

Providing leadership to address the issue of Homelessness in Pinellas County:

An analysis of coordinating and leadership
approaches

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Executive Summary

When the Homeless Initiative was originated, the governance approach was fairly settled and so the question appropriately focused on form, i.e. what form of coordinating entity would be best? However, events since that time have opened up the question of governance to the point where a re-framing of the question to encompass all governance and management functions, not just coordination, is appropriate. The re-framed question seeks to determine “what type of governance and management forms would be most effective for the emerging and recommended approach to reducing homelessness in the county?”

This report analyzes the question of appropriate governance and management forms using the full sequence of organizational design questions. This sequence involves:

- Presentation of a theory for complex social phenomena;
- Delineation of the type of problem that homelessness represents
- Delineation of the type of environment in which homelessness exists
- Delineation of governance and management functions, particularly the distinctive emphases required for each function, by a problem such as homelessness

Once this design analysis was completed, the question of this study was re-framed with sufficient focus and a standard methodology of best practice review was employed to answer the question.

Based upon a best practice review of other Florida governance and management models, community leadership models and emerging forms of network management, this analysis reached the following conclusions:

- The theory that best addresses the social phenomena of homelessness is a theory called complexity theory;
- Within the framework of complexity theory, homelessness has the features of a complex problem;
- The homeless, agencies serving them and other interested parties have the characteristics of a complex adaptive system;
- There is a need for a full range of governance functions with an emphasis on functions that foster creative and holistic problem-solving; collaborative leadership and policy solutions;
- There is a need for a systems oriented management function that focuses on community outcomes, systems analysis and management and sustained work efforts to achieve those outcomes;
- The particular form of governance that would best fit the issue of homelessness is a form known as a public leadership network;
- The particular form of management that would best fit the issue of homelessness is a form known as a public management network.

Based on this analysis, the report recommends that the Policy Group assume the role and functions of a public leadership network to lead a community response to homelessness. The Pinellas County Coalition for the Homeless would assume

the complementary role of a public operations network fostering coordination and integration of services. These two networks would work closely with each other but each would remain distinct entities with distinctive roles and missions.

Introduction

One of the charges of the Homeless Initiative project is to determine an effective coordinating mechanism for homeless services in the County. In work conducted to date there two themes of relevance to this charge have emerged.

One theme is that in Pinellas County, across a broad range of health and human services, there is a gap in the coordination of services across both funders and providers. The recent FMHI needs assessment identified this as an issue¹ and the purpose of the proposed Human Services Planning Council is to use planning methods to create a more coordinated effort.² Various forums throughout the Homeless Initiative have identified coordination as a key issue.³ Clearly one area of clear consensus is that there needs to be enhanced coordination of services within the county.

The question of an enhanced coordination mechanism is really a question of organizational design and should be approached in the classic sequence of function, form and funding. That is to say, the first and most basic question to be answered is what function or functions needed to be performed? Once this is answered, then the question of best or acceptable form then can be addressed. Once form is determined, then the question of funding must be addressed.

¹ Need assessment study? 2005. Florida Mental Health Institute.

² Human Services Structure Committee. 2005. A proposed model for a human services planning council.

³ Marlowe, H.A. 2004. Focus groups notes, Homeless Initiative.

A second theme has emerged specifically from the Homeless Initiative process to date. That second theme is the need to move to a more substantive effort at the leadership and coordination level. The effort to secure funding for part time staffing of the Pinellas County Coalition for the Homeless (PCCH) is one element of that effort. Another is an expressed concern for stronger leadership on the issue of homelessness from public and civic leaders. As stated in several SPC sessions, it is time for the PCCH to move beyond the volunteer efforts of staff and advocates if a more effective and meaningful set of services for homeless persons is to be created, funded and directed.

While the first theme reinforces the original question of optimal form of coordinating entity, the second theme has generated the need for a more fundamental examination of governance and management approaches with respect to addressing homelessness. Governance is defined as policy making and priority setting, including what resources are to be directed to what outcomes. Management is defined as the function of coordination, system integration and management of resources to achieve the outcomes established via the policy function.

Instead of being able to assume the core function is coordination, and asking what form of coordination would be best, a more comprehensive series of organizational design steps must be instituted. This comprehensive design steps are comprised of four questions. These four questions comprise the logic model of both governance and management system design. They are:

- What type of problem is the system seeking to solve?
- What environment does this problem exist in?

- What governance and management functions need to be distinctive to solve this problem?
- What form of governance and management approaches best fit the problem?

As these first three questions are asked and answered, it will result in a re-framing of the core question this analysis is seeking to answer. To achieve this re-framing and answer the methodology discussed in the next section will be followed. After the discussion of method, the next four sections (1, 2, 3 and 4) will discuss a theoretical approach which defines the type of problem that homelessness is and the environment that best characterizes the problem of homelessness. Section five will present the re-stated question. Sections six and seven will review approaches in other Florida counties as well as current and emerging practices in governance and management of homelessness and other similar social issues. Section eight then concludes with a recommended model based on the nature of the problem and governance best practices.

Prior to a discussion of method, a more detailed analysis of why the question this analysis was intended to answer should be re-framed is warranted.

Why reframe the core question?

There are three reasons to reframe the core question of this analysis. These are:

- First, local events and actors have emerged during the process of the project which have brought a different perspective and options to the governance and management of homeless services, including the specific

function of coordination. As shown in table 1, what were givens prior to the work of the Policy Group now require reexamination;

- Second, foreshadowing the argument to come, the issue of homelessness is a distinctive type of problem which can best be understood using an emerging mental model called complexity theory. This distinctive type of problem requires problem solving approaches which are facilitated by some forms of governance and management and hindered by others. To select the most appropriate form of governance and management, we must understand the type of problem that homelessness represents;
- Third, again foreshadowing the argument to come, homeless services have dynamic, emergent and multi-agent properties which are best conceptualized as a complex adaptive system. Just as certain problems are best solved through certain governance and management forms, so that certain types of service systems best governed by certain governance and management forms and not by others.

Table 1: The design of governance and management systems – a conceptual map

Analysis step	Logic Model for Governance and Management Design	
Type of Problem	Given	To be examined
Characteristics of the environment	Given	To be examined
Key governance or management function	Coordination	To be determined
Research question	What form of coordinating body would be best?	To be determined

From the perspective of table 1, an analysis focused what form a coordinating body should take selects the function, coordinating, instead of examining the full range of functions, including coordination, which may be needed. In the prior context, when governance and management options were limited, such a selection was appropriate. However, once the options for governance and management alternatives are opened up, such an approach assumes an answer that may be incomplete. Whatever governance and management forms emerge will most certainly have coordination capacities. But it may emphasize other functions and may look quite different from current models of coordination.

For these reasons, a re-framing of the core question is proposed. Before formally formulating the new question in its most refined and definitive form, a

detailed analysis of the second and third rationales for reframing is offered in sections two and three; what type of problem is homelessness and in what type of environment does the homeless situation exist. These analyses are necessary to address the question of what governance and management functions should be emphasized in homeless services. Briefly reiterating the argument, it is this. A governance or management approach must begin with function that needs to be emphasized. Function depends upon the type of problem being solved and the system or approach that exists to solve that problem. Therefore to select a function without an analysis of problem type and current system features is premature.

Method

Because of the need to re-frame the core question this component of the Homeless Initiative is charged with answering, the method section consists of two parts. Part 1 encompasses a set of analyses that yield a re-framed question with respect to governance and management. Part 2 is comprised of the steps required to answer the re-framed question.

Part 1: Method to re-frame the core question

To reframe the core question, the following procedures will be used. These procedures include:

- Section 1: A summary of the theory deemed most appropriate for describing complex social phenomena such as homelessness. This approach is called complexity theory;

- Section 2: A presentation of problem types as derived from complexity theory;
- Section 3: A description of the current environment in which the problem of homelessness is addressed. Complexity theory describes this environment as a complex adaptive system
- Section 4: A review of methods appropriate for solving complex problems.
- Section 5: A re-stating of the core question based on the conclusions from the prior steps. This re-framing will include the governance and management functions that most need to be emphasized in an alternative organizational approach.

Part 2: Method to answer the core question

Once the core question has been re-framed, the following procedures will be used to answer it:

- Section 6: A review of forms of governance and management systems used by other Florida counties to address the issue of homelessness;
- Section 7: A review of best practices in community problem solving and community leadership
- Section 8: A review of public management networks as a governance and management mechanism
- Section 7: A review of best practices in governance and system management with specific emphases on the organizational functions identified in part 1.

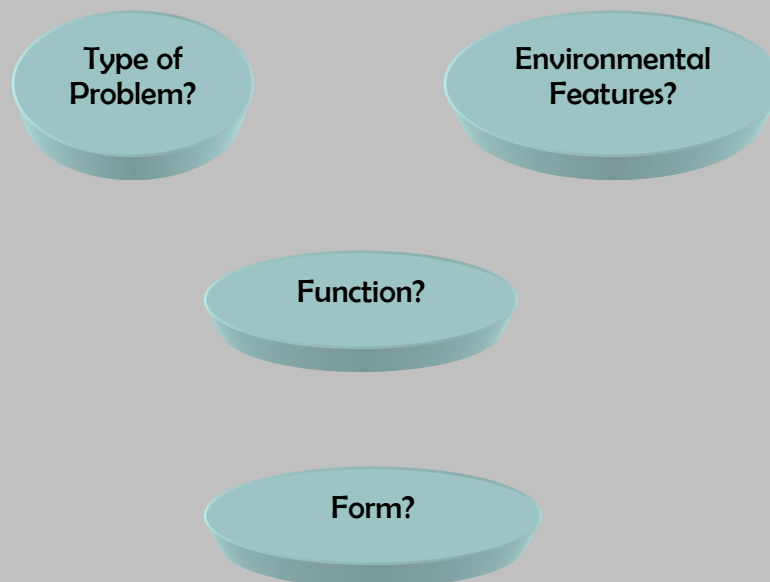
Section 11 will present the recommended governance and management approach.

Given that the task of re-framing a question will involve some degree of theory that may to the reader seem remote from what seems a rather direct question of optimum coordinating body, separate textboxes will be provided in which the logic of the re-framing process is presented. If the reader is comfortable with the main text, there is no need to review the textboxes. If further clarification would be helpful, that is the purpose of the logic summation presented in the textbox.

Logic Summation 1 - The logic model for re-framing the core question of form of governance and management?

This graphical logic model illustrates that type of problem and environmental context determined distinctive function(s) that then determine form. It provides a concise summary of the logic through which a revised core question is developed. The more detailed sections which follow provide a more in-depth analysis of this summarized logic. Graph one illustrates this logic model.

Graph 1: Logic Model



Section One:

Overview of complexity theory

The concept of theory in practice

Why the need for theory? There is a natural tendency to be suspicious of theory. All too often it seems too abstract, too far removed from the everyday world to be of any value. As a result we disparage theory as something academic and of no value to daily action.

Yet the reality is that every action we take is based upon theory. Most of the time, theories are so implicit, prevalent and self-evident that we call them common sense. A theory is simply a model of reality that provides guidelines for our actions. A theory equates to our assumptions about the world. For example, if we assume the world is stable and predictable, we plan our life accordingly. Once our assumption is that the world is dangerous, (such as an approaching hurricane), we plan our life differently. Theories are simply assumptions about the nature of reality, hypotheses about how the world works, frameworks we use to interpret what we see and what happens. We change our theories (our assumptions, hypotheses and frameworks) based on what happens as we live life.

These everyday theories of how the world works are often called theories in practice, theories in mind, “naïve” theories, self-theory or implicit theory^{4, 5, 6}. Wood explains the implicit theory model with reference to managers when he says “every managerial action is based on assumptions about human nature and the world in which we operate. Assumptions shape what we see and how we react to situations. Most of these assumptions are implicit in the sense that managers are not consciously aware of the impact that they have on their actions and, in some cases, are not even aware that they ever make certain assumptions. Management research refers to these assumptions as theories, in the sense that they help managers to maintain a coherent view of people and the world and their effects are repeatedly evident in similar types of situations”.⁷

There are a number of implicit theories operating in the arena of homelessness. When someone labels homeless persons as “bums”, they are stating their theory that anyone willing to work hard can have a home. When another person says the homeless are victims of the economy, they are stating their theory that our nation’s economy requires a certain excess of workers. Any time you ask someone why people are homeless; their answer makes their “implicit” theory explicit. While perhaps not everyone has a belief about why homelessness occurs, most people have some belief. This represents their theory in practice. If we simply ask someone why a certain behavior or situation occurs, it elicits their implicit theory.

⁴ Dweck, C. 1999. *Self-Theories: Their Role in Motivation, Personality and Development*, Psychology Press, Philadelphia.

⁵ Wegener, D., & Petty, R. 1998. The naïve scientist revisited. *Social Cognition*. 16, 1-7.

⁶ Dickson, M. & Wendorf, C. 1999. Manager’s implicit theories of motivation. Presentation to the American Psychological Association Conference.

⁷ Wood, R. 2001. Implicit theories of managers. *AGSM Magazine*. 1.

The same phenomenon occurs when we organize a response to a problem or situation we want to address. How we organize that response is based on our theory in practice. To relate this principle to homelessness, if our theory is that the homeless people are simply lazy, our response is likely to be somewhat punitive. If our theory is that homeless people are homeless for many different reasons, then we will probably design a multi-faceted approach.

Upon reflection, it is evident that we already have theories about homelessness. The question is not whether theories are at work or not. They are. The more accurate and helpful question is, what theory provides explanatory power and guidance for action?

From another perspective, we judge theories with whether they are true or not. However, the useful question is not which theory is truer in the abstract? Instead, the more useful question is the very practical question of whether or not the theory provides a useful model for understanding the world and whether it provides useful guidance for action. If a theory provides useful understandings and avenues for action, then it has value. If those actions do not lead to desired improvements or changes, then the theory must be revisited, revised or rejected.

While theories in practice are a common practice for much of our life and work, a formal analysis such as this should not operate on implicit theories. Therefore

the following narrative presents the theory used for the analysis of governance forms which this report presents.

Complexity theory

There are innumerable social science theories. Most of these are highly specific theories about specific forms of behavior in specific circumstances. The value of these theories is their testability of course. What is missing among these very specific theories is any overarching theory which integrates a wide variety of phenomena and behavior. While no one theory may be capable of explaining everything, there is an on-going effort for more and more comprehensive theories in the hard sciences. The holy grail of this search is the single unified theory.⁸

While there field of social sciences is far from any single unified theory, there has emerged in the last twenty years a theory which not only addresses social systems but also has explanatory power in the physical sciences. As such, it represents the most comprehensive theory currently available to understand social systems and social problems. This theory is called complexity theory.

As figure 1 illustrates, complexity theory itself is the intellectual descendant of theories and models encompassing a broad range of disciplines. It is not the intent of this report to review the linkages shown in figure 1 since that would require a level of analysis not required for this report. Table 2 provides a summary and references if further review is desired. The purpose of the figure is

⁸ Oyibo, G. 2002. Highlights of the Grand Unified Theorem: Formulation of the Unified Field Theory or the Theory of Everything. Nova Science Publications.

simply to illustrate that complexity theory is at the leading edge of efforts to explain the dynamics of complicated systems and as such provides advanced tools to understanding a social phenomenon such as homelessness. This first section will provide an overview of complexity theory, followed by two more detailed sections which address specific topics of relevance.

As figure 1 shows, complexity theory itself is based on a number of antecedent theories. However, as a field of analysis with that label, it originated with the work of the Santa Fe Institute in New Mexico. The researchers associated with the Institute, primarily mathematicians and physicists, focus on trying to model and explain the characteristics of complex systems, that is systems that consists of many components that interact in highly complex ways, many of which are non-linear⁹.

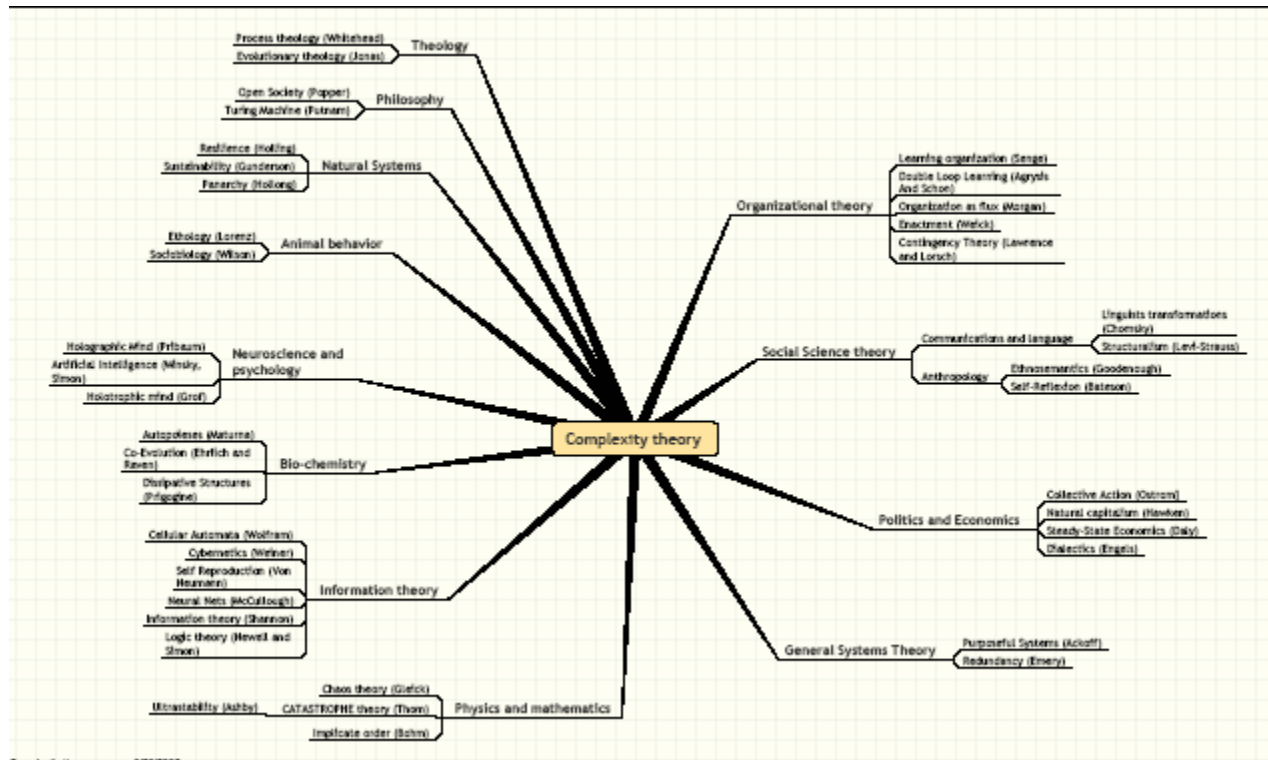
Complexity theory therefore is a theory of how complex systems “work”. The theory describes the distinguishing features of a complex system as well as the processes by which a complex system operates. Some key definitions include:

- Complicated systems. Complicated systems contain many inter-related parts with the connections fixed. The whole is equal to the sum of the parts. Feedback is primarily uni-directional. Predictability is highly likely. A computer is an example of a complicated system.
- Complex systems. These also have many inter-related parts. However, the relationships between these parts are non-linear, there are multiple feedback loops and there are uncertainties which are unpredictable. The

⁹ Bennet, A. and Bennet, D. 2004. Organizational survival in the new world. Butterworth-Heinemann.

whole is more than the sum of the parts. A system to serve homeless persons has features of a complex system.

Figure 1: Map of academic sources for complexity theory



Complexity theory map - 9/26/2005

Table 2: Academic sources of complexity theory

Discipline	Theory	Reference
Physics & mathematics	Chaos	Gleick ¹⁰
	Catastrophe	Thom ¹¹
	Ultra stability	Ashby ¹²
	Implicate order	Bohm ¹³
Information sciences	Cellular automata	Wolfram ¹⁴
	Cybernetics	Weiner ¹⁵
	Self-reproduction	Von Neumann ¹⁶
	Neural nets	McCullough ¹⁷
	Information theory	Shannon ¹⁸
	Logic theory	Newell and Simon ¹⁹
Biology and chemistry	Autopoieses	Maturana ²⁰
	Co-evolution	Ehrlich and Raven ²¹
	Dissipative structures	Prigogine ²²

¹⁰ Gleick, J. 1987. Chaos. London: Penguin.

¹¹ Thom, R. 1975. Structural stability and morphogenesis. Reading, MA: Benjamin.

¹² Ashby, R. 1956. Introduction to cybernetics. New York: Wiley.

¹³ Bohm, D. 1983. Wholeness and the implicate order. London: Ark

¹⁴ Wolfram, S. 2002. A new kind of science. Wolfram Media.

¹⁵ Weiner, N. 1961. Cybernetics. Cambridge: MIT Press.

¹⁶ Von Neumann, J. 1958. The computer and the brain. New Haven, CT; Yale University Press.

¹⁷ McCullough, W. and Pitts, W. 1943. A logical calculus of the ideas immanent in nervous activity. Bulletin of Mathematical Biophysics. 5, 115-133.

¹⁸ Shannon, C.E. 1938. A symbolic analysis of relay and switching circuits. Master's thesis. MIT.

¹⁹ Newell, A. and Simon, H. 1972. Human problem solving. Englewood Cliffs, NJ: Prentice Hall.

²⁰ Maturana, H. 1970. Biology of cognition. Report BCL 9. Urbana, IL: Biological Computer Laboratory.

²¹ Ehrlich, P. and Raven,

²² Prigogine, I. 1973. Irreversibility as a symmetry breaking factor. Nature. 248. 67-71.

Neuroscience and psychology	Holographic mind	Pribram ²³
	Artificial intelligence	Minsky ²⁴
	Holotropic mind	Grof ²⁵
Animal behavior	Ethnology	Lorenz ²⁶
	Sociobiology	Wilson ²⁷
Natural systems	Resilience	Holling ²⁸
	Sustainability	Holling ²⁹
	Panarchy	Gunderson ³⁰
General systems	Purposive systems	Ackoff ³¹
	Redundancy	Emery ³²
Politics and economics	Collective action	Ostrom ³³
	Natural capitalism	Hawken ³⁴
	Steady state economics	Daly ³⁵
	Dialectics	Engels ³⁶
Social science	Linguistic transformation	Chomsky ³⁷

²³ Pribram, K. 1971. Languages of the brain. Englewood Cliffs, NJ: Prentice Hall.

²⁴ Minsky, M.

²⁵ Grof, S. 1992. The holotropic mind. New York: HarperCollins.

²⁶ Lorenz, K. 1935. Der kimpfen in der umweld des vogels. Journal of Ornithology, 87, 137-143.

²⁷ Wilson, E. 2000. Sociobiology. Harvard University.

²⁸ Holling, C. and Gunderson, L. 2002. Resilience and adaptive cycles. In Panarchy, Gunderson, L and Holling C. (eds). Washington: Island Press.

²⁹ Holling, C., Gunderson, L. and Peterson, G. 2002. Sustainability and panarchies. In Panarchy, Gunderson, L and Holling C. (eds). Washington: Island Press.

³⁰ Gunderson, L and Holling C. (eds). 2002. Panarchy. Washington: Island Press.

³¹ Ackoff, R. 1978. The art of problem-solving. New York: John Wiley.

³² Emery, F. 1969. Systems thinking. Harmondsworth: Penguin.

³³ Ostrom, E. 1990. Governing the commons. Cambridge University Press

³⁴ Hawken, P., Lovins, A. and Lovins. L. 1999. Natural capitalism. Boston: Little, Brown.

³⁵ Daly, H. 1991, Steady-state economics. Washington: Island Press

³⁶ Engels, F. 1873. Dialectics of nature. London: Lawrence & Wishart

³⁷ Chomsky, N. 1957. Syntactic structures. The Hague: Mouton.

	Structuralism	Levi-Strauss ³⁸
	Ethno-semantics	Goodenough ³⁹
	Self-reflexion	Bateson ⁴⁰
Organizational theory	Learning organization	Senge ⁴¹
	Double loop learning	Argyris and Schon ⁴²
	Organization as flux	Morgan ⁴³
	Enactment	Weick ⁴⁴
	Contingency theory	Lawrence and Lorsch ⁴⁵
Philosophy	Open society	Popper ⁴⁶
	Turing machine	Putnam ⁴⁷
Theology	Process theology	Whitehead ⁴⁸
	Evolutionary theology	Jonas ⁴⁹

³⁸ Levi-Strauss, C. 1963. Structural anthropology. New York: Basic Books

³⁹ Goodenough, W. 1951. Property, kin, and community on Truk. New Haven, CT: Yale University Press.

⁴⁰ Bateson, G. 1972. Steps to an ecology of mind. New York: Ballantine.

⁴¹ Senge, P. 1990. The fifth discipline. New York: Doubleday.

⁴² Argyris, C. and Schon, D. 1974. Theory in practice. San Francisco: Jossey Bass.

⁴³ Morgan, G. 1986. Images of organization. Beverly Hill: Sage.

⁴⁴ Weick, K. 1979. The social psychology of organizing. Reading, MA: Addison-Wesley.

⁴⁵ Lawrence, P. and Lorsch, J. 1967. Organization and environment. Cambridge, MA: Harvard.

⁴⁶ Popper, K. 1974. Unended quest. Glasgow: William Collins.

⁴⁷ Putnam, H. 1960. "Minds and machines." In S. Hook, ed. Dimensions of mind. New York: New York University Press.

⁴⁸ Whitehead, A. 1925. Science and the modern world. New York: Macmillan.

⁴⁹ Jonas, H. 1969. The phenomenon of life. New York: Delta

- Complex adaptive systems. There are many inter-related parts which have some degree of autonomy. These parts co-evolve with their environment and create new properties with varying levels of self-organization. Some futures are unknowable. A homeless service system is a complex adaptive system.

Features and processes of complex systems. Researchers in complexity theory have identified a number of features and processes characteristic of complex systems. These concepts offer ways one can understand or think about complexity.

- Fitness. Fitness is the concept that there is not an ideal state to be achieved. Instead, the test is how well the action or response “fits” the environment and the situation.
- Openness. The principle of openness is that the behavior of the system can only be understood in the context of its environment. If we think of homeless services as a “system” then the only way we can understand it is to understand the greater context in which homelessness occurs.
- Multi-dimensionality. Multi-dimensionality is the ability to see continuums rather than dichotomies, see “ands” rather than “ors” (complementarity rather than opposition), and to create feasible wholes with unfeasible parts. Views of homelessness which understand homelessness as a continuum are an example of multi-dimensional thinking.

- Purposefulness. A purposive system is a system that is value-guided. One of the key features of a purposive system is that it can produce “the same outcomes in different ways in the same environment but different outcomes in both the same and different environments. It can change its ends under constant conditions. ... Such systems not only learn and adapt, they can also create”.⁵⁰ Services to the homeless are clearly value driven. The goal would be to create a system of services that can learn, adapt and create.
- Emergent property. This is the principle that the whole is greater than the sum of the parts. If you break an emergent property into its parts, whatever it was that distinguished it is lost. One clear example of this is a human being. Another corollary of the emergent principle is that it is interactions which determine quality. How well the components work together is what creates an effective system. If the goal is to create a highly effective homeless service system, the key is to ensure that the parts work well together.
- Counter-intuitiveness. Another term for counter-intuitiveness is unintended consequences. Complex systems, because of the number of interactions, are not fully predictable. Unintended consequences occur because of time-lags between causes and effects, because of multiple causes, because causes become effects and effects become causes. Responses to homelessness can exhibit counter-intuitive characteristics. Attempts to provide more homeless services may actually “find” more homelessness for one example.

⁵⁰ Gharajedaghi, J. Systems thinking. San Francisco: Barrett Koehler. Pg 37.

- Self-organization. This principle refers to the capacity of a system to re-organize itself to deal with new information that is disturbing its equilibrium. As homeless services are faced with recurring disruptive problems, they continually have to reorganize themselves in some way to respond to those changes. This is self-organization in action.
- Mess. A mess is a system of problems. Touch one problem and others get better or worse. Messes are consequences of the current and future actions of a system. Homelessness is not a single problem, but rather a system of problems which are linked in various ways. A mess is another term for a complex problem.
- Non-linearity. Non-linearity refers to an action by a part of the system which creates responses not proportional to that action. The oft-quoted example of a butterfly flapping its wings and creating the wind currents that ultimately lead to a hurricane is an extreme example of non-linearity. In homeless services, when emergency shelters are filled, there can be serious consequences for persons needing shelter.
- Information bonded systems. This concept refers to the nature of relationships in a system. In material systems the parts are bonded by physical energy. In social systems the bond is information which consists of shared culture, common values, and shared mental maps. Homeless service networks are bonded by shared information and values.

Complexity theory provides the foundation for two key concepts of this report. This first is a typology of problems which provides a model for understanding the problem of homelessness. This typology is discussed in section two. The

second is a way to understand the response to homelessness as a specific type of system. This system is called a complex adaptive system. Beyond models for understanding homelessness, complexity theory also provides a model for a systems based response to homelessness. This is an organizational approach called intelligent complex adaptive systems (ICAS). ICAS will be discussed in detail in another report. It will only be defined for this report. An ICAS is “a complex organization ... composed of a large number of individuals, groups and human subsystems that have nonlinear interactions and the capability to make many local decisions and strive for specific end states or goals.”⁵¹

⁵¹ Benett, op. cit. pg 26.

Section two: What type of problem is homelessness?

To recommend an effective form of governance, the logic model being used asks four questions:

- What type of problem is the system seeking to solve?
- What environment does this problem exist in?
- What governance and management functions need to be distinctive to solve this problem?
- What form of governance and management best fits the problem?

This section addresses the question of what type of problem is homelessness from the perspective of complexity theory. The thesis that will be examined in this section is whether or not homelessness is best understood as a complex problem.

Complex problems: Is homelessness a complex problem?

What is meant by the phrase that any problem, including homelessness, is a complex problem? While the popular use of this term would mean that the homeless issue is complicated, the term is used here in the more technical framework of complexity theory as discussed earlier. In complexity theory problems vary along a number of dimensions. Table 3 presents a brief summary of the major types and sub-types of problems along a continuum.

Table 3: Problem typology

Type of Problem	Straight-forward Problems		Complex Problems	
Sub-Type of Problem	Perfect Problems	Well-defined Problems	Ill-defined Problems	Wicked Problems
Key Features	Very clear problem, has specifically defined steps (algorithm) to solve it. 2+2=4 is a basic example.	Readily definable problem that can be solved in several ways, one or more of which may be superior to others	Poorly defined problem that can only be addressed through a variety of partial solutions	Very poorly defined problem that may not be able to be fully understood and for which an adequate range of solutions may not exist.

Does homelessness fit the criteria of a complex problem? Complex problems have a number of specific features which are listed below. Accompanying this list of features will be a brief analysis of whether or not homelessness fits the criteria of a complex problem. The features of complex problems include:

- Complex problems are ill-defined. Aaby defines an ill-defined problem as “a problem which, from the beginning, it is not clear what the problem is and thus, what a solution is. Solving and specifying the problem develop in parallel and drive each other. Ill-defined problems usually have unknown solutions. The solutions found are often such that they still could be improved and it is up to the problem solver to decide when

enough is enough.”⁵² One of the techniques of classic problem-solving is to define the problem⁵³. Often more than half of solving a problem is defining it accurately. Complex problems however are often ill-defined with multiple parties viewing the problem in different ways, using differing terminologies to describe the problem, differing methods to quantify the problem, differing standards to qualify the problem. Given this definition, homelessness is a complex problem because it is ill-defined. For example, Fitzpatrick et al. offer a five dimensional definition:⁵⁴

- The roofless, those without any shelter.
- The houseless, those living in emergency or transitional housing.
- The insecure, those living with friends, family, or squatting who have no secure housing.
- Those in intolerable housing due to either overcrowding, deterioration or safety issues.
- The concealed, those persons unwilling living in joint conditions.

As another example, obviously someone who resides in their own home or apartment year round is not without a roof over their head. However, if that residence is unsafe, overcrowded or of very poor quality, are they

⁵² Aaby, A. 2002. Computational complexity and problem hierarchy. www.cs.wvc.edu/~aabyan/Theory/complexity.html

⁵³ Mitroff, I. Smart thinking. 1998. Barrett-Koehler, San Francisco.

⁵⁴ Fitzpatrick, S., Kemp, P. and Klinker, S. 2000. Single homelessness: An overview of research in Britain. Bristol: Policy Press

adequately housed is a question raised by many⁵⁵. Going beyond these definitions, some even argue that the criteria should not be accommodation but rather that residential instability is the true hallmark of homelessness⁵⁶.

- Complex problems are “wicked.” Wicked problems “are similar to ill-defined problems, just much worse. Furthermore solutions are very difficult, if at all, to recognize as such. Wicked problems have vague, incomplete, contradictory and changing requirements.”⁵⁷ In the sense the term “wicked” is used in complexity theory, homelessness is a wicked problem because the solutions are very difficult in the first place and because of unintended consequences from other actions. No one intentionally seeks to make the issue of homelessness worse. But a host of public policy actions may lead to that unintended consequence. Redevelopment activities, economic development efforts, transportation improvements, responsible fiscal management all bring significant benefits to a community. They also can inadvertently increase homelessness. Problems are wicked when productive and constructive actions in one area have negative unintended impacts in another. In that sense, homelessness fits the criteria of a wicked problem.
- Complex problems are ambiguous⁵⁸. Another consequence of definitional vagueness or multi-dimensionality is ambiguity. The goal or end state is

⁵⁵ Begin, P, Casavant, L., Chenier, N., and Dupuis, J. 1999. Homelessness. Toronto: Library of Parliament.

⁵⁶ Sosin, M., Piliavin, L, and Westervelt, H. 1990. Toward a longitudinal analysis of homelessness. *Journal of Social Issues*. 46, 171.

⁵⁷ Aaby, op.cit.

⁵⁸ Funke, J. & Frensch, P. A. 1995. Complex problem solving research in North America and Europe: An integrative review. *Foreign Psychology*, 5, 42-47.

often clear. The boundaries are vague or ambiguous. One of the reasons that homelessness is ill-defined is because the boundaries are vague. Burt et al⁵⁹ discuss the issue with respect to homelessness. They state, “Definitions of a phenomenon such as homelessness are difficult, and frequently require balancing two horns of a dilemma. If the definitions are too inclusive, they become useless; the phenomenon becomes too diffuse, ultimately covering too many people. With homelessness, this tendency is manifested by definitions that threaten to include the entire population in poverty, or everyone who is poorly housed. But if the definitions are too specific, they focus too exclusively on the homelessness of the moment. They can lead to policies and practices that are ameliorative but not preventive, that fail to address the larger question of desperate poverty and the pool of people at high risk for periodic bouts of literal homelessness.”

- Complex problems are a result of multiple, interacting forces that contain self-reinforcing loops rather than being a result of linear, root causes⁶⁰. It is a given among those working with the homeless that there is no single cause for homelessness.⁶¹ In addition to there being no single cause for a phenomenon such as homelessness the “causes” interact with each other in mutually reinforcing ways. For example, mental illness does not “cause” homelessness, but it can contribute to behaviors which result in homelessness. On the other hand, living on the street creates a set of

⁵⁹ Burt, M., Aron, L. and Lee, E. 2001. *Helping America's Homeless*. Urban Institute Press.

⁶⁰ Schwanninger, M. & Koerner, M. 2002. *Managing complex projects*.

[http://www.ifb.unisg.ch/org/IfB/ifbweb.nsf/SysWebRessources/beitrag37/\\$FILE/DB37 Project Management.pdf](http://www.ifb.unisg.ch/org/IfB/ifbweb.nsf/SysWebRessources/beitrag37/$FILE/DB37%20Project%20Management.pdf)

⁶¹ Rossi, P. 1991. Strategies for homeless research. *Housing Policy Debate*, 2. 1029-1056.

tensions and stresses that can result in a deteriorated mental status. Multiply these two factors by physical health issues, societal disapproval, concerns for safety, pressures to find work, poor diet and several other issues and what does one have. Multiple interacting forces that positively reinforce each other to make a single problem worse, i.e. a complex problem. From the perspective of this criterion, homelessness is a complex problem.

- Complex problems require a range of partial solutions instead of a “single fix”⁶². There is often no “one, big fix” that solves the problem. Because the problem is multi-dimensional, multiple solutions which address part of the problem are required. Homelessness is a clear example of partial solutions. Mental health treatment will benefit some homeless. Job training others. Emergency shelter is all some need, while others need long term supportive housing.

Without trying to reach a nuanced conclusion as to whether the challenge of homelessness is best understood as an ill-defined problem or as a wicked problem, one can clearly conclude that it certainly a complex problem as the term is used in complexity theory. The next question is how can we best understand services and action on behalf of homeless persons?

⁶² Bugden, R. & Izard. R. 2004. 10 key questions about a business case. IT Brief. 13, 1-3.

Textbox 2: Solving complex problems: The holistic approach to problem solving

The holistic approach to problem solving involves the search for an acceptable solution as an emergent property of interdependent sub problems with competing or contradictory constraints. It is based on five assumptions:

1. *Problems and solutions are constructs of the mind.* Problems don't exist independently from those who define them. Some problems are so complex and so far-reaching that their complete solution is unrealistic and partial solutions must be employed.
2. *People have different views of the same situation.* A problematic situation is viewed and defined differently by the people affected.
3. *People disagree on what's the actual state and desired state.* Since there's no agreement on what the problem is, it follows that there won't be agreement on the solution.
4. *Improvements result from discussion and debate.* A solution is an ongoing work of the group. In effect, the impacted parties learn together.
5. *The analyst becomes part of the problem situation.* The analyst becomes part of the problem situation and uses a variety of tools to learn along with the impacted parties in formulating a solution.

The alternative approach, which is the optimal approach for well-defined problems, is termed reductionistic problem solving. It is based on the following five assumptions:

1. *Problems and objectives can be identified.* The model begins with a needs assessment that leads to a problem statement. Objectives are developed that drive processes expressly designed to solve the identified problem. Success or failure is measured against these objectives.
2. *The defined sub problems can be solved by people with appropriate expertise.*
3. *Problems and objectives are put into operational or quantitative terms and solutions are modeled to achieve optimal performance.* To be rational and measurable, problems and objectives are assigned numerical indicators so progress can be monitored. Individual components are adjusted to conform.
4. *Improvements come from the implementation of solutions.* Once the problem has been identified and solutions modeled, the best model is executed to solve the problem.
5. *The analyst is independent of the problem, a consultant who makes recommendations to a client.* To be fully objective and impartial, analysts remain apolitical and scientific in providing advice and counsel to clientele.

Section Three:

What type of environment best describes the phenomenon of homelessness?

This section will examine the thesis that homeless persons, services and related activities and actors are best understood as a complex adaptive system as the term is used in complexity theory. That starting point is a definition of complex adaptive systems (CAS). What exactly is a CAS?

Before we offer formal definitions, an analogy by Holmes captures the essence of a CAS. He states, "A jazz ensemble is a nice example of a complex adaptive system in the sense that the players have certain basic rules, chromatic progressions that they all agree to before hand. In the midst of those simple rules they co-create something that's not predictable, that has a whole system, an ensemble sort of sound, history, and flavor to it that no one person has thought of and then instructed the others in. If you talk to a jazz musician, they'll tell you that in the midst of playing jazz that some of the time they are collaborating with their cohorts in the ensemble and some of the time they are competing. They move fluidly from cooperative and collaborative strategies in the moment to some competitive strategies. The best of that, in terms of competition, is that they are not destructive, damaging competitions. There isn't a jazz musician that wouldn't tell you that, "oh no, I get caught in competition

with one of my ensemble partners." This doesn't do damage to the ensemble, but they are certainly competitive."⁶³

Formally, we begin with a definition of a complex system, the pre-cursor of a complex adaptive system. Flake offers the following criteria to determine if a system is complex:⁶⁴

- The system is composed of interacting units;
- The system exhibits *emergent* properties, that is, properties arising from the interactions of the units that are not properties of the individual units themselves.

Cowan⁶⁵ defines a complex adaptive system as “ a large set of objects (i.e. agents) that interact with each other and with an external environment to produce overall patterns that are significantly more complex than the behaviors of the individual objects of the system. Thus, a complex adaptive system is one in which many independent agents interact with each other in many ways. The richness and volume of these interactions allows a complex system as a whole to undergo spontaneous self-organization. The agents of a complex adaptive system may follow simple rules and yet produce complex patterns. The patterns produced by complex adaptive systems often change over time. They may become more and more elaborately structured and develop multiple levels

⁶³ Holmes, W. n.d. Complex adaptive systems.
<http://www.beyondintractability.org/iweb/audio/jones-w-2-cas1.html>

⁶⁴ Flake, G. 1998. *The Computational Beauty of Nature*, MIT Press, 1998

⁶⁵ Cowan, G. 1994. “Conference Opening Remarks,” in Cowan, G., D. Pines, and D. Meltzer, editors, *Complexity: Metaphors, Models, and Reality*, Reading, Massachusetts: Addison-Wesley.

layered on top of each other. In other words, complex adaptive systems may evolve. Complex adaptive systems are called adaptive because the agents are responding or adapting to events around them.”

Three CAS definitions in common use that emphasize different levels of adaptive ness are:

Definition 1:

A CAS is a complex system that includes *reactive* units, i.e., units capable of exhibiting systematically different attributes in reaction to changed environmental conditions.

Definition 2:

A CAS is a complex system that includes *goal-directed* units, i.e., units that are reactive and that direct at least some of their reactions towards the achievement of built-in (or evolved) goals.

Definition 3:

A CAS is a complex system that includes *planner* units, i.e., units that are goal-directed and that attempt to exert some degree of control over their environment to facilitate achievement of these goals.

Definition 1 is nested or included in definitions 2 and 3. Definition 2 is included in definition 3. Definition 3 would therefore be the most encompassing.

Another approach to understanding a CAS is to discuss its properties. Textbox 3 provides a summary of the major properties of a complex adaptive system.⁶⁶ Textbox 4 summarizes properties as delineated by Fryer⁶⁷. These two tables provide a reasonably comprehensive summary of key CAS concepts. Textbox 5 presents CAS as a set of principles.⁶⁸

Textbox 3: Characteristics of Complex Adaptive Systems

- I. Holistic: Behaves as whole, a system. Cannot be understood by simply decomposing into pieces which are added or multiplied together.
- II. Non-linear. Actions generate responses that are not proportional to the action.
- III. Internal Causality: Self-organizing. Characterized by: goals, positive and negative feedback, autocatalysis, emergent properties and surprise.
- IV. Window of Vitality: Must have enough complexity but not too much. There is a range within which self-organization can occur. Complex systems strive for optimum, not minimum or maximum.
- V. Dynamically Stable: There may not exist equilibrium points for the system.
- VI. Multiple Steady States: There is not necessarily a unique preferred system state in a given situation. Multiple attractors can be possible in a given situation and the current system state may be as much a function of historical accidents as anything else.
- VII. Co-evolution. Co-evolves with environment.
- VIII. Unpredictable or unknowable behavior: Behavior is either difficult to understand or potentially unknowable.

⁶⁶ Kay, J., Regier, H., Boyle, M. and Francis, G. 1999. An Ecosystem Approach for Sustainability: Addressing the Challenge of Complexity. *Futures* 31(7): 721-742.

⁶⁷ Fryer, P. n.d. What are Complex Adaptive Systems?
<http://www.trojanmice.com/articles/complexadaptivesystems.htm>

⁶⁸ Bennet, op. cit. pg 297-8.

Textbox 4: Properties of Complex Adaptive Systems

Emergence: Rather than being planned or controlled the agents in the system interact in apparently random ways. From all these interactions patterns emerge which informs the behavior of the agents within the system and the behavior of the system itself. For example a termite hill is a wondrous piece of architecture with a maze of interconnecting passages, large caverns, ventilation tunnels and much more. Yet there is no grand plan, the hill just emerges as a result of the termites following a few simple local rules.

Co-evolution: All systems exist within their own environment and they are also part of that environment. Therefore, as their environment changes they need to change to ensure best fit. But because they are part of their environment, when they change, they change their environment, and as it has changed they need to change again, and so it goes on as a constant process.

Sub optimal: A complex adaptive systems does not have to be perfect in order for it to thrive within its environment. It only has to be slightly better than its competitors and any energy used on being better than that is wasted energy. A complex adaptive systems once it has reached the state of being good enough will trade off increased efficiency every time in favor of greater effectiveness.

Requisite Variety: The greater the variety within the system the stronger it is. In fact ambiguity and paradox abound in complex adaptive systems which use contradictions to create new possibilities to co-evolve with their environment. Democracy is a good example in that its strength is derived from its tolerance and even insistence in a variety of political perspectives.

Connectivity: The ways in which the agents in a system connect and relate to one another is critical to the survival of the system, because it is from these connections that the patterns are formed and the feedback disseminated. The relationships between the agents are generally more important than the agents themselves.

Simple Rules: Complex adaptive systems are not complicated. The emerging patterns may have a rich variety, but like a kaleidoscope the rules governing the function of the system are quite simple. A classic example is that all the water systems in the world, all the streams, rivers, lakes, oceans, waterfalls etc with their infinite beauty, power and variety are governed by the simple principle that water finds its own level.

Iteration: Small changes in the initial conditions of the system can have significant effects after they have passed through the emergence - feedback loop a few times (often referred to as the butterfly effect). A rolling snowball for example gains on each roll much more snow than it did on the previous roll and very soon a fist sized snowball becomes a giant one.

Self Organizing: There is no hierarchy of command and control in a complex adaptive system. There is no planning or managing, but there is a constant re-organizing to find the best fit with the environment. A classic example is that if one were to take any western town and add up all the food in the shops and divide by the number of people in the town there will be near enough two weeks supply of food, but there is no food plan, food manager or any other formal controlling process. The system is continually self organizing through the process of emergence and feedback.

Edge of Chaos: Complexity theory is not the same as chaos theory, which is derived from mathematics. But chaos does have a place in complexity theory in that systems exist on a spectrum ranging from equilibrium to chaos. A system in equilibrium does not have the internal dynamics to enable it to respond to its environment and will slowly (or quickly) die. A system in chaos ceases to function as a system. The most productive state to be in is at the edge of chaos where there is maximum variety and creativity, leading to new possibilities.

Nested Systems: Most systems are nested within other systems and many systems are systems of smaller systems. If we take the example in self organizing above and consider a food shop. The shop is itself a system with its staff, customers, suppliers, and neighbors. It also belongs the food system of that town and the larger food system of that country. It belongs to the retail system locally and nationally and the economy system locally and nationally, and probably many more. Therefore it is part of many different systems most of which are themselves part of other systems.

Textbox 5: CAS Principles

1. The future is unknowable.
2. Over time complexity increases in complex adaptive systems.
3. Complex systems generate emergent characteristics through relationships among agents.
4. CAS's cannot be controlled, only nurtured.
5. When two CAS's interact, the one with the greatest variety will dominate.
6. Diversity, innovation, selection, interaction and self-organization are critical for the evolution and adaptation of complex systems.
7. CAS's need flexible spaces to survive. If they are too efficient, they cannot be creative.
8. CAS needs effective structures to survive.
9. Self-organization encourages diversity.

Another somewhat more operational approach to defining a CAS is to delineate the key features. The most common features are:

- Individual agents. A CAS is composed of a group of individual agents. These may be persons, but agents can be many other forms depending upon the system being discussed. The key emphasis is on individuality. In homeless services individuals, providers, funders, other impacted entities would all be classified as agents.
- Interpretation and action is based on mental models. Each agent has a picture or mind map of how the world works. In this case, what causes homelessness, who are the homeless, what is the most effective way to eliminate homelessness, etc?

- Agents can have their own or shared mental models. Each agent has a view of the world which may overlap but probably has distinctive perspectives from those of other agents. Increased communication and joint problem solving increases the amount of overlap between the mental models of the agents.
- Mental models can change; i.e., learning is possible. Data, observation, discussion all re-shape mental models.
- Interconnections among agents. In a CAS, the agents are linked in a variety of ways. Some of these are direct and formal; others are informal, indirect and perhaps unacknowledged or unrecognized.
- An action by one agent changes the context for others. A CAS by definition is a system. The actions of one agent create ripple effects upon other agents. Some of these are known and intended, others may be unknown and unintended. Hence the term, unintended consequences.
- System behavior emerges from the interaction among agents. As agents interact, they tend to either act in ways that increase a behavior (positive feedback) or decrease a behavior (negative feedback). Once these feedback loops begin, other forms of systemic behavior arise.
- The system can exhibit novel behavior. Because agents are individuals, i.e. have an element of independence, they may interact in innovative or unexpected ways.
- The system is non-linear; small inputs can lead to major outcome swings. This occurs because the linkages in a system can amplify each other. A small change by one agent impacts three agents who then impact nine agents, etc.

- System behavior is fundamentally unpredictable at the detail level. At the level of individual units (persons, groups, organizations) we cannot say what each one will do that day.
- Broad-brush prediction of system behavior is sometimes possible. Given enough large scale data, including data on past behaviors, correlations can be determined.
- Order is an inherent property of the system, it need not be imposed. As a system, there is feedback, there is reward for acting in accord with system values and goals, and there is punishment for not doing so. These dynamics encourage a level or degree of ordered behavior.

Based on these definitions, do homeless services resemble a complex adaptive system?

Table 4 summarizes both the properties and features of a complex adaptive system with respect to homeless services. The property/feature is in the left column. The right column describes the “fit” of homeless services to that respective property/feature.

Table 4: Analysis of homelessness services as a complex adaptive system

Property/Feature	Homeless Services “fit”
Emergence	Current services have arisen not from a grand plan but from the efforts of a variety of individuals and agencies to address a need as they see it. What has resulted looks and operates as an open system in which new agents may enter and act.
Co-evolution	Homeless services are dynamic, evolving with changing needs, funding and policies
Sub-optimization	Homeless services have never been based on optimal conditions being a requirement before services are delivered. Instead they have focused on providing something better than the current alternative.
Requisite variety	Homeless services are an excellent example of delivering a wide variety of services based on diversity of need.
Connectivity	The Coalition is an example of how homeless services are becoming a CAS.
Simple rules	This feature is somewhat problematic. Many homeless services were clearly started with a simple rule of feeding or housing. Public funding complicates these original simple rules.
Iteration	Given the precariousness of the life situations of many homeless persons, and the precariousness of provider funding, small changes can have large impacts.
Self-organizing	The Coalition is a clear example of a self-organizing function

Edge of chaos	There is constant change and flux, agents come and go. Homeless services seem a paradigm of what the phrase edge of chaos means.
Individual agents	Clearly there are a number of individual (independent) agents including homeless persons, providers, funders, policy makers, and other interested parties.
Interpretation and action is based on mental models	A wide range of services and approaches exist, there are differing definitions, differing solutions. All of these differences indicate there are mental models at work which differ from one another.
Agents can have their own or shared mental models	The prior statement indicates the presence of mental models which are held by individual agents. The facts of cooperation and joint efforts indicate the presence of shared models.
Mental models can change; i.e., learning is possible	The processes around the Homeless Initiative demonstrate learning.
Interconnections among agents	The Coalition is one example of interconnections
Actions by one agent changes the context for others	As an example the work of the Policy Group has changed the context of homeless services.
System behavior emerges from the interaction among agents	Discussions on housing at the Policy Group level are now occurring at the BoCC level.
The system can exhibit novel behavior	Again, the Policy Group is an example
System behavior is fundamentally unpredictable at the detail level	One knows what actions a homeless person may choose to take on a given night.

Broad-brush prediction of system behavior is sometimes possible	For example we know housing prices are rising, wages are stagnant so there is continued likelihood of homelessness.
Order is an inherent property of the system, it need not be imposed	The Coalition is an example of the ordering efforts of the providers and advocates

Based on this analysis, it is apparent that homeless services can be accurately described as a complex adaptive system. A careful reader will have noted that planning and managing a complex adaptive system is perhaps not the best way to conceptualize the issue of governance. That is not to say that a complex adaptive system does not have or develop planning and management capacity. However that occurs through self-organizing in response to internal and external environments.

Using slightly different terminology, society's current response to homelessness can be described as a multi-agent system⁶⁹. In a multi-agent system, each agent (funder, provider, affected institution, civic group, etc) possesses some degree of independence along with a particular purpose, focus and boundaries. These agents interact in both predictable and unpredictable ways. Coordination and communication among multi-agent systems occurs through a process of facilitative leadership, not through hierarchical direction. The issue of homelessness is responded to by multiple agents in various ways ranging from supportive and therapeutic to regulatory and enforcement.

⁶⁹ Ferber, J. 1999. Multi-Agent Systems: An Introduction to Distributed Artificial Intelligence, Harlow, UK: Addison-Wesley.

Section Four:

Solving complex problems in complex adaptive systems

We draw two conclusions from the analysis of sections two and three. These are:

- First, homelessness is a complex problem;
- Second, both the phenomenon of homelessness itself and society's response including the provision of homeless services and other actions on behalf of homeless persons is best understood as an example of a complex adaptive system at work.

Homelessness clearly fits the definition of a complex problem. Homeless service provision resembles a complex adaptive system. Where does that leave us? Does it mean it is hopeless to try to solve homelessness? No, it does not. Understanding that homelessness is a complex problem enables us to use the most effective tools and strategies and apply the most effective problem solving strategies. How then are complex problems most effectively addressed?

- First, they are solved with inventive and/or creative insight. This is true because complex problems are so multi-faceted and interactive that they are difficult to solve with linear or deductive approaches. This is not to negate the value of reductionistic analysis. However it is to acknowledge creative insight is also of significant value when faced with complex problems. How are creative perspectives best fostered? Through collaborative, solution focused thinking processes.

- Second, recall that complex problems have features of what are termed “wicked” problems. How are wicked problems best addressed? “Wicked problems are often “solved” through the ongoing work of a group”⁷⁰. There is no simple, obvious solution for wicked problems. Even obvious solutions may create other problems. Therefore it takes some period of time to work through a wicked problem. A partial solution is generated, discussed for its implications and impacts, tested in some form and then redesigned. This on-going process creates on-going movement toward fuller and fuller solutions.
- Complex problems are best addressed through designing responses which themselves have the features of a complex adaptive system.⁷¹ The construct of complex adaptive systems has been briefly reviewed in this paper and that review will not be repeated here. It was concluded that the current approach to homelessness has the core features of a CAS. To build a better and more effective response, the key features of a CAS should be intentionally created. These key features are:
 - A few simple rules
 - Multiple agents
 - Transparency and communications mechanisms
 - Fitness
 - Governance and management systems that facilitate self-organization

⁷⁰ Aaby, op.cit.

⁷¹ Carley, K. Intra-organizational computation and complexity. Office of Naval Research (ONR), United States Navy Grant No. N00014-97-1-0037

The purpose of this report is to discuss governance and management models most appropriate for a complex adaptive system. Other key features will be addressed in a separate report.

- Complex problems are best solved through holistic, not reductionistic problem solving approaches. Text box 2 distinguishes the two approaches⁷². Note the features holistic problem solving is designed to address and how they apply to solving the problem of homelessness:
 - There is not full agreement on the nature of the problem;
 - Neither is there full agreement on the solutions;
 - Solutions come from discussion and debate.
- Complex problems are best addressed through cooperative efforts involving multiple stakeholders. This approach is best exemplified through the fields of study and effort labeled civic and collaborative leadership.
- Complex public problems, such as homelessness, as best addressed through a governance and management model known as a public management network. ⁷³ Public management networks are designed to address complex issues that cross jurisdictional boundaries, involve all stakeholders, utilize participatory and holistic problem solving, seek partial solutions that maintain movement, and strive for consensus decisions. We shall argue later that this is form of governance and management system is most appropriate for homeless services in Pinellas County.

⁷² Aaby, op.cit.

⁷³ Agranoff, Robert and Michael McGuire, Collaborative Public Management: New Strategies for Local Governments (Washington, D.C.: Georgetown University Press, 2003).

Section Five: What governance and management functions need to be emphasized to solve this problem?

Once we understand homelessness as a complex problem existing within a complex adaptive system, we can begin to frame solutions. Since those solutions will involve intentionally designed responses and the efforts of multiple agencies and persons, some form of organization will be required. Since governance and management at the highest level consists of the same set of functions the question is not just what governance and management functions are needed but rather what governance and management functions need to be distinctively emphasized? This section will address that question.

First, let us delineate the general governance and management functions. These include:

- Establishing and ensuring adherence to the organization's charter
- Strategic thinking and planning
- Communication and coordination
- Problem-solving and conflict resolution
- Decision-making, including resource allocation, timing and strategic direction
- Leadership - direction setting, confidence and problem ownership
- Boundary setting
- Performance appraisal

Any governance and management system should address all these functions. Within the context of a complex problem and complex adaptive system, what are the specific features of these functions?

Establishing and ensuring adherence to the organization's charter. One purpose of governance is to establish or modify organizational mission, vision and values. In addition to establishing those basic rationales for the organization, a role of governance is to ensure that the organization is adhering to its mission, vision and values.

Strategic thinking and planning. Strategic thinking and planning for a complex problem emphasizes continuous analyses and changing responses to situations as they emerge. Rather than a fixed strategic plan, the emphasis is on on-going strategic analyses and response.

Communication and coordination. Communication and coordination in a complex adaptive system is multi-dimensional and rich with feedback loops. A CAS is by definition self-organizing. For self-organization to occur there must be a high level of transparency so that the workings of the systems are observable to all members. Self-organization also requires intensive feedback loops that provide both negative and positive feedback.

Problem-solving and conflict resolution. Problem solving for complex problems emphasizes both partial solutions and holistic problem solving approaches.

Decision-making. Decision making for complex problems requires a mix of consensual decision making, testing of preliminary or partial solutions and then modification of these solutions. Decisions are of different types at the

governance and management levels but generically they include selection among alternatives, priority setting, resource allocation, timing and negotiation.

Leadership. Leadership consists of a variety of actions and attitudes including direction setting, confidence and problem ownership. Leadership in a complex adaptive system requires a high degree of collaboration and facilitation so that the group continues to have a high degree of ownership and engagement, is willing to engage in alternative problem solving and risk taking, and willing to change and adapt on a continuous basis.

Boundary setting. One role of governance and management is the setting of boundaries, of what is permissible and what is not. Within a CAS framework, boundary setting occurs in some distinctive ways. First, CAS's operate on a few simple rules which are applied over and over again to distinctive situations. Rather than attempt to determine every situation ahead of time and detail appropriate responses, CAS's promote clarity about intended results. The rules are intended to set the parameters within which those results may be pursued. Second, governance models fitted for CAS's stress two major roles for policy or governance bodies; the setting of desired results and the rules within which those results may be pursued⁷⁴.

Performance appraisal. The purpose of the performance appraisal function is to determine how well the organization is achieving its mission and desired results. The question is the standard against which performance is assessed.

⁷⁴ Carver, J. 1990. Boards that make a difference. San Francisco: Jossey-Bass.

When problems are straightforward and capable of standardization, comparison to an established standard is appropriate. Governance of a CAS may use such standardized data, but the standard against which performance is assessed is that of fitness. That is, how well does the response fit the situation?

Section Six: The re-framed question

Based on this review, what is the question that needs to be addressed in this analysis? It is this:

What is the governance and management form that best fits the complex problem of homelessness and can best govern and manage a response to homelessness that has the features of a complex adaptive system?

Having now re-framed the question, the remainder of this report will follow the part 2 method.

Section Seven: Part 2, Method for answering the re-framed question

The method for this analysis will consist of the following activities:

- Review of coordination, management and governance approaches used by other Florida communities.

- In this activity the coordination approaches used by the major Florida counties where there is a high degree of organized effort to address homeless issues were summarized as to key features.
- Review of approaches used in other communities to engage public and civic leadership in an issue of community concern.
 - This review did not limit itself to homeless issues but rather the focus was on mechanisms through which significant civic and public leadership was engendered and sustained to substantively address a community issue.
- Review of current practices in public network management.
 - This review examines practices and trends in the use of networks to address complex problems.
- Development of a comprehensive document incorporating the conceptual approach of complexity theory.
 - This report was developed in draft representing a comprehensive presentation of the conceptual approach.
- Review of the comprehensive document
 - This draft document was reviewed by the project manager and other key staff or stakeholders.
- Modifications
 - The draft was modified based on comments by the reviewers.
- Final report
 - The final report was submitted based on the above steps.

This analysis has been preceded by other analytical steps which resulted in the conclusion that the initial question of the study needed to be re-framed. These steps are summarized here simply to document those activities.

- Discussions with the SPC about the issues of coordination and governance.
 - The topic of coordination has been discussed periodically from the perspective of how the Coalition itself could be more effective as well as what would be most effective within the County.
- Discussions with focus groups about a broad range of local issues, including coordination, governance and key future issues where community leadership will be required.
 - During the fall focus groups one topic of discussion was the issue of coordination and the issue of the need for civic and public leadership.
- Development of a conceptual approach.
 - Based on data and perspectives gathered in the above activities, a conceptual approach was developed in a PowerPoint format.
- Presentation of the conceptual approach to the SPC.
 - In the May meeting of the SPC a conceptual approach was presented and discussed with the SPC. Feedback from the SPC was that this conceptual approach was consistent with the thinking of the SPC and with that of the Executive Directors in prior forums.

Section Eight: Florida Models

Table 5 provides a county by county summary of lead agency models in the urban counties of Florida. A review of this table indicates there are five major options. These include:

- Model 1: A county led model. In this approach county government serves as the coordinating entity for homeless services. This is the approach used by Broward, Lee, Jacksonville/Duval, and Hillsborough counties.
- Model 1a: Independent department of county government. This is the approach used in Miami-Dade County. A dedicated sales tax generates revenue which is managed by a policy group (the Homeless Trust) established by local ordinance.
- Model 1b: County government lead with a coalition as the partner. In this model a coalition of advocates and providers performs the planning and coordination functions while county government serves as fiscal agent and administrative entity.
- Model 2: Coalition of homeless advocates and providers. In this approach a coalition of local advocates and providers serves as the coordinating entity. This is the approach used in Pinellas County as well as in part by Pasco County.

- Model 3: Independent entity as coordinator. In this model a third party serves the function of coordinating entity. In one case the United Way serves this function (Sarasota) and in the other (Orange) a separate non-profit performs this function.

Table 5: Lead Entity Models in Florida

County	Main Areas Pertaining to CoC / Lead Agency Organization
Broward County (Ft. Lauderdale)	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Human Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • County → Primary role of the coalition: <ul style="list-style-type: none"> • Coordination, services, advocacy → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • Gas Tax / General Revenue shell game <p>Homeless Initiative Partnership Administration:</p> <ul style="list-style-type: none"> • 5-person section of the Human Services Department • Focal point for planning and coordination • Direct oversight of 3 regional Homeless Assistance Centers (HACs)

<p>(Ft. Meyers)</p>	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Human Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • County → Primary role of the coalition: <ul style="list-style-type: none"> • Coordination, services, advocacy → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None
<p>Jacksonville County/City</p>	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Human Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • Homeless Coalition (in collaboration with County) → Primary role of the coalition: <ul style="list-style-type: none"> • Planning, coordination, lead agency responsibilities → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None

County	Main Areas Pertaining to CoC / Lead Agency Organization
Miami/Dade	<p>→ Government Planning & Human Service Funding:</p> <ul style="list-style-type: none"> • Department of Housing & Human Services <p>→ Lead Agency for the Continuum of Care and State Funding:</p> <ul style="list-style-type: none"> • County - Miami/Dade Homeless Trust <p>→ Primary role of the coalition:</p> <ul style="list-style-type: none"> • Advocacy <p>→ Strategies for Additional Homeless Funding</p> <ul style="list-style-type: none"> • Homeless (Restaurant) Tax <p>Miami-Dade County Homeless Trust:</p> <ul style="list-style-type: none"> • 12-person office of the Miami-Dade County Government • Diverse governing body C • Creates policies to ensure the implementation of the Homeless Plan • Coordinator for homeless services and housing
Orange County (Orlando)	<p>→ Government Planning & Human Service Funding:</p> <ul style="list-style-type: none"> • Department of Housing & Human Services <p>→ Lead Agency for the Continuum of Care and State Funding:</p> <ul style="list-style-type: none"> • Independent Entity: HSN <p>→ Primary role of the coalition:</p> <ul style="list-style-type: none"> • Services <p>→ Strategies for Additional Homeless Funding</p> <ul style="list-style-type: none"> • None <p>Homeless Services Network of Central Florida</p> <ul style="list-style-type: none"> • Coordination of agencies and services • Administers COC plan and federal & state funding

<p>Pasco County</p>	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Community Development → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> Combined Effort - <ul style="list-style-type: none"> • The Homeless Coalition was the lead entity and performed all related functions. • The Coalition approached the County’s Community Development Department and asked them to get involved to coordinate many of the lead entity functions. Pasco County agreed and dedicated a full-time staff person to fulfill this role and to support the Coalition. • On the books - Pasco County Community Development Dept. now serves as the lead entity; but the Homeless Coalition has retained all strategic planning, priority setting and decision making for funding. In other words, Pasco County Govt. fulfills the administrative function, although they have always been a strong and active leader in the Coalition, and thus, they are equally involved in the decision making role. → Primary role of the coalition: <ul style="list-style-type: none"> • Planning, coordination, shared lead agency responsibilities → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None

<p>Pinellas County</p>	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Community Development • Department of Social Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • Homeless Coalition → Primary role of the coalition: <ul style="list-style-type: none"> • Planning, coordination, lead agency responsibilities → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None
<p>Sarasota/Manatee Counties</p>	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Human Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • Independent Entity: United Way of Sarasota → Primary role of the coalition: <ul style="list-style-type: none"> • Coordination, advocacy → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None <p>United Way of Sarasota County</p> <ul style="list-style-type: none"> • Coordination of bi-county community plan • Service delivery model: The Manasota Homeless Project • Administers COC plan, federal & State funding

County	Main Areas Pertaining to CoC / Lead Agency Organization
Hillsborough (Tampa)	<ul style="list-style-type: none"> → Government Planning & Human Service Funding: <ul style="list-style-type: none"> • Department of Housing & Community Development • Department of Social Services → Lead Agency for the Continuum of Care and State Funding: <ul style="list-style-type: none"> • County (in collaboration with the Homeless Coalition) → Primary role of the coalition: <ul style="list-style-type: none"> • Coordination, advocacy → Strategies for Additional Homeless Funding <ul style="list-style-type: none"> • None

Section Nine:

Community problem solving – Effective approaches for engaging public and civic leadership on issues of community concern

The critical governance, leadership and management challenge at this point is the design, funding, and implementation of a set of homeless services, accompanied by systems management and policy formation processes that

- Provides a comprehensive and futuristic view of the issue;
- understands the linkages to economic development and community quality;

- are framed within a larger policy agenda of quality redevelopment, a stronger health and human services safety net and an enhanced transportation network;
- are organized to facilitate interface and coordination within the homeless service providers but also with the providers of a range of other significant community services;
- can address the underlying policy issues that impact homelessness and develop, offer and advocate for alternatives;
- Can move the county to a national leadership posture on innovative and effective ways to address the national and international issue of homelessness in industrial and post-industrial societies.

Meeting this governance, management and leadership challenge will require something far beyond an entity that is focused on the coordination of services. The report presents a proposed model that can meet the above challenges. To do so, it reviews leadership models that other communities have used to address issues of community concern, including the issue of homelessness.

Definitions

The following terms are in common use in the field of community problem solving and civic leadership.

- Community problem solving. The process of bringing the community together, particularly its leadership, in fact and value based discussions that are characterized by openness and transparency, commitment to

collaborative processes and consensus seeking, and designed to produce actionable results.

- Civic leadership, “leadership in the realm of public affairs and human actions that affect our whole community and which is meant to *transform* a community so that it will be a better place to live for all its residents”⁷⁵.
- Collaborative leadership. This is a leadership approach that emphasizes the building of working partnership where the partners believe they can accomplish more together and they seek to align their particular responsibilities with a broader end.^{76,77}
- Facilitative leadership. Highly similar in practice to collaborative leadership but with an added emphasis on developing self-governance capacities, effective use of role differentiation and systems analysis to promote concrete and sustainable action, recognition of the value of thorough exploration of differences of perspective and the contribution of conflict to longer term consensus and the design of systems that promote leadership rather than unplanned reliance on the emergence of latent leadership capacities⁷⁸.
- Boundary crossing civic leadership⁷⁹. Leadership that reaches across the boundaries of geography, jurisdiction, sector (public/private/non-profit), diversity of experience (e.g. African-American/Hispanic/Anglo/etc,

⁷⁵ No author. Civic Leadership for Community Transformation. 2001. Syracuse, NY: Onandanga Citizens League

⁷⁶ Rubin, H. 2002. Collaborative leadership. Thousand Oaks, CA: Corwin.

⁷⁷ Frydman, B., Wilson, I. & Wyer, J. 2000. The power of collaborative leadership. Woburn, MA: Butterworth-Heinemann.

⁷⁸ Marlowe, H.A. Facilitative leadership. Working Paper.

⁷⁹ Pierce, N. & Johnson, C. 1998. Boundary Crossers: Community Leadership for a Global Age. Academy of Leadership Press.

rich/poor), and ideology (e.g. liberal/conservative, Muslim/Christian//etc).

Best and Proven Practices in Community Problem Solving

The fields of community problem solving, civic and collaborative leadership have identified a number of best or proven practices that help foster civic leadership in a community which has both the vision and will to address a key community issues. These best or proven practices illustrate how communities can address complex and common problems in constructive ways.

- First, the challenge or problem must be identified and acknowledged⁸⁰. Unless the community sees the need for change, there is little likelihood of mobilizing the time and energy of people to address any issue.
- Second, the challenge or problem must be understood enough for action to begin. We don't have to have every bit of data possible or be sure of every possible solution. We do have to have some general sense of scope, causality and effective action.
- Third, use some public, consensus building, and strategic thinking approach to develop broad agreement on a strategy⁸¹. Crislip identifies four critical roles must be played in these public processes. These include: "First, stakeholders must become a "constituency for change" capable of holding implementing organizations accountable for moving

⁸⁰ Crislip, D. The new civic leadership. 2000. In Kellerman, B. and Matusak, L. eds. Cutting Edge: Leadership 2000. College Park, MD: James Macgregor Burns Academy of Leadership, pp. 18-24.

⁸¹ Marlowe, H.A. and Arrington, L. 2004. Ten rules for consensus building. IQ Report. ICMA.

to action. Without this supposedly collaborative efforts waste time and precious political capital. Second, a community needs expert information in order to address its concerns. Experts provide stakeholders with the information necessary for making good decisions but do not drive collaborative processes. Third, people with extensive knowledge of collaboration help design and facilitate these initiatives. Fourth, find a few strong, facilitative leaders in the stakeholder group who will convene, catalyze and sustain these collaborative efforts.”⁸² How is this fourth role achieved? The next section on finding and fostering civic leadership addresses this last activity.

Fourth, connect to the various stakeholders. Community problems by definition involve the broader community. For community problem-solving to be effective, the affected stakeholders must be engaged.

Best and Proven Practices in Finding and Fostering Civic Leadership to address community problems.

Addressing complex public issues requires a sustained effort on the part of multiple parties. Experts play a significant role in helping everyone understand the issue from an analytical and trends perspective. Persons directly affected by the issue help everyone understand it from a human and everyday life perspective. While critical, experts and advocates are not enough. The leadership of a community must become engaged is momentum and change is to occur. How does this occur?

⁸² Crislip, op. cit.

- Connect the dots of interests. Connecting the dots of interests, through which the concept of self-interest rightly understood⁸³ becomes developed and understood in practice, occurs in a variety of ways. Sometimes the public issue may directly impact the business or political interests of the leader. Many downtown business groups have led efforts to help the homeless both due to their generosity and kindness, but also due to the sheer fact that street homelessness can harm their business. Sometimes the interest is part of the value system of the civic leader. Using homelessness again as an example, some leaders see helping the homeless as an article of their religious faith. Sometimes there is a personal connection. Civic leaders have children, family members, friends who may suffer from an illness, a disability, a life experience that is difficult to transcend or manage. When they have this experience, they are likely to lend knowledge and energy to efforts to address the issue. Sometimes the connection is not personal experience, but simply a commitment to a quality community. Once persons with this interest understand the linkage between a specific issue and a quality community, they are ready to lend their time and energy to the effort.
- Obtain active engagement. Active engagement takes many forms and should not be judged simply by meeting attendance or committee participation. There will be a wide range of tasks to be done. It is the willingness to engage in those tasks, which may require attendance at committees and meetings, which is the real measure. Sometimes you simply need someone to pick up the phone. Other times require a public

⁸³ DeTocqueville, A. 1969. Democracy in America. New York: Harper and Row.

chairing of a long process. We must recognize that community leaders are busy people by definition. Everyone wants them to serve on the topic of their interest. Assuming you have been able to make a connection so that the civic leader sees the connectivity of your work and their interests, how do you obtain their active engagement?

- Have a clear role. Be clear on what is it you want them to do. What time and other effort will be needed to do the role. Be upfront so that the psychological contract is a fair one.
- Provide growth opportunities. Try to ensure that civic leaders have the opportunity to learn new skills and facts, hear new ideas and develop competencies which they can take back to their “real-world” setting and perhaps meet new people whose perspectives and role may be of benefit to them in some way.
- Provide rewarding moments. Don’t let it all be abstract and theoretical. Provide the opportunity to interact with real people living with the challenge who are addressing. Put faces with the facts.
- Provide the opportunity to live out values. Research studies indicate a broad consensus on core values across cultures⁸⁴. Frame the process so that it lets participants see the connection of this work to core values.
- Provide networking opportunities. People network for a variety of reasons. Ensure there is space and time for networking to occur.

⁸⁴ Institute for Global Ethics. 1996. Global values, moral boundaries. www.globalethics.org

- Practice the principles and build the skills of facilitative leadership. Ensure the process itself uses such principles as partnership thinking⁸⁵, mutual accountability⁸⁶, transparency⁸⁷, collaboration and consensus building⁸⁸.
- Begin with time-limited, goal-oriented projects. The most valuable contribution persons of this stature can provide is their time. Naturally, any busy person is leery of an open-ended time commitment. It must also be acknowledged that if these civic leaders wanted to work on these types of issues in a time substantive manner, they would have already re-directed their careers. By asking people to initially engage in a time limited project that has a specific and tangible goal, one is more likely to obtain their time commitment and more likely to ensure a positive experience which increases the likelihood of their further contribution.
- Avoid getting caught up in the complexities of public policy. Unless one is actively engaged in policy work, discussions of this type rapidly become “in-side baseball” discussions which hold little interest for civic leader, particularly those from the business community and rapidly lead to “glassed over” eyes and a drop in future meeting attendance. While policy issues are critical, these must be introduced carefully, in a positive context as opposed to

⁸⁵ Marlowe, H. 2004. Partnership thinking. Working paper.

⁸⁶ Marlowe, H. 2004. Mutual accountability. Working paper.

⁸⁷ Panacek, L. & Marlowe, H. 2005. Organizational transparency. Presentation to the Child Welfare League of America. Washington, D.C.

⁸⁸ Marlowe, H. & Arrington, L. op. cit.

“we can’t do that because” and sufficiently narrowly and understandably so that they can be digested when presented.

- Focus on actionable solutions. As discussed earlier with respect to homelessness, most civic problems are aptly described as complex. Complex problems are rarely solved by the grand gesture that solves the problem once and for all time. Instead, they are addressed via a series of partial solutions. Civic leadership cannot be sustained if the problem is framed as so complex and difficult as to be insurmountable. Instead, it must be framed in “bytes” of sufficient narrowness and size that the leadership can get its collective arms around the issue and make something happen. The value of systems analysis is that it allows an analysis of components that foster the perception that the issue is manageable and that meaningful work can be done. While we may not end homelessness in the foreseeable future, we can prevent its growth, reduce its negative impact, and provide real help to persons willing to accept help.
- Provide a structure through which leadership can occur and sustain itself over time. While leadership certainly can occur spontaneously, civic leadership on a significant public issue is more likely to both emerge and be effective if systems and structures are in place that promote it. The leadership programs that many Chambers of Commerce’s operate are examples of structures that promote leadership. On complex public issues however we must go far beyond the sort of introductory or orientation efforts that Leadership programs serve. Instead, we must create on-going mechanisms that can work over long periods of time.

One such mechanism is the focus of the discussion in Section Ten of this report. That mechanism is termed public management networks.

Textbox 6: Logic Summation 2

Let us recap for a moment before further discussion. What we have established so far in this report is that homelessness is a complex problem and that how we respond to homelessness can be conceived of as a complex adaptive system. Therefore the key question asked in this analysis is what type of leadership and governance approach best fits complex problems residing in complex adaptive systems? So far, we have looked at how other Florida counties have approached this question and found some similarities and some differences of approach. We have looked at how communities solve problems of community wide concern and found practices and principles that can guide any governance approach we might create. What we must now ask is whether there is an operational structure that is designed specifically to address complex problems and “facilitatively lead” complex adaptive systems. Fortunately, such a structure does exist. It is called, among other terms, a public management network. It will be the focus of the final set of findings.

Section Ten:

Organizational structures for complex problems.

What do we know about addressing and incrementally solving complex problems? Several things:

- One, complex problems require holistic problem solving approaches in addition to reductionistic analyses. Another way of saying this is that we have to conceptualize the complex problem as a system and understand how the system operates, not just how pieces operate.

- Second, we know that buy-in of multiple parties is required. No one person, organization, jurisdiction or even sector (in the sense of private, public and non-profit sectors) “owns” the problem in the sense it is their sole responsibility to solve or in the sense they have adequate capacity alone to solve it.
- Third, we can only solve the problem incrementally. It is highly unlikely there is “one big fix” in practice, even though perhaps there is one in theory. We can bring a group of partial solutions to the problem, each of which singly will have impact and all of which together may truly bring a solution.
- Fourth, we must act collectively. It is only through collective action, where multiple parties act in concert or in coherence, that progress is made on complex problems.⁸⁹
- Fifth, barring some dramatic advance in technology or social structure, we can only solve the problem over time. Complex problems do not lend themselves to one day solutions. We may be able to implement a partial solution in the short term, but the overall solution will require a significant period of time. Therefore we must have some structure which can sustain itself over time.
- Sixth, we will have to optimize resources and re-allocate resources over time. Complex problems cannot be solved on the cheap. At the same time there are many complex problems and they all compete for scarce resources. So we must have some means to optimize the resources we do have and re-allocate those resources as events dictate.

⁸⁹ Ostrum, E. Collective action. Sage

- Seventh, mutual accountability must permeate the process⁹⁰. Mutual accountability means that everyone assumes some degree of responsibility for the problem. To use homelessness as the example, we cannot shift responsibility for homelessness solely to those who are homeless. We have to acknowledge the dynamics of our economic system which assumes some level of unemployment, of public investment gaps that render mental health or other services difficult to obtain, of public policies which rely on more and more expensive housing to fill public coffers, etc. That said individuals must also take responsibility for their behaviors. Persons who choose to buy cigarettes instead of housing have to face and take responsibility for the choice they have made. Persons who choose to take on financial responsibilities beyond their means are accountable for that choice. A complex problem is a result of both individual and social choices. All of us, whether we are housed or homeless, are accountable for the public and private choices that have created the complex problem we label homelessness. We are all mutually accountable.
- Eighth, role differentiation. Since a complex problem is by definition multi-dimensional and dynamic, a high degree of flexibility is required to effectively address it. While it may seem paradoxical, goal-oriented role clarity and role differentiation increase an organization or system's capacity for both effective and flexible response. Why is that so? Think of a football team for a moment. The role of each player is highly defined both in terms of rules about what they can and cannot do and in terms of

⁹⁰ Marlowe, H. Principles underlying public management networks. Working paper.

functions they perform on each play. Within each role, there are varying degrees of flexibility allowed to achieve the team's goal. By clearly understanding the goal, the role one plays, and the flexibility built into that role, the capacity of the various components to work together for a desired result has been optimized. This is the desirable balance between a pole of rigid role definition in which the task is clear but there is no understanding of the goal and no capacity to respond flexibly and to the opposite pole of where roles are unclear and extensive energy is spent internally on role discussions. The former is bureaucracy at its worst, the latter is anarchism.

- Ninth, two statements which are paradoxical must be simultaneously held and integrated. One statement is that everyone must lead if the problem is to be effectively addressed. The second is that if everyone leads, no one leads. Both are accurate and valid statements. How are they reconciled? Everyone leads in the role that is assigned or have assumed. If my role is data analysis, then I take the lead in ensuring a high quality process and product. If my role is managing an emergency shelter, then I attempt to institute best practices. If leadership is viewed narrowly as setting policy, establishing priorities and allocating resources, then everyone is not charged with that role. The persons assigned to that role must exercise their best judgment and provide direction for the overall system.

Given this knowledge of how complex problems are solved, what governance and management approach best fits the solving of complex problems?

Governance again is defined as policy setting, direction setting, high level or strategic resource allocation and funding prioritization. Management again is defined as the coordination and management of tactics and resources to achieve the outcomes defined by policy-makers. While known by several terms, the approach that has emerged in recent years is most often generically labeled public management networks. In this case however we will use the terms public leadership and public operations network for reasons that will become obvious. In this next discussion the approach will be defined, illustrated and analyzed as to its appropriateness for the issue of homelessness.

Public Management Networks: Four Types

This section briefly describes various types of public management networks. Detailed working papers are in development which describes the concept more fully.⁹¹

Again, a public management network is simply a diverse group of stakeholders focused on a particular public policy issue. In the context of Pinellas County, the Homeless Policy Group is an example of a public management network.

Public management networks may take several forms. A single network itself may consist of one or more of these forms.

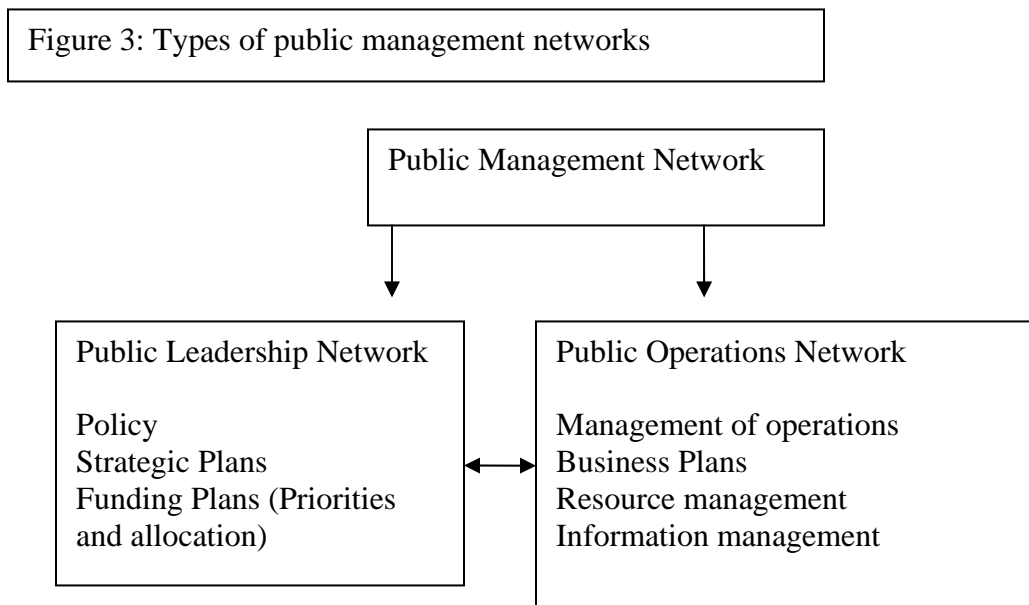
- The policy network. This network so focused solely on policy issues. Its purpose is to develop a policy direction that members can support.
- The planning network. These can be of several types. One type is a network focused solely on developing plans which can then be adopted or used by the various stakeholders. Another planning network is focused on developing a plan which it will then oversee and make or recommend funding for the plan.

⁹¹ Marlowe, H.A. Public Management Networks. Working Paper.

These two types of networks are referred in this report as public leadership networks in that their task is to provide direction, not management oversight. The other two types of networks are:

- The intermediary organization. This is a network established for the distinctive purpose of providing a mechanism for blended or coordinated funding. Various funders contract with it to manage and coordinate their funding with that of other funders for optimum impact.
- The management network. This network is established for the express purpose of managing a service delivery network. It focuses on coordination, integration and system operations.

These types of networks are referred to as public operations networks in that their task is the management of the system itself. Figure 3 graphically illustrates these network categories.



Discussion of the general approach: Public management networks

What is a public management network? Let us define each component word and then proffer a synthesizing definition.

First, what is the definition of the word “network”? Network implies a connectedness of parts or elements that are independent on their own but choose to work together for a shared purpose. Each of us have our “networks” which share information, assist each other and view ourselves as “connected” in some way. One of today’s “keys to success” is the ability to network. The term network is commonly used in information technology to describe a group of computers that are linked together in some productive way. Each of these computers is independent, but linked together they are more powerful and more functional. A network then is a group of entities, each of which is impacted by the problem in some way, none of which can solve it alone and all of whom are willing to engage in some collective effort. A network approach to problem solving is needed because “no single agency or organization at any level of government or the private sector has a monopoly on the mandate, resources, or information to deal with the most vexing of public problems”⁹². As defined by O’Toole⁹³, “a network is a pattern of two or more units, in which not all major components are encompassed within a single hierarchical array”.

⁹² Agranoff, R. 2003. Networks: A guide for public managers, unpublished document, pgs 5-6.

⁹³ O’Toole, Laurence J., Jr. 1997. Treating Networks Seriously: Practical and Research-Based Agendas in Public Administration. *Public Administration Review* 57, 1, 45-52.

Second, why the word public? Complex problems, particularly complex social problems, inherently impact the public, common or shared good. Just as we are all accountable in some sense for the problem, we all would benefit in some way from its solution. Homelessness is an excellent example of a public good issue. The individuals who are homeless would benefit from a solution. But so would businesses that might be losing customers. So would neighborhoods who feel less safe. So would hospitals that are providing free care in response to the physical needs of the homeless as one example. So would the taxpayer who has to pay for the costs of law enforcement among many other costs. So would other public institutions that may have to shift scarce resources to meet the needs of the homeless. So would communities trying to revitalize certain areas of their city. There clearly is private benefit to be obtained by solving or reducing homelessness. This should not be ignored or minimized. But there is clear public benefit to society as a whole by alleviating this problem. So the term public is an appropriate label to distinguish it from an organizational form focused solely on private good.

Third, the word management denotes an active and intentional attempt to address an issue, resolve a problem, and achieve an opportunity. While there are nuances which are distinguished in the discussion about public management networks and public operations networks, the underlying idea is that a group of actors have come together to effectuate some desired end.

The theoretical assumptions underlying the network approach

The network approach is based upon a number of assumptions which are summarized by Klijn and Koopenjan⁹⁴ and presented in table 6. These assumptions can be tested by observing the actual practice of networks.

Table 6: Theoretical assumptions of the policy network approach

Table 1: Theoretical assumptions of the policy network approach

<i>Theoretical assumptions</i>	
<i>Networks</i>	<ul style="list-style-type: none"> ● Actors are mutually dependent for reaching objectives. ● Dependencies create sustainable relations between actors. ● Dependencies create some veto power for various actors. ● The sustainability of interactions creates and solidifies a distribution of resources between actors. ● In the course of interactions, rules are formed and solidified which regulate actor behaviour. ● Resource distribution and rule formation lead to a certain closeness of networks for outside actors.
<i>Policy processes</i>	<ul style="list-style-type: none"> ● Within networks, interactions between actors over policy and issues take place focused on solving the tension between dependencies on the one hand and diverging and conflicting interests on the other. ● In doing so actors depart from perceptions they hold about the policy area, the actors and the decisions at stake. ● Actors select specific strategies on the basis of perceptions. ● Policy processes are complex and not entirely predictable because of the variety of actors, perceptions and strategies.
<i>Outcomes</i>	<ul style="list-style-type: none"> ● Policy is the result of complex interactions between actors who participate in concrete games in a network.
<i>Network management</i>	<ul style="list-style-type: none"> ● Given the variety of goals and interests and – as a result – the actual and potential conflict over the distribution of costs and benefits, co-operation is not automatic and does not develop without problems. ● Concerted action can be improved through incentives for co-operation, through process and conflict management, and through the reduction of risks linked to co-operation.

⁹⁴ Klijn, E. and Koopenjan, J. 2000. Public management and policy networks. *Public Management*, 2, 135-158.

Examples of Public Management Networks. The following examples should help to clarify the nature of a public management network. Table 7 provides a summary.

- Southwest Florida Water Alliance⁹⁵. This is a group of persons seeking to ensure there is adequate water for all users (public, private and nature) in southwest Florida. The group consists of two working groups, a policy body of elected officials representing the four counties and thirteen municipalities comprising the area and a technical group of experts representing public water supply, private interests and environmental needs. This body has been working for three years and has created a set of partial solutions which have been implemented by various responsible entities. Among their current or emerging accomplishments are: agreements for unified water rates, region wide conservation plans, development of regional inter-connects for drought relief, a mechanism for investment in region wide projects of mutual benefit and conceptual approaches to the integration of land use decisions. Table 7 shows how this effort meets the criteria of a public leadership network.
- Fraser River Basin Council. Quoting from Branley⁹⁶, “The Fraser Basin Council has employed a unique model of collaborative governance for cooperative management of a major river basin. The Basin covers one-quarter of British Columbia (BC)’s land mass and is home to 2.7 million people. And it produces 80 percent of BC’s economic output—and 10 percent of Canada’s output. The Council’s 36 directors include members

⁹⁵ Marlowe, H. and Arrington, L. Developing a public management network for water supply planning. Working paper.

⁹⁶ Branley, J. 2003. Collaborative governance in river basin management. Georgia Basin/Puget Sound Research Conference.

from all four orders of government—local, first nations, provincial and federal—and from the private sector and civil society. These directors come from all regions of the Basin. The Council’s professional staff is likewise located throughout the Basin. Local knowledge and initiative is absolutely fundamental to Council’s work. The Council makes decisions by consensus, which requires members to learn not only the facts on any issue, but also how different experiences, feelings, and values interpret any same set of “facts.” Members learn to make decisions based on shared values and a commitment to find an acceptable, workable solution. Furthermore, the Council was deliberately designed to have no formal authority. Rather, it was created on the assumption that a different, potent, and sustainable kind of governance emerges when diverse interests coalesce around core values, when consensus and joint action are chosen over confrontation and inaction. The Council helped resolve a 50-year dispute about reversing the flow of the Nechako River; and helped find the will and the means to stop North America’s largest point source of metal pollution at the Britannia mine. The Fraser River and its main tributaries have never been damned, a fact critical to their continued status as the world’s most productive salmon-producing river system.

Table 7: Case summary of a public management network

Element of a public management network	Case example: Southwest Florida Water Alliance
Intentional	Clear mission of a regional approach to water supply
Public Good	Water for public, private and natural resource needs
Network	Topic of joint concern endorsed by all public entities via joint resolution
Network	Agreement that decisions are consensus based if at all possible
Leadership	Commitment to workable products as outlined in above paragraph
Leadership	Membership of elected officials, representatives of various stakeholders

Why is a public management network approach the best fit for the issue of homelessness?

- First, it offers a problem solving approach consistent with that needed to address complex problems.
- Second, it addresses how to build sufficient cooperation for action. As Stone argues, even though he was not addressing homelessness, when he states, “the issue is how to bring about enough cooperation among disparate community elements to get things done – and to do so in the absence of an over-arching command structure or a unifying system of thought.”⁹⁷

⁹⁷ Stone, G. 1989. Regime Politics (Lawrence, KS: University Press of Kansas)

- Third, it brings the scope of knowledge, breath of experience and range of influence needed to effect and influence a complex adaptive system. No one entity has all the knowledge, expertise or resources needed.
- Fourth, it enables a comprehensive response that addresses both the behavioral and structural issues which underlie a complex problem such as homelessness. It does so in many ways but one key one is enacting the principle or value of mutual accountability. This principle and its relevance for simultaneously addressing behavioral and structural issues are discussed in appendix A.
- Fifth, and most importantly of all, because it works. Networks offer a mechanism to address complex issues that no single agency can address effectively by itself^{98, 99}. Networks have been found to be an effective conflict resolution tool¹⁰⁰. To quote Agranoff: "A study by Radin and associates reveals how federal-state-private councils in rural development have led to many program changes and demonstration approaches.¹⁰¹ In the same vein, economic development research at the state and local levels has demonstrated how networked officials enhance their economies by stimulating private sector action, engaging in partnerships with such organizations as chambers of commerce and industry groups, and jointly formulating developmental policies in human resource development, technology advancement, and global

⁹⁸ Huxham, C. (2000). The Challenge of Collaborative Advantage. *Public Management* 2: 337-357

⁹⁹ Sagawa, S. and Segal, E. (2000). Common Interest, Common Good: Creating Value Through Business and Social Sector Partnerships *California Management Review* 42 (2): 105-122

¹⁰⁰ Frame, T. Gunton, T., & Day, J. 2003. Resolving Environmental Disputes through Collaborative Planning: Georgia Basin/Puget Sound Research Conference.

¹⁰¹ Radin, B., Agranoff, R. Bowman, A., Buntz, A., Ott, S., Romzek, B. and Wilson, R. *New Governance for Rural America: Creating Intergovernmental Partnerships*. Lawrence, KS: University Press of Kansas, 1996.

marketing.¹⁰² Finally, research in environmental policy also demonstrates that emergent solutions to such problems as nonpoint source pollution (e.g. agricultural chemicals), watershed and forest management can be approached by formally and informally convening government agencies, conservation advocacy groups, industry representatives, land developers, and the scientific community into joint bodies.¹⁰³

Effective public management networks: Key features and practices

Assuming there is a movement to create a public management network for homeless issues in the county, what are the keys to the success of such a network based on the experiences of other networks? As Keast and Brown have stated¹⁰⁴, “to be effective networks necessitate more than a ‘business as usual’ or bureaucratic, hierarchical approach and require different design principles, management strategies and skills and governance arrangements as well as alternative performance measures^{105, 106, 107, 108, 109} . Furthermore, networks are

¹⁰² Clarke, S. and Gaile, G., *the Work of Cities Minneapolis*: University of Minnesota Press, 1998);
Eisinger, P. *The Rise of the Entrepreneurial State*. Madison: University of Wisconsin Press, 1988;
Fosler, R. “State Economic Policy: The Emerging Paradigm,” *Economic Development Quarterly* 6(2)(1992), pp. 3-13

¹⁰³ John, D. *Civic Environmentalism* Washington, D.C.: Congressional Quarterly Press, 1993.

¹⁰⁴ Keast, R. and Brown, K. (2002). *The Government Service Delivery Project: A Case Study of the Push and Pull of Central Government Coordination*. *Public Management Review* 4 (4): 439-459.

¹⁰⁵ Provan, K.G. and Milward, H.B. (2001). *Do Networks Really Work? A Framework for Evaluating Public-Sector Organizational Networks*. *Public Administration Review* 61 (4): 414-423.

¹⁰⁶ Kilduff, M. and Tsai, W. (2003). *Social Networks and Organizations* London: Sage

¹⁰⁷ Agranoff, R. (2003). *Leveraging Networks: A Guide to Public Managers Working Across Organizations* Arlington, VA: IBM Endowment for the Business of Government.

¹⁰⁸ Mandell, M.P. and Steelman, T. (2003). *Understanding What can be Achieved Through Interorganizational Innovations: The Importance of Typologies, Context and Management Strategies* *Public Administration Review*, 15 (2): 197-224.

¹⁰⁹ Keast, R., Brown, K., Mandell, M.P. and Woolcock, G. (2004) *Network Structures: Working Differently and Changing Expectations*. *Public Administration Review* 64 (3): 363-371.

not a 'one-size-fits-all' proposition. They are highly differentiated in terms of their purpose, form, operational governance mode and structures and need to be built 'fit-for-purpose' to match these requirements"¹¹⁰

As stated by Keast¹¹¹, referring to Klijn and Koopenjan work¹¹², "networks or networked arrangements require distinctive structural and governance arrangements that are based on relationship principles and practices of negotiation and bargaining and, are highly iterative in their formation, ongoing operation and evolution and offer private, public and voluntary sectors a way of value adding and transforming existing policy, product and service delivery modes."

The following practices are considered best and proven.

- Broad stakeholder participation. Complex problems by definition are multi-dimensional and multi-faceted. Many different partial problems comprise the complex problem. Therefore multiple parties have to participate in some form. This does not mean that all participate in the same way, but it does mean that all voices have the opportunity for input and are heard.

¹¹⁰ Keast, R. and Brown, K. (2003) Community-Government Engagement: Community Connections Through Networked Arrangements. *Asian Journal of Public Administration*. 25 (1): 107-132

¹¹¹ Keast, R. undated paper. Leveraging Networks, Collaborations and Clusters: Much More than Just 'Working Together'. Unpublished paper.

¹¹² Klijn, E-H. and Koppejan, J. (2000). Public Management and Policy Networks: Foundations of a Network Approach to Governance *Public Management Review* 2 (2): 135-158.

- Make the table larger and rounder¹¹³. An off-shoot of broad stakeholder participation, this best practice focuses on ensuring that the processes of the network ensure that all voices receive a fair and full hearing. This principle does not obviate the realities of legislated and delegated authorities and decision making powers, but it does ensure that during the analysis and problem definition phases, as well as during solution generation processes, that all perspectives are aired.
- Define and operationalize values and working principles. Early in the process of network formation the members should state the values and working principles they will seek to practice. These may evolve over time of course, but they do serve to offer members guidelines for behavior. The Fraser Basin Council for example adopted the following principles:¹¹⁴
 - Understanding and respecting the opinions of others.
 - Accepting all members as peers: at Council, we say, “Titles and egos are left at the door.”
 - Seeking balance over extreme positions.
 - Taking action based on consensus.
 - Using all these elements to build trust among members.
- Design processes to build social capital and working trust. A network must have a reasonable degree of working trust among its members if it is to be effective. Some people approach the issue of trust from the perspective of “I will trust until proven wrong” while others take the approach “my trust has to be earned”. Recognizing these differences in

¹¹³ Onandaga Civic League, op.cit.

¹¹⁴ Blaney, J. op.cit.

individual style, a wise network approaches the issue of trust intentionally. There are a number of techniques that can be used in an intentional trust building strategy¹¹⁵. These should be instituted as appropriate during the start-up phase of the network as well as used periodically during its work. These processes will build the level of social capital within the network. Social capital refers to the degree of trust and willingness to work together for the common good¹¹⁶.

- Develop agreement on how decisions will be made. While consensus is the goal, a network should not allow itself to be captured by a recalcitrant member. The question is what does consensus mean? There are several levels and definitions of consensus¹¹⁷. A network should address this issue early and work through the various levels of consensus to reach some agreement on its specific approach. Different degrees of consensus may be required for different problems, both between networks and sometimes within a single network.
- Specify processes for conflict management and conflict resolution from the outset of the network. Conflict is a natural and healthy part of a network. Indeed, the network without conflict is probably avoiding some key issues. That said, best practice is to address up-front the legitimacy of conflict and procedures through which conflict can be handled constructively.¹¹⁸
- Systems analysis. Because complex problems are multi-faceted, interrelated and unstable, reductionistic models of analysis are ill-suited

¹¹⁵ Marlowe, H. 2004. Intentional trust building. Unpublished paper.

¹¹⁶ Putnam, R. 1993. Making democracy work. Princeton University.

¹¹⁷ Marlowe, H. 2001. Defining consensus. Unpublished paper.

¹¹⁸ Marlowe, H. 2003. Procedures for productive conflict management. Unpublished paper.

approaches for understanding the issue. Systems thinking approaches, which allow for more holistic as well as self-reinforcing and self-organizing perspectives, are better suited to provide a fuller understanding of the problem.

- Holistic problem solving. Related to systems approaches, the techniques of holistic problem solving provide tools that a network can use to analyze its issue and develop solutions.
- Plan for evolution. As the network does its work, its understanding of the issue and solutions will become richer and deeper. A best practice is to institute a process through which the problem is periodically reviewed and re-stated if needed.
- Define goals and products, along with time frames, early in the process. While these will evolve and shift, they assist the group to form, assist people to determine the worth of the network and provide some confidence that their time investment will be worthwhile. In some cases, where the problem is particularly complex, this goal and product definition process will need to be iterative as the group better understands the challenge and the problem.
- Establish a reasonable deadline for products and establish interim products. For the network to retain the energy that led to its establishments, as well as develop a higher level of energy and commitment, it must produce products within a reasonable amount of time. While that time depends upon the issue, if members do not see progress, they can become discouraged and lose interest.

- Establish a sunset date. While a network could be “forever”, it should be time limited (“sunsetting”) from the onset so that the decision to continue it is deliberate. Groups often continue simply due to the fact that they are there and no one wants to raise the question of their discontinuance. Establishing the sunset at least forces the network to ask if there is continued work to be done.
- Promote neutrality of leadership, particularly at the start of the network. Networks dealing with complex issues rarely come together without history. Recognizing there is no such thing as the truly neutral network member; some members will be seen as more neutral than others. Also, some members will be viewed as “fair and open” to all views, even though they have their own. A person who fits these categories should be the chair at the onset of the network if indeed the network even chooses to have a chair. An alternative is to engage an outside facilitator.
- Recognize that decisions will be made in a non-hierarchical environment¹¹⁹. Unlike an organizational structure with hierarchical decision levels, networks are groups of peers.
- Examine the appropriateness of outside facilitation. When issues are both complex and controversial, the services of an outside professional facilitator can sometimes be helpful. A person who is trained in group processes, complex problem analysis, conflict resolution and consensus building can perform key services for the group which all members can accept because the facilitator is not identified with a “side”. Even if the network chooses to have a chair, the use of a facilitator can ease the

¹¹⁹ O’Toole, L. & Meier, K. 2002. Public management in intergovernmental networks. Paper presented at Networks, Management and New Patterns of Governance conference. Barcelona.

burden on the chair and allow them to participate more fully without having to manage the group process.

- Provide administrative support. Networks are not free. The administrative support required for network meetings, documentation management, communications with interested parties and other support functions can be extensive depending upon the scope and frequency of activities.

Textbox 2: Solving complex problems: The holistic approach to problem solving

The holistic approach to problem solving involves the search for an acceptable solution as an emergent property of interdependent sub problems with competing or contradictory constraints. It is based on five assumptions:

1. *Problems and solutions are constructs of the mind.* Problems don't exist independently from those who define them. Some problems are so complex and so far-reaching that their complete solution is unrealistic and partial solutions must be employed.
2. *People have different views of the same situation.* A problematic situation is viewed and defined differently by the people affected.
3. *People disagree on what's the actual state and desired state.* Since there's no agreement on what the problem is, it follows that there won't be agreement on the solution.
4. *Improvements result from discussion and debate.* A solution is an ongoing work of the group. In effect, the impacted parties learn together.
5. *The analyst becomes part of the problem situation.* The analyst becomes part of the problem situation and uses a variety of tools to learn along with the impacted parties in formulating a solution.

The alternative approach, which is the optimal approach for well-defined problems, is termed reductionistic problem solving. It is based on the following five assumptions:

6. *Problems and objectives can be identified.* The model begins with a needs assessment that leads to a problem statement. Objectives are developed that drive processes expressly designed to solve the identified problem. Success or failure is measured against these objectives.
7. *The defined sub problems can be solved by people with appropriate expertise.*
8. *Problems and objectives are put into operational or quantitative terms and solutions are modeled to achieve optimal performance.* To be rational and measurable, problems and objectives are assigned numerical indicators so progress can be monitored. Individual components are adjusted to conform.
9. *Improvements come from the implementation of solutions.* Once the problem has been identified and solutions modeled, the best model is executed to solve the problem.
10. *The analyst is independent of the problem, a consultant who makes recommendations to a client.* To be fully objective and impartial, analysts remain apolitical and scientific in providing advice and counsel to clientele.

The three core tools of a public management network: Collaborative Planning, Consensual Problem-Solving and Facilitative Leadership.

This section provides a brief outline of the principles and practices of collaborative planning, consensual problem solving and facilitative leadership. A working paper is in development which will be available in the near future where these principles and practices are discussed in greater depth¹²⁰.

The core premise of the approach is that a third form of governance and public administration is emerging which represents an alternative to centralized bureaucracy with its traditional top-down decision making approaches and privatization of public services. This third form goes by a variety of labels, with the label public management network currently gaining the most currency.

Public management networks have a number of features, the most critical of which for this discussion is the engagement of multiple stakeholders using the practices of collaborative planning, consensual problem solving, and facilitative leadership. Appendix B provides an overview of the major types of public management networks so this concept will not be discussed in further depth here. Instead, the focus will be on selected principles and practices which underlie effective collaborative planning, consensual problem solving and facilitative leadership. These include:

- All voices. This principle has two dimensions. The first is the importance of all perspectives being present and being examined during the analyses, planning, problem solving and decision processes. In the HHSCC context this includes consumers, line staff, volunteers, agency managers or executives, affected citizens and neighborhoods, business and civic groups, public and private funders and policy makers. The second dimension is that policy and funding decisions must be made only by those who represent all voices. These are elected and appointed officials whose task it is to represent the entire community and have been selected for that role.

¹²⁰ Marlowe, H.A. Principles and practices of collaborative planning, consensual problem solving and facilitative leadership. Working paper

- Hierarchy as role differentiation, not hierarchism. It is critical for these processes to succeed that roles be clear. Any system fails when its various components fail to either understand their respective roles or perform them. As a simple biological analogy, imagine what would happen if our hearts and our livers somehow got their functions confused. While social systems are more complex and flexible, they still function best when each member understands the role they need to play and how their role fits with and contributes to the whole. Much of the continuous complaint about lack of communication is derived from role confusion, lack of role clarity and lack of understanding of how my role fits in the larger picture. A hierarchy is simply a way to organize structure and explain role. However, the term has developed negative connotations because it is confused with, and unfortunately all too often demonstrates, hierarchism. Hierarchism is the subtle, or not too subtle, implication that a person who has a broader, more authoritative and more responsible role is somehow superior to someone who has a narrower role with less authority and responsibility. The success of collaborative planning, consensual problem solving and facilitative leadership lies in maintaining clear role distinctions while respecting the worth and contributions of everyone.
- Systems perspectives. Complex human systems, formal or informal, are simply relationships among various parts that result in a whole that is greater than the sum of the parts. For planning and decision making to be effective, it must be done in the context of understanding the system and how changing one part or introducing some new element will impact other parts and overall performance.
- Asset perspectives. This is simply the perspective that there are assets and that building upon those assets is the most effective strategy for improving the system as a whole.
- Differences of perspective and disagreement are critical. Poorly managed and facilitated consensus processes often result in poorer quality decisions than those that would be made by a single, informed individual. The quip, a camel is an elephant made by a committee is a succinct summary of that reality. On the other hand, social science research indicates that a wide variety of perspectives when wisely engaged leads to better decisions¹²¹. There is such a thing as group

¹²¹ Surowiecki, J. 2004. The wisdom of crowds. New York: Random House

wisdom. A key part of that group wisdom process is ensuring that differences of perspective are voiced and that disagreements are fully explored. If consensual decision making is simply a lowest level compromise, good decisions will not result. Instead, well facilitated consensual decision making surfaces tensions and disagreements and then substantially works with that disagreement to find higher level solutions.

- Asking the right question is the key. The key to getting good answers is asking the right question. This is why multiple perspectives are so critical. No one person or group understands it all. By bringing multiple parties to the process, the likelihood of formulating the right questions is enhanced.
- Collaborative planning and consensual problem solving succeed when roles are understood and respected. Very often in public policy collaborative planning and consensual problem-solving processes the image or belief is communicated that the conclusion of the multi-stakeholder group is the decision that will be enacted. If it is not enacted, enormous frustration, resentment and a deterioration of public trust can occur. Obviously everyone loses when this occurs. This problem particularly occurs when the solutions or recommendations must be considered in the larger public policy context. When everyone understands from the onset that the plans and programs of this effort must finally be considered by the people's representatives in a broader context, then the flawed expectation described at the start of this paragraph is avoided from the onset.

These principles and practices, along with others not enumerated above, are built into the processes described in appendix C which illustrates how networks could operate in practice. The deeper philosophical context that the public management networks approach represents is an attempt to design and institute leadership systems that enhance the position that George Weigel affirms that democracy is not simply about institutions and processes but about the ongoing experiment in the capacity of a citizenry to self-govern¹²². The approaches delineated in public management network models are approaches which represent current experiments in building the capacity for self-governance.

¹²² Weigel, G. 2005. *The cube and the cathedral*. New York: Basic Books

Summary of discussion on the concept of a public management network.

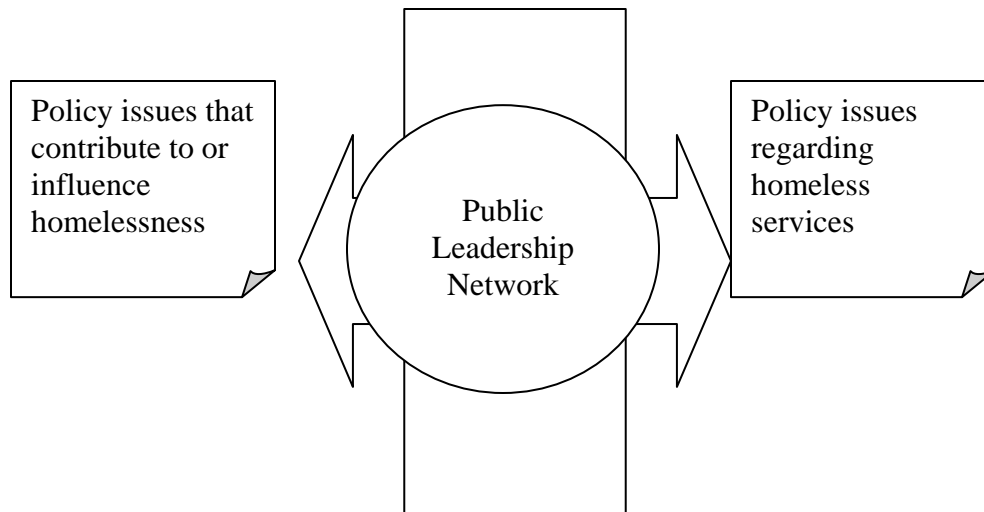
The discussion above detailed the nature of a public management network and the rationale for it being the appropriate governance and management structure for a complex public problem such as homelessness. The next two sections seek to describe two sub-types of a public management network; a public leadership network and a public operations network.

Public Leadership Network: An approach to the governance of the response to the homeless problem

A public leadership network combines the functions of networks focused solely on policy issues with those focused on planning. One role of a public leadership network, as illustrated in figure 4 is to address policy issues related to both factors causing homelessness as well as policy issues related to homeless services. A second role is to provide strategic direction for a community's response to homelessness. Setting strategic direction involves both selection of high level response strategies (emphasis on prevention vs. deep-end treatments, selection of a housing first strategy vs. a traditional housing approach, etc) and the prioritization of those strategies. The third role is the development and securing of the funding plan to implement the strategic direction.

Given the policy focus of a public leadership network, its membership should be dominated by the policy-makers and funders whose role it is in a community to make policy and funding decisions. As discussed in appendix b, network approaches are most effective when roles are clear, respected and reinforced. This of course does not mean that a public leadership network does not avail itself of all perspectives and indeed it should structure itself so that all perspectives are ensured.

Figure 4: Types of Policy Issues



There is a second reason why the term leadership is used in this policy context. It is to make an important distinction about how complex public issues such as homelessness are addressed. While the goal is to minimize, reduce and ultimately eliminate homelessness, the issue cannot be managed in the same way that a production line can be managed. As broad as the network is likely to be, it still will not have all the factors at the table. No one network, much less one entity, can control homelessness. In that sense it cannot be “managed”. Some other reasons for the term leadership include:

- The approach of public management networks originated in arena of natural resource management as an approach to addressing complex natural resource and environmental issues. The term management was simply lifted from natural resource management. More importantly, there

was at the time of its first use a belief that natural resources could be “managed”. This position has come more and more into question.

- As noted in the discussion of complex problems and just above, they cannot be “managed” in the same way that a straightforward problem can be managed. The term management connotes a high degree of control and direction which is often not achievable with a complex social problem at least. We of course could expand or modify the term management to encompass a broader sense of flexibility and limited direction appropriate to complex problems and then explain that specific direction. Agranoff has stated, “Network management is considered to be a different type of nonhierarchical management, where information and expertise is substituted for authority structure, through a self-organizing process, held together by mutual obligation that develops over time, by reaching consensus based decisions, and by innovative technologies that becomes the “DNA” of networks”¹²³. Or we could use another term to simply get around the need for special definitions. The latter course is taken here.
- The leadership models labeled collaborative or facilitative leadership encompass a problem solving approach well fitted for complex problems. Building a shared, comprehensive and systemic understanding of an issue, such as homelessness is one skill of facilitative leadership. Developing joint commitment to action is another characteristic feature of facilitative leadership. Fostering actionable solutions, however partial they may be, is another skill of the facilitative leader. Emergent response, scenario planning, consensus building, conflict resolution, a

¹²³ Agranoff, R. 2003. Networks: A guide for public managers. Unpublished paper. Pg 4.

commitment to action are all components of facilitative leadership. And fortunately, these are the same skills and approaches needed to address complex problems. So the term leadership is an appropriate term to describe the type of entity needed for the governance of a complex problem such as homelessness.

- Finally, it is important to distinguish types of networks. Networks that are focused on policy and planning differ in mission, composition, and work tasks from those that focus on coordinated and integrated management of a set of services.

Definition of the term. A public leadership network is a purposed web of civic leaders who share a commitment to finding workable solutions to an issue of public good. It is intentional and purposeful in that it has a defined problem of public good it is addressing. It is a network first by recognition of joint concern and ownership and secondly by a commitment to collaborative effort in the full sense of that term. It is a leadership group first because there is a commitment to solution seeking and implementation and secondly because the participants have some degree of decision making authority which could impact some part of the problem. Finally, it is a leadership body because it can set, commit or impact public policy and public and private funding.

Public Operations Network: An approach to the management of services for homeless persons

A public operations network is designed to design and manage a systematic and comprehensive approach to a complex public problem. While it may not “manage” the problem as the discussion on public leadership networks

indicated, it can manage an approach or set of services. Since its focus is on the operation of a network of services, the label public operations network was chosen.

The composition of a public operations network should be dominated by providers and consumers since these are the persons most concerned with service delivery. Other advocates may be represented as well as any other interested parties who are impacted by service delivery, such as local businesses in the case of homelessness. However, the mission and purpose of the operations network is to ensure optimum use of the allocated resources to benefit the persons whom the network was established to serve.

In the course of seeking to fulfill its mission, an operations network will encounter a variety of barriers. Some of these emanate from public policy and it is the responsibility of the operations network to communicate these policy barriers to the leadership network. Others will result from inadequate resources. Again, these should be communicated to the leadership network. Others are barriers that the persons being served may generate themselves. Addressing and resolving these barriers are the responsibility of the operations network.

How do leadership networks and operations networks interface and leverage their efforts?

These networks are distinguished because they have different work to do and require different competencies and members to do their work. However, they share the same goal, in this case the reduction of homelessness.

Because they share the same goal, they are truly inter-dependent. Neither will succeed without the other. To increase the likelihood of joint success, a number of practices should be either “designed in” from the start or encouraged as events develop. Among these are:

- Clear statements of purpose, role and authority;
- A structural communications link and established communication protocols;

- Shared and delineated responsibility for selected products and elaborated processes for how those products will be produced and assessed;
- Joint agreements on key leading and performance indicators and expected standards of performance;
- Established and agreed upon processes for addressing how differences in perspective or conflicts are surfaced, addressed, and resolved

In the recommendations section each of these elements will be addressed.

Section Eleven: Proposed model

Pinellas County is Florida's most urbanized county. As such, it represents one of the more complex networks of local governments, providers, and private funders. Any coordinating model must address the complexity of the Pinellas County situation. There are multiple stakeholders whose interests and priorities must be represented in a model.

The presence of the Pinellas County Coalition for the Homeless (PCCH), along with the emergence of the Policy Group offers a viable model for a new approach to a coordinating entity which will build upon past efforts while offering the potential for broader civic leadership.

To optimize these resources and events, a number of recommendations are made in this section. These recommendations fall into three types, each of which derives from the prior type. The first recommendations are structural in nature and address the topic of how governance and management would be structured. Following that set of recommendations, which include an extended

discussion of potential concerns about those structural recommendations, are a set of process and procedural recommendation which propose how the structure could work in practice. Following these recommendations, the final set of recommendations address implementation steps.

Recommendation set 1: Structural recommendations

Recommendation 1: Establish a public leadership network for homeless policy and planning. A public leadership network be established, using such best practices as identified in this report, to provide leadership and governance to homeless policy and planning topics in Pinellas County. The Policy Group, in a re-constituted form to be detailed later, would become this public leadership network.

Recommendation 2: Establish a public operations network for the coordination and integration of prevention and intervention services to persons either homeless or at-risk of homelessness. A public operations network be established to provide management oversight to the delivery of homeless services in the County. The PCCH, with certain organizational configurations to be discussed later, would become this public operations network.

Recommendation 3: the structure of the Leadership Network and its relationship with the Public Operations Network. Specific recommendations in this area include:

- A public leadership network focused on homeless policy and planning issues be established via interlocal agreement among Pinellas County Government, the School Board of Pinellas County, the Juvenile Welfare Board, the Office of the Public Defender, and the municipalities of Clearwater, Largo, Pinellas Park, St. Petersburg and Tarpon Springs. Each member of the interlocal agreement would appoint a representative from its governing body or its elected head to serve on the network. HUD entitlement jurisdictions, Clearwater, Largo, Pinellas County and St. Petersburg would each have one additional appointment.
- Once established via interlocal agreement of governmental bodies, the United Way would join via a memorandum of understanding and would be responsible for appointing a member of its board who resides or works in Pinellas County.
- Once established via interlocal agreement of governmental bodies, the Public Operations Network would join via a memorandum of understanding and would be responsible for appointing members representing the following categories:
 - An executive director of an agency member of the Operations Network
 - A consumer or formerly homeless person
 - A representative of the volunteer community engaged in homeless services
 - A line staff person engaged in homeless services
- The leadership network itself would appoint additional representatives of its own selection according to the following formula:

- A member of the health care community familiar with homeless issues;
 - A representative of other community funders such as foundations;
 - A representative of local civic and service organizations
 - A representative of local housing authorities
 - Business community representatives from the south and mid-north areas of the County.
- Once established, the Leadership Network will be supported by the staff of the Human Services Coordinating Council in coordination with the staff of the Public Operations Network.
 - Once established, the Leadership Network will notify HUD and any other appropriate federal funders that it will be the future recipient of Federal funds. The Leadership Network would then contract with the Operations Network to manage the funds in accord with strategic, business and funding plans approved by the Leadership Network. The Operations Network will provide regular reports to the Leadership Network and charge an allowable administrative fee for that service.
 - Once established, the Leadership Network will assume final responsibility for submission of the ten year plan, continuum of care and associated reports and plans required by various funders. These plans will be initially drafted by the Operations Network within parameters provided by the Leadership Network.
 - Once established, the Leadership Network would develop, in collaboration with the Public Operations Network, a business and funding plan with priorities designed to establish a more effective system of

services. It would have the authority to re-align current funding under its control or to recommend to other funders a re-alignment in order to achieve a better overall system.

- Once established, the Leadership Network would develop within its business and funding plan and cooperatively with the Operations Network a set of performance indicators that would allow it to assess progress and determine improvement opportunities.

Recommendation 4: Structure of the Operations Network and its relationship to the Leadership Network. The following specific recommendations are made:

- The elected officers, the Chairs of the Operations Network Standing Committees, and two Executive Directors should form an Executive Council for the Network. This body will be responsible for: (1) ensuring that approved strategic, business and funding plans are carried out consistent with the directives of the Leadership Network; (2) hiring and terminating the Executive Director of the Operations Network; (3) ensuring there is coordination and communication with the Leadership Network; (4) monitoring the performance of the overall network using agreed upon performance indicators and making such improvements as are within their authority or making recommendations to the Leadership Network where appropriate.
- The Operations Network should operate as an intermediary organization to receive funds from various funding entities based upon negotiated

agreements and directives of the Leadership Network and then re-allocate funds based on priorities established by Leadership Network and consistent with the intent of the originating funders. The network may designate a member to serve as fiscal agent to minimize the costs of administration.

Recommendation 5: If the Leadership Network chooses to be the recipient of HUD funding, additional modifications in membership may be required to meet HUD's stakeholder standards. The network would have the authority to make such modifications as needed to either itself or to a sub-committee. Regardless of HUD requirements, the network would always need and want a sufficient diversity of stakeholders as to operate as a network. However, for reasons elaborated below, elected officials should always comprise the majority of the network.

Excursus: Discussion of potential issues of concern with the structural recommendations

No single set of recommendations will solve every problem and certainly no set of recommendations will please everyone. Undoubtedly, there will be concerns with the above recommendations. This section will address those already voiced or ones which are foreseeable. It will do so by presenting concerns as questions and then answering those questions in ways which amplify and clarify the logic of the above recommendations. Undoubtedly, there will be future issues and concerns which will have to be addressed over time.

Concern #1: Impact on PCCH.

The most obvious and immediate concern is what would these new networks mean for PCCH? Obviously it becomes the Operations Network. However, other models have been discussed. There are various perspectives and there could be several implications, which range from neutral to positive (acknowledging everyone may not agree with this assessment). Phrased as a set of questions, among these perspectives and implications are:

Why not make the Policy Group the board of PCCH? This was an early option under consideration and a topic of conversation during various meetings. Why is it not the final recommendation? Because after consideration of various pros and cons as summarized in table 9, we conclude that on the whole neither the PCCH, the Leadership Network, the homeless nor the public is best served through such an arrangement. The reasons for this conclusion include:

1. Elected officials can be most effective and retain public confidence when roles are clear and defined and there are boundaries around such a roles so that perceptions of conflict of interest do not arise. The fundamental role of elected officials is to balance multiple public interests to achieve the overall community good. While they may certainly advocate for various issues and perspectives in that process, they should not be so aligned with any singular perspective that their colleagues or the community at large lose confidence in their ability to see an issue from multiple perspectives or balance an issue they are

interested in with broader community concerns. If this occurs the elected official has lost his or her effectiveness, the group or position they are advocating for no longer has an effective ally and the community as a whole has lost the contribution this person could make. While homelessness is certainly an important issue with numerous ramifications, there are many other equally significant issues which require the considered judgment of the elected official. If elected officials become the board of a provider and advocate organization, they have weakened: (1) their capacity to effectively oversee and balance public funds for a variety of needs; (2) their capacity to retain sufficient independence so as to foster system change; and (3) their ability to maintain role clarity between that of a elected official and that of a non-profit board member.

2. Representatives of other funding entities that fund a wide range of human needs face the same challenges as an elected official, although somewhat more narrowly in scope. To use the United Way as an example, it cannot be seen as “favoring” the homeless issue over other issues of concern to the community. It must be seen as a fair and balanced player in its chosen scope. For the United Way to set on the governing board of the PCCH would be to invite a series of conflicts of interest.

3. The PCCH itself will be compromised by such an action. The PCCH is most effective as an advocate on behalf of the homeless and support mechanism for those providing services to the homeless. Comprised of persons dedicating to better serving the homeless in either staff or

volunteer roles, the PCCH has a clear role to play. That role is best performed when it is clear and bounded, just as the role of elected officials is best performed in clear and bounded roles. The role of a public official is to set policy and allocate public resources consistent with that policy direction. That should not be the role of PCCH. PCCH's role is to advocate for policy, for funding and to organize the private, civic and faith based sectors for action on behalf of the homeless. PCCH can serve this role effectively and meaningfully by focusing its time and effort on this task, undiluted by other concerns.

4. There are two core competencies needed to impact the issue of homelessness. One competency is that of working directly with homeless persons in their great variety to assist them to address life issues, master needed skills and make decisions regarding their life while providing basic life supports. This is the skill of a service provider (volunteer or paid). The second core competency is addressing the policy issues underlying or related to homelessness and developing high level, comprehensive plans that can secure community support. These are the competencies the Leadership Network is designed to bring. Under the theory that organizations perform best when focused on and using their core competencies, there should be no effort to subsume both competencies under one organizational form such as PCCH.

How would PCCH function and what would be its role if the Leadership Network were established? This question will be answered in the context of two assumptions which will change the current way PCCH works. The

first is that PCCH will have a staff person who can assume many of the tasks now being done by volunteers. As many PCCH members have noted, this will not relieve them of all their volunteer work, but it will significantly change the level of administrative volunteer work. The second assumption is that the Human Services Coordinating Council will be funded and staffed. The staff of the HSCC will be able to offer staff support to the Leadership Network, including the facilitation and preparation of collaborative grant applications. Both of these changes mean that the daily experience of PCCH for many of its members will significantly shift from doing the daily work of organizational maintenance to using it as a forum for service improvements.

If the recommendations of this report were instituted, PCCH would become the Operations Network assuming responsibility for managing homeless services as a system, making or recommending changes in practice, monitoring performance and impact. It would assume the role of an intermediary organization, managing HUD funding and other public funding that the Leadership Network secures for it or allocates to it. It would work cooperatively with the Leadership Network to engage in the requisite planning efforts and would provide the technical and grass-roots perspectives needed for those planning efforts. It would need to work closely with the Leadership Network to ensure that various plans are workable, addresses real issues and can generate sufficient support to move it from a plan into action. As the Operations Network, PCCH would remain as vigorously involved in raising homeless issues, proposing

solutions and advocating for system change as it is today. What it would have, in the form of the Leadership Network, would be a policy level partner with whom it can share those solutions and concerns. What it would have, in terms of this proposed role as an Operations Network, would be a broader and stronger mandate to build a more comprehensive and integrated system of services on behalf of the homeless.

Table 8: Issues involved in the Policy Group becoming the Board of PCCH

Benefits	Risks	Comment
High ownership by elected officials and funders	Priorities may not match with those of Coalition members	
Broader political support	Potential politicization of issues	
Engaged board members	Board members would carry the normal liability that any non-profit entity carries.	
Understanding of the homeless issue	Potential conflict of interests	
Greater support for homeless issues	Perceptions that the policy maker is not addressing the full range of community issues	

Concern #2: Impact on funding

One of the implicit goals of the Homeless Initiative has been to increase the financial resources devoted to addressing the issue of homelessness in Pinellas County should such an increase be warranted. Ideally this would take the form of both a greater local commitment and the capacity to bring in additional external funds from federal and state sources. Some concerns or questions which establishing the two networks, particularly the Leadership Network, could raise include:

Will there be a commitment to increased local funding? There is no guarantee that establishing the Leadership Network described above will automatically result in increased funding for the homeless? What it will mean is that a widely representative group of elected officials will understand the issue, its causes, its solutions, and how it relates to a wide range of other community issues. One them must simply assume that a better informed elected official will make better decisions.

Will Pinellas County be better positioned to compete for external grants or awards? Yes, if the Leadership Network and Operations Network operate in an inter-dependent manner, respecting each other's role and distinctive contributions. No, not if one or the other views the situation as competitive. No, not if the two bodies are not able to form a synergistic working relationship. Assuming the former, any application from Pinellas County which substantively demonstrates a multi-

jurisdictional collaborative effort led by elected officials and other community leaders will certainly carry weight. If that application can point to local funding commitments then its score will undoubtedly be higher. Can a Leadership Network guarantee award of external funding? Obviously it cannot. Many factors determine awards. All one can do is position oneself as best one can, write the best proposal one can write and then compete.

Who should assume the responsibilities for the planning and coordination of external funding for homeless services? This is a role question. Whose role is it to administer public funds? Who is best purposed and organized to do so? Who is best positioned to leverage those funds with others funds for broadest public impact? Phrased this way, the answer is clear. The public leadership network should be the community's recipient of all external funding targeted for the homeless. Such a role will enable it to be aware of the overall funding streams and be able to impact the distribution of those streams for overall community good

That said, the reality that separate jurisdictions may prefer to administer external funding for which they are eligible must be acknowledged. In these cases the hope would be that funding decisions would be made in the context of the system that the network is seeking to develop.

Concern #3: The issue of influence, power and control

Any time there is a change in a human designed system, anytime a new entity is added, the dynamics of influence, power and control arise. While images of a “power struggle” are negative and an image all parties seeking to work collaboratively want to avoid, we cannot deny the reality of the dynamics. If humans exist in some social form, they exist. Rather than deny or minimize their significance, a direct addressing of the issue is more productive. In practical terms the issue comes down to who are responsible for what, who has the authority to do what, who can say we need to change this or that? Therefore a set of responsibility and authority questions will be framed and answered.

Who should be responsible for overall assessment of system performance and re-direction? Again, this is a role question. Who has formal accountability for public funds? To whom does the public look to ensure that funds are used as effectively and efficiently as possible? Who is best positioned to promote system change as it is needed or as better ways become evident? The answer again is the public leadership network. This is not to imply that the operations network does not have both valuable information and responsibility in these areas. Providers certainly have their own accountabilities with respect to funds they receive. Members have valuable perspectives as to how services could be improved. The Operations Network is the key resource to the Leadership Network in terms of information and perspective on performance and

change. In reality, the Leadership Network and the Operations Network are inter-dependent on this topic as on many others. Yet overall accountability for a key system function must lie in a designated body, and in the case of this function, performance and change, it should lie with the Leadership Network.

Why should elected officials comprise the majority of the Leadership Network? In the model proposed earlier, elected officials comprise the majority of the network. Why was this recommendation made? For several reasons and in no particular order:

- If public funds are being utilized, elected officials are the final accountability point for those funds. The vast majority of taxing districts with ad valorem taxing authority in the state are governed by elected officials and those that are not are governed by gubernatorial appointments. In either case, an elected official is ultimately accountable. As a general premise, if public funds are to be expended, a publicly elected official should be clearly in the accountability chain.
- If local public funds are to be dedicated in some form and some level, then the point above assumes even more significance. One of the hopes implicit in the Homeless Initiative is that local public funding would be increased. This increase will only come about if local officials have a high degree of ownership of the issue and a high degree of comfort that the resources will be used consistent with their intent.

- As the highest level of causality, there are two causes of homelessness. There are personal or individual factors, including individual choices, which lead to homelessness. Then there are factors related to how we choose to structure our society which determine income and social supports. The latter may be broadly termed the policy choices we have made which result in increased or decreased risk of homelessness. These choices are made at federal, state and local levels. To illustrate, the following are examples of local policies which impact homelessness:
 - Policies on redevelopment and attainable housing which can impact the availability of affordable housing;
 - Zoning policies which determine where services may be offered;
 - Policing policies which determine which ordinances are strongly enforced;
 - Coordination requirements which can determine and shape the degree of coordination among various providers;
 - Transportation policy which determines availability of public transport;
 - Economic development policies which shape the type of jobs available in the community and the support for job development;
 - Health and human service policies which determine the accessibility of these services.

As is obvious from this list, local policy making can have a significant impact on the issue of homelessness. If we add to this list state and federal policies then it is evident that for those persons who have the capacity and willingness to work, policy interventions are the true form of primary prevention. Furthermore, public policies that prevent or intervene early in the area of substance abuse and mental health are also primary preventers of homelessness.

While there will always be a small percentage of individuals with character flaws who wish to “free ride”, the vast majority of persons would rather be contributing members of society and enjoy the benefits of that contribution. It is our public policies that help or hinder that desire. Given the power of policy as the primary form of prevention, as illustrated in figure 2, it is important that policy makers form the significant majority of the Network.

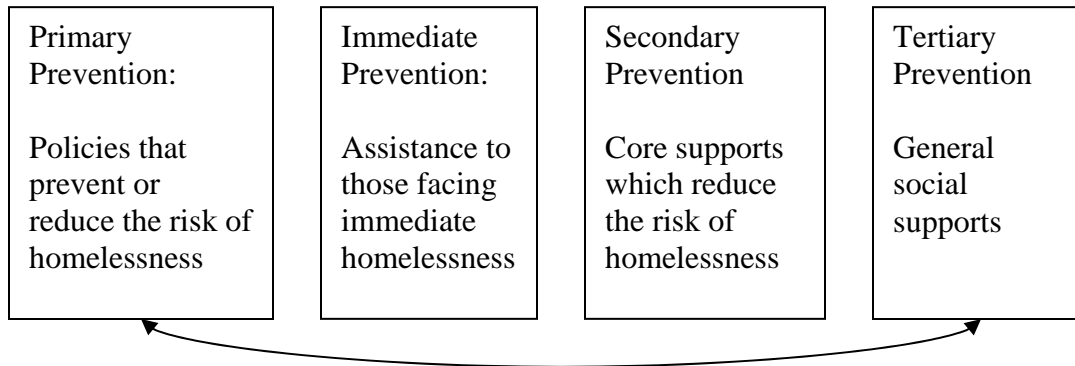
Why not stronger business presence? While the business community is clearly represented on the Leadership Network, and could join the Operations Network if so interested, the Leadership Network is not envisioned as needing a strong business leadership presence for its effectiveness. This certainly seems contrary to the perception of the role of business leadership often cited in what are labeled successful efforts, such as Miami-Dade. Why the difference of emphasis?

- First, it is a difference of emphasis, not an absolute difference. Of course the business community has a stake in the issue of homelessness and of course they should be represented on the Leadership Network, which they are.
- Second, the fundamental question is what do you want business leadership for? What is it you want these persons to do? With that comes the corollary question, what is it they are willing to do? Based on a number of years of working with business groups on public policy issues, we draw the following conclusions:
 - First, business leaders prefer to be engaged in a highly focused project with a specific outcome that is time limited. If what you want is leadership on a referendum to establish a public revenue source, then that is the type of task a business leader might be interested in leading (assuming he or she believes in the issue of course). Citing Miami-Dade, this is exactly what Alvah Chapman did for the Homeless Trust and David Lawrence (Miami Herald) did for the Children's Trust.
 - Second, business leaders have little interest or patience in policy and process issues. They have achieved their stature based on their ability and interest in leading their company to success. The governmental policy making process, which involves the time consuming process of balancing the interests of multiple parties, is of little interest and much

frustration to most business leaders. If a business leader is interested in these issues at a policy level he or she can engage in campaign leadership or run for office themselves (as some do). Few are actually interested in working through the details of public policy issues unless it directly impacts their business.

- Third, the solutions preferred by the business community in general, for an issue such as homelessness, are more temporal than fundamental. Citing again Broward and Miami-Dade, the preferred solutions were ones which removed the homeless from downtown, thereby fostering a better climate for tourism and economic development. There is nothing wrong with these benefits because they ultimately benefit the community as a whole. And certainly these solutions were implemented in an outstanding manner that has assisted many people. But these solutions have not addressed the more systemic and policy bases for homelessness. Business leadership is rarely oriented toward systemic solutions. The time horizon for systemic solutions is simply far beyond the capacity of a business leader to effectively engage in. When they do, in reality a career change has occurred and they are now working on this issue full time rather than leading a company.

Figure 2: Policy as primary prevention



Recommendation set 2: The Leadership Network and the Operations Network in practice

This section will seek to illustrate and offer recommendations as to how these two networks can operate in practice in a collaborative manner that is respectful of roles while optimizing the skills and competencies extant in both networks. In section 10 of this report, a number of practices were identified which promote productive work between networks. These are repeated and discussed below with reference to the two proposed networks. The principles are:

- Clear statements of purpose, role and authority;
- A structural communications link and established communication protocols;
- Shared and delineated responsibility for selected products and elaborated processes for how those products will be produced and assessed;
- Joint agreements on key leading and performance indicators and expected standards of performance;

- Established and agreed upon processes for addressing how differences in perspective or conflicts are surfaced, addressed, and resolved

Clear statements of purpose, role and authority. The success of each network is enhanced if it has a clear purpose, role and authority. Table 9 proposes an initial statement of such. This initial statement would need to be elaborated upon, edited and adopted by the proper network in their establishing documents. Appendix C provides a draft interlocal agreement with respect to the Leadership Network and appendix D provides a draft memorandum of understanding for the Leadership Network. PCCH would have to revisit its by-laws to determine if it would need to make any modifications in its charter.

Table 9: Purpose, Roles and Authorities of Leadership and Operations Networks

	Leadership Network	Operations Network
Purpose	Provide leadership on policy, strategic direction and funding issues related to homelessness in Pinellas County	Provide overall coordination and lead service integration efforts on behalf of at-risk and homeless persons
Role	<p>Make recommendations to appropriate bodies on changes in public policy that could reduce homelessness.</p> <p>Approve or endorse strategic, system-level business and other community plans specifically related to homelessness.</p> <p>Seek and support efforts with other public bodies to ensure integrated approaches.</p> <p>Identify, develop and advocate for funding to support the above plans.</p>	<p>Identify policy issues and other barriers for consideration by the Leadership Network.</p> <p>Develop draft plans and present to the Leadership Network</p> <p>Provide technical data to support such efforts.</p> <p>Provide technical data to support such efforts.</p>

	<p>Establish and recommend priorities to various funding entities.</p> <p>For any funds under its control establish a funding plan with priorities.</p> <p>Consider infrastructure needs</p> <p>Review and comment on performance data</p> <p>Support improvements and facilitate changes</p> <p>Review data in policy and priority setting</p> <p>Establish policies to ensure compliance</p> <p>Ensure homeless perspective is considered in public policy discourse</p>	<p>Provide technical data to support such efforts.</p> <p>Provide technical data to support such efforts.</p> <p>Develop infrastructure for coordinated services and a comprehensive system of care</p> <p>Manage performance management system</p> <p>Identify system improvements and make changes where it can</p> <p>Provide data on emerging trends and patterns</p> <p>Ensure technical compliance with external funders</p> <p>Advocate for homeless issues</p>
Authority	<p>Such authority as granted to it in the inter-local agreement. Specifically:</p> <p>County-wide planning;</p> <p>Development of funding plan for any plans under its control</p>	<p>Such authority as granted to it by agreements with the Leadership Network and any other entities. Specifically:</p> <p>Overall system coordination</p> <p>Development of system performance management tools</p>

	Recommend strategies and funding to independent entities	Resource re-allocation within parameters established by funding source.
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A structural communications link and established communication protocols.

The primary structural communications link recommended above is that the Operations Network appoints four members, in specified categories, to the Leadership Network. This will provide a formal mechanism for communication between the two networks. Other recommendations include:

- The Executive Director of the Operations Network should attend all meetings of the Leadership Network;
- The Executive Director of the Operations Network should work closely with the staff of the Health and Human Services Coordinating Council to ensure communication, consistency and avoidance of duplicative work;
- The Operations Network should formally transmit its recommendations, findings, conclusions and perspective in a manner that clearly communicates it is the position of the Network and that the transmitted information can be relied upon by the Leadership Network as the considered judgment of the Operations Network. While informal communication should always be encouraged, the formal actions of the Leadership Network should rely on formal actions by the Operations Network.

Shared and delineated responsibility for selected products and elaborated processes for how those products will be produced and assessed.

There are certain products which are required by external to the county funders, as well as those which may be required by internal to the county funders. The purpose of this report is not to delineate all of those but rather to indicate that responsibility for those should be clearly assigned, in full or part, to the appropriate network. As a general rule, the Operations Network will assume responsibility for maintaining the technical data needed for various reports and will prepare the draft report. The role of the Leadership Network is to review, accept and transmit the report.

Joint agreements on key leading and performance indicators and expected standards of performance. A key component of any systematic attempt to address a complex public problem is the capacity to determine current status, trends and progress. Again, the purpose of this report is not to delineate all those measures but at a minimum they should include:

- Trend data on factors associated with homelessness that can help policymakers understand what is occurring and what may occur in the future;
- Leading indicator data, such as food bank or free medical clinic use, that alerts the Leadership Network to patterns in the community;
- Cluster analysis or other forms of data which help to segment the homeless population into sub-groups reflective of differing needs and issues;
- System models and system capacity indicators which inform the Leadership Network as to demand and capacity to respond to that demand;
- Policy mapping which identifies current or emerging policies and their current or potential impact on homelessness.

Established and agreed upon processes for addressing how differences in perspective or conflicts are surfaced, addressed, and resolved. While hopefully these procedures will not be needed, it is wiser to address them prior to an actual need for them. Again, the task of refinement will be left to an actual working body appointed by the two networks. The following procedures or situations are recommended for consideration:

- Procedures that promote reconciliation of differing perspectives at the Operations Network level. Staff or task forces may find themselves unable to reconcile some issue. There should be a procedure whereby the issue can be brought to the Executive Council of the Operations Network for resolution;
- Procedures that allow significant differences at the Operations Network level to be discussed at the Leadership Network level. It is possible that members of the Operations Network may strongly disagree on a data or service issue. Assuming there is a logic to the positions, these

- Leadership Network should have a mechanism whereby they can hear the different positions before making a decision between them;
- Procedures to ensure that differences among the Leadership Network are accurately transmitted to the respective bodies represented on the Leadership Network. If the Network is divided on an issue which would impact the decisions of the representative bodies, then those perspectives should be transmitted to those bodies;
 - If the Network originates or responds to an action where new local funding sources are being proposed that would require approval of these new local funding sources by one or more of the elected officials serving on the board would have to approve, it is recommended that a discussion be held among the members of the Network about process to avoid creating any legal issues arising later during formal votes by authorizing bodies, avoiding any conflict of interest or creating a preventable issue for elected officials serving on the network.

Recommendation set 3: Implementation schedule for these recommendations

To implement the above recommendations, or some variant thereof, the following actions are recommended:

- Presentation of the concepts and recommendations to the Policy Group. If the Policy Group fails to endorse, the status quo situation of the PCCH will remain in place and continue to serve as the coordinating entity.
- Assuming endorsement by the Policy Group, the County would take the lead on developing the inter-local agreements and securing the agreement of the relevant entities.
- Concurrently, a presentation would be made to the PCCH for the purpose of determining its interest in an expansion of its role as outlined in the Operations Network description and recommendations. PCCH would need to take the lead in developing and managing this process in a timely manner to coincide with the interlocal agreement.
- Once the interlocal agreement among the public bodies is finalized, a memorandum of understanding (MOU) would be negotiated with the United Way and any other entities for which a MOU would be appropriate. The County would take the lead role in securing this agreement.

- Assuming the PCCH has agreed to the role of Operations Network, it would make its appointments to the Leadership Network at this point. If the PCCH were to reject such a role, the Leadership Network itself would then select representatives of the perspectives that would have been appointed by the PCCH.
- Assuming the PCCH has agreed to function as the Operations Network; it would re-structure itself to such a role and appoint a task force to develop a set of procedures and protocols for interaction with the Leadership Network for ultimate adoption by both Networks. If it declines such a role, the Leadership Network could then independently develop an Operations Network by making appointments to such a body and providing a charter for its operations.
- Once the Leadership Network is formally established, it would be convened with logistical support from the County temporarily until the HHSCC is in place. Hopefully it would continue the practice of rotating support for public records purposes as well as shared staff support until more permanent arrangements are made. The actions and agenda of the Leadership Network would be established in an early planning session. Obviously, this will be impacted by PCCH's decision with respect to assuming the role of Outcome Network.

Table 9 compares the current coordinating model with the proposed model.

Table 9: Comparison of current coordinating model with proposed model

Feature	Current Approach	Proposed Public Leadership Network	Proposed Public Operations Network
Mission and Purpose	Communication and advocacy; compliance with HUD requirements	Policy oversight of county-wide response; develop solutions to policy related issues; approval of various community based plans requiring local, state or federal funding	Development and management of coordinated and integrated response; public education, issue advocacy; capacity development
Structure	Membership organization with elected officers	Entity established by inter-local governments and memorandums of understanding	Membership organization directed by Executive Council of officers, chairs and Executive Directors
Staffing	All volunteer	Supported by staff of the Health and Human Services Coordinating Council	Dedicated staff person
Involvement of elected officials	None formal	Formal entity with broad participation by elected officials	No formal role
Funding	Primary focus is HUD funding	Focus will be all public funding	Potential role as intermediary organization serving to blend funding.

Appendix A: Enacting the principle of mutual accountability through public management networks

Mutual Responsibility

A network by definition is a collaborative endeavor which requires mutual effort and contribution by a number of partners. For a network to succeed it must practice a value termed mutual responsibility. What is meant by this term and what implications does it mean in application and practice? Why is mutual responsibility a core value? What elevates it from a basic value that everyone could simply endorse? The purpose of this section is to define and illustrate the value of mutual responsibility so that the concept itself is clear and the reason that it is a core value is presented.

To illustrate the concept of mutual accountability, an example is drawn from the literature on early childhood development networks. While specific examples do not apply to homelessness, the general principles do.

The purpose of an early childhood development network is to facilitate, support and enable those conditions and systems which produce positive and constructive outcomes for young children. Specific networks will have specific outcomes. The value of mutual responsibility holds that these desired outcomes are the shared responsibility between the family, the community of extended family and friends, the neighborhood, and society at large as exemplified in the network. Mutual responsibility holds that constructive outcomes for children (in the broadest sense of that term) require mutual or interdependent responsibility on the part of individuals and communities and on the part of the institutions (organizations and policies) within which those individuals and communities operate and exist. Said another way, the achievement of any constructive outcome is both a personal and social (family and neighborhood) responsibility and an institutional responsibility. Both perspectives are responsible to each other and genuine progress and change cannot occur unless there is personal action and there is institutional action.

Another way to understand the value of mutual responsibility is to adopt William Julius Wilson's concept of behavior and structure¹²⁴. Wilson contends that any social or public policy issue has a behavioral component in that it is the behavior of people, which they control and are responsible for, which creates or shapes the issue. At the same time, there is a structural dimension that sets the context, often determines resource allocations, creates and manages public expectations about what is possible and rewards some behaviors while punishing others. Wilson's point is that both dimensions must be addressed. It is a false dichotomy to separate the two as often happens in debates.

The mutual responsibility approach adopts Wilson's model in several ways. First, it recognizes the reality of each dimension and does not force a choice between the two. Second, beyond recognizing the reality these two dimensions, it goes on to endorse both perspectives as critical to the effectiveness of a network. A network which fails to recognize and address both of these perspectives is likely to fail. Third, beyond recognition, it intrinsically links the two dimensions by making them responsible to each other. The value of mutual responsibility holds that individuals have a responsibility to the larger community to engage in constructive behaviors and avoid destructive behaviors. At the same time structures such as institutions, policies and systems have a responsibility to act in ways that truly benefit individuals.

Figures A1 and A2 illustrate the mutual responsibility approach. These figures are discussed in greater detail below.

Figure A1 shows the basic two major dimensions, behavior and structure, in relationship to a significant public issue; in this case the example of healthy births is used. Any other significant issue of public or common good could be substituted and appropriate adjustments made in the specifics of the model.

The behavior component contains the two core elements of the behavioral dimension: individual or personal behavior and family/neighborhood community expectation and support. This model posits that, with recognizable exceptions, we are responsible for our own behavior. Secondly it posits that behavior is very much influenced or shaped by the communities we belong to and whose sanction and support we seek. In the example of healthy birth, the mother's

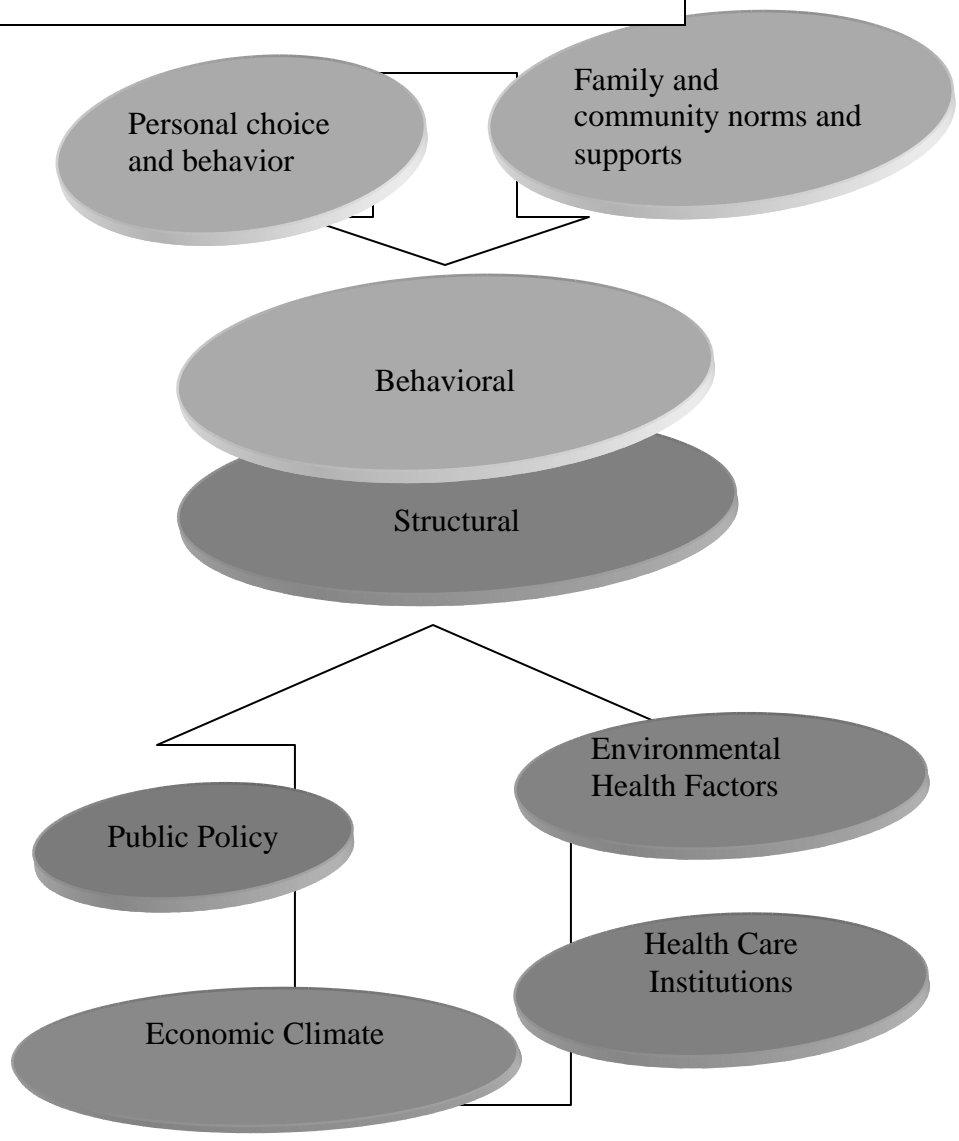
¹²⁴ Wilson, W.J. 1997. *When work disappears*. New York: Random House.

choice about alcohol, tobacco and other activities are her responsibility and have some impact on the health of the child at birth. Whether or not her family and the communities, with which she identifies set any expectations, provide any supports is also another behavioral factor at work. These behavioral components represent comparatively high levels of personal choice and influence.

The remaining four components of figure illustrate structural components. These would vary by the issue being discussed. In the case of healthy births the core elements include environmental health, health care policies, the economic climate and the health care institutions present in a community. These are factors or systems that exist beyond the control of a single person. These components set the context in which individuals live, work and play. They represent a communal (writ large) responsibility. Individual choice is shaped or limited by these components. Environmental health includes air quality, water quality, and contamination of buildings or sites, each of which can impact the health of a newborn. Health care policies determine the amount of pre-natal care available, the degree to which that care is promoted, the degree to which that care is targeted toward higher risk populations. The economic climate determines purchasing power (which can in turn choices of where to live and what health care supports to purchase) as well as general community sense of well being and opportunity. Finally, the health care institutions in a community determine access and availability.

Both these behavioral factors and structural factors combine to impact the health of newborns. While their individual impact could perhaps be parsed with sufficient data, the reality is that form a system which when comprehensive and acting in concert can promote healthy births. When isolated or fragmented, the likelihood of lower birth weights is increased.

Figure A1: Illustration of behavior-structure model



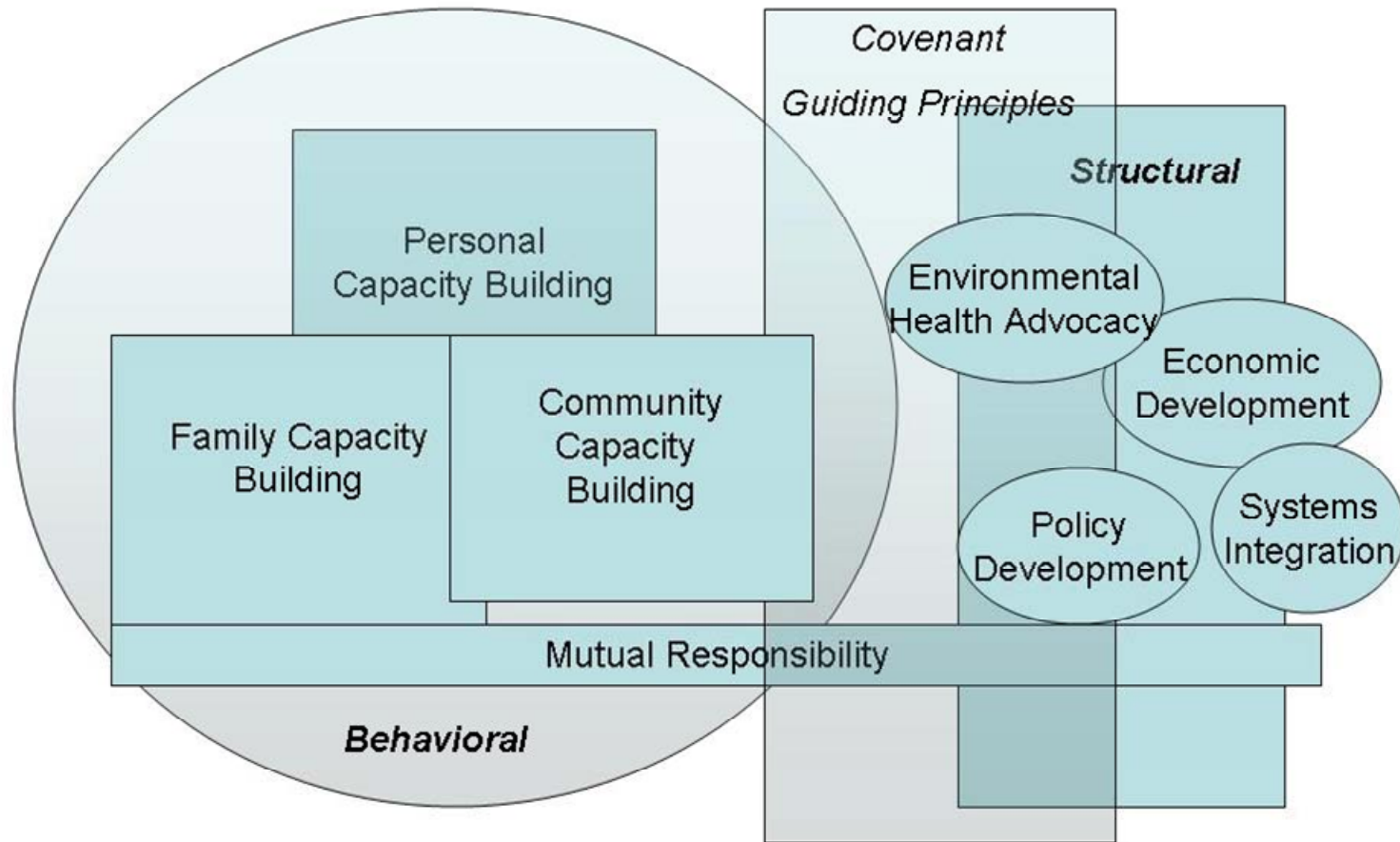
In the mutual responsibility approach both the structural and behavioral dimensions must work together for community good. This collaboration occurs most effectively when they are linked through a set of guiding principles as discussed later. .

Finally, the mutual responsibility approach becomes operationalized through a variety of activities that a network can engage in. Using as an illustration of a network whose focus is health literacy, the types of activities are illustrated in figure 4. In the behavioral dimension these include programs and services that promote individual knowledge, competency and responsibility. Another set of activities include family building activities that enhance the capacity of families to promote health behaviors. Finally, there are a third set of activities that focus on community capacity building or organizing which supports the capacity of neighborhoods and community to address health issues that are impacting them. In the structural dimension activities could include: environmental health advocacy that addresses issues of local environmental health; policy advocacy, which addresses policy, issues that impact health; economic development interventions that focus on the economic self-sufficiency of neighborhoods and how to increase employment opportunities, and changes in institutional practice which increase access to health care resources as well as promote systems integration that addresses how the various meta-systems can collaborate to enhance the health status of targeted communities.

The point of this illustration of figure A2 (also labeled figure 4) is that a broad variety of activities are required if a network is to be effective. Some of these activities focus on behavioral interventions and supports; others focus on structural changes in practice and policy. Work at both perspectives is required.

What this discussion illustrates is that a stated value, mutual responsibility, is not just a nice sounding phrase or a “warm and fuzzy” statement. Instead, it underlies the entire design and strategy of the network. Without this value, the activities of the network could be very different in practice. This is the truly distinguishing dimension of a core value. The core value “shapes and determines” how the network is organized, what tools and strategies it uses to reach its goals and the activities it engages in on a daily basis.

Figure 4: Mutual Responsibility Approach: Integrating Structural and Behavioral Interventions



Appendix B: Role differentiation in a comprehensive public management network

What is presented in this section is a brief overview of structure and information flow in order to clarify the roles that respective entities will play in a network. These of course only represent starting points which will evolve over time.

Figure B1 illustrates the major perspectives that a comprehensive network approach to a public policy issue requires. There are four major perspectives required, each of which is a blend or combination of other perspectives. As the figure shows, the four perspectives are:

Policy and funding. This is the perspective of elected or appointed officials whose role it is to set policy and determine local discretionary funding in the context of overall community priorities, needs and direction. This is by definition the broadest view and the persons assuming this role have been chosen to represent the community in its entirety.

Systems. This is the perspective of administrators who are responsible for the administration of institutional systems which act as funders, public institutional systems which may both contract for or deliver themselves services and major public institutions that contain within themselves policy making, system administrator and service functions.

Services. This is the perspective of those engaged in the delivery and receipt of services as well as those who are impacted by an issue regardless of whether they are engaged in service delivery or receipt. This perspective includes that of consumers, providers, civic and faith organizations, business groups, neighborhoods and general citizens.

Technical. Policy and funding perspectives, systems perspectives and service perspectives all require data, information. During any of these discussions, the discussions will be enriched if information on consumer satisfaction, community

expectation and concern, existing or emerging gaps or system faults, demand trends, funding trends, policy trends, proven and emerging practices is available and presented in user-friendly modes that provide both strategic and systemic perspectives.

Figure B1: Four Perspectives of a comprehensive network

