections, the exodus has already begun..."¹¹⁷

Literature and interviews suggest that the impact of potential emigration relative to this issue lies not only with the numbers of persons emigrating, but also with anticipated resettlement destinations. Historically, the majority of persons emigrating from Hong Kong and China have resettled in the United States and Canada; and, immigration patterns are not anticipated to change.¹¹⁸ Between 1981 and 1990, 388,686 persons entered the United States legally from China, Taiwan and Hong Kong. Of those, 59,565 entered from Hong Kong alone. In 1989, 11,817 persons immigrated from Hong Kong, which represents an increase of 199% over 1983

figures.¹¹⁹ Between 1982 and 1989, 36% of all Asians entering the United States stated that their intended state of residence was California.¹²⁰ As of 1990, 47% of Asians residing in the United States resided in one of six Metropolitan Statistical Areas, four of which are in California.¹²¹ As of 1990, 39.6% of all Asians and 42.8% of all Chinese resided in California.¹²²

The extent of immigration which may be anticipated from Hong Kong relative to this issue is difficult to assess, and largely dependent on the actions of the P.R.C. preceding and following transition of power on July 1, 1997 and on the status of U.S. immigration law. At present, immigration quotas limit admission to the U.S. at approximately 40,000 per year from Asia. Changes in immigration policy are a lengthy and involved subject beyond the scope of this study. However, literature and interviews suggest that if transition causes minimal disruption, and the P.R.C. scrupulously adheres to terms of the Joint Declaration, emigration from the Colony will be in a range of 50,000 to 100,000 persons. If transition is accompanied by political disruption and economic interference by the P.R.C., emigration from the Colony will be in a range of 250,000 to 600,000 persons.¹²³ If, however, transition is forceful, oppressive and in contravention of terms of the Sino-British Joint Declaration, emigration may be substantially higher. As stated by Dr. Robert Gordon of Simon Fraser University, British Columbia, "The floodgates will open and we'll have 4.2 million people on our doorsteps."¹²⁴

Literature and interviews suggest that the future will be more clear following the 1995 democratic elections scheduled to be held in the Colony. Should a government be elected which is seen as cooperative and supportive of the interests of the P.R.C., the likelihood increases for a smooth transition and relatively minimal emigration from the Colony. If, on the other hand, the new government is not acceptable to the P.R.C., the transition will be traumatic and result in significantly greater emigration. If such is the case, the terms of The Sino-British Joint Declaration will not deter the P.R.C. As stated by Ian Scott in *Political Change and the Crisis of Legitimacy in Hong Kong*, "It should be remembered that the terms of the agreement have already been reinterpreted. The promises made in 1984 have not been kept."¹²⁵

APPENDIX B

TRIADS -- THE SECRET SOCIETIES OF CHINA

It is difficult to discuss the history of Hong Kong and the decision of Great Britain to return possession of the colony to the P.R.C., without discussing the history of the Triad Societies. So interwoven is the history of the Triads with that of China and Hong Kong, that the history of one is reflected in the others. It is important to understand the criminal nature of these organizations to understand the full potential impact on this country of the issue under study. Much of the material contained in this section is based on the work of W.P. Morgan in his book on the subject, *Triad Societies In Hong Kong*.¹²⁶

The name "Triad" is an English-language designation for the sacred Chinese symbol for the societies, which consists of a triangle enclosing the once-secret sign derived from the Chinese character "Hung". This symbol represents the most basic and sacred value of the societies, the union between Heaven, Earth and Man. The character "Hung" itself, pays homage to Hung Wu, the patriot who founded the Ming Dynasty in 1644. Alternately, the societies are known as Sam Hop Wui (Three United Association), Tin Tei Wui (Heaven and Earth Association), Hak Sh'e Wui (Black Society Association) and the Hung Mun (Hung Sect).

These organizations are the remnants of secret religious patriotic societies which fought for the unification of China and freedom from political oppression for centuries. Over time, the lofty goals and religious underpinnings of the original organizations have eroded. Today, only the secrecy and ritual remains. The Triad Societies have become powerful criminal organizations deeply-rooted in China's past, and with world-wide criminal influence.

Although the Triad societies are known to have existed in their present form since the mid-seventeenth century, considerable evidence suggests that their origins are centuries older, and that they have been a part of China's political and social history for nearly 2,000 years. In fact, some of the ritual and folklore of the societies can be traced to the Red Eyebrows band of marauders who fought to restore the First Han Dynasty in 1 to 6 A.D. Later, in the Fifth Century, the White Lotus, or White Lily Society came into being. This purely Buddhist religious organization had significant impact on the religious, political and intellectual development of the nation through the next turbulent centuries of Mongol Yuan Dynasty rule.

Then in 1368 A.D., The Ming Dynasty was founded as result of a nationalist uprising led by

Hung Wu, a former Buddhist monk who left the order to lead the revolt, The White Lotus Society, a rebel army known as The Red Turban Rebels and a pirate chieftain known as Fang Kuo-Chen. It is from this period that much of the mysticism and ritual of the Societies comes. The historical events and leaders of the revolt against the Mongols became corrupted with time, confused with later events and formed the basis of the Triad Traditional History, or written litany and folklore of the organization.

The Ming Dynasty continued until approximately 1644 A.D., only to be replaced by through conquest by the Manchu Ch'ing Dynasty. It was this conquest and the repressive rule of the Manchus which led to the formation of secret resistance societies dedicated to the restoration of the Ming Dynasty. Taking their name from the hero, Hung Wu, the Hung Sect was formed and became the oldest of the recorded Triad Societies. Forced to operate in secrecy through blood oaths of brotherhood, secret codes and a rigid rank structure, the societies grew in number and membership, and continued their struggle through several abortive revolts and minor insurrections. To support their efforts, the societies raised funds through criminal victimization of the population. In spite of such activities, the societies became an accepted part of the social structure in China over the next 250 years.

By 1842, Hong Kong had become the headquarters of the Triad organizations in Southern China. From the British Trading Colony, they continued their efforts on the Chinese mainland to overthrow the Ch'ing Dynasty. Gradually, the societies began to deteriorate into bandit bands preying on the residents of the colony. Crime and corruption was so pervasive, that in 1845, the British administration passed The Unlawful Society Ordinance to control Triad activities. The preamble of that ordinance states:

"Whereas the Triad Society and Other Secret Societies prevalent in China exist among the Inhabitants of the Island of Hong Kong: and whereas these Associations have Objects in View which are incompatible with the Maintenance of good Order and constituted Authority, and with the Security of Life and Property, and afford, by Means of a secret Agency, increased Facilities for Commission of Crime and for the Escape of Offenders: Be it enacted by His Excellency the Governor of Hong Kong an Ordinance for the Suppression of the Triad and other Secret Societies."¹²⁷

Arrests and brandings of Triad members began the next year. British attempts to control Triad influence in the Colony were so successful, that by 1857, the Triads controlled the labor market upon which the colony depended, and nearly all criminal activity in the colony. To be sure, not

all Triad members or organizations were corrupt. Many persons during this time joined the societies to find jobs, and the stated goals of the societies continued to be overthrow of the Ch'ing Dynasty. On the mainland, the societies continued to grow in size and influence, and became the most powerful force in China outside the Manchu government and its army.

As early as his unsuccessful coup d'etat in 1859, Dr. Sun Yat Sen realized the power of the Triads in China. Long a Triad member, and a "fighter official" of the Triad Kwok On Wui, a branch of the Triad Hung Mun, Dr. Sun was banished from China following the coup. He spent the next three decades building support for his Chinese Republican Party among Triad and Tong members in the United States, Canada, Hawaii and Japan. In 1890, he founded the Chung Wo Tong in Hong Kong to coordinate the activities of the societies on behalf of Republican Party efforts overthrow the Chinese government. Dr. Sun's Tong was an illegal society under the Unlawful Societies Ordinance of 1842, but was political, not criminal in objective. However, Dr. Sun used the power, influence and money of the Triads to further his political agenda for China; and, the organization he founded was the progenitor of the most powerful and notorious of the Hong Kong Triad groups, the Wo family of 15 Triad organizations.

Dr. Sun's efforts, and those of the Republican Party and Triads, were successful, and on January 1, 1912, the Republic of China was formed. In February, 1912, he visited the tombs of the Ming Emperors and made a public declaration that the Ch'ing had been overthrown and the Ming Dynasty restored.

Following 1912, the Triads were openly acknowledged for their support in the Republican Party's efforts to form the new government, and grew in size, power and influence. Triad membership became the road to wealth, power and influence in the new China for many ambitious young Chinese. So powerful was Triad influence, that many young government officials and politicians became members and officials of the Triads. By World War II, so powerful was their influence that, the the Japanese Army used them to maintain a reign of terror in Hong Kong to control the population and to further Japanese war efforts.

Following the war, the ranks of the triads continued to swell. In 1945, the Nationalist government of China under, Chang Kai Shek, initiated an effort to organize the Triads as a means to bolster public support for the government, and to prevent or eliminate communist infiltration into the military and civil service. A major aim of this program was the objective of uniting large numbers of Chinese under oath of blood brotherhood, in defense of the Nationalist Government against the communists. Lt. General Kot Siu Wong, a Triad official of long

standing, headed the effort and formed a new Triad association at 14 Po Wah Road, Canton. Following defeat of the Nationalist Government at the hands of Mao Tse Tung, this new Triad, the 14 Association, resettled in Hong Kong. Since, this group, founded to protect China from oppressive takeover, has become 14K, the most violent and notorious of the Triad organizations.

As the 14 Association degenerated into criminality as its primary objective, so has been the evolution of the Triad societies in general. Still organized into branches and sub-branches of secret societies, bound by oaths of blood brotherhood, and governed by ancient tradition and ritual, the Triads have become international criminal conspiracies headquartered in Hong Kong. As stated by W.P. Morgan, "As power always corrupts, so the society became increasingly corrupted. It accordingly degenerated all the more easily into the far-flung criminal organizations that the twentieth century learned to know so well."¹²⁸

So serious has the problem become in Hong Kong, that as early as 1956, the Royal Hong Kong Police formed the Triad Bureau to attempt to deal with the problem. At that time, 15% of the population of the colony was estimated to be Triad members. After 34 years of investigative effort and prosecution, estimated Triad membership has dropped considerably to only an estimated 1.5 to 1.75% of the population. That figure, however, represents approximately 80,000 to 100,000 persons. In spite of decreases in membership, the Triads are more powerful than ever, and the societies continue to "hang the blue lantern" and prosper from their criminal enterprises.¹²⁹ As reported in a 1991 report by the Criminal Intelligence Service, Canada, "Criminals active in Triad associations are involved in a myriad of offences including extortion, prostitution, murder, assaults, gambling, frauds, drug importation and trafficking and weapons offences. Their propensity for violence and intimidation are commonplace and their ruthless behaviour instills fear within the communities in which they exist."¹³⁰

In Hong Kong, fear of Triad activity is rising as 1997 approaches. In 1990, reported crime in the colony increased by 7.9%, and violent crime increased by 8.5%. Auto theft increased an astonishing 44.6%. An unprecedented increase in violent crime involving use of firearms swept the colony, and armed robbery increased by 1,577 incidents.¹³¹ The Royal Hong Kong Police have openly acknowledged that law enforcement authorities are losing the battle against drug traffickers, and that smuggling syndicates based in Hong Kong and Thailand are shipping over 2,500 metric tons of raw opium a year, much of it processed in the colony.¹³² In September, 1989, the colony enacted The Recovery of Proceeds Ordinance to seize drug trafficking profits. By December, 1990, authorities had seized 256 KG of opiates, made 7,600 arrests and seized \$240 Million in assets.¹³³ Even with that massive effort, opium overproduction in the Golden

Triangle for sale to the Triad organizations continued unabated for the tenth straight year. xx As 1997 approaches, the prospect of growth in Triad membership looms, as hard times have historically been good to the societies. In 1990, an article in U.S. News And World Report stated, "A wave of violent crime marked by armed jewelry heists, homicides and Mafia-style gang wars is giving Hong Kong the jitters. Police fear the lawlessness will escalate as the unsettling 1997 deadline for China's takeover of the British colony grows nearer. The growing fear, frustration and uncertainty is helping swell the Triad's ranks."¹³⁴

In the United States, the influence of the societies is growing. In many major cities where large, close-knit Chinese communities exist, the Triads are known and a fact of daily life. Narcotics, gambling, business infiltration, extortion and money laundering are their stock and trade. In California, experience with Triads has been significant. In Los Angeles, a recent investigation of 14K Triad activity resulted in indictment of several Triad members on a variety of weapons, narcotics and assault charges. In San Francisco, the Wo Hop To Triad has consolidated control over several factions of the Wah Ching and Viet Ching street gangs, while nearly eliminating the influence of the Joe Boys gang in the Bay area.¹³⁵ That action took place over only a three-year period and has resulted in several homicides. Recently, in Anaheim, two gang members from San Francisco were murdered by other gang members as part of that continuing Triad takeover. In 1991, it was reported to the United States Senate Committee on Governmental affairs that the reputed head of the Wo Hop To Triad in the Bay Area had recently purchased 300 bullet-proof vests.¹³⁶

It is anticipated that, as 1997 approaches, Triad activity in California will increase. Given the history of these criminal societies, Triad movement poses considerable concern to law enforcement, and a considerable threat to the security of our communities.

APPENDIX C

PRELIMINARY NOMINAL GROUP

Police senior administrator, experienced in Asian relations issues

Police Investigator, assigned to Asian street gang investigations in Orange County

Police Investigator, assigned to Asian Organized crime investigations in Los Angeles

Government executive, and immigrant from Hong Kong

Computer scientist, and recent immigrant from Hong Kong

Director, Asian Studies, U.S. Department of Census

Government employee, and recent immigrant from Hong Kong

APPENDIX D

EMERGING TRENDS IDENTIFIED BY NOMINAL GROUP PANEL

1. Level of ethnic segregation
- *2. Level of chinese organized crime
3. Level of business development in manufacturing, trade and finance
- *4. Level of Chinese political influence and activism
5. Level of white collar crime
6. Number of ethnically or racially-based riot
7. Level of legal gambling activity
8. Level of illegal gambling activity
- *9. Level of Chinese immigrant population within general population
- *10. Level of residential real estate values within immigration-impacted areas
11. Level of purchasing or building of "trophy houses" within immigration-impacted areas
- *12. Level of demand for police services by Asian community
13. Level of american corporate ethics/values
- *14. Level of identifiable intercultural conflict
15. Level of Asian crime related case clearance rate
- *16. Level of Chinese street gang activity
17. Level of sensitivity to intercultural conflict issue
18. Level of Chinese language media sources
- *19. Level of ethnically-based retail stores
20. Level of persons entering workforce bilingual in Chinese dialects
21. Number of Chinese persons seeking careers in law enforcement
- *22. Level of Chinese-owned businesses
- *23. Level of demand for Chinese language educational resources
24. Level of Chinese networking organizations
25. Level of demand for Chinese language government services
26. Level of police and official corruption
27. Level of Asian minority focused law enforcement programs
28. Level of E.S.L. and adult education programs for Chinese language students
- *29. Level of bilingual officers fluent in Chinese dialects
30. Level of money-laundering activity
31. Level of the underground economy

32. Level of underground banking activity
33. Level of social service activity provided to the Chinese community
- *34. Level of community relations programs directed toward the Chinese community
35. Level of property ownership by Chinese persons
36. Level of interracial marriage between white and Asian persons
- *37. Level of victimization of persons of Chinese ethnicity

* Denotes trends selected by panel for further study.

APPENDIX E

FUTURE EVENTS IDENTIFIED BY NOMINAL GROUP PANEL

1. The President signs an Executive Order eliminating immigration quotas
- *2. The People's Republic of China violates terms of its fifty year hands-off policy toward Hong Kong
3. Ninety percent of California's contract assembly industry is controlled by Chinese-owned companies
4. The U.S. Congress modifies immigration law to reduce immigration quotas
5. The People's Republic of China initiates military action against Taiwan and Formosa
6. A consent decree mandating racial hiring quotas is applied to all California law enforcement agencies
- *7. The four most powerful Chinese Triad Societies assume control over all Asian organized crime in California
- *8. P.O.S.T. mandates cultural awareness training for all law enforcement management personnel above the rank of Lieutenant
9. The California Department of Education certifies Chinese language courses for grades 7 to 12
10. An anti-immigration demonstration in Washington, D.C. becomes a racial riot resulting in numerous injuries
- *11. The California Department of Justice announces that Chinese Triad Societies have assumed control over Chinese street gangs in California's five largest metropolitan areas
12. Unable to control the level of gang-related street crime, the Los Angeles Police Department requests assistance from the military
13. The federal government significantly increases its workforce to address demands from the Asian community for increased bilingual social and law enforcement services
14. Twenty percent of California's business move out of state, citing the cost of doing business, an unwilling workforce and crime
15. EEO implements new guidelines removing Asians from minority status
16. Asian gang activity increases by fifty percent over 1990 levels in Barstow
17. An economic boomlet occurs in California in 1996, resulting in a fifteen percent increase in state economic growth figures
18. The President signs an Executive Order barring immigration from Hong Kong
19. Thirty percent of all companies in California employing between ten and one-

hundred employees are Chinese-owned

20. The first dictionary of Chinese-American slang is published in the United States
- *21. The U.S. Congress, in consultation with I.N.S., revises the definition of refugee to allow for increased immigrant movement from Hong Kong
- *22. The Asian population of California exceeds fifteen percent of total population
- *23. Public protests in support of increased immigration from Hong Kong occur in major U.S. cities
24. A Chinese-American is elected Governor of the State of California

* Denotes events selected by panel for further study.

APPENDIX F

EXPERTS INTERVIEWED

Director, Asian Studies, U.S. Department of Census
Government executive, and recent immigrant from Hong Kong
Police Investigator, assigned to Asian organized crime investigations, Los Angeles
Police Investigator, author and lecturer on the subject matter, Royal Canadian Mounted
Police, assigned to the Canadian Combined Law Enforcement Unit, Vancouver
Police Investigator, author and lecturer on the subject matter, Vancouver, B.C., assigned
to the Canadian Combined Law Enforcement Unit, Vancouver
Police Investigator, assigned to Asian street gang investigations, San Francisco
Police Investigator, assigned to Asian organized crime investigations, San Francisco
President, computer assembly company, and immigrant from Hong Kong
President, electronics manufacturing company, and immigrant from Hong Kong
Director, Asian community services program, Los Angeles County, and refugee from
the Republic of China
Reporter, Chinese language daily newspaper
University professor and Director of Overseas Development, Cal-Poly, Pomona
Professor of Criminology, Simon Fraser University, Vancouver, and former member
of The Royal Hong Kong Police
Her Majesty's Consul General, Los Angeles, and former British government official
in Hong Kong
Chief of Police, Monterey Park, CA
Principal Information Officer, Hong Kong Information and Trade Office, San Francisco

APPENDIX G

MODIFIED CONVENTIONAL DELPHI PANEL

Director, Department Of Asian Studies, U.S. Department of Census
Police Investigator, Author And Lecturer On The issue, Royal Canadian Mounted
Police, Assigned To Combined Law Enforcement Unit, Vancouver, B.C.
Entrepreneur, President Of Electronics Assembly Firm, And Hong Kong
Immigrant
Police Investigator, Assigned To Asian Relations Programs, Santa Ana
Police Investigator, Assigned Asian Organized Crime Investigations, San
Francisco
Government Executive, Economic Development Corporation, And Hong Kong
Immigrant
Reporter, Chinese-Language Daily Newspaper
Hong Kong Government Official, Economic And Trade Office, Posted To
San Francisco
Police Executive, Santa Ana Police Department

APPENDIX H

MODIFIED CONVENTIONAL DELPHI PROCESS

March 15, 1992

Dear Panel Member,

I would like to take this opportunity to thank you for your assistance in completing my Command College Project. Although this phase of the project may appear lengthy, it has been structured to take approximately thirty minutes.

The process in which you are involved is a futures study concerning an emerging issue facing law enforcement in California. A key element in any futures study is the forecasting of trends and events which may impact the issue in question to develop a view of the future, or scenario, for use as a tool in strategic planning. This is accomplished through a Modified Conventional Delphi Process, in which specific trends and events are forecast by knowledgeable persons as to likelihood of occurrence, and rated as to their impact on the issue in question. Your forecasts will provide critical statistical data for analysis, and will form the basis of this study.

The specific trends and events to be forecast have been previously identified through another phase of the process and a preliminary forecast made. This will constitute the second and final forecasting phase of the study. Please use your expertise and personal knowledge of the issue to provide the most appropriate assessment of the items as given.

Detailed instructions and rating instruments are attached for your use. Please follow the instructions carefully to make the data you provide as useful as possible for the final study. The instructions should be self-explanatory. However, should questions arise, please feel free to call me any time at my office, (714)647-5357, or at my home, (714)XXX-XXXX. Due to the particular time requirements of this study, I request that the rating forms be returned to me by Thursday, 4/1/92. The rating forms may be faxed to (714)647-5104, Monday through Thursday, 8:00 AM to 4:30 PM. Thank you again for your help.

Sincerely,

Michael B. Foote

TREND AND EVENT FORECASTING

ISSUE AND SUBISSUES:

The issue under consideration in this study is as follows:

What will be the impact of immigration from the former Crown Colony of Hong Kong on law enforcement in California by the year 2007?

The subissues under consideration are as follows:

1. Will this immigration result in intercultural clashes between newly arrived ethnic Chinese residents and other minority groups, which will impact law enforcement?
2. Will this immigration result in new patterns of criminal victimization and increased demand for police services?
3. Will the phenomena of the Chinese Triads become a significant factor in California and impact law enforcement needs?

TREND FORECASTING:

A trend is a grouping of interrelated events which occur over time, beginning in the past and continuing into the future, and which are identifiable as indicating some change in society or history. Trends are measured by strength; that is, a trend is estimated as ranging from weak to very strong, or on a corresponding numerical scale. Also, trends are evaluated relative to a given point in time. For purpose of this study, the fixed point in time is to be today, which is assigned the arbitrary value of 100.

Example: Level of Intercultural Conflict.

Relative to today, what would be your estimate of the level of this trend in 1987? If you were to decide that the level of intercultural conflict relative to this issue was half that of today, you would assign the level of the trend the value of 50. Relative to today, what would be your estimate of the level of this trend in 1997? If you were to decide that the level of this trend will be approximately one-fourth greater than that experienced today, and given that today has an arbitrary value of 100, you would assign the level of the trend the value of 125. Relative to today, what would be your estimate of the level of this trend in 2002? If you were to estimate that the level of this trend will be approximately one and one-half that of today, you would assign the level of the trend the value of 150. Relative to today, what would be your estimate of the level of this trend in 2007? If you were to estimate that the level of this trend will be twice that of today, you would assign the level of the trend the value of 200.

Now consider what you would like the level of the trend to be. Estimate the level of the trend by what you would like to see happen, given the influences of the real world. You will be asked to provide estimates of what the level of the trend should be for 1997 and 2002. If you would like to see the level of the trend in five years to be the same or less than today, but realize that in the real world it will most likely be 10% greater than today, you would assign the level of the trend the value of 110. Repeat this process for the years 2002 and 2007. You determine that the most likely levels of the trend in those years will be 115 and 120, respectively.

Following is a summary of your forecasts:

	1987	1992	1997	2002	2007
Was/Will Be Forecast	50	100	125	150	200
Should Be Forecast			110	115	120

Attached is a rating sheet for six trends to be forecast.

EVENT FORECASTING:

An event is a single, identifiable and discrete occurrence which can be described by time, date, location and persons or things involved. An event either happens or does not happen at, or by, some given point in time. An event is forecast in terms of probability of occurrence on a scale 0% to 100%.

If you evaluate an event and consider that the event will most likely not occur by a given point in time, the probability assigned would be 0%. If you evaluate an event and consider that the event will probably occur by a given point in time, the probability assigned would be 100%. Please remember, the probability of occurrence may be assigned at any point on a 100 point scale, based on your interpretation and considered opinion of the events likelihood of occurrence.

Please refer back to the primary issue of this study. The events which you will be provided would have impact on the issue, if they were to occur. That impact can be both positive and negative and may be assigned a numerical value on a scale of 1 to 10, where 1 represents minimal impact and 10 represents maximum impact. Remember, a single event may have both positive and negative impact on an issue.

EXAMPLE: The People's Republic of China declares martial law in Hong Kong.

What is the probability that this event will occur within five years, or by 1997? You determine that the probability will be 20% by 1997. If you believe that the event being considered will most likely occur within five years; then, how many years will pass before the probability of

occurrence will exceed 0%? You determine that the event will probably not occur until the seventh month of 1996, or 2.5 years from now. What is the probability that the event will occur by 2002? You determine that the probability will be 60% by 2002. What is the probability that the event will occur by 2007? You determine that the probability will be 75% by 2007.

Assuming that the event occurs, what would be the positive impact on the issue? You determine that the positive impact on the issue would be low, and assign a rating of 2 on a scale of 1 to 10 for the impact of the event. Assuming that the event occurs, what would be the negative impact on the issue? You determine that the negative impact on the issue would be high, and assign a rating of 9 on a scale of 1 to 10 for the impact of the event.

Following is a summary of your forecasts:

Years till probability first exceeds 0%-	4.5 years
Probability of occurrence by 1997-	20%
Probability of occurrence by 2002-	60%
Probability of occurrence by 2007-	75%

Attached is a rating sheet for six events to be forecast.

TREND

1. Level of Intercultural Conflict.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

2. Level of Chinese Street Gang Activity.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

3. Level of Identified Chinese Organized Crime Activity.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

4. Level of Ethnic Chinese Population in California.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

5. Level of Demand for Chinese-speaking Government Services.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

6. Level of Victimization of Persons of Chinese Ethnicity.

Was/Will be Forecast

1987? - _____
1992? - _____
1997? - _____
2002? - _____
2007? - _____

Should be Forecast

1997? - _____
2002? - _____
2007? - _____

EVENTS RATING SHEET

1. The government of the People's Republic of China violates the terms and conditions of its hands-off policy toward Hong Kong.

Years Until Probability First Exceeds 0% _____
Probability of Occurrence by 1997? _____
Probability of Occurrence by 2002? _____
Probability of Occurrence by 2007? _____
Positive Impact on Issue? _____
Negative Impact on Issue? _____

2. The United States Congress revises the definition of refugee under the Refugee Act of 1980 to grant admission to persons fleeing the fear of oppression in Hong Kong.

Years Until Probability First Exceeds 0% _____
Probability of Occurrence by 1997? _____
Probability of Occurrence by 2002? _____
Probability of Occurrence by 2007? _____
Positive Impact on Issue? _____
Negative Impact on Issue? _____

3. The Commission on Peace Officer Standards and Training of the State of California mandates a minimum level of intercultural awareness training for all peace officers and civilian employees of law enforcement agencies.

Years Until Probability First Exceeds 0% _____
Probability of Occurrence by 1997? _____
Probability of Occurrence by 2002? _____
Probability of Occurrence by 2007? _____
Positive Impact on Issue? _____
Negative Impact on Issue? _____

4. Public Protests in support of changes in immigration policy to allow increased immigration from Hong Kong occur in major U.S. cities.

Years Until Probability First Exceeds 0% _____
Probability of Occurrence by 1997? _____
Probability of Occurrence by 2002? _____
Probability of Occurrence by 2007? _____
Positive Impact on Issue? _____
Negative Impact on Issue? _____

5. During state-level hearings, a spokesman for the California Department of Justice states that control of Asian street gang activity in the State's five largest Metropolitan Statistical Area (San Francisco, San Joes, Los Angeles-Long Beach, Anaheim, Santa Ana and San Diego) has been consolidated by Chinese organized crime triade organizations.

Years Until Probability First Exceeds 0% _____
Probability of Occurrence by 1997? _____
Probability of Occurrence by 2002? _____
Probability of Occurrence by 2007? _____
Positive Impact on Issue? _____
Negative Impact on Issue? _____

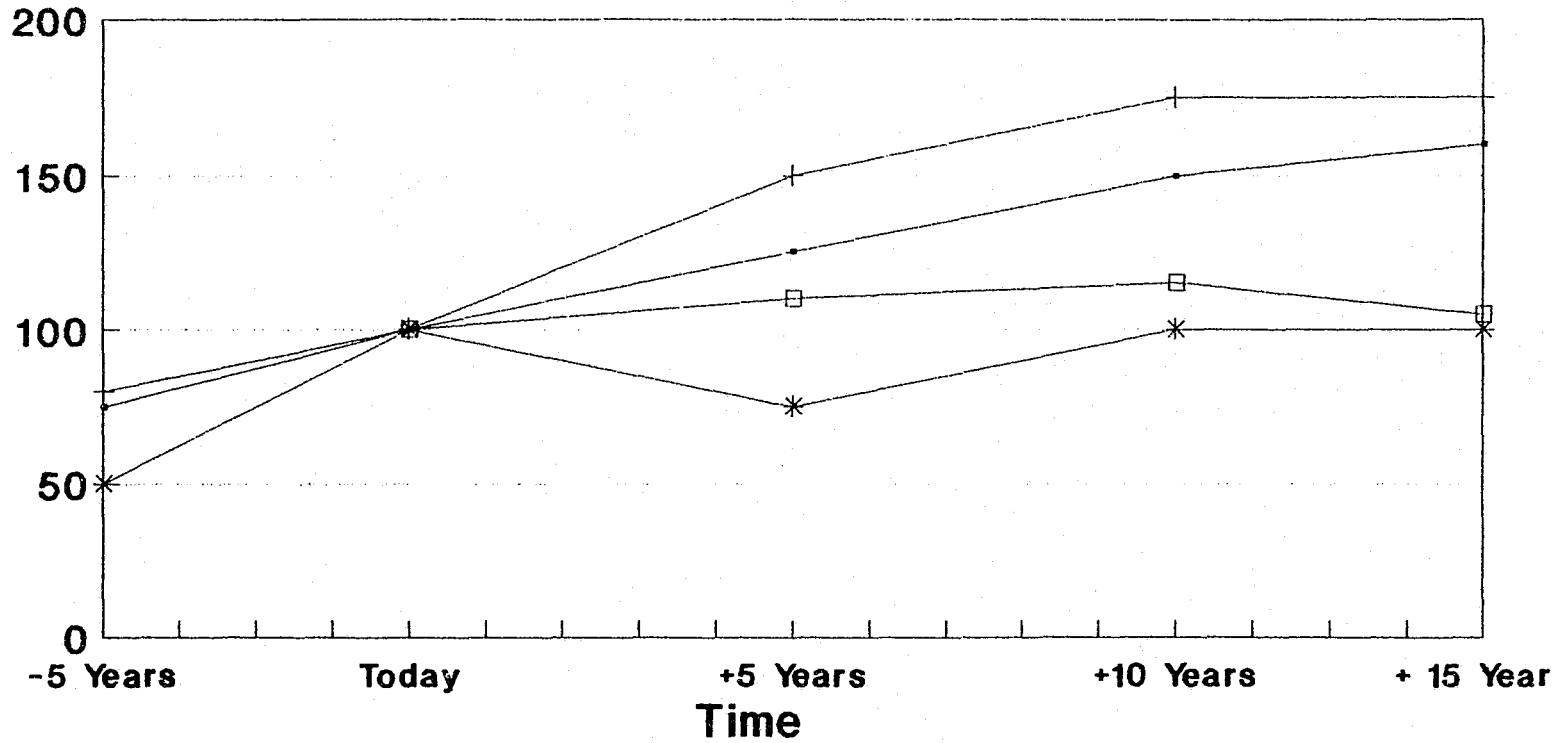
6. The Asian population of the state of California passes the 15 percent of state population.

Years Until Probability First Exceeds 0%	_____
Probability of Occurrence by 1997?	_____
Probability of Occurrence by 2002?	_____
Probability of Occurrence by 2007?	_____
Positive Impact on Issue?	_____
Negative Impact on Issue?	_____

Trend #1

Magnitude

LEVEL OF INTERCULTURAL CONFLICT



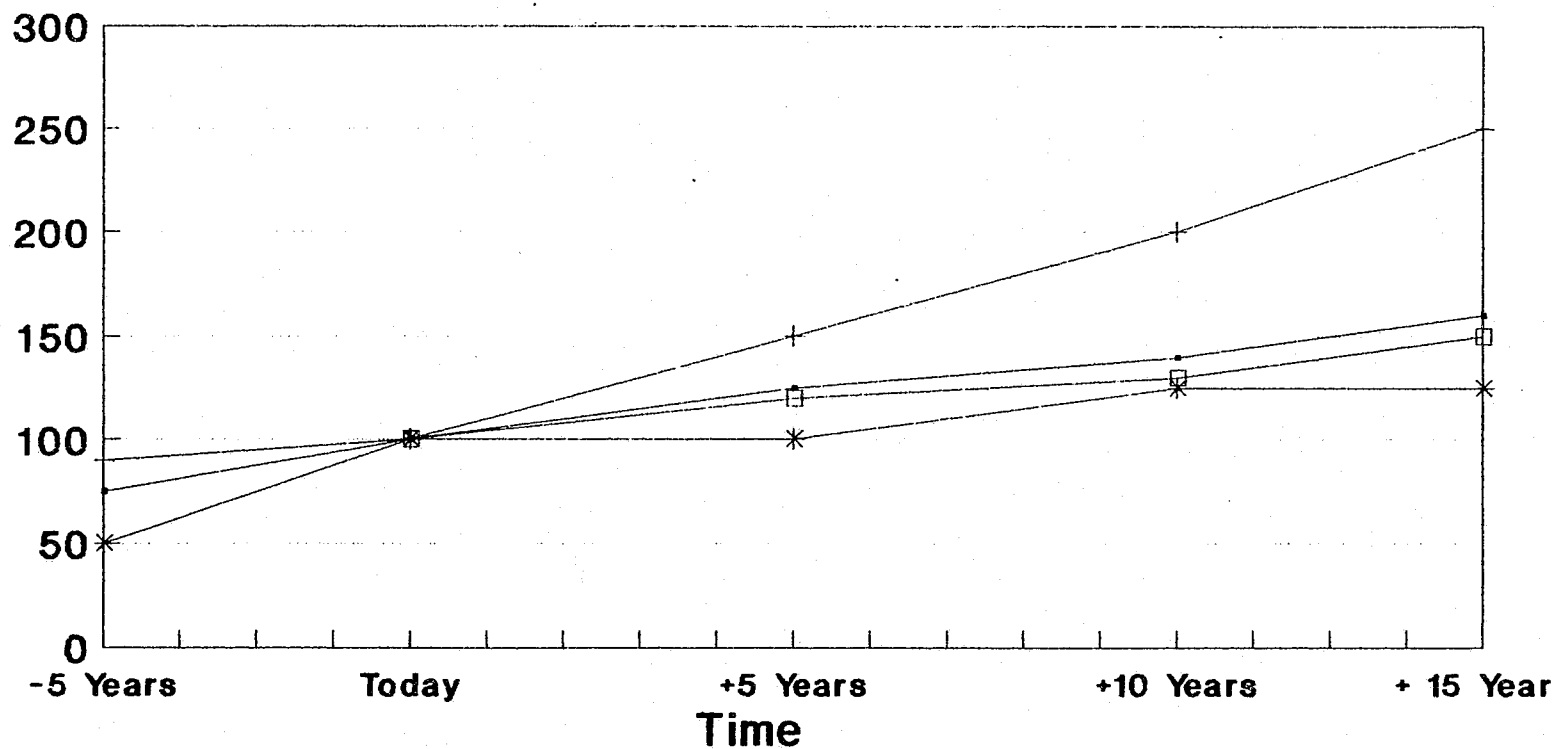
Trend #1

- A - Median Nominal
- *— C - Lowest Forecast

- +— B - Highest Forecast
- D - Should Be

TREND #2

Magnitude **LEVEL OF ETHNIC CHINESE POPULATION IN CALIF**



Trend #1

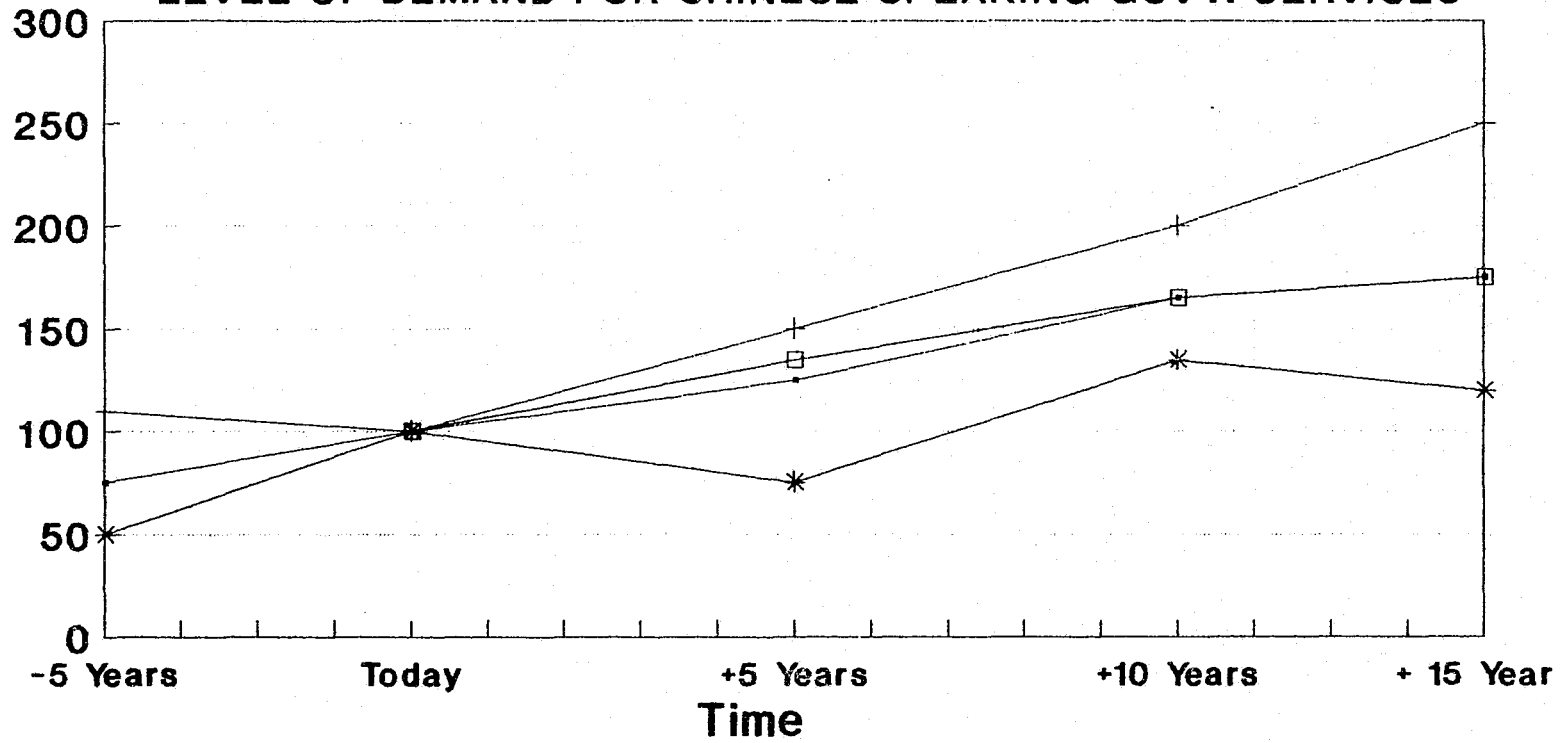
—●— A - Median Nominal
—*— C - Lowest Forecast

—+— B - Highest Forecast
—□— D - Should Be

TREND #3

Magnitude

LEVEL OF DEMAND FOR CHINESE SPEAKING GOVT. SERVICES



Trend #1

—•— A - Median Nominal

—+— B - Highest Forecast

—*— C - Lowest Forecast

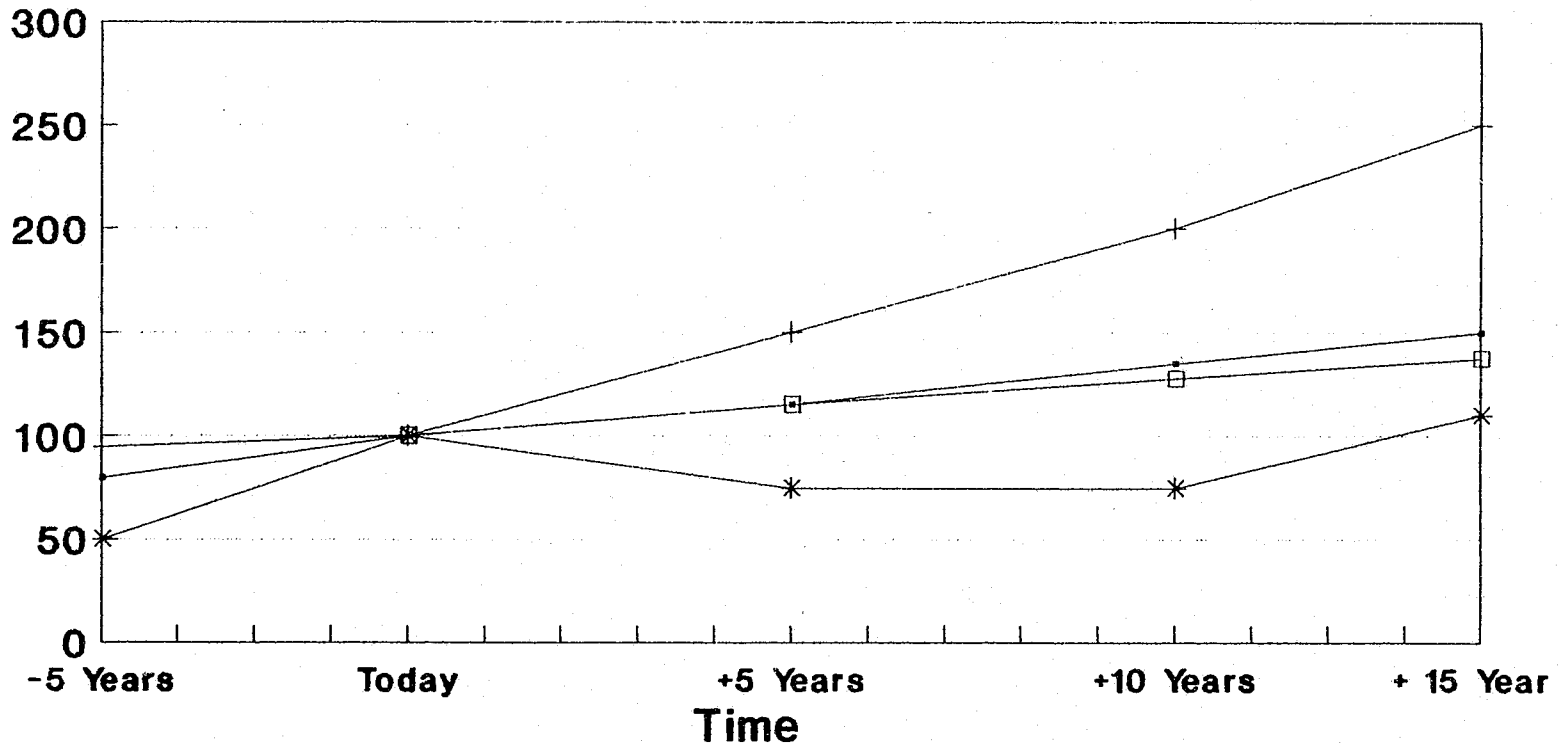
—□— D - Should Be

TREND #4

Magnitude

LEVEL VICTIMIZATION OF CHINESE PERSONS

06



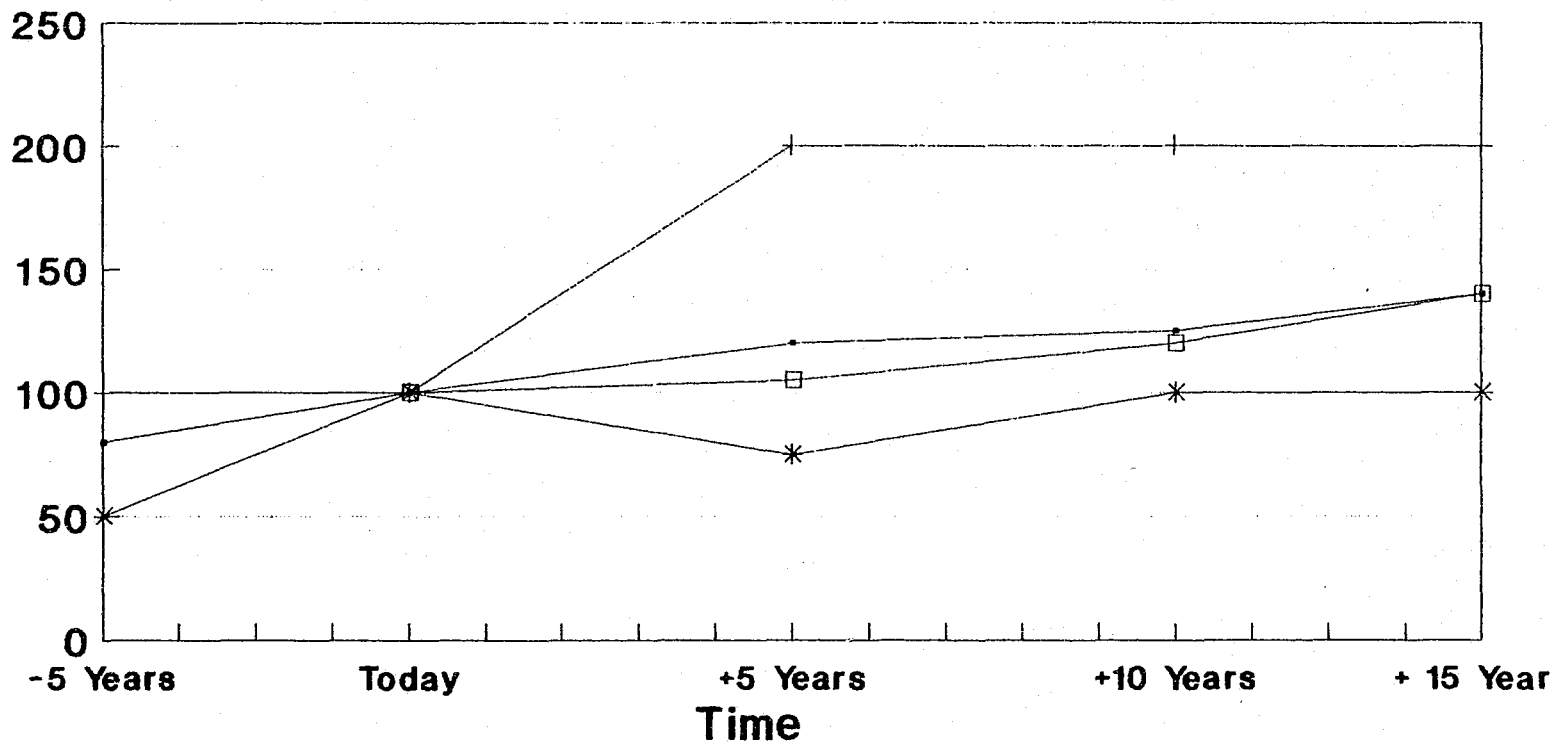
Trend #1

- A - Median Nominal
- *— C - Lowest Forecast

- +— B - Highest Forecast
- D - Should Be

TREND #5

Magnitude LEVEL OF CHINESE ORGANIZED CRIME ACTIVITY



Trend #1

—●— A - Median Nominal

—+— B - Highest Forecast

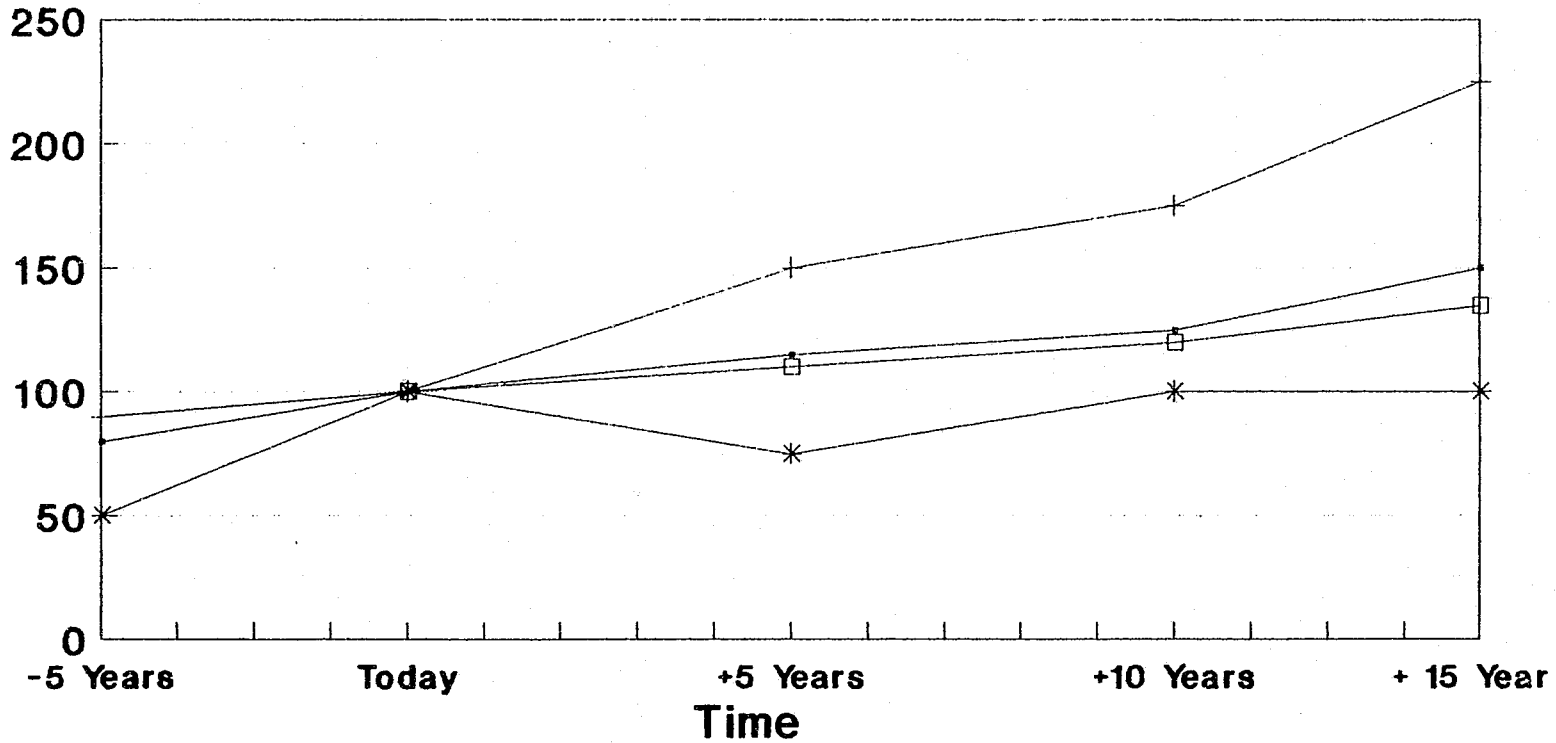
—*— C - Lowest Forecast

—□— D - Should Be

TREND #6

Magnitude

LEVEL OF CHINESE STREET GANG ACTIVITY



Trend #1

—●— A - Median Nominal

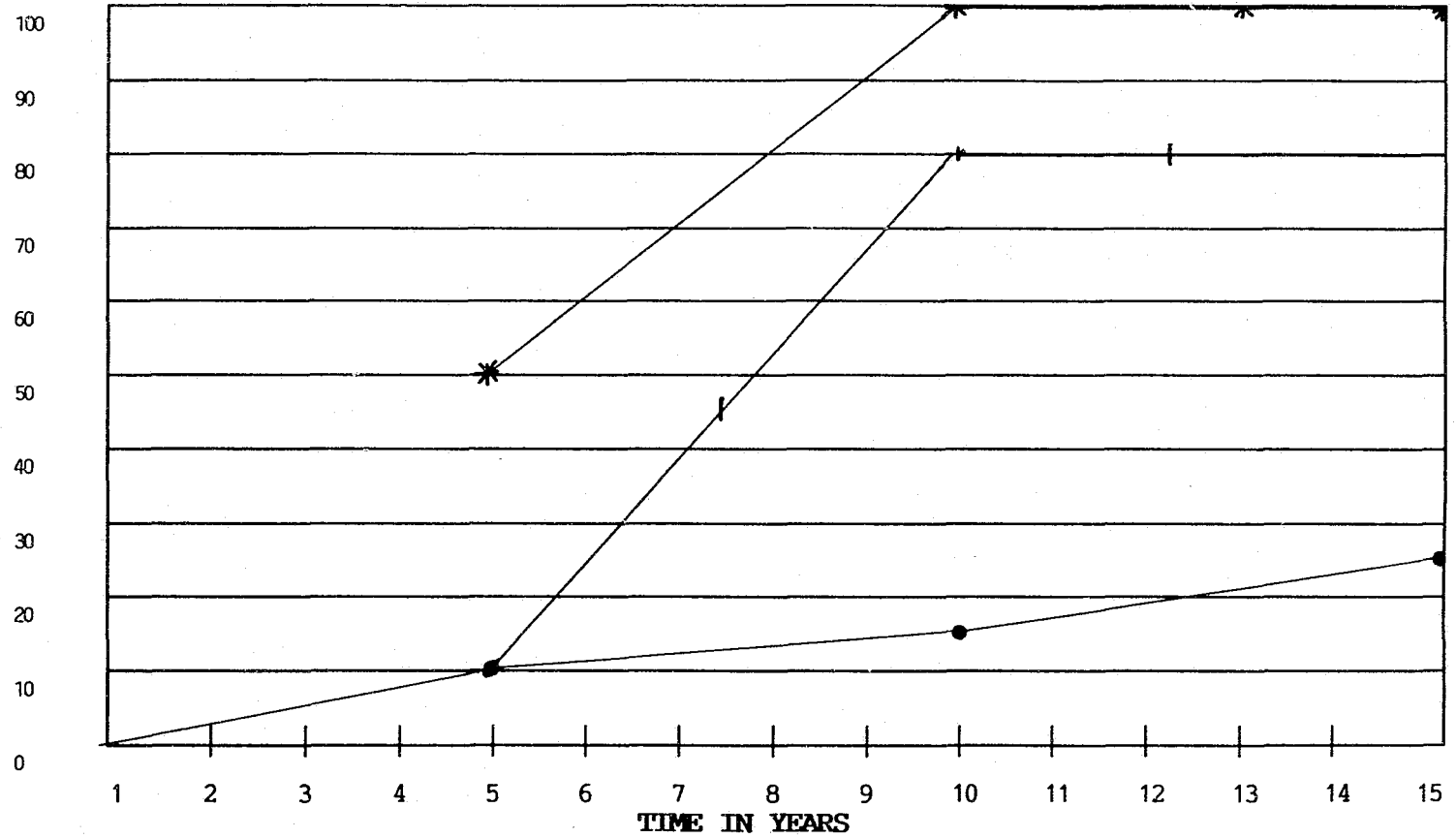
—+— B - Highest Forecast

—*— C - Lowest Forecast

—□— D - Should Be

EVENT #1
PRC VIOLATES TERMS OF AGREEMENT

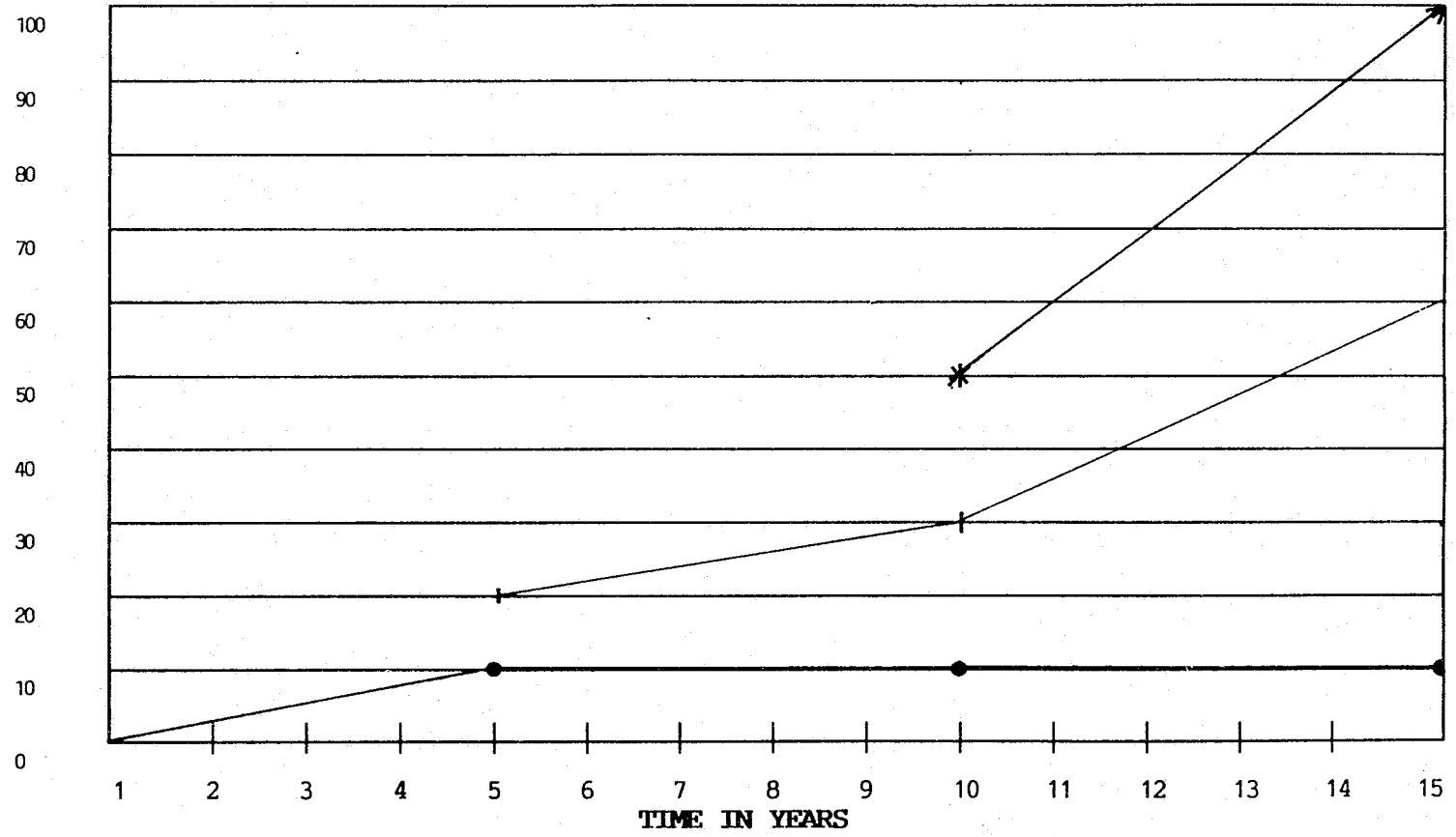
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● Low probability | Median probability * High probability

EVENT #2
CONGRESS REDEFINES REFUGEE

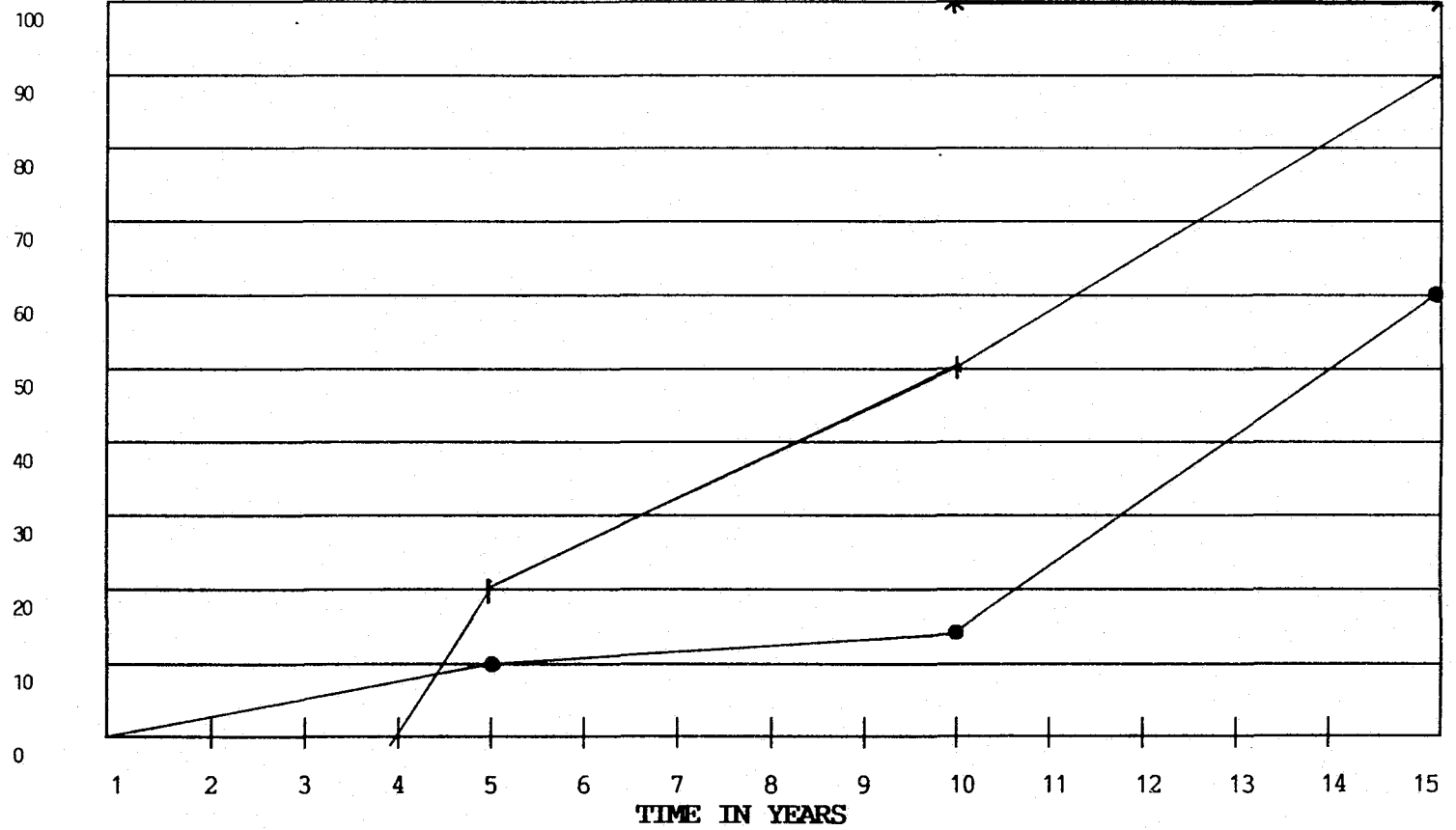
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● Low probability | Median probability * High probability

EVENT #3
P.O.S.T. MANDATES INTERCULTURAL TRAINING

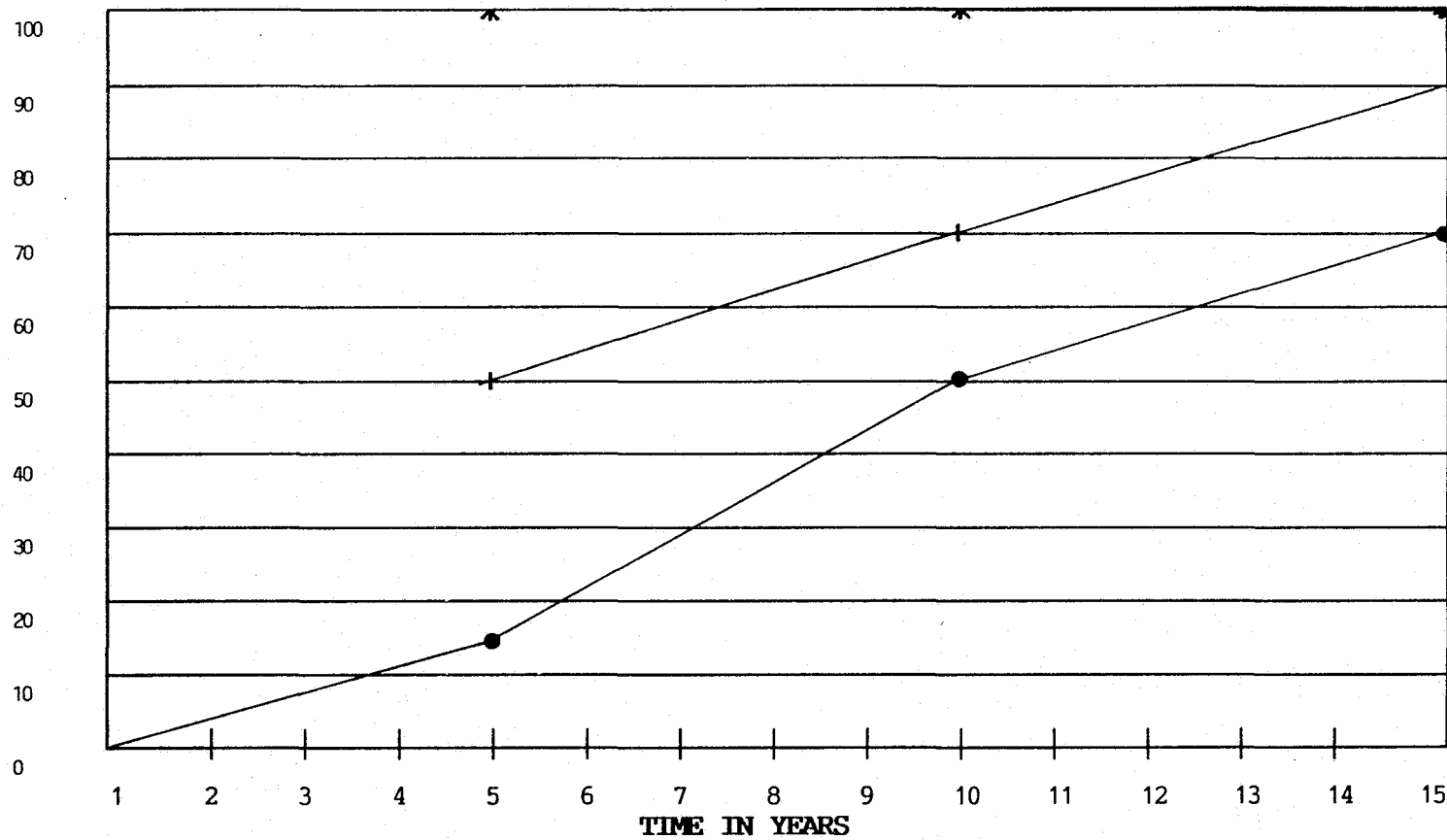
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● Low probability | Median probability * High probability

EVENT #4
PUBLIC PROTEST FOR IMMIGRATION REFORM

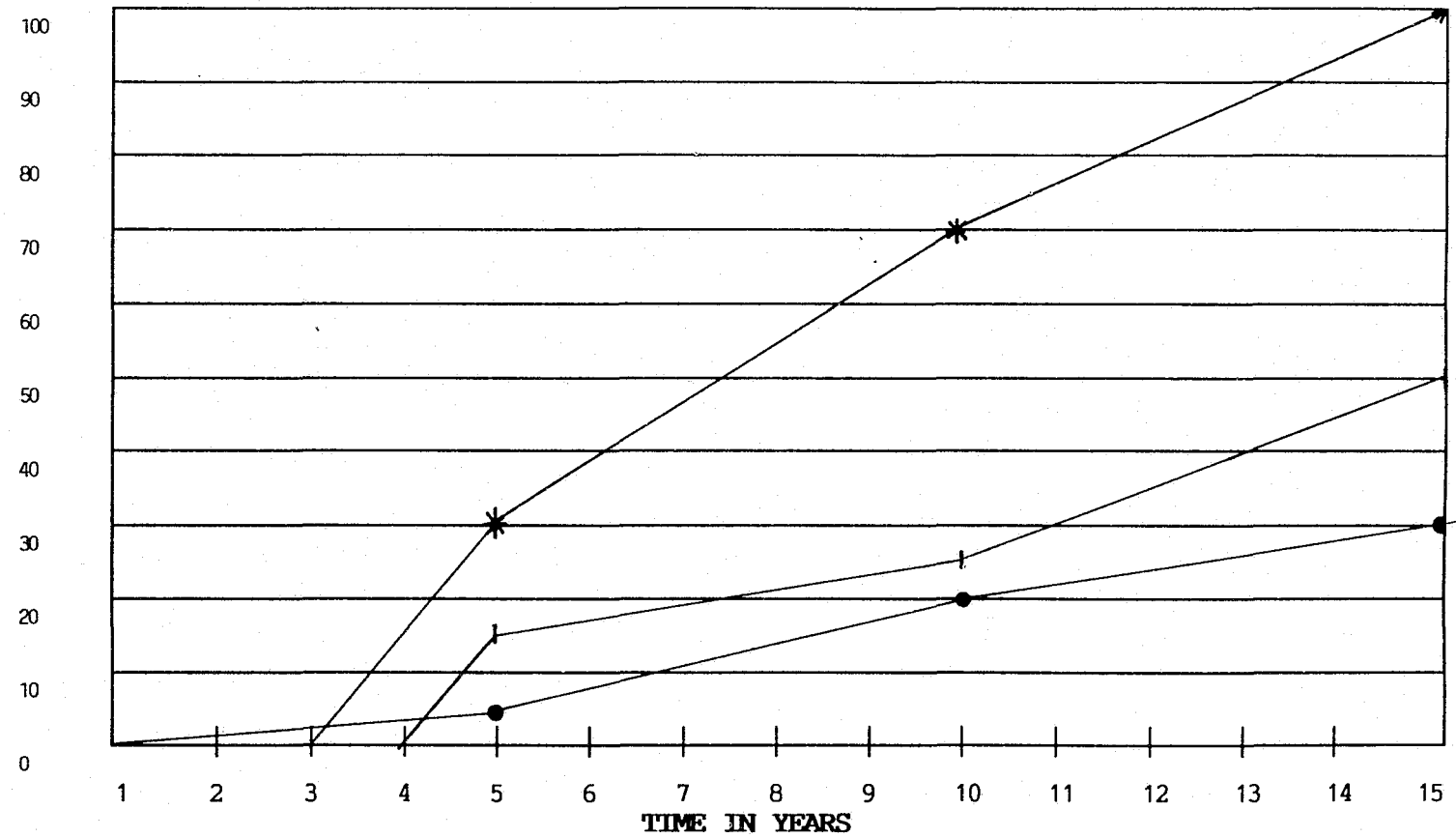
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● Low probability | Median probability * High probability

EVENT #5
TRIADS CONSOLIDATE CONTROL OF STREET GANGS

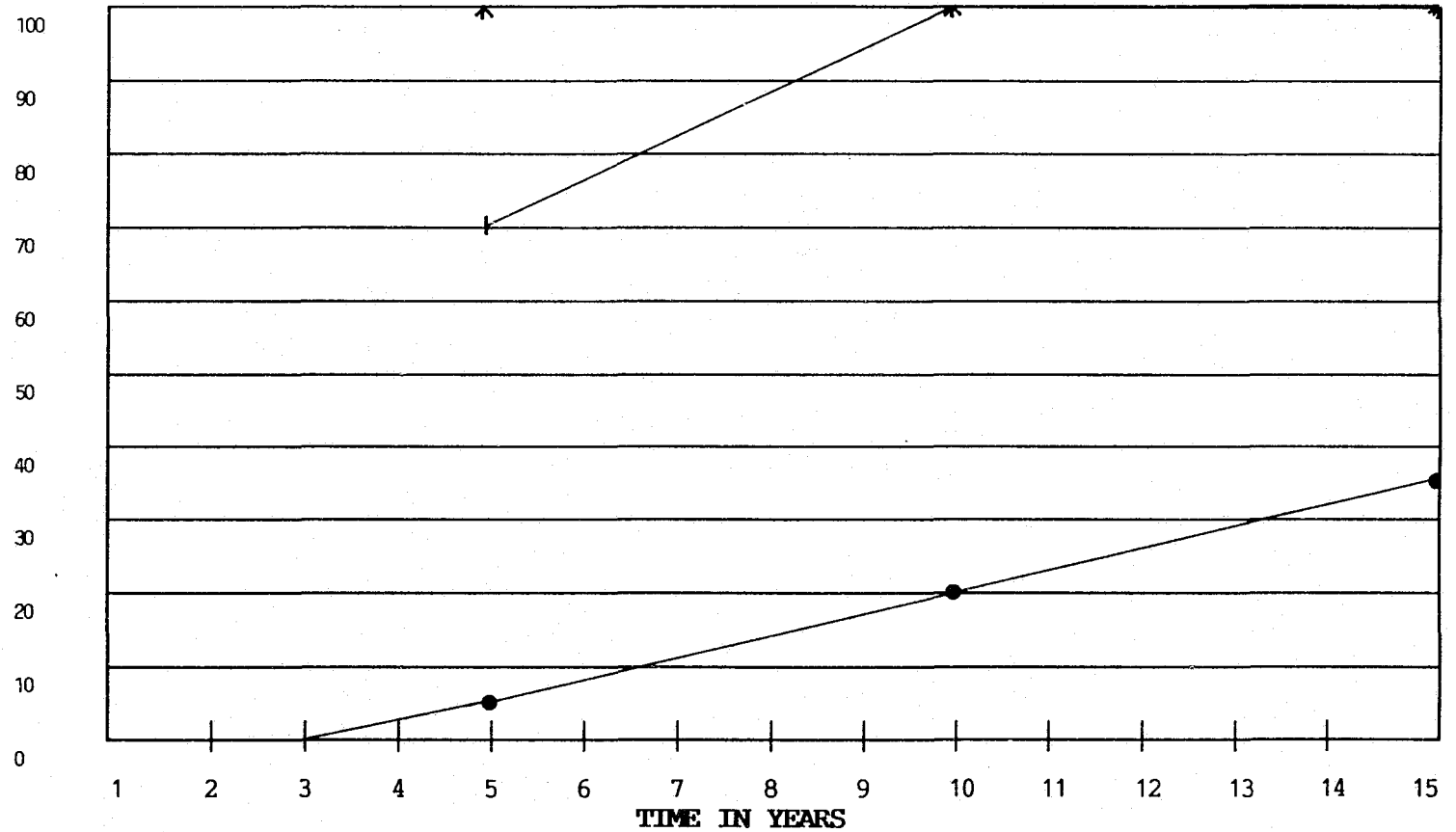
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● Low probability | Median probability * High probability

EVENT #6
ASIAN POPULATION EXCEEDS 15% OF STATE POPULATION

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● Low probability | Median probability * High probability

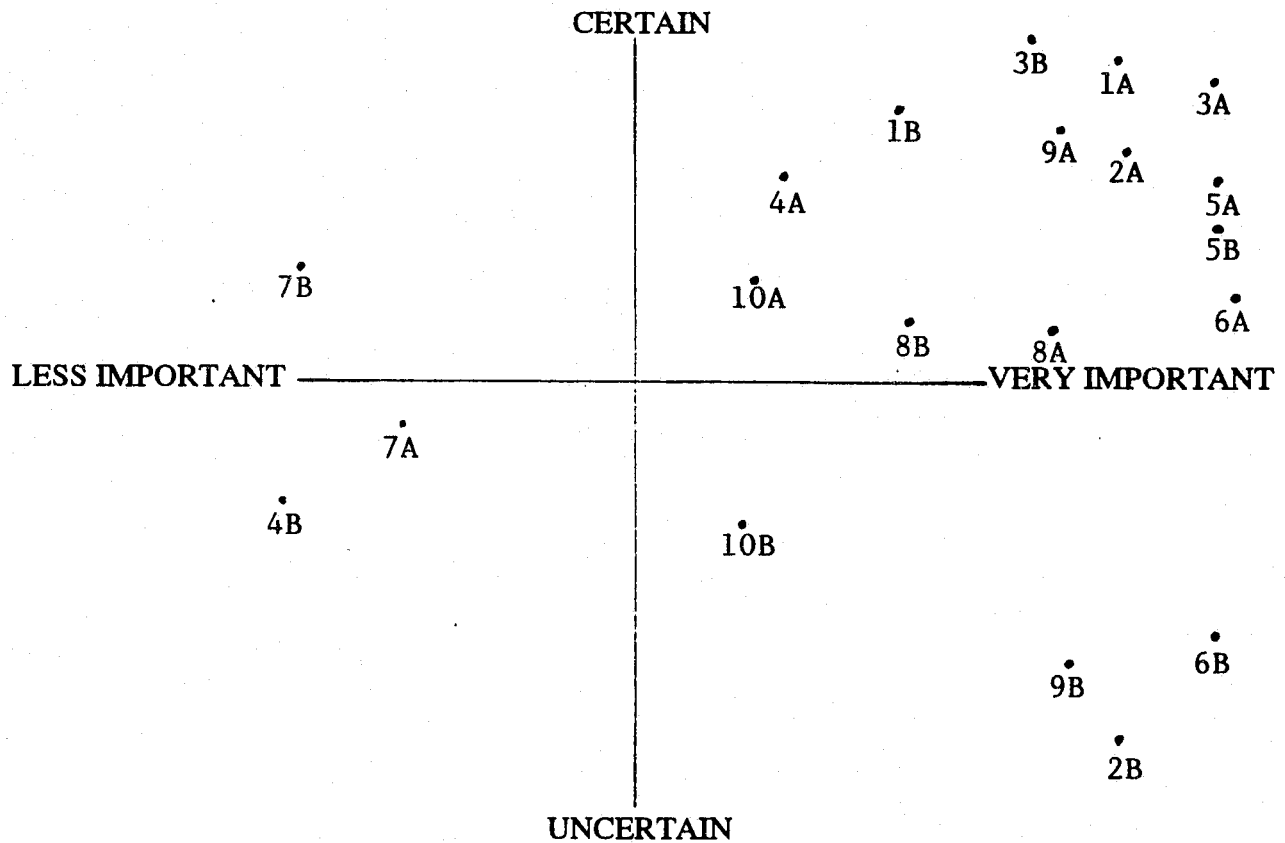
INTERNAL CAPABILITIES ANALYSIS

APPENDIX K

	Readiness			Capability		
	High	Medium	Low	High	Medium	Low
Santa Ana Police Chief		X			X	
City Manager		X		X		
Chamber of Commerce	X				X	
Director, Hermandad Mexicano Nacional			X		X	
Police Officer Association		X			X	
Captain, Field Support Division	X			X		

APPENDIX L

STAKEHOLDER ASSUMPTION MAPPING



ASSUMPTIONS

- | | |
|--|--|
| 1A. Asian community will support. | 6A. City Manager will support policy. |
| 1B. Asian community will build coalitions. | 6B. City Manager will not support policy. |
| 2A. Hispanic community will support, | 7A. City depts. will not support/ cost. |
| 2B. Hispanic community will oppose. | 7B. City depts. will not support/ PD only. |
| 3A. Chief of Police will support. | 8A. Assoc. support/ service improvement. |
| 3B. Chief will seek quick results | 8B. Assoc. support/minority benefits. |
| 4A. SAPOA will support. | 9A. Business community will support. |
| 4B. SAPOA will not support. | 9B. Business community will not support. |
| 5A. Council will support/political gain. | 10A. Media will support. |
| 5B. Council will support/improved service. | 10B. Media will not support. |

APPENDIX M

ALTERNATIVE POLICY STRATEGIES DEVELOPED BY MODIFIED POLICY DELPHI PANEL

1. A comprehensive recruitment program for bilingual and bicultural Chinese officer candidates
2. Development of an in-service training program in Mandarin and Cantonese dialects
3. Development of a language bank program staffed by citizen volunteers and equipped with cellular telephones for field officer access on a twenty-four hour basis
4. Development of a comprehensive cultural awareness program dealing with the Chinese culture
5. Recruitment of ethnic Chinese Police Cadets
6. Ignore the problem until crisis mandates action
7. Develop a lateral transfer recruitment and training program for current Hong Kong law enforcement personnel
8. Development of an ESL and American law/culture educational program to be jointly funded and taught by city government and the school district
9. Incentives to the business community to develop a privately-funded and administered ESL and American law/culture program
10. Establish an Office of Asian Affairs within the Police Department and staffed by officers trained in Asian cultures and languages, to include Viet Nameese, Cambodian, Laotian, Hmong and Chinese
11. A combination of policy alternatives 3 and 10
12. City government at State and Federal levels to reduce immigration quotas for persons requesting entry visas from China and Hong Kong
13. City government to lobby at the state level to create a State-administered Asian law enforcement transition progra
14. Police and city government to develop a law enforcement training and job preparation program to be administered by a local community college and funded through a regional Joint Powers Authority
15. Monitor the situation as it develops, with a tripwire threshold of fifteen percent of total population as a point to begin policy planning.
16. Create a Joint Powers Asian Task Force to deal with law enforcement services in the Asian community and consisting of bilingual officers assigned from member agencies.

APPENDIX N

CRITERIA FOR ALTERNATIVE POLICY SELECTION BY MODIFIED CONVENTIONAL DELPHI PANEL

1. Maximum potential for mission accomplishment
2. Minimum expenditure of fiscal resources
3. Maximum political benefit for both city and department
4. Minimum political opposition
5. Must positively and effectively address the issue
6. Must present the "easiest sell" in terms of minimal compromise of program content during the negotiation process
7. Must meet the political and personal agendas of the greatest number of stakeholders
8. Must provide both long-term and mid-term benefit
9. Must produce quantifiable results
10. Must present a permanent solution, not just short-term flash
11. Must offer the best probability of long-term survivability

APPENDIX O

IMPLEMENTATION PLAN

- I. Identify key stakeholders necessary to reach critical mass for implementation and form a Study Group of stakeholders and key department personnel
 - A. Time Line - One month
 - B. Study Group structure
 1. Asian community representative
 2. Hispanic community representative
 3. Anglo Community representative
 4. Chief of Police or designate
 5. Selected staff members

- II. Study Group meets to develop program proposal
 - A. Time Line - Three months
 - B. Assess the nature of the problem and service levels required to meet needs
 - C. Review operational requirements within the context of the issue
 - D. Define the mission of the police department relative to the issue
 - E. Identify resources required to implement and staff the strategy
 - F. Identify program structure
 1. Reporting responsibilities
 2. Staffing requirements
 3. Training requirements
 4. Physical location requirements
 5. Capital equipment requirements
 6. Operational requirements
 7. Operational procedures and guidelines
 8. Training materials and course content
 - G. Identify program goals, objectives and evaluation criteria
 - H. Identify policy actions and documentation required

- III. Prepare program documentation and proposal
 - A. Time Line - Three months

APPENDIX P

RESPONSIBILITY (RASI) CHART						
	Chief of Police	City Manager	President VN Chamber	Director Hermandad	SAPOA	Capt, Fld Spt Div
Assemble study group	R	A	S	I	S	S
Prepare materials for SG	A	S	-	-	-	R
Present to SG	A	S	I	I	-	R
Design program	A	S	I	I	I	R
Present to tele/tele/tele	R	A	I	I	I	S
Internal presentations	R	A	-	-	S	S
Implement program	A	S	I	I	S	R
Periodic assessment of program	A	I	I	I	S	R
<p>■ Legend</p> <p>R = RESPONSIBILITY - for an action, but necessary authority</p> <p>A = APPROVAL - must approval, has power to veto the action</p> <p>S = SUPPORT - has to provide resources regardless of support</p> <p>I = INFORM - must be informed before action, but cannot veto</p> <p>- = IRRELEVANT - to that particular action</p>						

Responsibility Charting

Responsibility charting is a process designed to ensure that the critical participants in the change process are clear about their responsibility for specific action steps. Responsibility charting provides a graphic display of the actions to be taken, the actors involved in those actions, and the level of responsibility for those actions.

- IV. Presentation of proposal to City Council
 - A. Time Line - One month
 - B. Presentation by Chief of Police and Study Group members
 - C. Pre-meeting consultation with Council by Chief of Police and Study Group

- V. Internal introduction of strategy
 - A. Time Line - One month
 - B. Chief of Police disseminates information to announce program to department
 - 1. Internal memoranda
 - 2. Divisional information meetings

- VI. Program start-up
 - A. Time Line - Three months
 - B. Acquisition of Equipment
 - C. Selection of personnel and staff
 - D. Training of personnel and staff

- VII. Recruitment, selection and training of volunteer translators
 - A. Time Line - Four months

- VIII. Implement program
 - A. Time Line - 16 months from initiation of program planning

- IX. Program evaluation
 - A. Time Line - Ongoing
 - B. Six month intervals, or upon demonstrated need
 - C. Program adjustment to meet changing needs of community and department
 - D. Information feedback on program status, effectiveness and enhancements
 - 1. Program staff
 - 2. Department staff
 - 3. Study Group members
 - 4. City Council

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