

Non-Government Organization Leadership in National Healthy Public Policy
for Chronic Disease Prevention in Canada: A Grounded Theory Study

by

Robert Walsh

A thesis

presented to the University Of Waterloo

in fulfilment of

the thesis requirement for the degree of

Doctor of Philosophy

in

Public Health and Health Systems

Waterloo, Ontario, Canada, 2017

© Robert Walsh 2017

Examining Committee Membership

The following served on the Examining Committee for this thesis. The decision of the Examining Committee is by majority vote.

External Examiner	Dr. Ardene Robinson Vollman Adjunct Associate Professor, Department of Community Health Sciences University of Calgary
Supervisor	Dr. John Garcia Professor of Practice School of Public Health and Health Systems
Internal Members	Dr. Barbara Riley Executive Director Propel Centre for Population Health Impact
	Dr. Samantha Meyer Assistant Professor School of Public Health and Health Systems
Internal-external Member	Dr. Janice Aurini Associate Professor Associate Chair for Undergraduate Studies Sociology and Legal Studies

Author's Declaration

I hereby declare that I am the sole author of this thesis. This is a true copy of the thesis, including any required final revisions, as accepted by my examiners.

I understand that my thesis may be made electronically available to the public.

Abstract

Chronic non-communicable diseases are leading causes of avoidable premature disease, disability, and mortality in Canada and abroad. Non-government organizations (NGOs) play a key role in national healthy public policy development for chronic disease prevention in Canada. Their role is dynamic within a complex, ever-changing, multi-level system involving many players and contextual factors. This study explores their role and the emergence of leadership in the complex, adaptive policy-making system at the national level in Canada.

The intent of this research was not to prove a particular theory or even to provide a generalizable, explanatory theory of leadership from a particular theoretical perspective. Instead, the research explored leadership as a relational phenomenon in a specific public health context and asserted an understanding that might inform research, practice and theory of the phenomenon within that setting (i.e. NGOs in complex adaptive systems for healthy public policy development in Canada).

Employing critical realism as an ontological and epistemological stance, the study used an interpretive methodology and a grounded theory emerged from an analysis of the stories of key NGO actors. These were obtained through semi-structured interviews with 14 NGO policy experts about their experiences in national healthy public policy for chronic disease prevention in Canada.

The research explored participants' narratives in relation to NGO leadership and compared findings to the extant literature and sensitizing concepts to help extend and explore the data. The analysis focused on six perspectives of the complex adaptive system and new insights emerged through realist inductive, abductive, deductive and retroductive inferential processes.

This study asserts a definition of leadership as an emergent, temporal, social, systems' phenomenon independent of the actions and capacities of individuals. Further, NGO leadership emerges from the activity NGOs perform in the system (i.e. advocacy). NGO leadership in this context is an emergent function dependent on the NGO's structure and structural, "outsider" position within this complex adaptive system. It is expressed as a social learning process employed collaboratively to achieve chronic disease prevention aims. The theory asserts specific conditions that must exist at organizational and inter-organizational (coalition) levels to allow the emergence of NGO leadership.

This study concludes by opening new possibilities for the exploration of leadership beyond the actions and capacities of individuals to frame leadership as an emergent, temporal, social phenomenon in complex adaptive systems.

Acknowledgements

In as much as this thesis represents my own work, it is also a testament to the generosity and support of many people who accompanied me through this process and supported me and my learning in various ways.

I would like to thank my graduate thesis committee chair Dr. John Garcia and committee members Dr. Barb Riley and Dr. Samantha Meyer who provided guidance, support, question and challenge throughout the research process. Their insights, encouragement and challenge created the environment for me to strive for improvement and greater learning.

I would also like to thank the fourteen individuals who gave freely of their time to be interviewed for this research, and those who then provided validation and member checks on preliminary findings and assertions.

I would like to acknowledge the services of Ann Gregory of Centretown Corporate Services who created the written transcriptions of the audio recording of each interview (note: a confidentiality statement was signed by Ms. Gregory prior to engagement) and the School of Public Health and Health Systems who provided the funding for transcription services.

To my family, I offer both my thanks and my apologies for being distracted or absent during various occasions over the last few years. I am grateful for your continued love and support as I have experienced a roller-coaster of emotions through this process. I'm blessed to have such close connection with my siblings. My parents always talked about our uniqueness as individuals and the gifts we all brought as "teachers" - I would like to echo those sentiments in relation to my family as they are reflective of my experience as well.

Lastly, I would like to thank my partner, Richard who has given me unwavering support through the ups and downs of this journey. He provided humour, curiosity, patience, and encouragement. His generosity allowed me to focus on this research to the exclusion of all else, allowing the learning experience to be all the richer for me. Although I faced a few personal challenges along the way, I've not only been able to accomplish the dream of getting to this point, but I've also been able to accomplish a few of my other dreams in the process thanks to him being with me on this journey.

Dedication

To Theresa Adele Gibbons (1928 - 2012) and Robert Edward Walsh (1921 - 2010)

My parents instilled in me a belief that as people we learn and grow along physical, social, cognitive, emotional and spiritual dimensions and that our teachers are everywhere - in people, relationships, places and situations.

They demonstrated what it meant to be life-long learners, even in later years when their exuberance for learning became a quieter, more prayerful journey. I bore witness to learning as an attitude, a choice, and a form of engagement.

This thesis is about things you both loved: community, learning, courage, risk and engagement. Although less clear through the text, but woven though-out, it is also about social justice and unconditional love.

Thanks mom and dad. I am very grateful for the continued presence of grace that your love has in my daily life.

Table of Contents

Examining Committee Membership	ii
Author's Declaration.....	iii
Abstract.....	iv
Acknowledgements.....	v
Dedication.....	vi
List of Tables	xiv
List of Figures.....	xv
List of Abbreviations.....	xvi
Nomenclature	xvii
1. INTRODUCTION AND OVERVIEW	1
1.1 Statement of the Problem	1
1.2 Study Purpose	2
1.3 Overview.....	2
2. LITERATURE REVIEW, RATIONALE AND CONTEXT.....	3
2.1 Overview of the Literature Review.....	3
2.2 Breaking New Ground in Leadership Studies.....	4
2.3 Study Rationale	5
2.3.1 Chronic Disease in Canada.....	5
2.3.2 Healthy Public Policy as a Response to Chronic Disease	6
2.3.3 Cross-Sectoral Engagement in Healthy Public Policy	7
2.3.3.1 Government Role in Healthy Public Policy	7
2.3.3.2 Non-Government Organizational influence in Healthy Public Policy	8
2.4 Current Understandings of Public Health Leadership.....	10
2.5 Contextual Factors	11

2.5.1 The Policy Window for Complex Change.....	12
2.5.2 Non-Government Organizations in Canada.....	12
2.5.3 Contextual Factors in Non-Government Organization’s Leadership Role.....	14
2.6 Commonalities across Literature and Sensitizing Concepts.....	15
2.6.1 Complex Adaptive Systems and Chronic Disease.....	16
2.6.2 Public Health as a Complex Adaptive System.....	17
2.6.3 Systems Thinking for Complex Systems Change	17
2.6.4 Sensitizing Concepts	18
2.7 Gaps in the Literature	25
2.8 Study Boundaries	26
3.0 STUDY RATIONALE	27
3.1 The Need for Theory of Non-Government Organization Leadership.....	27
3.2 Research Purpose	28
3.3 Research Questions	28
3.3.1 Overarching Research Question	29
3.3.2 Sub-Questions.....	29
3.4 Implications of this Study.....	30
4.0 METHODS.....	31
4.1 Epistemological and Ontological Commitments.....	31
4.2 Research Design	33
4.3 Researcher Perspectives and Assumptions	34
4.4 Research Ethics.....	35
4.5 Sample	35
4.5.1 Recruitment and Consent Protocol.....	38
4.5.2 Relationship of Interviewer to Participants and Demand Characteristics	39

4.6 Data: Interviews, Memos and Documents	39
4.6.1 Interviews	39
4.6.1.1 Interview Procedures	40
4.6.1.2 Pilot Interview	40
4.6.1.3 Interview Progression.....	41
4.6.1.4 Deviations from Plan.....	42
4.6.1.5 Saturation and Sufficiency.....	42
4.6.2 Memos	43
4.6.3 Documents.....	43
4.7 Analysis	44
4.7.1 Transcripts and Initial Coding.....	45
4.7.2 Axial Coding.....	46
4.7.3 Selective Coding and Theoretical Sampling	48
4.7.4 Diagrams and Modelling	49
4.7.5 Theory Development and Saturation.....	50
4.7.6 Validation and Member Checks.....	50
4.8 Credibility and Trustworthiness	51
4.9 Resources and Timeline.....	52
4.10 Management and Conduct.....	52
5.0 FINDINGS.....	53
5.1 Overview.....	53
5.2 Analysis	54
5.2.1 Advocacy: The Domain for the Process of NGO Leadership.....	56
5.2.2 Policy Advocacy Inputs: Aims, Objects, Ideas & Options	60
5.2.3 The Policy Process for National HPP for CDP in Canada.....	63

5.2.3.1 Problem Definition in Policy Advocacy	67
5.2.3.2 Policy Solutions	67
5.2.3.3 The Political Stream.....	68
5.2.3.4 Elements Combining to Create Opportunity	70
5.2.3.5 Focusing Events and Windows of Opportunity	72
5.2.3.6 Policy Entrepreneurs (Champions)	73
5.2.3.7 The Historical Trajectory of NGO Engagement in HPP for CDP in Canada....	74
5.2.3.8 The NGO View of the Policy Process.....	79
5.2.4 The Social Learning Process of NGO Leadership in HPP for CDP in Canada	80
5.2.4.1 Stage 1: Learning and Engagement.....	84
5.2.4.1.a) Gathering Evidence.....	84
5.2.4.1.b) Using Evidence.....	89
5.2.4.1.c) Collaborating / Working together.....	93
5.2.4.1.d) Agitating and Dealing with Difference.....	97
5.2.4.1.e) Learning and engagement recapped.....	102
5.2.4.2 Stage 2: Structures, Processes, Purpose and Momentum.....	103
5.2.4.2.a) Facilitating & (Re)Creating Structures and Processes.....	103
5.2.4.2.b) Discerning and Honing Identity and Purpose	107
5.2.4.2.c) Building Momentum.....	111
5.2.4.3 Stage 3: Improving, Informing and Inspiring	118
5.2.4.3.a) Improving.....	118
5.2.4.3.b) Informing.....	119
5.2.4.3.c) Inspiring	120
5.2.4.4 Stage 4: Influencing Political Will.....	121
5.2.4.4.a) Continued Preparation, the Iterative Process Continues	121

5.2.4.4.b) NGO Advocacy of HPP for CDP.....	121
5.2.4.5 The Creative Social Learning Process: Weaving it All Together.....	123
5.2.5 The Eco-system of National HPP for CDP in Canada.....	125
5.2.5.1 Mapping the Entities within the System.....	132
5.2.5.2 The Temporal Perspective: The Chrono-system.....	134
5.2.5.3 Relationships within the System	135
5.2.5.3.a) Interpersonal Level.....	139
5.2.5.3.b) Inter-organizational Dynamics: NGO-NGO.....	140
5.2.5.3.c) Inter-sectoral Level: Complimentary Dynamics.....	141
5.2.5.3.d) Inter-sectoral Level: Oppositional Dynamics.....	143
5.2.5.4 Closing the Loop: The Person Working Between Levels.....	143
5.2.5.4.a) The Individual in the Organization.....	144
5.2.5.4.b) The Individual in the Collective Space.....	146
5.2.6 Elaboration of Leadership	149
5.2.6.1 Leadership, Management and Positional Authority.....	155
5.2.7 Interconnections between the Six Perspectives.....	156
5.2.8 Essential Conditions for Effective NGO Engagement in HPP for CDP	157
5.2.8.1 Trust.....	159
5.2.8.2 Credibility	161
5.2.8.2.a) Effectiveness with limited resources.....	161
5.2.8.2.b) Connection	165
5.2.8.2.c) Purpose-Built Structures	168
5.2.9 NGO Leadership in National HPP for CDP in Canada.....	170
6.0 DISCUSSION.....	173
6.1 Overview.....	173

6.2 A Theory of NGO Leadership in National HPP for CDP in Canada	173
6.2.1 Advocacy as NGO leadership	174
6.2.2 The Social Learning Process of NGO leadership	175
6.2.3 NGO leadership as an emergent system dynamic.....	179
6.2.4 The Required Conditions for NGO Leadership	182
6.3 Research Questions	183
6.3.1 Research Question 1	183
6.3.2 Research Question 2.....	186
6.3.3 Research Question 3	191
6.3.4 Research Question 4.....	199
6.3.5 Research Question 5	205
6.4 Strengths & Limitations.....	211
6.5 Implications	217
6.5.1 Implications for Research and Theory.....	217
6.5.2 Implications for NGO Practice in Public Policy.....	218
6.6 Conclusion.....	221
REFERENCES.....	222
Appendix A: Literature Review Search Strategy.....	236
Appendix B: Legislation and Regulation in Canada.....	238
Appendix C: About the Author	243
Appendix D: CDP Strategy and Coalition Membership Lists.....	244
Appendix E: Participant Invitation email.....	246
Appendix F: Consent protocol	248
Appendix G: Interview Guide.....	249
Appendix H: Interview and Transcription Overview.....	254

Appendix I: Interview Schema.....	255
Appendix J: Glaser's Coding Families.....	256
Appendix K: Code and Reference Counts by Interview.....	258
Appendix L: Axial Coding Thematic Categories.....	259
Appendix M: Levels in the Ecosystem	262
Appendix N: Overview of Current Theories of Leadership	280
Appendix O: Audit Trail / Decision Tree.....	284

List of Tables

Table 1: Three Organizing Principles: Community, Hierarchy and Market.....	14
Table 2: Sensitizing Concepts.....	20
Table 3: Research Sub-Questions	29
Table 4: Overview Information of Study Sample	37
Table 5: Research Timeline.....	52
Table 6: Research Questions Addressed in Inductively Derived Perspectives	55
Table 7: The Policy Process for Healthy Public Policy - Illustrative Quotes.....	64
Table 8: Government-NGO Engagement in Canada - Illustrative Quotes	76
Table 9: Gathering Evidence - Illustrative Quotes	86
Table 10: Types of Evidence Mentioned in Interviews.....	88
Table 11: Using Evidence - Illustrative Quotes.....	91
Table 12: Collaborating - Illustrative Quotes.....	95
Table 13: Agitating - Illustrative Quotes.....	99
Table 14: Facilitating & Re-Creating Structures and Processes - Illustrative Quotes	105
Table 15: Discerning and Honing Identity and Purpose - Illustrative Quotes	109
Table 16: Mobilizing Communities - Illustrative Quotes.....	113
Table 17: Momentum and Persuasive Communication - Illustrative Quotes.....	116
Table 18: Eco-System Levels - Illustrative Quotes	126
Table 19: Relationships within the System - Illustrative Quotes.....	136
Table 20: Leadership Concepts Explored by Participants	152
Table 21: Trust - Illustrative Quotes	160
Table 22: Connection and Voice - Illustrative Quotes	167
Table 23: Purpose-built / Public Benefit - Illustrative Quotes	169

List of Figures

Figure 1: The NGO View of the Government of Canada's Policy Process Logic	59
Figure 2: The Social Learning Process of NGO Leadership in HPP for CDP in Canada.....	83
Figure 3: A View of the NGO Public Policy Eco-System for CDP in Canada.....	132
Figure 4: Situating NGO leadership between the Individual and the Organization	145
Figure 5: Situating NGO leadership between the Individual, Organization and Coalition ..	148
Figure 6: Necessary Conditions for NGO Leadership in HPP for CDP in Canada	158
Figure 7: Characteristics of NGO Leadership at Different Levels in the System	171
Figure 8: A Systems Diagram of HPP for CDP in Canada	180

List of Abbreviations

ACF - Advocacy Coalition Framework (Sabatier, 1988)
CAS - Complex Adaptive System
CDPAC - Chronic Disease Prevention Alliance of Canada
CCAT - Canadian Coalition for Action on Tobacco
CCS - Canadian Cancer Society
CCTC - Canadian Council for Tobacco Control
CDA - Canadian Diabetes Association
CDP - Chronic Disease Prevention
CDPAC - Chronic Disease Prevention Alliance of Canada
CPHA - Canadian Public Health Association
CR - Critical Realism
FCTC - Framework Convention on Tobacco Control
GoC - Government of Canada
GTM - Grounded Theory Method
HPP - Healthy public policy
HSF - Heart & Stroke Foundation
IOM – Institute of Medicine
MSF - Multiple Streams Framework (Kingdon, 2003)
NCD - Non-communicable Disease (aka Chronic Disease)
NGO - Non-Government Organization
NSRA - Non-Smokers' Rights Association
PHAC - Public Health Agency of Canada
PHL - Public Health Leadership
PSC - Physicians for a Smoke-free Canada
SDOH - Social Determinants of Health
UN – United Nations
WHO - World Health Organization

Nomenclature

Abduction: Implying that a particular phenomenon or event is interpreted from a set of general ideas or concepts. Abduction interprets and re-contextualizes individual phenomena within a conceptual framework or a set of ideas. To be able to understand something in a new way by observing and interpreting this something in a new conceptual framework (Danermark, Ekstrom, Jakobson & Karlsson, 2002).

Adaptive Capacity: a feature of Complex Adaptive Systems that describes adaptation and the capacity to change that are created through the interplay between self-organization and emergence and their impact on meaning, trust and actions within the system (Wheatley & Kellner Rogers, 1996).

Deduction: To derive logically valid conclusions from given premises. To derive knowledge of individual phenomena from universal laws (Danermark et al., 2002).

Ecology: the processes and conditions that govern the lifelong course of human development in the actual environments in which human beings live (Bronfenbrenner, 1994).

Emergence: a feature of Complex Adaptive Systems that describes when new structures and processes (with qualities and capacities previously unknown to the individuals) emerge as actors connect and innovate. (Wheatley & Kellner Rogers, 1996)

Healthy Public Policy requires engagement of the political system to shape environments in the hope of shifting cultural norms and affecting individual behaviour (World Health Organization, 1986).

Induction: Drawing universally valid conclusions about a whole population from a number of observations. To see similarities in a number of observations and draw the conclusion that these similarities also apply to non-studied cases. From observed co-variants, drawing conclusions about law-like relations (Danermark et al., 2002).

Leadership creates the conditions for groups to respond to change, to learn and create knowledge, and to develop social identity and social capital (Yukl, 2013). Leadership can be distinguished from the actions of individuals or positional authority and management roles (Spillane, 2005). Leadership exists as a function of interaction beyond the characteristics of the individual (Uhl-Bien, Marion and McKelvey, 2007). Leadership may be understood as a context-dependent, interactive, social influence process that exists as a function of interaction beyond the characteristics of individuals (Marion & Uhl-Bien, 2001).

Non-government Organizations (NGOs) can be described through five characteristics: organized, private, non-profit-distributing, self-governing and voluntary (Hall, Barr, Easwaramoorthy, Wojciech Sokolowski & Salamon, 2005). These characteristics describe a unique sector with a vast heterogeneity (Lasby & Barr, 2013).

Primary prevention: enables people to increase control over and improve their own health. It aims to maintain health by removing the precipitating causes and determinants of departures from good health. In relation to chronic diseases, primary prevention counters the cultural conditioning in dealing with diet, drug use and aggressive behaviours (Last, 1983, p. 283)

Public Health: "the science and art of preventing disease, prolonging life, and promoting physical health and efficiency through organized community efforts for the sanitation of the environment, the control of community infections, the education of the individual in principles of personal hygiene, the organization of medical and nursing services for the early diagnosis and preventative treatment of disease, and the development of the social machinery which will ensure to every individual in the community a standard of living adequate for the maintenance of health" (Winslow, 1920)

Public Policy: "a course of action or inaction chosen by public authorities to address a given problem or interrelated set of problems" (Pal, 1992) and refers to macro policy to influence population health outcomes through the development and implementation of strategies, departments, programs and directives within the health sector (public health and health care) and other sectors beyond health (e.g. education, planning, transportation, occupational health, recreation, social services etc.).

Retroduction: From a description and analysis of concrete phenomena retroduction reconstructs the basic conditions for these phenomena to be. Retroduction uses reasoning to obtain knowledge of what properties are required for a phenomenon to exist (Danermark et al., 2002).

Self-organization: A feature of Complex Adaptive Systems that describes the ability to create an overall order from local interactions between structures, actors and processes (Wheatley & Kellner Rogers, 1996).

THE BLIND MEN AND THE ELEPHANT

Excerpt

It was six men of Indostan
To learning much inclined,
Who went to see the Elephant
(Though all of them were blind),
That each by observation
Might satisfy his mind.

The First approached the Elephant,
And happening to fall
Against his broad and sturdy side,
At once began to bawl:
"God bless me!—but the Elephant
Is very like a wall!"

The Second, feeling of the tusk,
Cried:"Ho!—what have we here
So very round and smooth and sharp?
To me t'is mighty clear
This wonder of an Elephant
Is very like a spear!"

The Third approached the animal,
And happening to take
The squirming trunk within his hands,
Thus boldly up and spake:
"I see," quoth he, "the Elephant
Is very like a snake!"

...

And so these men of Indostan
Disputed loud and long,
Each in his own opinion
Exceeding stiff and strong,
Though each was partly in the right,
And all were in the wrong!

So, oft in theologic wars
The disputants, I ween,
Rail on in utter ignorance
Of what each other mean,
And prate about an Elephant
Not one of them has seen!

- John Godfrey Saxe, 1872

1. INTRODUCTION AND OVERVIEW

Leadership may be understood as a context-dependent, social influence process that exists as a function of interaction beyond the characteristics of individuals (Marion & Uhl-Bien, 2001). In this view, leadership emerges out of systemic processes (Allen, Stelzner & Wielkiewicz, 1998) and creates the capacity for change in complex adaptive systems (CASs) (Marion & Uhl-Bien, 2001).

This study focuses on the leadership of non-government organization (NGO) actors operating within a CAS that requires inter-sectoral collaboration to create environments that support individuals and communities in reducing the incidence and burden of chronic disease. NGO leadership in this area is well recognized, but not well explored in scientific or colloquial literature.

Focussing on NGO leadership in healthy public policy (HPP) for chronic disease prevention (CDP) narrows the scope on this CAS within public health and provides a view of leadership that is unique, timely and makes a contribution to practice, research and theory.

1.1 Statement of the Problem

In Canada, for over 80 years, there have been continued calls for leadership to address the intractable problem of chronic disease (Campbell, 1932; Sargious, 2007; Smith, 2012; Public Health Agency of Canada (PHAC), 2013) and to stimulate government action to address its burden (Garcia & Riley, 2008; Canadian Public Health Association (CPHA), 2009; Smith, 2012; Puska, 2014; Allen et al., 2014). However, many of these calls barely scratch the surface of what leadership is or how it can best advance CDP.

HPP is seen as the most promising “lever” in CDP (Jackson et al., 2007). HPP requires engagement of the political system to shape environments in the hope of shifting cultural norms and affecting individual behaviour (WHO, 1986). Canada has a rich public health history in HPP for CDP that includes actors inside and outside of government who serve various functions as part of a CAS (Hall et al., 2005; Rocan, 2011). HPP in Canada is largely within the government's purview, with politicians being the decision-makers for most policy instruments. Governments are however bureaucratic by nature and influencing political decision-making is not easily accomplished from within the government system alone (Kingdon, 2003). Given the political nature of CDP, NGOs are critical because of their position outside government (Sabatier, 1988) that allows for direct access to the public, press and politicians. However, there have been significant changes that have weakened the NGO sector in Canada over the last two decades and the impact of these changes has not been well explored (CPHA, 2013; Laforest, 2012; Lavasseur, 2012, Acheson & Laforest, 2013).

This research aims to inform public health leadership (PHL) by describing and theorizing leadership from a specific public health context. The study aims to complement the current

focus of PHL scholarship on leader competencies (PHAC, 2008) by exploring public health NGO leadership as a complex, systems' phenomenon using methods that explore context, instead of stripping it away (Parry, 1998), and by exploring the social process of leadership and not the characteristics of individual leaders. Such a focus allows for contributions to knowledge from a part of the public health system that has received considerably little attention in the public health and leadership literature (i.e. NGOs) (Shier & Handy, 2014). It further provides an opportunity to explore the similarities and differences of leadership in this context when compared with current leadership theory developed primarily in single-organization business, government and military contexts.

This study answers the call for research to explore leadership in specific contexts to develop and inform leadership theory (Pettigrew, 1987; Parry, 1998; Osborn, Hunt & Jauch, 2002; Liden & Antonakis, 2009). It provides a response to the continued calls for leadership to advance public health practice to address the increased burden of chronic disease due to increased health care costs and health inequity (Smith, 2012; PHAC, 2013; CPHA, 2009; Puska, 2014), and it provides a timely focus on NGO leadership in HPP for CDP that responds directly to calls for PHL to protect our communities and keep them healthy (Koh, 2009; Bender, Hawley & Baker, 2009).

1.2 Study Purpose

The purpose of this study was (a) to describe and characterize the phenomenon of NGO leadership in national HPP for population-based CDP in Canada, and (b) to develop theory of NGO leadership in this context (HPP for CDP in Canada) to inform NGO practice in public policy.

This two-fold purpose required a conceptual lens on systems and their complexity and on the relationship between individual actors, their cultural contexts, and structural realities. It also required the development of an understanding of who is involved in various situations, for what reasons, for which effects, and by which mechanisms.

1.3 Overview

This thesis theorizes NGO leadership in HPP for CDP in Canada through the stories shared by NGO actors engaged in this field. Their narratives were explored in relation to the research questions and key concepts related to the study purposes from the literature concerning NGOs, public health, leadership and HPP for CDP. Chapter 2 explores the current literature on the subject posits specific sensitizing concepts to explore the data, recognizing that the novelty of this study is substantiated by the lack of much direct scholarship in this area. The study's purpose and research questions are explored in Chapter 3 and the methods are described in Chapter 4. Chapter 5 describes the research findings in relation to the sensitizing concepts and research questions and Chapter 6 discusses a theory of NGO leadership in national HPP for CDP in Canada, addressing the research questions directly and exploring the strengths, limitations and implications of this study.

2. LITERATURE REVIEW, RATIONALE AND CONTEXT

For the doctoral dissertation, the literature review should provide a cogent rationale for the research (including a justification for specific approaches), ensure the uniqueness of the study while highlighting gaps in existing knowledge, help contextualise the study and illustrate how phenomenon have been studied to date. The literature review should also help in the development of sensitising concepts to develop theoretical sensitivity, avoid conceptual and methodological pitfalls and increase awareness of (as opposed to a blinding to) possible biases (Boote & Beile, 2005; Dunne, 2011).

There has been considerable debate about when a literature review is appropriate within Grounded Theory Method (GTM). However, recent scholarship from the three principal schools of GTM (Glaser, Strauss & Corbin, and Charmaz) recognize the centrality of the literature review in PhD studies and therefore speak of the need for the researcher to keep an open mind about the relevance (or lack there of) of the literature to their emergent theory. Strauss and Corbin recognize the wealth of background in professional and disciplinary literature that a researcher brings to the research process and instead of expecting the researcher to approach the research subject tabula rasa there is a role for the literature review at each stage of the research process (Corbin and Strauss, 2008). Familiarity with the relevant literature can enhance sensitivity to subtle nuances in the data, provide a source for making comparison and provide questions for initial observations (pg. 37).

Charmaz (2014 pg. 306 - 309) articulates the importance of literature in academia and the expectation of prior knowledge that an examining committee holds at the outset. The literature review provides the researcher the opportunity to set the stage for what is to be done (pg. 308). Although, the substantive literature review should be delayed so as to not let it "stifle your creativity or strangle your theory". The literature review should clarify ideas, make comparisons, invite the reader to a theoretical discussion and show how and where the research work fits or extends relevant literatures (Charmaz, 2014, pg. 309; Dunne, 2011).

2.1 Overview of the Literature Review

This study described and characterized the phenomenon of Non-Government Organization (NGO) leadership in national healthy public policy (HPP) for population-based chronic disease prevention (CDP) in Canada, and developed a theory of NGO leadership in this context to inform future research and NGO practice in public policy.

The literature review established the unique nature of this study and provided support for the study's objectives. Reviewing current scholarship required recognition of the variety of disciplines implicated in this study including public health, public policy, leadership and organizational studies. The literature review provided context for this study by situating it within a broad scholarly and historical context with an assumption that there is not a shared knowledge or common understanding of problems and concepts relevant to this study across disciplines. As such, the author sought to explore connections in the existing literature

to permit a new perspective on leadership (Boote and Beile, 2005). Drawing from diverse disciplines, this literature review was framed as an exploration to identify and enhance understanding of sensitising concepts relevant to this study (Charmaz, 2014) and to provide an exploration of the study context and rationale (Boote and Beile, 2005). This exploratory literature review did not seek to cover specific topics in depth, but instead looked for commonality across various bodies of literature to suggest concepts that may be important for a study of leadership in this context.

The literature review therefore, explored:

2.2 The unique nature of the study,

2.3 The rationale and need for the study (including an exploration of chronic disease in Canada, public health and HPP as CDP, leadership for HPP, and an NGO focus in cross-sectoral engagement in HPP),

2.4 Current understandings of public health leadership (PHL),

2.5 Contextual factors including NGOs and the policy process in Canada,

2.6 Common themes or concepts in the various bodies of literature including complexity, systems thinking, ecological approaches, knowledge exchange and social change that lead to sensitizing concepts,

2.7 Gaps in leadership scholarship and PHL (with literature mainly covering public health units or authorities within government and not NGOs), and

2.8 Boundary conditions of the study.

The literature review situated this study within the public health, public policy, non-profit and leadership domains of the literature and established the practical and scholarly significance of looking at the context, the nature of the research itself, as well as concepts and conditions important to understanding the phenomenon in this context.

2.2 Breaking New Ground in Leadership Studies

To frame this study, the researcher identified a significant gap concerning NGO leadership in this specific context of HPP for CDP and in general. The process used to conduct the literature review (outlined in Appendix A) failed to uncover any literature specific to the phenomenon of leadership in this context in Canada or elsewhere. Most research found on NGO leadership focused on the requirement or opportunity for specific NGO leadership roles such as advocacy or partnering with governments (Seed, Lang, Caraher & Ostry, 2014; Hanlon, Skinner, Joseph, Ryser & Halseth, 2014; Fowler & Biekart, 2013; Kesler, 2000). Other published research explored NGO perceptions of leadership (i.e. along race or gender dimensions) (Thompson, Conradie & De Wet, 2014; Helms, 2014; Key et al., 2012; Oser,

2010). The author was unable to identify any research that theorized contextually-rooted NGO leadership from either a public policy or a public health perspective, nor any that explored NGO leadership as a relational process.

Even though NGOs have long played an instrumental role in public health (PHAC & Naylor, 2003) significant knowledge gaps exist in this area (Rocan, 2011). There is some indication that the amount of research focusing on NGOs is growing (Shier & Handy, 2014). However, current scholarship in this sector is far leaner than in the private (corporate) and public (government) sectors¹.

2.3 Study Rationale

Exploring chronic disease and the PHL required to advance effective national HPP for CDP provided the framing for this study. The NGO focus provided a new avenue for PHL scholarship that explores a part of the complex adaptive system (CAS) that advances HPP for CDP in Canada that is not well understood.

2.3.1 Chronic Disease in Canada

Leadership has been identified as one of the important elements required to address chronic disease (Smith, 2012; PHAC, 2013; CPHA, 2009; Garcia & Riley, 2008). Chronic, non-communicable diseases (NCDs) (e.g. cancer, cardiovascular disease, lung disease, and diabetes) are Canada's leading cause of morbidity and mortality. In 2009, cancer and cardiovascular diseases accounted for 58% of all deaths in Canada (Stats Can, 2012).

The health care system is currently under enormous burden from chronic disease. Estimates of the annual financial burden are \$90 billion for the cost of treatment and care and \$100 billion in lost productivity (Smith, 2012). As people are living longer and the Canadian population ages, the use of services will significantly impact health care costs if longer life is not accompanied by improved health (Thacker et al., 2006). More than just financial, the burden of chronic disease affects how people live. Chronic disease burden is a major issue in health equity as those living in poverty experience a downward spiral as material deprivation, higher levels of risk behaviour, and unhealthy living conditions make them more vulnerable to develop chronic disease. Once disease occurs, those living in poverty are more likely to suffer adverse consequences than wealthier people (EuroHealthNet, 2013).

At the heart of this study is the need to address the personal, social and economic burden of chronic diseases in Canada. Public health has made considerable advances and demonstrated learning in CDP since the epidemiologic transition that occurred in the first half of the last

¹ Scopus and Web of Science have 18 times more published articles on the public sector and 55 times more published articles on the private sector than from NGOs in their collections.[April 1, 2017]

century from infectious disease dominance in morbidity and mortality to chronic disease dominance (Bah & Rajulton, 1991). However, it has not fully realized the potential for prevention to impact chronic disease burden, as chronic disease rates have been estimated to be increasing by 14% per year (Elsmlie, 2014).

Chronic disease continues to be a pressing public health problem and this study's focus on NGOs within the public health system opens new avenues for research and improved practice through HPP for CDP.

2.3.2 Healthy Public Policy as a Response to Chronic Disease

Policy plays a critical role in population-focussed, primary prevention using systems thinking to address chronic disease (PHAC, 2013; Lalonde, 1974; WHO, 1986). The definition of public policy as “a course of action or inaction chosen by public authorities to address a given problem or interrelated set of problems” (Pal, 1992) includes a broad range of social and environmental interventions through legislation, regulation, statutes, and administrative policy such as the creation of strategies, departments, programs, interventions, budgets and funding mechanisms.

The manner in which population disease prevalence is addressed affects the sustainability of the health system (PHAC, 2014). *Primary prevention* enables people to increase control over and improve their own health (Last, 1983). It aims to “maintain health by removing the precipitating causes and determinants of departures from good health.” In relation to chronic diseases, primary prevention counters the cultural conditioning in dealing with diet, drug use and aggressive behaviours (Last, 1983, p. 283).

Public health focuses on the total system and not the eradication of any one disease. Public health activities focus on entire populations to influence the conditions in which people can be healthy (WHO, 2015).

HPP is seen as the most promising “lever” in CDP (Jackson et al., 2007). As a health promotion strategy, HPP requires engagement of the political system to shape environments in the hope of shifting cultural norms and affecting individual behaviour (WHO, 1986). HPP can target a particular chronic disease, a risk factor, protective factor or it can be directed at broader domains. Policy can target the community (the general population or at-risk groups) or focus internally on governments (i.e. Health in All Policies). Public policy has proven successful in a variety of settings and outcomes including reducing smoking prevalence and improving cardiovascular health (Stephens, Pederson, Koval & Macnab, 2001; Smoke-Free Ontario, 2010; Puska, 2002).

Good health is a major resource for social, economic and personal development and an important dimension of quality of life. Political, economic, social, cultural, environmental, behavioural and biological factors can all favour health or be harmful to it. Health

promotion action aims at making these conditions favourable through advocacy for health (Wise, 2001).

This study's focus on HPP and the policy environment is important to help improve the current public health response to chronic disease.

2.3.3 Cross-Sectoral Engagement in Healthy Public Policy

Canada has a rich public health history that includes actors inside and outside government who serve various functions as part of a complex system to address CDP (Rocan, 2011; Hall et al., 2005).

Internationally, the Eighth Global Conference on Health Promotion in Helsinki explored "Health in All Policies" and made several recommendations to guide policy implement by national governments (WHO, 2014). These recommendations include creating effective structures, processes and resources for capacity within government and engaging across sectors by collaborating with communities, social movements and civil society. In response to this, Dr. Pekka Puska (Director General, Finnish National Institute of Health & Welfare) called for research to focus on "the how" and not "the what" of policy change in an exploration of the mechanisms of HPP changes (Puska, 2014). Leadership appears to be critical to the advancement of HPP and, indeed, public health, and this study of leadership addresses the "how" questions to which Dr. Puska alludes.

Consistent with their constitutions, NGOs have a long history of providing leadership to develop and implement HPP for CDP within Canada's public health system (Smith, 2012; Kirby, 2002). Yet, finding evidence of NGOs is challenging as most research and colloquial explorations of the public health system in Canada focus on the aspects of the system "within Government" (NCCHPP, 2015).

Focussing on NGO leadership as a form of PHL addresses a part of the public health system in Canada that is currently not well explored in scholarship or practice-based documentation. Part of the dearth of scholarship and practice-based documentation may be in part due to the lack of definitional clarity and nomenclature describing the sector. It has been referred to as civil society, NGO, voluntary sector, charitable sector, third sector and other names. Not all these definitions describe an equivalent set of actors or organizations.

2.3.3.1 Government Role in Healthy Public Policy

The Government of Canada (GoC) aims to protect and promote the health of Canadians through leadership, partnership, innovation and action in public health (PHAC, 2010). The GoC focuses on prevention as opposed to treatment in addressing chronic disease (Smith, 2012). The various actions that the GoC takes, or chooses not to take, form the Canadian policy agenda (Pal, 1992).

Policy development occurs at the nexus between the public health system and the political system. While a variety of actors both inside and outside government influence policy, it is the political actors who are the *de facto* decision-makers and who enact policy through processes involving the House of Commons, the Senate and the Governor in Council. Appendix B provides a description of the legislative process and structures of the GoC.

There have been significant changes in the public sector in recent decades. A growing demand for transparency and accountability has led to more open processes and stronger evaluation within government, resulting partly in a focus on public sector leadership (Morse, 2010; Currie, Grubnic & Hodges, 2011). The public sector's hierarchical structure with bureaucratic processes that use "command and control" lends itself well to accountability of process and outcomes (Mintzberg, 1993). In recent years, there has been increasing research on policy learning from market-based organizations in competitive environments, and from network-based organizations in collaborative environments (Yang & Maxwell, 2011; deLeon & Varda, 2009). However, as constraining as the basic organizing principles of command and control may seem, their importance can be illustrated through public health examples of SARS, H1N1 and terrorism: no matter how flexible governments appear (or desire) to behave, in crisis, the command and control structure provides the mechanisms to determine if processes and outcomes have been executed with the best use of public resources (Mintzberg, 1993).

The intersection of public health and public administration represents an innovation for public administration and a constraint for public health (Glouberman, 2001). Leadership is challenged to navigate this CAS to arrive at shared meaning and purpose and to use and generate information to influence the political process (Hazy & Uhl-Bien, 2015).

2.3.3.2 Non-Government Organizational influence in Healthy Public Policy

Public health scholarship and practice principally focuses on the public health system within government. However, public health is much broader than this boundary implies. Current activities from within government may cast a perspective on structures and actors (like NGOs) that may not be as fulsome as the perspectives those actors themselves hold.

NGOs have been engaged in public policy in Canada since before national governments were engaged in public health (PHAC & Naylor, 2003; Hall et al., 2005). NGOs provide a number of service (i.e. provision of health and social services) and expressive (e.g. advocacy, community organizing or health communication) functions and are largely credited with the GoC's engagement in health and social issues (Hall et al., 2005).

NGOs exist to serve a public benefit (VSI, 2001), investing their resources to promote specific positions consistent with their mission, vision and values. Many Canadian NGOs are organized around specific chronic diseases (cancer, heart disease, diabetes, etc.) and

participate in defining the problems and policy solutions. Others are organized around protective factors or even integrated solutions.

With their independence from government, NGOs can play a variety of roles in the policy process as “umbrella” organizations, knowledge brokers, and advocates for specific populations, policy entrepreneurs, educators, community engagers and service providers (Kingdon, 2003). In the policy process, NGOs enjoy fewer constraints than actors within Government in engaging with political actors and decision-makers. There is a legitimate and necessary opportunity for NGO leadership to create the adaptive capacity for change in response to changes in the environment.

As a direct expression of their mission, many NGOs focus their engagement on activities and networks that aim to influence the adoption of HPP. These activities and the coalitions that come together comprise a complex, dynamic adaptive system that changes, learns and acts to inform and influence policy (Sabatier, 1988). As a mission-based activity, advocacy represents one of the principal roles NGOs play in the policy process. WHO (1986) defines advocacy for health as:

A combination of individual and social actions designed to gain political commitment, policy support, social acceptance and systems support for a particular health goal or programme. Such action may be taken by and/or on behalf of individuals and groups to create living conditions which are conducive to health and the achievement of healthy lifestyles. Advocacy is one of the three major strategies for health promotion and can take many forms including the use of the mass media and multi-media, direct political lobbying, and community mobilization through, for example, coalitions of interest around defined issues. Health professionals have a major responsibility to act as advocates for health at all levels in society.

NGO advocacy has also been described as informing (i.e. representing the views of others, sharing expertise and experience, articulating approaches), inspiring (i.e. generating support for an issue) and improving (i.e. holding policy-makers accountable, learning/correcting policy issues, evaluating and improving own activities, learning from each other) at key points in the policy process (agenda setting, policy formulation, policy implementation, monitoring and evaluation). Advocacy must occur within successful navigation and negotiation of the political context. It requires legitimacy, effectiveness, integration, translation, access, credibility and communication to be successful (Pollard & Court, 2005).

Governments are bureaucratic by nature and influencing political decision-making is not easily accomplished from within the government system alone. Public servants are bound by process and protocol and affect change through specific and articulated channels. Non-government actors, however, have a direct line to politicians that public servants (i.e. employees of the public service) do not.

NGO's in the public health arena bring a unique perspective both in their structure (organizing principles and aims) as well as in their position outside government. A systems view of HPP and public health highlights the importance of exploring the NGO influence from their outside government position - suggesting potential learning about leadership when it is considered in non-market, non-hierarchical, networked contexts.

2.4 Current Understandings of Public Health Leadership

Traditionally, with scholarly roots in management and organizational behaviour, leadership was defined as “a process whereby an individual influences a group of individuals to achieve a common goal” (Stogdill, in Northouse 2010). As leadership began to be explored in broader contexts, an emerging consensus saw it as a “social and relational influence process that occurs in social systems” (Kempster & Parry, 2011).

Leadership creates the conditions for groups to respond to change, to learn and create knowledge, and to develop social identity and social capital (Yukl, 2013). Leadership can be distinguished from the actions of individuals or positional authority and management roles (Spillane, 2005). Leaders are individuals who act in ways that influence dynamics and outcomes, but leadership exists as a function of interaction beyond the characteristics of the individual (Uhl-Bien, Marion & McKelvey, 2007). Leadership is not the actions of individuals, but the actions among individuals (Spillane, 2005). Leadership emerges out of systemic processes (Allen et al., 1998). It is “an emergent, interactive dynamic that is productive of adaptive outcomes” (Uhl-Bien et al., 2007, p. 299).

Leadership is well recognized as a key component of public health, but one that requires further development in the public health system (IOM, 2012; Rowitz, 2014; Day et al., 2012; Koh, 2009). Leadership has been cited as one of the critical success factors of public health (Puska, 2002) and the lack of leadership has also been decried as one of the barriers to the success of population health strategies (Allen et al., 2014). Public health practice in Canada continues to stress the importance of leadership (PHAC, 2008; CPHA, 2009b) with competency frameworks for public health professionals having been developed to help fill the need for leadership. Models for PHL have largely come from the private and public sector (Koh, 2009), and PHL research and practice has been dominated by the individual-perspective, with leadership competencies and leader development being the principal foci of the last decade (Umble, Baker & Woltring, 2011; Wright, et al., 2000; Day et al., 2014; PHAC, 2008; Community Health Nurses of Canada, 2015). Highlighting the individual-level focus, the public health core competencies define leadership as follows:

Leadership is described in many ways. In the field of public health it relates to the ability of an individual to influence, motivate, and enable others to contribute toward the effectiveness and success of their community and/or the organization in which they work. It involves inspiring people to craft and achieve a vision and goals.

Leaders provide mentoring, coaching and recognition. They encourage empowerment, allowing other leaders to emerge (PHAC, 2008).

Koh (2009) defines PHL as “pinpointing passion and compassion; promoting servant leadership; acknowledging the unfamiliar, the ambiguous, and the paradoxical; communicating succinctly to reframe; and understanding the 'public' part of PHL. By working between the levels of leadership of self, others, and organizations, transcendent leaders can ultimately shift the paradigm from 'no hope' to 'new hope' and create a renewed sense of community.” This definition hints at something beyond the individual level.

PHL may be different than leadership theory that has been developed in business, government or military contexts within a single-organization (Koh, 2009). Models for PHL have largely come from the private and public sector (Liden & Antonakis, 2009; Koh, 2009), and have tended to focus on the competencies of the individual public health leader (Wright, et al., 2000; Day et al., 2014; Reid & Dold, 2017). However, public health is a complex system with players inside and outside government who work in collaboration to address enormously complex problems in a variety of settings (Leischow, 2006; Koh, 2009). The importance of context is well explored in CDP (Brownson, Haire-Joshu & Luke, 2006; Biglan, 2004; Vanleeuwen, Waltner-Toews, Abernathy & Smitt, 1999; Poland, Frohlich & Cargo, 2008; IOM, 2012), yet, the major orientation of prior leadership research has been through methods that strip leadership of context (Liden & Antonakis, 2009). This supports the nascent view that the current body of leadership theory may not be appropriate for public health (Koh, 2009; Koh & Jacobson, 2009).

With the public health need for leadership being too great to leave leader emergence to chance (Koh, 2009) continued scholarship and exploration is required.

2.5 Contextual Factors

In the view of leadership as a context-dependent, social influence process that exists as a function of interaction (Uhl-Bien et al., 2007), leadership emerges out of systemic processes (Allen et al., 1998) and creates the capacity for change in CASs (Marion & Uhl-Bien, 2001). This study expands the notion of PHL beyond the individual leader towards understandings that embrace a key tenet of public health: the interplay between the individual and their environment (i.e. ecological approaches, systems thinking and complexity). Such foci on leadership (beyond individual actions, towards an ecology of leadership) also highlight leadership at a systems level and suggest looking for other avenues to advance CDP from various perspectives. The ecology of leadership in HPP for CDP includes several NGOs whose leadership has been described as critical in many public health accomplishments (Rocan, 2011; CPHA, 2009).

2.5.1 The Policy Window for Complex Change

The policy process can be viewed as the alignment of problem, solution and political streams which opens policy “windows”. These windows can be influenced by policy entrepreneurs (i.e. champions) who facilitate alignments or “couplings” between the streams (Kingdon, 2003). Although NGOs are not constrained by the hierarchies that control action within government, NGOs may be limited by political views on the sector.

The policy process is characterized by both incremental and radical change (Kingdon, 2003). Political actors may employ incremental strategies within the policy streams, but shifts in the environment can create opportunities for radical change. As such, change events and processes form an important line of inquiry to understanding policy change and the leadership it requires. NGOs’ long-term focus may translate into a sustained influence through many political cycles and administration changes - possibly increasing the likelihood of facilitating couplings and nurturing policy entrepreneurs.

Understanding the policy process requires a fairly significant time horizon (of a decade or more) to focus on learning and coupling through a number of events (Sabatier, 1988; Kingdon, 2003): assessing too narrow a time frame risks missing changes in system learning, identity and relationships.

Although the final enactment of public policy is vested with politicians, the process that leads to that enactment engages a broad number of stakeholders and dimensions as no single organization can effect change within such a complex web (Jackson et al., 2007). An entire body of literature in public administration focuses on public sector engagement with other sectors through networks to create public value through quality improvement, knowledge development and civic engagement in achieving their substantive goals (Rashman, Withers & Hartley, 2009; Currie et al., 2011; Eglene, Dawes, & Schneider, 2007; Morse, 2010).

NGO leadership in HPP for CDP occurs within a multi-sectoral, inter-organizational, collaborative environment. NGOs seek collaboration to achieve their mission and (can) participate in various advocacy coalitions in defining the problems and solutions for CDP as well as engage with political and public actors and the media to increase awareness of issues, encourage political engagement, and shift social norms - creating adaptive capacity within the system (Pollard & Court, 2005). NGOs represent solutions to the complex problems facing communities and societies (Mintzberg, 2006).

2.5.2 Non-Government Organizations in Canada

NGOs play a variety of roles in Canada. In this study, the NGOs engaged in national HPP for CDP in Canada are viewed as part of the public health system. *Public health* is "the science and art of preventing disease, prolonging life, and promoting physical health and efficiency through organized community efforts for the sanitation of the environment, the control of community infections, the education of the individual in principles of personal hygiene, the

organization of medical and nursing services for the early diagnosis and preventative treatment of disease, and the development of the social machinery which will ensure to every individual in the community a standard of living adequate for the maintenance of health" (Winslow, 1920 pp. 183).

As a system, public health represents a macro-environment in which multiple sectors interact. It engages a wide range of disciplines (medicine, epidemiology, communication, law, evaluation, etc.) as well as a broad array of stakeholders and values. Public health works at this intersection to improve the health of the population as a whole.

Canada has a number of chronic-disease focussed NGOs with various missions. Some focus on specific disease (CCS, HSF, CDA); others are organized around risk factors (CCTC, PSC, NSRA, Canadian Obesity Network (CON), Canadian Drug Policy Coalition (CDPC)). Some focus on protective factors (Coalition for Active Living (CAL)) and others have an integrated focus (Chronic Disease Prevention Alliance of Canada (CDPAC)).

NGOs are referred to by many names including, not for profits, non-profits, and civil society organizations. The NGO sector also has many names including: civil society, voluntary sector, and third sector. The NGO sector also has different sub-sectors including charities (health charities and the charitable sectors) and super-structures (non-state actors) that are both narrower than the NGO sector and broader, respectively. This study employs a definition of NGOs through five characteristics: organized, private, non-profit-distributing, self-governing and voluntary (Hall et al., 2005). These characteristics describe a unique sector with a vast heterogeneity that is only beginning to be explored (Lasby & Barr, 2013). Canada has a long history of voluntary activity rooted in aboriginal tradition and formalized by both French and English settlers. These traditions have had a unique influence on the sector's development and the country as a whole (Hall et al., 2005). Currently, Canada has the second largest NGO sector in the world (Hall et al., 2005); it is both an economic engine within the country and a vehicle for service delivery, civic engagement and policy development. The sector is valued and trusted by the public (Hall et al., 2005; Lasby & Barr, 2013).

Canadian law requires tax-exempt NGOs to demonstrate the use of their available resources towards the achievement of their stated objectives. This mission-focus tends to be long-term and maintained over many political cycles and administrations (Hall et al., 2005). NGOs serve a public benefit by providing a variety of mission-based functions expressed through processes (collaborating, engaging, focusing, community building, and networking) that impact identity, relationships and information within the system (Hall et al., 2005; Rocan, 2011). Many NGOs engage a large constituency base that includes members of the public and professional expertise.

NGOs operate in communities (although they do compete for resources, they do not operate in a free market) and organize around collaboration (as opposed to competition or

command and control) (Mintzberg, 1993; Adler, Kwon & Heckscher, 2008; Ashman & Sugawara, 2013). NGOs achieve their goals through structure and process. As communities and networks, NGOs are different than market-based organizations (i.e. corporations) or hierarchies (e.g. government or military) and they operate with different values and organizing principles (Powell, 1990; Mintzberg, 1993; Adler et al., 2008).

Table 1: Three Organizing Principles: Community, Hierarchy and Market

	Community	Hierarchy	Market
Social mechanism is	Trust	Authority	Price competition
Control exercised over	Inputs	Process/Behaviour	Outputs
Fits tasks that are	Interdependent	Dependent	Independent
Best supports goals of	Innovation	Control	Flexibility

Modified from Adler, Kwon and Hecksher, 2008 pg 360

Table 1 illustrates differences in relation to the organizing principles between NGOs (Community), Governments/Military (Hierarchy) and Corporations/Business (Market). Academic and colloquial literature from all three sectors demonstrates a desire to learn from the other sectors.

2.5.3 Contextual Factors in Non-Government Organization’s Leadership Role

Given the political nature of CDP, NGO leadership from its outside government position is critical (Sabatier, 1988). It has been commonly noted that there are three ingredients for successful public policy: political will, a competent public service and effective external advocacy. In CDP, this external advocacy can come from many sources including NGOs and corporate actors (often with directly competing interests).

The heterogeneity of the NGO sector is only beginning to be understood and explored (Lasby & Barr, 2013; Shier & Handy, 2014). Current scholarship in this sector is far leaner than in the private (corporate) and public (government) sectors (Scott, 2006). Further, there have been major changes in the NGO landscape in the last two decades and the impact of these changes is not well understood.

Historically, the GoC has funded NGOs to undertake various aspects of CDP for which the NGOs have advocated (e.g. Smokers’ Help Line, Tobacco Control Reference Catalogue) creating a “project-focus” in mission-based organizations and possibly diminishing NGO's ability to advocate critically (i.e. to not bite the hand that feeds) (Rocan, 2011; WHO, 2001 p.3; Scott, 2006).

After 2011, the GoC withdrew funding from many NGOs including Canadian Council for Tobacco Control (CCTC), Physicians for a Smoke-free Canada (PSC), Non-Smokers' Rights Association (NSRA) and the National Aboriginal Health Organization (NAHO) (CPHA, 2013), precipitating a reduction in the number and focus of NGOs in specific domains.

Several NGOs have been subject to government directed audits into their expenditure of funds, challenging their tax-exempt status (Broadbent Institute, 2014). Some have argued that this has been a deliberate strategy on the part of the Harper Conservative Government to silence critics and to diminish NGO participation in the public policy process (CBC, 2014; Laforest, 2012; Lavasseur, 2012; Acheson & Laforest, 2013).

NGOs have experienced considerable challenges to revenue generation (fund raising), in part due to competition for scarce dollars and a stagnant Canadian economy since 2008 (Imagine Canada, 2012). This may divert focus away from policy to fund-raising and brand activities.

The Government has favoured private sector self-regulation and monitoring to legislative policy controls on industry. The Harper administration was characterized as business-friendly, insular, and centrally controlled. Overall, the balance of influence on government policy by NGOs and those concerned with CDP has diminished over the past decade (Gergin, 2011).

Following the 2015 election the Trudeau Government signalled a change in attitude towards the sector (e.g. through Minister Mandate letters), but many of the actions and structural changes described above already had an impact.

The challenges outlined above represent a brief snapshot when framed within the long-time horizon articulated in models of policy change (Sabatier, 2007; Kingdon, 2003). This heightens the need to understand NGO leadership in the longer-term and not just in this immediate, although changing, context.

This study provides a timely focus on NGO leadership in HPP for CDP that responds directly to calls for PHL to protect our communities and keep them healthy (Koh, 2009; Bender et al., 2009). It also answers the call for research to explore leadership in specific contexts to develop and inform leadership theory (Pettigrew, 1987; Parry, 1998; Osborn et al., 2002; Liden & Antonakis, 2009).

2.6 Commonalities across Literature and Sensitizing Concepts

When considering the various domains of literature searched, a number of common elements became apparent including CASs (complexity, systems thinking and ecological approaches), change, knowledge creation and learning.

As a discipline, public health uses ecological frameworks, system thinking and complexity as a basis for CDP efforts (National Academy of Sciences, 2001; Brownson et al., 2006;

McLeroy, Bibeau, Steckler & Glanz, 1988; Diez-Roux, 2011; Forget, 2001; Kreuter, DeRose, Howze & Galdwin, 2004). However, these same foci, although present in the leadership literature (Allen et al., 1998; Marion & Uhl-Bien, 2001; Hazy & Uhl-Bien, 2015) are elusive in scholarship and practice of PHL.

The use of systems thinking in public health suggests that both complexity and ecological approaches may be important factors within an “ecology of leadership” that describes the variety of contexts within which diverse actors and entities interact to create the conditions for public health gain (Allen et al., 1998). Bronfenbrenner (1994) describes ecology as “the processes and conditions that govern the lifelong course of human development in the actual environments in which human beings live” (pp. 37). As such, an ecology of leadership would be the processes and conditions that govern leadership in the actual environments where people live.

Ecological approaches, systems thinking and complexity imply the separation of leadership (as a relational process that occurs in groups) from the actions of individuals (Allen et al., 1998; Spillane, 2005; Marion & Uhl-Bien, 2001; Hazy & Uhl-Bien, 2015). These concepts that are central to public health practice further emphasize the importance of interactions among various actors operating at different levels within the system.

2.6.1 Complex Adaptive Systems and Chronic Disease

Health and chronic disease are increasingly understood as patterns that emerge in complex adaptive social and natural systems (Jayasinghe, 2011; Diez-Roux, 2011). The recognition that the health of individuals and populations is the manifestation of a system in which biology interacts with environments and individuals interact with each other and with environments over time is a key element of population health (Rowitz, 2014).

Chronic diseases are widely recognized to be caused by a common set of socio-behavioural risk factors with tobacco use, poor nutrition practices, physical inactivity and alcohol abuse estimated to account for most chronic disease (Elmslie, 2014). These risks arise from, and are embedded within, a complex web of social, economic and environmental factors, sometimes referred to as risk conditions (e.g. income, education, housing, urban design, taxation policy) (EuroHealthNet, 2013). Many of these conditions are potentially modifiable with 80% of Canadians having at least one modifiable risk factor (PHAC, 2013).

In CASs, a vast array of elements interact dynamically (physically or through the exchange of information) and are affected by and affect several other elements. Interactions are non-linear (small changes can cause large effects and vice versa) and occur primarily with immediate neighbours. Systems have a history that is co-responsible for their present state and behaviour. Elements in the system may be ignorant of the system’s behaviour as a whole, responding only to the information or physical stimuli available to them locally. In CASs, it can be difficult to define system boundaries (Cilliers, 1998).

Complexity and CASs are framings that have shaped public health's understanding of and response to chronic diseases (McLeroy et al., 1988; Brownson et al., 2006; Green, 2006; Leischow, 2006). Viewing HPP in CDP through a complexity lens highlights the many social and environmental influences on peoples' behaviour, thereby nullifying the expectation that individuals simply need to choose to "do the right thing" (Garcia & Riley, 2008).

2.6.2 Public Health as a Complex Adaptive System

Public health is often characterized as a CAS (Rowitz, 2014; Koh, 2009). Consistent with the definition of CASs, public health has:

- i) A focus on emergent patterns related to health outcomes of the population,
- ii) A recognition that the individual's health is dependent on a web of complex systems within their body, and is affected by a web of systems outside their body,
- iii) A recognition of the social networks and interactions between people (and institutions) that bring additional complexity to the occurrence of disease,
- iv) A strong, unpredictable political dimension,
- v) An effect on (and affected by) other systems that traditionally have no connection to health (and politically may have less connection) i.e. transportation, agriculture, urban planning, etc. (Rowitz, 2014)

Framing public health as a CAS suggests a focus on structures and processes in the system (not just events) to make structural causation explicit and concrete (Forrester, in Diez-Roux, 2011 p. 9-10). Within a CAS, leadership is seen as a social process that exists as a function of interaction. It is an emergent, interactive dynamic that is productive of adaptive outcomes (Uhl-Bien et al., 2007, p. 299). Leadership emerges out of systemic processes (Allen et al., 1998) and creates the capacity for change in CASs (Marion & Uhl-Bien, 2001, p. 299).

2.6.3 Systems Thinking for Complex Systems Change

Public health's adoption of systems thinking and complexity framings has largely been influenced by the recognition that there is no simple path to disease progression or prevention (McLeroy et al., 1988; Brownson et al., 2006; Green, 2006; Leischow, 2006). The many variables that ultimately result in chronic disease are not easily predicted. People's individual agency and autonomy over their own behaviours are complicated by external factors and influences making chronic disease inherently complex - influenced by how individuals and groups respond to change, how they learn and how they define the problems and solutions (Allen et al., 1998). This is further complicated by the lack of clarity on a "stopping rule" i.e. knowing when the problem is addressed (Kreuter et al., 2004).

Using the framing of chronic disease and CDP as a "wicked problem" highlights that simple solutions will not work - there is a dynamism and adaptability that is required to help shape environmental conditions and influence individual and collective behaviours (Green, 2006; Leischow, 2006). A successful intervention in one community is not necessarily an indication of its probable success for another. The health hazard is uniquely defined (and acted on) by

the community's history, culture, values, and circumstances (social, political and economic) (Kreuter et al., 2004, p. 444). Various groups can have opposing views about the nature of the problem and the solutions required in addressing public health challenges. Various stakeholders' beliefs, values and knowledge represent a multitude of views concerning the appropriateness of specific interventions - rarely aligned, and sometimes contrary.

Applying systems thinking to HPP for CDP suggests a focus on system states and processes as well as the shifting of focus between various levels of analysis (pivoting the foreground and background) to allow space for variables at different levels to emerge for robust theory development (Parry, 1998). This study is situated at a meso-level environment: a political subsystem within public health and the Canadian political environment that aims to address chronic disease through policy. Reciprocal influence between NGO actors and the system at various levels - from intra-personal to societal - shape behaviour, and is shaped in turn by the structures, norms and processes of the system and the everyday interactions with others in the system (Richard, Gauvin & Raine, 2011).

The social nature of leadership, applied to a CAS framing suggests that each role in HPP for CDP reciprocally influences the others (and the environment), shaping the behaviour of actors and the system. This highlights the importance of understanding the dynamics from the NGO perspective at (and between) the individual, organizational, collective, inter-sectoral and systems levels.

2.6.4 Sensitizing Concepts

This study aims to describe the phenomenon of NGO leadership in national HPP for population-based CDP in Canada, and develop theory of NGO leadership in this context. Theory development involves conceiving of the empirical instance abstractly as proposals of the nature of classes of objects and the relationships between these classes (Blumer, 1954).

To draw attention to important features of the social interactions in this setting (Charmaz, 2014), sensitizing concepts are used. These concepts represent *a priori* notions about relevant theories in the area of study (van den Hoonaard, 1997). "Research usually begins with such concepts, whether researchers state this or not and whether they are aware of them or not" (Gilgun, 2002, p. 4).

Blumer distinguishes definitive concepts from sensitizing concepts as "the means by which theory is connected with the empirical world." (Blumer, 1954, pg. 4). A definitive concept "refers precisely to what is common to a class of objects, by the aid of a clear definition in terms of attributes or fixed bench marks" (Blumer, 1954, pg. 7) giving the researcher a sense of "what to see". In contrast, a sensitizing concept lacks these definitive attributes or bench marks and instead gives the user guidance of what is relevant - i.e. a hint of where to look. Sensitizing concepts draw attention to important features of social interaction and provide guidelines for research in specific settings.

In social sciences, a researcher moves out from a sensitizing concept to the concrete specifics within the empirical instance. Many methods in social science (including Grounded Theory) have strong roots within Blumer's work and the use of sensitizing concepts has grown over the decades (van den Hoonaard, 1997). Sensitizing concepts are "a starting point in thinking about a class of data of which the social researcher has no definite idea and provides an initial guide to her research. Such concepts usually are provisional and may be dropped as more viable and definite concepts emerge in the course of her research." (van den Hoonaard, 1997). Five key concepts were identified in the literature, these include: 1) Ecological approaches, systems thinking and complexity, 2) Knowledge construction, 3) Social change, 4) The policy process, and 5) Conceptualizations of leadership that move beyond the focus on an individual leader. Lastly, as a sixth dimension, there are many interconnections and overlap among these five concepts in the literature and this research.

Table 2: Sensitizing Concepts

Sensitizing Concepts
<p>1) Ecological Approaches, Systems thinking and Complexity</p> <p>An ecological framework recognizes a system as a group of interacting, inter-related or interdependent components that form a unified whole. Components can be tangible (e.g. physical objects or people) or intangible (e.g. processes, information flows or values). Systems have structure, behaviour and interconnectivity (Rowitz, 2014). An ecological approach is characterized by distribution (of actors and resources), interaction (spreading of information inside and outside the system), competition and/or collaboration (the style of behaviour in the shared space) and evolution (changes in the properties of groups or individuals in response to the environment) (Chen, Liang & Lin, 2010)</p> <p>Systems thinking in public health goes beyond the importance of relationships to stress the need for inter-sectoral collaboration among organizations to transcend boundaries and interact effectively across organizational lines as each domain influences the system (Leischow, 2006). Systems thinking applies a perspective that considers connections among different components, plans for these interactions and requires trans-disciplinary thinking in both a short-term and long-term perspective. It also engages those who have a stake in the outcomes to govern the course of change.</p> <p>There are many types of systems: some simple and others more complicated. Others still, move beyond complicated to what is described as complex. A complicated system can be reduced to its component parts and this reduction tends to increase explanatory power. However, in complex systems, there are a number of elements that interact dynamically in nonlinear ways. Such interactions are rich and often have reciprocal effects in that interactions are primarily with immediate neighbours and can feed back onto itself directly or after a number of intervening stages. Complex systems operate under far from equilibrium conditions. They have a history and as they evolve, their past is co-responsible for their present behaviour (Cilliers, 1998)</p> <p>Wicked problems arise in CASs as complexity increases. Wicked problems are characterized by disagreement about problem definition, a multitude of stakeholders, a lack of clarity concerning when a problem is resolved and the relevance of context in rendering solutions that were effective in one context as ineffective in another (Kreuter et al., 2004).</p> <p>Complex Adaptive Systems are characterized by:</p> <p>a) Emergence "refers to a nonlinear suddenness that characterizes change in complex systems. It derives from the collapse (or, more technically, dissipation) of built up tensions, sudden mergers (or divergences) of formerly separate CAS, or a cascade of changes through</p>

network connections. Creativity and learning occur when emergence forms a previously unknown solution to a problem or creates a new, unanticipated outcome (i.e. adaptive change)". (Uhl-Bien et al., 2007, pp 303)

b) **Self-organization** is the capacity of systems to sustain and move toward greater complexity and order as needed - responding intelligently to the need for change (as an organizing force). Self-organizing occurs through **relationships** where **information** is created and transformed, more stakeholders get included, and **identity** expands and the system becomes wiser. The more access people have to one another, the more possibilities occurred. These three domains (identity, information and relationships) operate in a dynamic cycle. New relationships connect more people and information is created and transformed. Identity is reformed and new relationships are sought... when problems occur, the system looks at these three domains to see what's going on. (Wheatley & Kellner-Rogers, 1996)

2) General Theories of Knowledge and the Social Construction of Knowledge

The **knowledge hierarchy** places **data, information, knowledge and wisdom** in a triangle (stated from bottom to top) with information being described in terms of data, knowledge described in terms of information, and wisdom being described in terms of knowledge. Each built on combinations and permutations of the lower layer(s) (Ackoff, 1989).

General theories of **knowledge to action** include **knowledge utilization** (use of research knowledge), **knowledge implementation** (the top down, bottom up, networked or other transfer of knowledge), **knowledge transfer** (through the use of mechanisms such as training or marketing) and **knowledge translation** (communication, interaction and exchange) (Ottoson, 2009).

Knowledge creation cycle: As a capacity of individual (and by extension groups), knowledge requires an individual (sentience) to exist - otherwise it is just information. Therefore knowledge represents a phenomenon that can be shared. Knowledge Conversion Theory (aka the knowledge cycle) explores how knowledge moves from one person to another. It distinguishes tacit (personal) and explicit (codified) knowledge along a continuum, introducing social processes where individuals can **socialize, externalize, combine and internalize (SECI)** knowledge through a variety of types of exchanges (Nonaka & Takeuchi, 1995). For organizations and groups, this suggests a focus on knowledge creation, storage, retrieval, transfer and application.

Diffusion of Innovation: a process by which an innovation is communicated through a system. It involves **knowledge, persuasion, decision, implementation and confirmation**. Usually described within population segmentations as a bell-curve showing **innovators, early adopters, the majority and laggards** along the x-axis, the personal

characteristics of the individuals in these groups creating a domino effect (in directionality and the bell-curve) in knowledge diffusion (Rogers, 2003).

3) Concepts of the Individual, Society, Agency and Social Change

Change, learning and identity are common themes in leadership research and are explored as antecedents, processes, and outcomes (Yukl, 2013; Northouse, 2010; Rowitz, 2014).

An ecological approach recognizes that **a person is influenced by their environment**, and influences their environment in return. Human development “takes place through processes of progressively more complex reciprocal interaction between an active, evolving bio-psychological human organism and the persons, objects, and symbols in its immediate environment” (Bronfenbrenner, 1994. p. 38).

There is **reciprocal influence between actors and the various levels of a system**: from intra-personal to societal. Actors’ behaviour shapes, and is shaped by the structures, norms and processes of the system and the everyday interactions with others in the system. The relationships among actors have social, cultural, economic, political, legal, historical and structural dimensions (Richard et al., 2011).

The **morphogenetic approach** (with relevance to Critical Realism's stratified ontology) recognizes that structures, cultures and agents have emergent and irreducible powers and properties. This offers a theory of **analytical dualism** that recognizes the interdependence of structure and agency (i.e. without people there would be no structures) but suggesting that they operate on different timescales. Existing structures constrain and enable agents, whose interactions produce intended and unintended consequences. This leads to the reproduction (or transformation) of the initial structure. The resultant structure then provides a similar context for the action of future agents. Similarly, the initial structure is also the outcome of structural elaboration resulting from the action of prior agents (Archer, 2003).

Change involves “guiding, encouraging and facilitating the collective efforts of members to adapt and survive” (Yukl, 2013 p. 76). While change is an enduring theme in leadership research, it is also at the heart of HPP (Sabatier, 1988; Pal, 1992; Kingdon, 2003) and CDP (Glanz, Rimer & Viswanath, 2008). Models of change emphasize the influence of new knowledge to shape beliefs and alter behaviour in individuals and groups.

Social capital is the “property” of individuals (and collectives) in terms of their social skills and capacity to negotiate solutions to joint problems. Linked to **identity**, it can be described as “the nature and extent of networks and associated norms of reciprocity” (Putnam in Szreter & Woolcock, 2004). Key concepts include **trust, credibility, legitimacy, self-control, self-efficacy and hope** (Hertzman, 2001, p. 5). One definition of **trust** views it as a "communicative complexity-reducing mechanism" (Bentele & Seidenglantz, 2008, pp. 49).

They go on to describe how trust ameliorates the expectations of future events through giving a key role in risk assessment to the knowledge of past events (experience). **Credibility** can be conceptualized as a sub-phenomenon of trust (Bentele & Seidenglantz, 2008, pp 50) defined as "a feature attributed to individuals, institutions or their communicative products (written or oral texts, audio-visual presentations) by somebody (recipients) with regard to something (an event, matters of fact, etc.). As such, credibility is not a characteristic inherent to texts, but an element within a multi-positioned relationship".

Actor-Network-Theory (ANT) provides explanation for how networks come together to act as a whole. It explores the **relationships among actors** and the creation of collective meaning. It explores strategies for relating different elements and entities into a network to form a coherent whole. As an extension of computer science entity relationship theory, ANT encompasses social constructions of adaptation and collectivism (Latour, 1999).

4) The Policy Process

Public policy demands "inter-sectoral collaboration and inter-organizational partnerships at all levels" (Jackson et al., 2007) including political levels. The policy process is complex involving hundreds of actors within and outside of government with different values, interests, perceptions, preferences and mandates that interact over time (Sabatier, 2007).

The Advocacy Coalition Framework (ACF) frames the policy process as a competition among coalitions of actors who hold various beliefs about policy problems and solutions. ACF considers competing interest groups and the learning process (**policy learning**) they undertake to use various forms of evidence to enact policy change. It categorizes system actors according to their aims or intent. The evolving system subset that addresses public policy for CDP represents an advocacy coalition within the ACF.

The **Multiple Streams Framework (MSF)** suggests that "policy windows" open when three "streams" align: a **Problem Stream**, a **Solution Stream** and the **Political Stream**. In MSF each stream has independence and self-organization. Problems float in and out of political discourse; various proposals (solutions) float through policy networks; and, the political stream changes with public mood and administrations (Kingdon, 2003). Kingdon articulates the importance of **policy entrepreneurs** (champions) and **focussing events** as key forces in **coupling the streams** to open **policy windows**.

5) Leadership

Leadership research tends to treat the relationship between individually-held and collective beliefs as static: the collective is just a simple aggregation of the individual perspectives (Dinh, Lord, Gardner, Liden & Hu, 2014). As this does not acknowledge the dynamism of the change process over time as actors enter and exit a coalition. A research strategy was

required that gave the dynamics between change and the environment room to unfold.

As a **relational influence process**, leadership can be distinguished from the things individuals do to be explored and understood as an emergent property in systems. Focusing on leadership as a process that emerges within a CAS highlights leadership as distinct from management and distinct from leadership *within* organizations. Exploring the outcomes of leadership in inter-organizational domains highlights the importance of power, authority and legitimacy (Uhl-Bien et al., 2007; Kempster & Parry, 2011)

Complexity Leadership asserts that questions, conflicts and problems that arise within a system will challenge the system's structures to either facilitate or hamper their resolution. Individuals within the system will experiment to address emergent issues. Information, identities and relationships become constructed, deconstructed and reconstructed shaping and reshaping structures, processes and norms. These adaptations to the environment move the group towards its goals, and the leadership that enables this process emerges from the system (Hazy & Uhl-Bien, 2015). Complexity Leadership shifts the focus from the leader to leadership (Weibler & Rohn-Endres, 2010 p. 182).

Multi-level and Shared Leadership focuses at a system level beyond any single organization. Networked, community, inter-organizational and relational contexts suggest an ebb and flow of leadership as the system changes, shifting the focus from constructs dependent on individual initiative to communities that take shared responsibility for goals, objectives and outcomes (Mintzberg, 2006). Leadership in inter-organizational contexts is inherently distributed and ideally shared. Contexts, structures, processes and participants are not wholly within the control of the members of the inter-organizational collaboration (Huxham & Vangen, 2000). "Leadership is often shared across the various partners or members, making it difficult for a single individual of one entity to truly lead the alliance or network" (Pearce, Conger & Locke, 2007).

Note: Key concepts have been **bolded** within the above table for emphasis.

2.7 Gaps in the Literature

The importance of leadership has been expressed in CDP, public policy, the voluntary sector and public health with many calls for leadership in each field (Garcia & Riley, 2008; Kingdon, 2003; Sabatier, 1988; Lasby & Barr, 2013; Hall et al., 2005; PHAC, 2010; CPHA, 2009). However, there is little clarity on how leadership is defined or what exactly is being called for in these appeals. Leadership is both a scholarly domain and a popular cultural and media phenomenon. Public discourse influences both commonly held constructions of leadership and influences scholarship (Bligh, Kohles & Pillai, 2011). Decades of research on traits, personality, skills and styles has not uncovered overarching leadership theory (Parry, 1998) and the focus at the variable level (influencers, antecedents) has not resulted in a set of core factors across settings (Koh, 2009; Antonakis et al., 2004).

Questions are emerging in the PHL literature as to the appropriateness of leadership theory that is single-organization or hierarchy focussed (i.e. developed in military, government and business contexts) for public health (Koh, 2009). Public health focuses at a system level and includes many organizations and actors. The very nature of public health involves sometimes vigorous disagreement on the definition of specific problems, let alone appropriate solutions to address those problems. Further, there is growing argument that leadership in public health is different because of the need for sustainable, societal-level changes beyond any one organization (Koh & Jacobson, 2009).

Public health's use of ecological approaches, systems thinking and complexity may have implications for PHL. An ecological approach asserts the importance of the influence of each actor within the system on the overall system. When the individual focus of leadership (i.e. competencies for the public health leader) is paired with social/relational framings of leadership the ecological approach used in public health can be explored within PHL (Allen et al., 1998).

The importance of context is well explored in CDP (Brownson et al., 2006; Biglan, 2004; Vanleeuwen et al., 1999; Poland et al., 2008; IOM, 2012), yet, the major orientation of prior leadership research has been through methods that strip leadership of context (Liden & Antonakis, 2009). This further supports the nascent view that the current body of leadership theory may not be appropriate for public health (Koh, 2009; Koh & Jacobson, 2009).

Evidence of a complexity, ecological, systems lens as applied to PHL is elusive and the NGO perspective of PHL appears nonexistent in research despite decades of NGO engagement in CDP. Consistent with their constitutions, NGOs have provided leadership in the development and implementation of HPP for CDP within Canada's public health system for decades (Smith, 2012; Kirby, 2002). Beyond the advocacy role, Canadian NGOs, as a sector, are a significant economic and social engine (Hall et al., 2005; Emmett & Emmett, 2015) and are valued and trusted by the public (Lasby & Barr, 2013). Yet, finding scholarship on NGO engagement in national HPP for CDP in Canada is challenging as most research

and colloquial explorations of the public health system in Canada focus on the aspects of the system "within Government" (NCCHPP, 2015). NGO leadership is not well explored in the literature and no theory of NGO leadership or leadership in NGOs was identified.

The distributed, inter-organizational context of HPP for CDP where leadership emerges as a social process is arguably different from management and individually-based notions of leadership. Therefore, theorizing leadership and its emergence from an NGO perspective may inform future practice and scholarship within civil society, public administration and public health. In describing leadership from the perspective of NGOs engaged in coalitions and theorizing leadership as a context-dependent, social process within the CAS of HPP for CDP, this research aims to contribute to NGO public health scholarship and practice.

Focussing on NGO leadership in HPP for CDP narrows the scope on this CAS within Public Health and provides a view of leadership that is unique, timely and makes a contribution to practice, research and theory.

2.8 Study Boundaries

The perspective of interest in this study was that of the NGO actors engaged in this CAS. National HPP for CDP in Canada occurs in a CAS that has "inside/outside" dynamics as policy is created "inside" the closed system of the Constitutional environment of the GoC and is influenced by an open system "outside" (though structurally and existentially governed by) the Constitutional environment. Considering this CAS, this study applied an ecological framing (Bronfenbrenner, 1994) to focus on the experience of NGO actors situated at the meso-level (i.e. organization, coalition and collective) in the system that creates national HPP for CDP in Canada. This represented an evolving collection of micro-environments and individual actors who form a political subsystem within public health and the Canadian political environment that aims to address chronic disease through public policy.

Leadership, as the phenomenon of interest, was explored as a relational process and system dynamic beyond the actions of individuals and was described as separate and distinct from management and positional authority (i.e. people in positions of authority and managers can exercise their functions without demonstrating leadership, so too, people with no positional authority can demonstrate leadership).

Public policy was originally conceived quite broadly. However, participants principally explored enabling and subordinate legislation (i.e. acts and regulations) and administrative policy (e.g. departments, budgets and strategies).

Scholarship in public policy recommends a long time horizon be employed to understand policy changes over time and participants explored over forty years of national HPP for CDP in Canada.

3.0 STUDY RATIONALE

3.1 The Need for Theory of Non-Government Organization Leadership

A theory is a collection of assertions that identify which elements are important in understanding a phenomenon, the reasons they are important, the ways they relate, and the conditions under which the elements should and should not be related (Dubin, 1976 in Antonakis et al., 2004). Theories advance knowledge of social life by “proposing particular concepts (or constructs) that classify and describe phenomenon: then they offer a set of interrelated statements using these concepts” (Pettigrew, 1996, p. 21).

Leadership research is dominated by the fields of business (management), military and public administration, rooted in the disciplines of psychology and organizational behaviour (Antonakis et al., 2004, Parry, Mumford, Bower & Watts, 2014). Despite decades of research, an enduring and integrative theory of leadership has proven elusive and there does not appear to be any factor, variable or condition that operates consistently to influence leadership or its outcomes (Parry, 1998).

The dominant methodologies shaping the field of leadership research have been positivist approaches in the form of hypothesis testing, quantitative data and quantitative analysis (Parry et al., 2014). Quantitative research posits that leadership is static, and well delineated with universal dimensions (Toegel & Conger, 2002 p. 175). The typical study of leadership is based on *a temporal*, de-contextualized, open-ended appraisals of leader behaviour (Parry et al., 2014). These methods and appraisals attempt to "close the system" and may be inappropriate for addressing leadership from contextual and process perspectives in open systems (Kempster & Parry, 2011) representing a “missed opportunity” in leadership studies (Toegel & Conger, 2002).

There are many calls for qualitative approaches into the process of leadership that are grounded in empirical instances (Bryman, 2004; Conger, 1998; Day, 2001; Parry, 1998; Lowe & Gardner, 2001). Further engagement of qualitative analysis of qualitative and quantitative data to generate contextually-rooted theory of leadership processes is needed (Parry, 1998) as qualitative research is sensitive to contextual factors. It has the ability to study symbolic dimensions and social meaning. It provides the opportunity to develop empirically-supported theory and has greater relevance and interest for practitioners (Kempster & Parry, 2011; Conger, 1998; Bryman, Stephen & Campo, 1996; Alvesson, 1996). There is a need for inquiry that focuses on local patterns and acknowledges that meaning is jointly constructed with participants (Parry et al., 2014).

Public Health is predicated on the importance of evidence-based (or evidence-informed) practice and decision-making (Brownson, Fielding & Maylahn, 2009; Best & Holmes, 2010).

Given the lack of contextually sensitive evidence in public health leadership (PHL), this represents a significant constraint in the field.

New theories are required to describe effective non-government organization (NGO) leadership in coalitions and deal with the complexity of this system. Relational dynamics and emergent processes are not adequately described in leadership theories that only focus on the influence of a top executive or management (Parry et al., 2014) in single-organization contexts. Theory is needed that incorporates the interaction in and between entities that are dynamic and adaptive. Complex adaptive systems (CASs) provide a lens to explain how emergent processes facilitate adaptation through learning, innovation, and change.

This study aimed to have practical relevance that complements the current PHL focus that is competency-based, individual-focussed, and dominated by perspectives inside government. This study examined an “Ecology of Leadership” at the intersection between the social processes, the individual characteristics and the context of a coalition as experienced by NGO actors. This focus outside government, in collaborative, network-based organizations provided a new direction for research and a new way for public health coalitions to consider their engagement. This research also answers the calls for leadership to address the burden of chronic diseases in Canada.

3.2 Research Purpose

The purpose of this study was to describe and characterize the phenomenon of NGO leadership in national healthy public policy (HPP) for population-based chronic disease prevention (CDP) in Canada, and to develop theory of NGO leadership in this context (HPP for CDP in Canada) to inform future research and NGO practice in public policy.

The study complements the focus of current PHL scholarship on leader competencies by exploring public health NGO leadership as a complex, systems’ phenomenon using methods that explore context, and focus on the social process of leadership (and not the characteristics of individual leaders). This study expands the notion of PHL beyond the individual leader towards understandings that embrace a key tenet of public health: the interplay between individuals and their environment (i.e. ecological approaches, systems thinking and complexity). As such, this study is needed to explore a framework for PHL (Parry 1998; Kempster & Parry, 2011) that is rooted in, and describes, the specific context.

3.3 Research Questions

In reference to the lack of scholarship in this area, a research question to frame this investigation was developed that sought to understand the phenomenon of leadership in as broad a perspective as possible within the context. The intention of such a broad framing was to not exclude potentially important elements at the outset from this investigation.

3.3.1 Overarching Research Question

How is leadership operationalized by NGOs in the CAS of HPP for national CDP in Canada?

3.3.2 Sub-Questions

To help frame the investigation and orient the study, the following exploratory research questions were developed in relation to the overarching research question and the sensitizing concepts outlined in the previous chapter.

Table 3: Research Sub-Questions

Questions	Objectives related to sensitizing concepts
1. How do NGO actors engaged in national HPP for CDP describe leadership when it is framed as a relational, system dynamic in the CAS addressing the wicked problem of chronic disease in Canada?	Initiate inquiry into the context of the phenomenon under investigation (leadership) and explore the sensitizing concepts of an ecological approach, systems thinking and complexity and how these relate to the environment, the issues and the political processes. The various elements can be described as: what works? (Leadership as a relational systems dynamic), how? For whom? (From the NGO actor's perspective), and under what conditions? (CAS of HPP for CDP in Canada).
2. What is the relationship between context and leadership?	Describe the relationship between leadership and context (context as described by participants in question 1).
3. How do leadership processes create outcomes in national HPP for CDP in Canada?	Theorize the phenomenon in relation to the sensitizing concepts that explores leadership as building capacity for change, learning and identity formation.
4. In the relational process of leadership, what is NGO leadership? How is NGO leadership shaped by structures, operating environments and purpose?	Theorize the phenomenon in relation to the sensitizing concepts that describes NGOs as non-market based and non-hierarchical entities.
5. How does this NGO leadership work as a social, relational process? How does it compare to current process-based, contextually sensitive leadership theory and PHL?	Theorize phenomenon in relation to the sensitizing concept that explores current leadership theory in complexity, context and other relevant domains.

3.4 Implications of this Study

This research explores the phenomenon of leadership in a specific context to have both scholarly and practical implications. For scholarship, this study aims to add to the growing body of contextually-rooted (grounded) leadership studies that provide qualitative exploration of qualitative data to understand leadership in specific contexts (recognizing leadership as a context-dependent phenomenon within CASs). It further aims to contribute to PHL and practice by opening up a new avenue of leadership studies that considers leadership as a relational, systems' dynamic, beyond the actions of individuals and independent of the particular actors within a system.

For practice, this study aims to allow NGOs and public health practitioners to assess and reflect on the organizational and sectoral context and culture and provides clues for potential areas of exploration to create environments that can be conducive to the emergence of leadership, thereby providing a complement to individual competency based PHL.

4.0 METHODS

Having established the need for this study and the limitations of current theory, this section articulates the epistemological and ontological commitments the researcher employed and the design and methodology that best addressed the study purpose and research question. Research methods (interviews), the research setting (who, where and when) and data analysis methods are described in detail.

4.1 Epistemological and Ontological Commitments

This study responds to calls for qualitative approaches to the investigation of leadership processes grounded in empirical instances that use qualitative analysis of qualitative data to generate contextually-rooted theory of leadership (Bryman, 2004; Conger, 1998; Day, 2001; Parry, 1998; Lowe & Gardner, 2001). Rather than identifying a hypothesis and testing against this (which runs the risk of missing important elements of leadership), the author applied interpretive methods with inductive, deductive, abductive and retroductive inference to build explanatory theory from the narratives of informed participants (Danermark et al., 2002).

Creswell (2003) asserts the importance of the articulation of the assumptions held and the claims made by the researcher concerning ontology (what is), epistemology (how we know what is), axiology (the value related to the utility of knowledge gained), rhetoric (how that knowledge is written about) and methodology (the processes used for studying it). Making such claims explicit allows the reader to better situate and assess the research (and the chosen methods) for their purposes (Hall, 1995).

Leadership research that uses positivist and post-positivist approaches starts from an ontological assumption that leadership can be understood by reducing it to component functions and studying the interactions among those functions. Such approaches assume that the empirical (what can be observed) relates to the real (what is actually happening) in a direct way (e.g. gravity). The application of systems thinking within this study required an acknowledgement that systems are not reducible to their component parts, nor are component parts able to be combined to create a consistent and predictable whole. There is emergence and self-organization of components within a system and the context over time. There is no simple framing of a "dependent" and "independent" variable.

As previously discussed, explorations of leadership using positivist approaches have not resulted in an enduring or integrative theory of leadership despite decades of research and there does not appear to be any factor, variable or condition that operates consistently to influence leadership or its outcomes (Parry et al., 2014). As such, this study departs from positivist approaches to apply an approach that roots the study in its context (instead of stripping context away).

The investigator follows a Critical Realist ontology as it was developed to have real world relevance by acknowledging that social processes occur in open systems (Bhaskar, 2008). Critical Realism (CR) combines a general philosophy of science (termed transcendental realism) with a philosophy of social science (critical naturalism) to create a view of the linkages between the natural and social worlds. CR makes explicit that *knowledge of what is* (epistemology) is different from *what is* (ontology) (i.e. how we know something exists is different than its existence). CR asserts a reality that exists independent of human thought. The unobservable structures in this reality cause observable events and the social world is understood when people understand the structures that generate events.

CR conceptualizes natural and social reality as an open stratified system with three layers: the Empirical (observable experiences), the Actual (the experiences and the events which have been generated by some mechanism) and the Real (the mechanisms or structures that have generated the actual events). This view of reality recognizes that in the realm of the actual, an observer's account of events in the empirical instance may, or may not, be reflective of the real (i.e. human perceptions can be flawed). As such, an observer's construction of the world and how they react to that construction (including their hopes and expectations) is important to understand, but that construction is fallible (Kant, in Bhaskar, 2008).

While a notion of "the critical" along Marxist lines would indicate that once something is known it must be studied and/or taken into account (e.g. the forces - like neo-liberalism or capitalism - that cannot be seen, but are understood to cause poverty, must be taken into account in research as they are "critical") there is also a more pragmatic approach to "the critical" along Pawsonesque lines that aims to be scientifically critical in order to increase the understanding of phenomenon for action (Pawson, 2006). This research, with its intent to improve practice, falls under the latter notion of scientific criticalism.

CR relates to the practical aims of this research as it combines the search for evidence of a reality (in an open system) external to human consciousness with the assertion that the meaning of that reality is socially constructed (Oliver, 2012). It is posited that leadership is an emergent phenomenon that has empirical, actual and displays several non-actual characteristics.

The system where healthy public policy (HPP) for chronic disease prevention (CDP) in Canada is formed is a complex system where a multitude of actors attempt to influence the policy process. Employing a reductionist paradigm would risk stripping away the very aspects of the system that shape (and are shaped by) leadership in this domain. Different from the larger body of leadership research which tends to treat the relationship between individually-held and collective beliefs as static (i.e. the collective is a simple aggregation of the individual perspectives) (Dinh et al., 2014), applying a CR ontology recognizes the dynamism of the change process over time as elements and actors enter and exit and emerge from the system to advocate HPP for CDP.

Qualitative research is sensitive to contextual factors. It has the ability to study symbolic dimensions and social meaning emergent in contexts. It provides the opportunity to develop empirically-supported theory. It provides the opportunity to develop empirically-supported theory providing increased relevance to practitioners by advancing knowledge of social life (Pettigrew, 1996).

4.2 Research Design

To inform practice, this study sought to understand non-government organization (NGO) leadership processes in HPP for national, population-based CDP in Canada. The research aim (to develop theory) implied an inductive process, to which the author employed a realist paradigm. Consistent with this ontology, the author used abductive and retroductive inference within Grounded Theory Method (GTM) to provide a critical mechanism for theory development (Oliver, 2012).

GTM is a research methodology that seeks to explore and explain social processes and relationships such as leadership (Kempster & Parry, 2011). GTM can provide a method that is consistent with the guidelines and starting points of the social sciences articulated in CR and, in doing so, tie research more firmly to practice (Oliver, 2012). GTM's adoption of a context dependent exploration of social processes is consistent with the underlying philosophy of CR (Kempster & Parry, 2011). This study draws on Classic Grounded Theory (Glaser, 1978), Qualitative Data Analysis (Corbin & Strauss, 2008) and Constructivist Grounded Theory (Charmaz, 2014) to allow the inductive assertion of theory to be the research aim.

GTM enables the emergence of nuanced and contextualized richness within organizational structures, relationships and practices (Kempster & Parry, 2011). GTM in leadership requires the researcher to distance themselves from the belief that the study of leadership is about what formal leaders do, focussing instead on the social influence process (Parry, 1998).

Constructivist GTM adopts the inductive, comparative, emergent and open ended approaches of Glaser and Strauss but highlights the flexibility of the method encouraging the researcher to resist a mechanical application. Constructivist GTM assumes that social reality is multiple, processual, and constructed. This even takes into account the researcher's position, privileges and perspectives as the researcher is not a neutral observer and these elements are inherent in their reality. Constructivist GTM then focuses on relativism (as opposed to objectivism) as the research is constructed, invoking the need for the researcher to reflexively examine their perspective and biases (Charmaz, 2014).

This analysis used GTM informed by CR. With a focus on mechanisms over events, CR recognizes that even small samples can still contribute to knowledge. Qualitative data was gathered from in-depth, semi-structured, qualitative interviews with NGO actors involved in HPP for CDP at a national level in Canada - along with other data sources (i.e. field notes

and memos). Analytical dualism (Archer, 2003) informed the analysis based on its recognition of the interdependence between structure and agency that operate on different timescales. This provided an approach to analytically isolate structural and cultural factors to examine the context of the actions of agents at different levels in the system. The concept of morphogenesis was particularly relevant as it viewed the person (the individual and who they are), the agent (the organizational member within a coalition), and the actor (the social actor that person/agent becomes in the coalition) within the cultural context of organizations and coalitions and highlighted that individuals and groups interacting in social settings reproduce and transform the structural and cultural conditions within which they operate and in this process, they themselves are transformed.

Analysis and data gathering proceeded simultaneously as excerpts were coded with thematic descriptors using inductive inference (i.e. drawing conclusions from a number of empirical instances) and using constant comparison (Charmaz, 2014) and conditional relationship guides (Corbin & Strauss, 2008) applied to both coding and the excerpted data they described. These elements were then used to imagine elements, relationships, conditions and processes at work within a conceptual framework (abductive inference). The approach then returned to the data to apply deductive inference (i.e. identifying instances of the given premises in the data) and then from these descriptions and analysis, reconstructing the basic conditions for the phenomenon to "be what they are" (retroduction) (Danermark et al., 2002, pp. 80). Abduction and retroduction, with theoretical sampling was used to theorize how characteristics and processes create conditions for NGO leadership in this context (Meyer & Lunnay, 2013). Note: Definitions of these modes of inference are provided in the Nomenclature section in the front matter.

4.3 Researcher Perspectives and Assumptions

The author of this study (i.e. the researcher) has over 20 years of experience in senior management roles in provincial and national NGOs involved in the prevention and treatment of addiction, mental health and chronic disease (See Appendix C). With a Masters of Business Administration and a Masters in Public Health, his academic interests and practical experience have included population health, knowledge mobilization, leadership and governance.

His academic work has focussed on improving practice including: the application of information processing models to organizations to improve organizational learning; a comparative study of the development of the not-for-profit sectors in Canada, Argentina and Chile; leadership and governance in the community sector; exploration of the contributions of national strategies to CDP in Canada; and leadership in knowledge exchange networks.

The researcher entered the field of study with the assumption that participants would be steeped in individually-rooted notions of leadership, and that the process, context, systems and complexity framings may require a "shift" for most people. He also acknowledged that

some of these concepts, as applied to leadership, may not resonate with interviewees and as such that any emergent theory would be based on their perspectives and information.

4.4 Research Ethics

This study received ethics clearance from the University of Waterloo's Research Ethics Board on October 30, 2015 (ORE # 20995). All data collection proceeded after ethics clearance was received and in compliance with the protocols for research with human participants including the documentation of interviewees' informed consent to participate.

4.5 Sample

The exploratory nature of this study and the desire to have lessons that may be transferable to the population of interest (NGO in HPP for CDP in Canada) indicated that purposive, non-probability sampling of experts in the field would provide the best opportunity to obtain data from people most likely to be informative to the study's goals through their ability to provide rich information (Sargeant, 2012; Crossman, 2016).

Individual NGO actors who have participated in a variety of policy development initiatives at the national level were identified through various strategy documents, websites and government documents (e.g. Parliamentary committee reports and minutes) focussed on specific HPP for CDP issues (see Appendix D). These included organizations and coalitions focused on: risk-factor specific (e.g. tobacco control or alcohol), disease specific (e.g. cancer, heart disease and diabetes), protective factor specific (e.g. physical activity and nutrition) or broader based (e.g. health in all policies or social determinants of health (SDOH)). Within the last two decades, each of these organizations has had a variety of activities (e.g. campaigns, lobbying efforts, strategy or regulatory developments) that have aimed to influence the enactment of HPP (in its broadest sense). This broad focus identified twenty-five potential participants who could speak to typical and deviant incidents within the processes and relationships that formed among NGO actors.

With a goal of gaining theoretical sensitivity towards a richly defined theory, invitations to participate were not sent en masse at the beginning of the research process. Instead, once Research Ethics Approval was received, sampling was employed in three phases to allow the researcher to learn more about the topic in the early interviews and employ theoretical sampling as the analysis progressed. The order of interviewees was intentionally kept fluid to allow for remaining nominees to be selected on the basis of theory development needs. Theoretical sampling was used to guide the selection of subsequent interviewees based on the content that had been explored to-date and the researcher's expectation of the remaining candidates' potential contribution (loosely informed by the number of times their names appeared in the documents, their position, reputation and history in the field). As the population of knowledgeable informants is quite limited, it was hoped (but not necessarily expected) that 12 to 16 interviews would provide sufficient data to achieve saturation and sufficiency in theory development (Dey, 1999 in Charmaz, 2014, p. 214).

Based on this staged approach and the achievement of saturation in the research process, twenty of the twenty-five potential interviewees were ultimately invited to participate in the study and fourteen of these people agreed (70% participation rate). The six invited participants who did not respond to the initial invitation received follow-up communications. Of the fourteen NGO actors interviewed, nine were currently involved in HPP for CDP at a national level at the time of the interview while five were formerly involved (either having retired (3) or moved on to different fields (2)). Ten invitees were the most senior person in their organization (Executive Director or CEO) and had the responsibility for HPP in their organization. Ten invitees were the person who held responsibility for HPP in their organization (i.e. Director of Policy), but were not the most senior staff member.

The description above represented a sample (n=14) obtained through this method. However, a pilot (test) interview that informed the research proposal and had been conducted and recorded with the research supervisor was reviewed and discussed in detail with the supervisor after ethics approval and therefore informed the analysis. As such, the analysis includes a sample size of n=15.

Table 4: Overview Information of Study Sample
Selected demographic information of the study sample

Individual Attributes (n=15)	Count
Current NGO engagement in HPP for CDP at national level	9
>15 years of experience in national HPP for CDP	15
Coalition member	14
Coalition staff (secretariat)	4
CEO/ED	6
Sr. policy (person responsible for policy in organization)	8
Women	5
 Other Experience Identified in Interviews	
Health professional association	1
Academic	3
Government (bureaucratic)	5
Political or political staff	3
International	5
Provincial	5
 Organizational Attributes	
Risk factor focus	10
Disease factor focus	8
Broader (integrated focus or SDOH)	6
Charitable organization	9
< 5 staff	7
> 50 staff	5

Table 4 illustrates a breadth of experience among participants, demonstrating reasonable balance between larger and smaller organizations, CEOs and policy directors, as well as CDP focus. NGO actors participating in coalition and/or organizational HPP for CDP were selected to provide variability in foci of activity (socio-economic, disease specific, risk factor or protective factor) while maintaining a common thread of experience that covered a variety of instances of HPP for CDP. This has been suggested as a necessary element to ground policy learning (Sabatier, 1988).

Six individuals mentioned holding advanced degrees (Masters or above) and spoke of the impact this has had on their approach to their work. All interviewees spoke English. It should be noted that the interviewer did not ask any questions as to the participant's ethnicity, indigenous status, mother tongue, race, culture or creed.

The fifteen individuals whose testimony was used in the analysis (fourteen interviews and one pilot interview) represented perspectives from eleven organizations involved in HPP for

CDP at a national level in Canada. In viewing the sample from an organizational perspective (and not from an individual perspective), six of these organizations were discussed by more than one participant. The significance of this is that some instances were explored by multiple perspectives across and within organizations from different vantage points.

Many organizations host their national office in Ottawa or the National Capital Region for access to federal decision makers. As such, most interviewees were from this area, however, there were individuals from British Columbia (1), Alberta (1) and Quebec (1).

While informants mentioned numerous formal and informal coalitions in the interviews, every participant mentioned either the Canadian Coalition for Action on Tobacco (CCAT) (n=13) or the CDPAC (n=10) as a coalition they had participated on, or were very familiar with, through their work.

These NGO actors have championed systems approaches for HPP for CDP. They each had over fifteen years of first-hand experience in the problem stream, policy stream and political stream activities and have worked to create (and exploit) stream couplings and encourage and nurture policy entrepreneurs in the policy process (Kingdon, 2003, Sabatier 1988). As such, these NGO actors, whether seen as leaders themselves or not, were well positioned to comment on the leadership processes that shaped the policy environments and CDP HPP developments.

Interviewees were asked if they knew of other NGO actors who have been engaged in HPP for CDP and who may have a good perspective to share based on our interview. The question was intended as a snowball sampling strategy to identify additional interviewees. However, it resulted in no potential participants beyond those who had previously been identified by the researcher.

4.5.1 Recruitment and Consent Protocol

Participant recruitment procedures and consent protocols were established in the research proposal (see Appendix E and F), approved by Research Ethics and followed in participant recruitment. This process included an email invitation to participate in interviews with follow-up occurring through email and by telephone from the researcher (i.e. the author of this dissertation).

If a reply was not received within two weeks of the emailed recruitment letter, then the researcher re-sent the request and contacted the potential participant by telephone (if possible) to establish their interest in participating in the study. At the time that a participant offered email or verbal consent to participate, a time and location for the interview was set. Consent was sought and confirmed at the start of each interview.

At the end of each interview participants were asked if they would like to receive the transcripts, and if they could be re-contacted to either obtain clarity or further elaboration on

questions that emerged for the researcher from the interview. They were also asked if they could be contacted should the researcher develop materials which could benefit from their feedback or validation.

4.5.2 Relationship of Interviewer to Participants and Demand Characteristics

The researcher had previous collegial relationships with all participants interviewed, principally through his roles as Executive Director with both the CCTC (2003 - 2016) and the CDPAC (2009 - 2010). Three participants had previously been members of the Board of Directors for CCTC during the researcher's tenure as Executive Director. As such, the potential for demand characteristics was recognized and addressed in the interviews. Demand characteristics in qualitative interviews can manifest when interviewees filter their responses based on what they perceive the researcher wants to hear thereby letting their expectation influence their behaviour and testimony (Weber & Cook, 1972). The researcher employed strategies to address this including starting each interview with a statement that there were no right or wrong answers, and reiterating that the purpose of the interview was to explore their experience of HPP in CDP (Weiss, 1994). Occasionally, interviewees would ask "is this the kind of thing you're looking for?" to which the researcher would reconfirm that the purpose of the interview was to discuss what comes up for them (i.e. there were no right or wrong answers).

Although interviews contained general "pleasantries", the interviewer maintained a focus on the research aims. With the interviewees' previous existing relationship with the researcher, some interviewees would allude to the researcher's experience in a particular area being discussed (e.g. "well, you'd know more about this than I"). In these instances, the researcher used strategies of extending (further probing of what led to or followed an observation), clarification (further probing of what they meant), identification (who else was involved), explicating (sometimes through feedback back what was heard and other times through probing questions) and exploration (of their inner meaning) (Weiss, 1994).

4.6 Data: Interviews, Memos and Documents

Data were gathered through the interviews and through journaling and memo writing performed by the researcher. Although other documents were suggested by interviewees, these were used as background or context and did not form part of the analysis. The findings from the interviews, along with field notes (memos) formed the basis for grounded theory development and allowed for the identification of pertinent domains, mechanisms and conditions that may be suitable for understanding the social process of leadership and the generation of an explanatory theory.

4.6.1 Interviews

Interviews were conducted to gather in-depth qualitative data on the characteristics of, and conditions for, the social processes of NGO interaction that create the capacity and conditions for groups to respond to change, to learn and create knowledge, and to develop

social identity and social capital for HPP for CDP in Canada as specific examples of leadership expression (Yukl, 2013). As a data collection method, semi-structured, intensive interviews “focus the topic while providing the interactive space and time to allow the research participant’s views and insights to emerge” (Charmaz 2014, p. 85). In order to allow for greatest freedom and to gain in-depth understanding, the questions were open-ended and directed at understanding the experiences of, and relationships between participants related to the sensitizing concepts in their respective roles within HPP for CDP in Canada.

4.6.1.1 Interview Procedures

Semi-structured, in-depth interviews with these key informants (Hammer & Wildavsky, 1989; Weiss, 1994) were conducted in English either in-person (n=4) or over the phone (n=10) based on the participant's availability, preference and geographic location. An interview guide (Appendix G) based on the research questions and sensitizing concepts was used as a starting point for each interview to balance standardized content (particularly during the first interviews) that could be compared across interviewees with each participant having the flexibility to expand on topics or responses to probing questions.

Interviews explored NGO engagement in national HPP for CDP in Canada, probing for dynamic interactions (RQ3, 4, & 5), feedback mechanisms (RQ3, 4 & 5), patterns (RQ1, 2 & 3), coordination and organization that emerges (RQ2), experiences and perceptions of system boundaries (RQ1 & 2), and the impacts of the system’s history (RQ2) (Cilliers, 1998). Interviews also explored how things might have been different if NGOs were not involved (i.e. aspects unique or attributable to NGO engagement) (RQ4 &5).

All interviews were digitally recorded (using Tape-A-Call, if conducted over the phone, or a digital recorder, if conducted in person) and the recordings were transcribed by a professional transcription service. Of the in-person interviews, three were conducted at the participant's private offices and one at the researcher's office. Initial transcripts (n=4) were transcribed using "intelligent verbatim" transcription (i.e. removing of "ums" and other "noise" words). Following a discussion with the supervisory committee, the remaining interviews were transcribed "full verbatim" (i.e. leaving in all "noise" words) to allow for easier identification of verbal cues from which different tone may be inferred from the testimony (and compared with the tape and notes).

The interviews resulted in over 18 hours of taped conversation representing 340 pages of transcribed notes and 162,370 words (see Appendix H for more information). All interviews (with the exception of the pilot interview) were conducted between November 13, 2015 and May 11, 2016.

4.6.1.2 Pilot Interview

A pilot interview was conducted by telephone on July 15, 2015 with the researcher's supervisor who had experience in NGO HPP advocacy. This interview tested the questions

from the proposed interview guide and allowed for an assessment of the clarity of the questions (both in how they were asked as well as the respondent's demonstrated understanding of the question). Initial cognitive testing of question construction (Schwartz & Oyserman, 2001) reflected on the responses received (post interview) in relation to the expected response the question was intended to solicit. This interview exposed specific gaps in interview questions, identified questions that were too pointed or leading (thereby addressing an aspect of demand characteristics) and helped identify a different order that allowed for a better flow within the interview process.

The pilot interview also allowed for an assessment of the length of time required for an interview, and provided an opportunity for both feedback on the process (from the interviewees perspective) and for reflection and learning on the part of the researcher in terms of interview style and form. Changes to the interview guide were made in consultation with the dissertation committee and the revised guide was included in the submission for ethics review.

The pilot interview was reviewed in detail with the research supervisor at the same time as the first three interviews. This review brought many elements from the original testimony within the analysis.

4.6.1.3 Interview Progression

The interview process (and progress) was reviewed with the dissertation advisory committee at five stages: the first time prior to any data collection, the second, following the pilot-test of the interview, the third time was after the first wave of (3) interviews, the fourth was after the 2nd wave of (5) additional interviews (prior to the final set of interviews), and the final reviewed occurred after the last wave of interviews. These meetings explored who was being interviewed, what was being learned and how (and why) the researcher was proceeding.

The first three interviews that occurred in November and December of 2015 were conducted with candidates who had significant experience in HPP for CDP but were no longer active at a national level (2 having retired, and one moving to another aspect of health). This strategy allowed the researcher to receive rich information while also continuing to orient himself to the field and the interview process. Post interview memos (created from notes taken during the interview) focussed on particular words, areas of interest, questions or thoughts that remarks provoked. They also reflected on subject areas to further explore.

The first three interviews were conducted prior to any transcript being received. As such, the interviewer relied on notes from the previous interviews to inform each subsequent interview. On receipt of the first transcripts, initial coding began. The first interviews were coded prior to the fourth interview being conducted. Once the transcript from the fourth interview was received, axial coding, selective coding and theoretical sampling began. Coding

aided in the analysis of similarities, differences, questions and themes from these interviews and helped inform the selection of the subsequent candidates to be interviewed.

In the second phase of interviewing, seven invitations were sent to five policy directors/managers and two CEOs to further explore the themes that were emerging. Following this second phase of interviews, a variety of themes and seemingly key processes began to emerge from the data. The third phase, included a further six invitations sent to four CEOs and two policy directors. Based on the responses received, a further three invitations were sent to three additional CEOs.

4.6.1.4 Deviations from Plan

There were two deviations from the interview plan. At the request of two participants, two individuals were interviewed at the same time. Although the original intent was to have one-on-one interviews, the researcher, proposal and the invitation all expressed a desire to accommodate participants' needs in conducting interviews, and as such, this request was granted (observations and learning from this are discussed later).

As for the second deviation, invitations were not sent to the last five names on the list of potential interviewees. The interviews immediately preceding what would have been a final wave had mainly elaborated on current findings and provided some nuance to key themes and processes. With no new information being identified, it was therefore felt these additional interviews were not required. Three of these potential participants were more junior in their organizations and had broader mandates beyond policy, one had moved on from the NGO sector to government and the final one, although seen as a desirable candidate was a third choice for a particular organization as two others were being pursued from that organization in the final round of interviews.

4.6.1.5 Saturation and Sufficiency

The data proved quite rich and the final sample (n=15) as it related to the density of particular theoretical categories and theoretical saturation appeared sufficient (Corbin & Strauss, 2008). Following the fourteenth interview on May 11, 2016 (with data from fifteen participants), the researcher concluded that no significantly new information was being drawn from the interviews. While any late responders would be interviewed, no further invitations would be sent at that time. Note: no further response to the previously sent invitations was received, so no further interviews were conducted.

Recognizing the early state of analysis, this was initially regarded as a "pause" in the interview process. However, as selective coding and theoretical sampling of the data advanced and theory generation continued, the descriptions emerging in support of theoretical assertions were appearing sufficiently rich. Given the breadth and depth of the data (i.e. 340 pages of transcripts) and initial coding, the selective coding process that followed the axial coding began to demonstrate many examples and articulation of key concepts that matched

Charmaz (2014) explanation for achieving saturation (i.e. the comparisons made within and between categories and the sense made from these comparison and how that illuminates theoretical categories and directions). Further, the replication of instances within the emerging key concepts provided increased comprehension and confidence in the completeness of the data (Morse et al., 2002:12 in Bowen, 2006 pp140). In consultation with the thesis committee, it was decided that no additional interviews were required as saturation through triangulation and negative example analysis was becoming increasingly evident.

4.6.2 Memos

Verbatim transcripts of the in-depth, semi-structured, qualitative interviews that were created formed the basis of analysis. During telephone interviews, the researcher kept the interview guide, research questions and a thematic diagram (Appendix I: Interview Schema) in sight for easy reference. Notations were made directly on these resources and on a note pad during the interview. Following each interview, memos in Microsoft Word were created from these notes that reflected on the experience, process, content and insights. The researcher also took note of questions and ideas that arose following the interview. These memos formed part of the data and were used to guide analysis and the sampling choices of future interviews. During interviews conducted in person, the interviewer only referred to the interview guide, keeping it within his notebook, in which he made occasional notes during the interview (preferring to attend to the interviewee and not his notes).

As transcription took many days, there were many instances where a subsequent interview occurred prior to receiving and coding the transcript of the preceding interview. As such, in these instances, the researcher relied on the interview journal records and memos to inform potential areas to explore in each subsequent interview. As interviews progressed, memos, coding, and other aspects of analysis informed both interview sampling and process. The researcher also kept a journal during the research process to reflect on ideas, learning, assertions, and the process. These journals also formed part of the research data.

Starting with the initial interview and continuing through the research process, 240 memos, notes, reflections, and diagrams were created that reflected on assertions, connections, relationships, questions, inspiration and methods. These were also used to inform the selection of codes and excerpts that were germane to the research question. They further aided in the use of abduction and retroduction to identify divergent instances within the data as well as provide clues to what appeared to be instrumental for the emergent theory.

4.6.3 Documents

Other sources that were suggested by participants (such as evaluations, white papers, videos, position papers, strategy documents and websites) were reviewed to inform context and understanding. However, they did not form part of the research data used in analysis beyond what Uhl-Bien et al. (2007) describe as examples of coarse-grain properties that articulate or exemplify relevant structures, norms, and processes.

4.7 Analysis

Analysis commenced with the first interview and continued within (and between) each interview. The analysis was guided by GTM as described by Glaser (1978), Charmaz (2014) and Corbin & Strauss (2008). NVivo software (V8) and Microsoft Excel were used for qualitative analysis and data management. The thematic codes assigned within NVivo to data were developed from the data (and not created *a priori*).

Analysis was conducted principally using Classic and Constructivist Grounded Theory - seeking to create and explain a phenomenon grounded in qualitative data and experiential knowledge. Classic Grounded Theory (Glaser, 1978) provided guidance on the use of constant comparison and outlined various techniques to focus the researcher on the social processes (See Appendix J). Constructivist Grounded Theory (Charmaz, 2014) focused the researcher on the interaction between data collection and analysis; data-driven coding and category development; ongoing theory development; memo-writing to document rationale for coding and analysis; theoretical sampling to support theory construction; and consultation of the extant literature to support and elaborate on concepts and connections that emerged from the data. Both Glaser (1978) and Charmaz (2014) emphasize the need for flexibility in the research process. As such, the researcher documented the research process through journaling to ensure the methodology could be well articulated.

Coding and constant comparison formed the basis of the analysis. The three initial interviews (and the pilot interview) were analysed individually and as a group to create an initial coding hierarchy. Memo writing and diagramming was used at this early stage to advance theoretical assertions based on the categories and themes that emerged from the analysis in the data.

The next set of interviews was brought into the analysis as they were conducted. Immediately following an interview, the analysis began first with the researcher's notes and then again after the transcriptions were received, verified and coded. The last five interviews were conducted over a two week period. The "double" interview (interviewing two participants at one time) introduced new elements as the participants reacted to each other's contributions and posed questions to each other. This led to new questions and assertions within the data and allowed further exploration in the interviews that followed.

All of these processes were documented in memos, journals and diagrams to keep track of learning, relationships and processes. The research process (and resultant documentation) informed interview progression, coding and analysis. These steps informed theory construction by comparing the emergent theory against the literature, the data and new assertions proposed by the researcher.

4.7.1 Transcripts and Initial Coding

Written transcripts were reviewed by simultaneously reading the transcript and listening to the recording of the interview. In this way, errors were corrected, missed information was added (i.e. sections of the transcripts that were marked "inaudible" by the transcriptionist were corrected) and notations on tone and tempo were added to the margins on printed transcripts. During this initial review, key segments were highlighted, and key words and thoughts were noted about the transcripts.

Transcripts were then imported into NVivo and line-by-line coding began. Inductive inference was used to assign a descriptive moniker or code that described a concept, action or idea behind the data to each individual sentence. In some cases, two or three sentences (or even paragraphs) continued a similar theme so they were assigned one code. As well, a single sentence could also contain more than one idea, and, in those instances, more than one code was assigned. Gerunds (i.e. a noun that is derived from a verb in English and usually takes on the form of ending in 'ing' e.g. swimming or running) were used, where possible, to focus the coding on actions and processes (Glaser, 1978). In other instances, codes arose *in-vivo* from the interview data and were used by the researcher as the descriptive moniker.

During initial coding a new descriptive code was created for each line of text (or paragraph) instead of ascertaining if the text "fit" an existing "free node" or "tree node" (NVivo terminology for descriptive codes). As such, the researcher created a "new, free node" for every selection. If, in the process of creating a node for an excerpt, the system flagged that the code already existed, the researcher assigned the existing node to the text and then revisited the node at the end of the coding exercise as a first task of constant comparison to ensure that the label accurately described each excerpt and that there was coherence between the lines of text (to ensure a single, consistent interpretation of each descriptive code).

To view the data in more conceptual terms, these initial code labels (and corresponding data) were examined to identify emergent patterns, similarities and differences. After the first four interviews, the number of codes started to become unwieldy (700+). The existing codes were then examined and new "levels" of coding were created that grouped codes with conceptual ties together under "subject" or "content" codes (i.e. NVivo's "tree nodes" were used to nest child codes under parent branches allowing groupings of like-with-like). This "transient" coding structure resulted in thematic codes under which the initial codes were assigned. Through this process, all initial codes from the first four interviews were transferred to a tree structure under new, parent, thematic codes, clearing all codes from NVivo's "free node" screen. As such, the researcher maintained the uniqueness of the codes initially assigned and used a tree node structure (parent and child nodes) to then relate these under an overarching thematic code structure. This allowed for greater subtlety to be maintained and employed in the analysis.

Within this stage, the researcher coded participant narratives and not his own participation in the interview. The researcher reviewed questions and responses in an attempt to learn (through the interview process) the mechanisms for feedback that would reflect what was heard from a participant, but not suggest a framing.

The initial coding of interviews resulted in a fluctuating number of codes (as comparison of data within codes would combine excerpts under the same code, or separate data elements under different codes as analysis continued). Appendix K explores the number of thematic codes and references per interview. Thematic codes assigned per interview ranged from 83 - 259 with the number of references ranging from 91 - 310 per interview.

The researcher's aim was to stay true to what the interviewees were describing and not force data into an existing structure. While the researcher exercised judgement in excluding the informal opening and closing conversations of the interview from coding (where more personal exchanges occurred), the researcher exercised few inclusion/exclusion judgements in the initial stage of coding. As such, content that proved irrelevant or tangential to the research questions was initially coded, resulting in a proliferation of codes (>3200).

Twice in the process (after interview 4 and after interview 8), all free nodes in NVivo were moved into a tree node structure, thereby effectively removing all free nodes from the software. This allowed for a "clean slate" in the coding of subsequent interviews. This step was intended as a mechanism to ensure the descriptive and conceptual codes were emerging from the data and not forcing data into existing codes.

After all interviews were concluded, constant comparison continued. Assessment of coherence between the codes and the excerpted data within them resulted in some excerpts being merged under existing or new categories that better described the excerpted data. Other codes were deleted as they did not appear to be a good fit with the data they contained.

This process of comparison, amalgamation and deletion reduced the 3,212 individual codes to 2,134 described in 35 branches (some of these branches further employing sub-branches).

4.7.2 Axial Coding

Through an inductive process of constant comparison similar codes were grouped together (principally comparing like with like) to create subject codes (i.e. code families in a tree structure) with the similar codes nested as subordinate codes in an emergent hierarchy. As these categories were formed, branches (made from "parent" and "child" codes) were related to each other through constant comparison creating a structure with overarching themes. The coding hierarchy that emerged was based on participants' narrative. Deductive inference returned the researcher's attention back to the research questions and sensitizing concepts to identify the data (and codes) that addressed each question, sensitizing concepts or their ability to inform the conditions and context of NGO leadership.

Codes and themes were continually refined at line-by-line and incident-by-incident levels using constant comparison. This provided a systematic process that was sensitive to the emergence of theoretical issues of concepts, categories and relationships. The researcher also created 240 memos and notes to document rationale behind themes and categories (Charmaz, 2014). At this stage, the researcher's participation and questions within the interviews began to be included in the analysis (Schwartz & Oyserman, 2001).

The wording of the questions as posed during the interviews was compared back to the original interview guide. This was done to assess the variation in how the questions were articulated, and to review the breadth of responses to key issues. For example, the Interview Guide posed a question concerning conflict as "how does the organization/coalition deal with competing interests, tensions or conflicts?" Ten interviews addressed the issue of conflict. However, only in two cases did the interviewer introduce the question - in the other eight, the participants introduced (and framed) the discussion. As such, the excerpts that dealt with conflict framed the issue as personalities, competition, conflict management, values around conflict, issues and qualities of relationships and creative dissonance. When the language that participants used was applied as search terms on the data, all fourteen interviews provided descriptions and examples of conflict. This confirmed for the researcher that either looking at the questions and responses or conducting simple natural language queries (in this example, the word "conflict") could miss relevant excerpts to key processes.

The deductive process that returned the researcher back to the data to identify the evidence within the data that supported inductively derived themes resulted in a coding structure more directly aligned to the research questions. While a "tree structure" had been identified in the initial coding process, this structure had not been created in reference to the research questions and aims. The new structure that emerged included branches relevant (and tangential) to the research aims.

Various schemas were produced that segmented the codes and corresponding data under specific headings. From this, additional segmentation of these data was conducted to find more meaningful descriptors (i.e. axial codes). For example, an initial segmentation of "causes" was then segmented again to produce sub-headings of roles, timing, organizational resources, interpersonal dynamics, evidence, results, tactics, ideology, etc. (Glaser, 1978). These segmentations were then analysed for processes, relationships, structures and issues. This process was repeated for consequences and conditions and the resultant segmentations were compared to arrive at a set of codes that appeared to address the research questions.

From these exercises, a principal data structure (see Appendix L) with 12 overarching code themes containing 62 sub-branch codes were identified as relevant to the research questions and illustrative of elements, processes and relationships that described NGO leadership in HPP for CDP in Canada.

4.7.3 Selective Coding and Theoretical Sampling

To continue exploration for key processes, natural language queries were used to investigate various concepts within the data using specific words that focus on conditions and contingencies in the data such as "because", "if" and "when" (Glaser, 1978). The results were examined for instances of causes, context, contingencies, consequences and conditions. Additionally, queries that looked for temporal influences, tactics and approaches within the data were created to further illuminate processes (Glaser, 1978). These exercises augmented the existing code structure and highlighted new possibilities.

Other natural language queries on key words (e.g. leadership) were employed to validate findings and ensure thoroughness by identifying related, broader and narrower terms for key concepts. Results of natural language queries were compared with the data in the coding hierarchy; the manner in which informants had addressed key concepts provided alternate terminology that was then re-applied to the data to identify further instances of concepts.

Once an initial structure started to emerge, theory development began using a variety of techniques. Abductive inference was used to postulate what the data was suggesting in terms of the research questions, recurrent (and extraneous) themes and context. Through memo-writing and diagramming, assertions were articulated and explored that expounded on the categories and identified potential processes. Questions, curiosities and comments that arose for the researcher were also documented (and applied to the data). Metaphors and analogies proposed within the data by participants (and inspired by the data) were also explored and extended through memo writing and diagramming (Corbin and Strauss, 2008).

After the second round of interviews (following the eighth interview), assertions were created on a weekly basis based on the data and analysis from that week (i.e. asking "if I stopped interviewing here, what assertions could I make about my research questions based on what I've learned so far?"). Memo-writing and theorizing explored and advanced these assertions based on theoretical categories and the sensitizing concepts explored in the literature review. Emergent themes were then identified and explored by returning to the data for implications, similar instances and differences. This process imagined component parts, necessary relationships and conditions for how these assertions might work.

Retroduction was then used to postulate the necessary conditions (i.e. what must be present? what is required?) for the assertions to be true (or functional). Through retroduction, the researcher examined differences within the data (i.e. where testimony conflicted or drew alternate conclusions from circumstances) and questioned what this revealed about the components and relationships. In relation to the sensitizing concepts, retroduction provided a strategy for examining *a priori* assumptions against the emergent themes in relation to the structures, processes and outcomes - and eventually of the theory of NGO leadership and what could not exist without it (Danermark et al., 2002).

This process was ongoing and iterative but not linear. Information produced during analysis guided subsequent interviews, and with the data (and insights) that each new interview revealed, these new insights and questions were explored in the existing data. In this manner, a deductive process of assessing the interview data for examples that addressed the research questions was then used to inform an abductive process of:

- assessing what inference could be drawn from each segment (and each interview),
- exploring possible implications of themes for the research questions,
- identifying the similarities and differences between the interview (content and process) and what can be inferred from these,
- identifying components and mechanisms of identified processes, and,
- postulating assertions that could be made "at this point" about each research question (and whether the assertion was sufficiently rooted in the data, and sufficiently explanatory of the process?)

These exercises informed a "narrowing-in" on the key concepts within the codes that had been generated in initial, axial and selective coding. Various schemas were produced that segmented the codes (and corresponding data) under specific headings. From this, additional segmentation of these data was conducted to find more meaningful descriptors (axial codes).

As patterns emerged and relationships and processes began to be explored, the resultant assertions were compared against the extant literature to help concretize, extend and contextualize emergent theory (Kempster & Parry, 2010). Assertions were also compared back against the data to ascertain if there were other elements that were implicated in the assertion, instances that appeared to refute the assertion or elements that provided a more fine-grained (every day or casual) or coarse-grained (structural or process) view of the assertion. In this way, abductive inference and retroduction were being used to expand the assertions and corresponding themes currently being assessed.

4.7.4 Diagrams and Modelling

A key part of analysis was creating visual representations of the system and of the assertions that were emerging from the interviews. A series of diagrams were created with the first order and second order codes in the thematic categories identified in Appendix L. These were grouped (and regrouped) using Glaser's (1978) recommendations (See Appendix J). These early diagrams used theoretical categories (parent codes), entities (people and organizations), issues and outcomes to obtain visual representations of the data.

Initial relationship diagrams were created from tables to identify potential staging and dependencies between codes and coding families (i.e. how the various processes related). Later diagrams incorporated entities and influences by placing each process in the centre of a diagram and relating it to the entities within the system. System maps were also created that identified relationships between entities and processes and attempted to illustrate dynamism

within and between the different levels within the system (actor to actor; actor to organization; organization to organization; etc.).

Every participant used analogy, metaphor and story within their testimony. Through the analysis process, the researcher worked with these various analogies (and created many others) to create diagrams with words and images to discern and attempt to understand "what was going on". As diagramming progressed, the researcher also applied the various metaphors and analogies to previous diagrams, structuring the data through sequence or category through the lenses of metaphor. This resulted in a variety of representations of the various combinations of entities and relationships (including processes and sequences) of the phenomenon under investigation in the defined environmental context of the research (HPP for CDP in Canada).

4.7.5 Theory Development and Saturation

The iterative process (i.e. going back and forth between ensuring an understanding of the data, making assertions based on that understanding and then assessing those assertions and posing additional questions) formed the basis of analysis to generate data-driven themes which were then reviewed to assess their ability to address the research questions.

Through this process, a level of saturation occurred in the data such that no new information was emerging from new informants. Once this theoretical sufficiency (i.e. towards saturation) was achieved a more robust review of extant literature was conducted.

This resulted in an overarching explanatory theory with accompanying illustrations that was reviewed by the dissertation researcher for internal consistency and to ensure the categories were well-developed by supporting data.

4.7.6 Validation and Member Checks

Key diagrams from this study were reviewed with three of the participants to assess credibility, resonance and utility. The first member check was conducted based on convenience. This initial check was conducted with a CEO, so the researcher contacted a Director of Policy and then another CEO.

With permission received during the interviews to reconnect with participants to explore findings or clarify testimony, the researcher reviewed the preliminary theory as depicted in the ecosystem for national HPP for CDP in Canada (Figure 3 pp. 128), the NGO perception of the Government of Canada's policy logic model (Figure 1 pp. 57) and the social learning process of NGO leadership (Figure 2 pp. 80). These member checks were conducted on December 22nd, 2016, January 6th and 12th, 2017.

The purpose of these meetings was to explore participants' feedback on emergent theory as described in the figures in relation to the clarity, logic and completeness of the diagrams. The

intention was to assess the developed theory for credibility, originality, resonance and usefulness (Charmaz, 2014). No formal questions were developed for the interviews.

The researcher started with two of the three diagrams: the ecosystem and logic model diagrams providing a high-level "tour" of how participants described the policy process logic, the closed system of parliamentary process and the open system that surrounds it. Various symbols and elements of the diagrams were clarified as the participants posed questions and made suggestions. Once the entities and relationships within the eco-system were sufficiently explored the conversation moved to the inputs, events and processes of the policy process and actor movements (and interactions) in the ecosystem thereby exploring both the overarching and sub-research questions.

With the exploration of policy ideas, the researcher brought out the third diagram, the social learning process of NGO leadership and reviewed the process within the context of the ecosystem to explore how policy ideas and social policy learning make their way "around" the ecosystem to the policy tent and how focussing events and policy entrepreneurs "fit" (how they occur, how they're identified, etc.). The purpose of starting with the two diagrams and holding back the third was based on a hope that participants would discuss elements of the process without the influence on the discussion of the author's assertions.

Feedback from member checks was incorporated as data providing a final round of analysis that enhanced the rich description of NGO actors and the structures and processes through which NGO leadership in HPP for CDP in Canada is expressed. However, following the third member check, the researcher felt that while a refinement of concepts had occurred, the purpose of assessing credibility, utility and resonance had been established. As such, no further member checks were conducted.

4.8 Credibility and Trustworthiness

Knowledge synthesis of methods in qualitative research that attempt to assess the state of the published literature on specific topics have highlighted the need for researchers to transparently articulate various perspectives, decisions and criteria so the reader can create an independent assessment of the theoretical assertions (Charmaz, 2014). Previously described documentation and analytic strategies such as verbatim transcripts, coding reviews, memos and journaling, member checks and an audit trail were employed to augment credibility and trustworthiness of this study (Bowen, 2006).

The author started this section by articulating the ontological and epistemological commitments employed in the study (Hall, 1995), and described the analytic process and choices in detail including sampling, interviewing, analysis and inference. An exploration of "the researcher within the study" including background, aims and relationship to the subject, research participants and objects has also been included to help the reader situate this study within its complete context (Creswell, 2003).

Evaluation of the theory using credibility (i.e. the author demonstrates a deep knowledge of the topic and the data is sufficient to support the assertions), originality (i.e. the study offers new insight on the phenomenon), resonance (i.e. the theory makes sense to participants) and usefulness (i.e. the theory offers interpretations that can be used by participants) to establish trustworthiness is explored in Section 6.4: Strengths and limitations (Charmaz, 2014).

4.9 Resources and Timeline

The following technologies were used in the interview process, transcription and analysis: Tape-A-Call™ (an iPhone app that records telephone conversations), Apple Voice Memo (used to tape in-person conversations), and NVivo 8.0 (analysis software in which transcripts were imported and analysed), and Microsoft Office (Word, Excel and PowerPoint).

Dropbox (a secure, password-protected online storage site) was used to exchange password-protected recordings and transcripts with Centretown Corporate Services who signed a confidentiality agreement before performing the transcription of interview recordings. Financial support for transcription services was provided by the University of Waterloo.

The PhD thesis committee was chaired by Dr. John Garcia with Dr. Barb Riley and Dr. Samantha Meyer serving on the committee.

Table 5: Research Timeline

	2015				2016				2017														
	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	
Proposal Defence (Date)	6th																						
Research Ethics Proposal (Date)		15th																					
Research Ethics Approval (Date)			30th																				
Supervision Meetings (Date)				16th	23rd				29th			14th	26th	21st	8th	28th			5th	3rd			
Interviews (No.)	Test			2	1	3	2		2	4													
Member Checks (No.)																	1	2					
Analysis (Duration)																							
Initial coding																							
Axial coding																							
Selective coding																							
Theoretical sampling																							
Writing																							
Thesis Submission																							18th

4.10 Management and Conduct

The advice of the thesis committee and supervisors notwithstanding, the researcher directed all aspects of this study including the preparation of materials, the submission for ethics reviews, the initiation of contact with participants, the conduct of the qualitative, semi-structured interviews, the coordination and assurance of confidential binding of transcriptionists, the coding, analysis, writing, validation, presentation and defence of the final thesis.

5.0 FINDINGS

5.1 Overview

For this study, the research purpose and questions were based on a review of the literature and field of healthy public policy (HPP) for chronic disease prevention (CDP) in Canada and public health leadership (PHL) to help address: the long-term issue of chronic disease and its increasing burden, the public health response to this and more importantly the PHL that has been called on to address chronic disease, and the contribution of engagement of the non-government organization (NGO) sector in this process.

This area of inquiry was unexamined from a number of perspectives: conceptions of PHL beyond individual competencies, public health from the NGO perspective, and contextual explorations of leadership in the policy process. With so little known in this area, an exploratory research design was chosen. Through the process of reviewing literature from public health, leadership, public policy, NGOs and organizational studies for NGO leadership in HPP for CDP, common elements emerged which became sensitizing concepts that then informed the development of the interview guide as a data-gathering instrument. Semi-structured interviews were conducted with key informants who had significant experience in national HPP for CDP in Canada. It is possible that the researcher's relationships and historical involvement in the field facilitated access to these individuals and contributed to the interviews' success (i.e. the researcher could be considered a fairly well-known insider).

The researcher's commitment to be true to the data as provided by participants, lead to the application of an inductive approach to code and interpret the data without forcing data into predetermined categories as per Grounded Theory Method (GTM). Within the emergent coding hierarchies, the sensitizing concepts were tested against the data to determine their continued relevance to participants' testimony and the strength of the data to provide empirical justification to the importance of various factors in relation to the research questions and emergent theory. Recognizing the complexity within this system and the stratification of data across various levels of the system, Analytical Dualism and the Morphogenetic Approach (Archer, 2003) informed an analysis of the data from multiple perspectives, particularly the structural and individual actor perspectives. This approach highlighted different aspects of the research questions and sensitizing concepts at the different levels and created the challenge of articulating the theory of NGO leadership in national HPP for CDP in Canada. There were numerous factors at various levels in the system that could be described at any level through events, interactions and relationships among the entities at and between levels - leading to many narratives woven together to describe the phenomenon of NGO leadership.

Reflecting on the analysis, six particular perspectives framed a multi-level view of NGO leadership in HPP for CDP in Canada and allowed the researcher to stay true to the data and elaborate NGO leadership as operationalized within complex ecosystem parameters. The Medicine Wheel and the fable of *The Blind Men and the Elephant* (Saxe, 1872) provided useful framings for exploring NGO leadership from these six perspectives. The perspectives addressed the research questions and did justice to the rich data generously given by the informants. These perspectives were:

- i. Policy Advocacy as the domain of NGO leadership
- ii. Policy Advocacy inputs, aims, objects, ideas and options for HPP for CDP in Canada (what is it?)
- iii. The policy process for national HPP for CDP in Canada (in general, how does it work?)
- iv. The NGO role in the HPP process (specific insights into NGO roles and functions)
- v. The HPP for CDP eco-system in Canada, and
- vi. NGO leadership

The findings are presented using each of these perspectives. Chapter 6 (Discussion) then goes on to discuss the theory in light of these six perspectives and the initial research questions. It postulates the value and limitations of the analysis, and implications of this thesis for research and theory, as well as implications for NGO practice in public policy.

In this section, **keywords** have been highlighted to draw attention to important concepts that emerged from the data. Also, codes are used instead of names to identify quotes from participant interviews in order to maintain anonymity and confidentiality of participants.

5.2 Analysis

Through GTM key categories emerged in the data that framed NGO leadership from a variety of perspectives in the system. By isolating the phenomenon and then exploring it at the individual, organizational and collective levels over time allowed a picture of NGO leadership as a systems' phenomenon to emerge independent of the individuals involved.

The following explores the research questions and sensitizing concepts through the perspectives listed above. Each section weaves a narrative that addresses multiple research questions and ties together various sensitizing concepts. In some cases, tables have been used to link participant testimony and sensitizing concepts as a way of walking the reader through the storyline. This has brought a broad range of data together to illustrate specific processes and context of NGO leadership in national HPP for CDP in Canada.

The following table provides an overview of each perspective and the corresponding research questions explored within.

Table 6: Research Questions Addressed in Inductively Derived Perspectives

Columns: Section addressing the research question	5.2.1	5.2.2	5.2.3	5.2.4	5.2.5	5.2.6
Rows: Research Questions	Advocacy as the domain for NGO leadership	Policy advocacy inputs	The policy process	NGO social learning process	Eco-system	Elaboration of leadership
Question 1 - How do NGO actors describe leadership?	X	X	X			X
Question 2 - What is the relationship between context and leadership in these environments?	X		X		X	
Question 3 - How does leadership processes create outcomes...?	X	X	X			
Question 4 - . In the relational process of leadership, what is NGO leadership? How is the NGOs' leadership shaped by the structure, operating environment and purpose?			X	X		
Question 5 - How does this NGO leadership work as a social, relational process? How does it compare to current process-based, contextually sensitive leadership theory and public health leadership?						X

Research questions one, two and five are further elaborated through the remaining elements of analysis that included interconnections between the six perspectives (Section 5.2.7) and the essential conditions for effective NGO leadership in HPP for CDP in Canada (Section 5.2.8).

5.2.1 Advocacy: The Domain for the Process of NGO Leadership

Many participants expressed that the principal role that NGOs have in the policy process is advocacy, and that much of the CDP policy enacted has been the result of such advocacy.

Having the non-governmental organisation then be in and of itself a **platform for advocacy** around the issue to try to... **create a movement** around that and to try and **get political will**... an NGO is absolutely critical for any kind of policy development. It's actually creating a movement, creating political pressure or creating enough energy around an issue that there's political will to make system changes (P9)

A definition of public policy as "a course of action or inaction chosen by public authorities to address a given problem or interrelated set of problems" (Pal, 1992) can be used within a health promotion framework. Although participants spoke of various **kinds of policy**, there was concurrence in the data that, at a federal level, the most applicable policies to CDP (i.e. the policy that could have the greatest public health impact) were those created (and avoided) by the Government of Canada (GoC) that **expressed the "will of the state" through acts, regulations, administrative policy (departments, strategies, programs and budgets) or inaction.**

The enactment of federal legislation is the **domain of the GoC**. While **other entities and actors can have influence**, the core processes **occur within a closed government system**. Participants described the Constitutional environment of Government and Parliament where policy decisions are made as **"inside the tent"** (including deciding, not-deciding and ignoring). This then established the structural position of NGOs and other actors within the system as "outside the tent". This **"inside/outside" dynamic** framed participants' descriptions of their role as one of persuasion and influence.

Another level of engagement was described as being invited to be **"at the table"**. Although the actual decisions are made at cabinet or through parliamentary process, various events help shape policy options that engage political staff, public servants and "advisors" in the crafting of policy options. Participants described various occasions where organizations and actors external to government were brought into these processes as advisors.

Participants explored advocacy aims in both the relatively short-term (e.g. getting on the government agenda) and the longer-term (e.g. changing social norms, creating systems change or achieving population level health goals). They discussed the rationale for advocacy (e.g. effective and efficient means of advancing mission), specific mechanisms, **tone and tactics** for advocacy (e.g. mobilizing communities, **persuasive communication** and **rabble rousing**). They also explored the differences between advocacy in Canada and other jurisdictions. Participants explored the **trade-offs** and **considerations** in advocating (i.e. current, historic and future).

If we look at the history of many of these issues, the advances have almost invariably come about as a result of advocacy - that **somebody can be a risk taker**, they can **do things that are hard for government to do** because essentially if something didn't have opposition, you know from industry, from people who have moral objections to it... if there wasn't opposition, it would be done. (P12)

One distinction that emerged in the interviews was the difference between public policy advocacy and advocacy for individuals. Some organizations are involved in what could be termed "patient advocacy" where an organization mediates solutions on behalf of a particular individual or group that is experiencing a barrier to their health. While this can inform public policy advocacy (e.g. where the instance is representative of systemic or population-level issues, opportunities or barriers), patient advocacy does not necessarily have policy aims, instead, focusing on achieving specific results for the patient.

In HPP for CDP in Canada, **NGOs and governments share a common purpose** in serving the people of Canada. For NGOs, public policy represents an effective and efficient way to achieve their mission and improve the health of Canadians.

We kind of have a public health mandate and I think that it's most efficient for us... as kind of a relatively small organisation in terms of financial resources - we can have the **biggest bang for our buck** by changing government regulations and statutes that have an impact, mostly on marketed products. And so, it's just about **effectively reducing the burden** of preventable non-communicable diseases. (P8)

Chronic disease is a complex issue whose onset is longer than a political cycle. Further there are **competing interests**, so governments need to be persuaded to take action.

Governments need to be pressed in order to move agendas along, unfortunately. They don't simply do the right thing because the right thing needs to be done. Public health policy and chronic disease prevention policy is inherently political, and **without political actors** actually engaging and leading the change, and creating the context, the environment for the Minister to do the right thing, **the right thing is not likely to happen**. (P1)

Using metaphor, participants described a "**three-legged stool**" view of the system required for policy enactment (a competent **public service**, engaged **civil society and political will**). This framed the opportunity for NGOs to engage in ways that both inform and inspire action. Participants explored these actions in terms of a content-focus or outcome-focus and employed either "carrots" (rewards and benefits) or "sticks" (punishment) as mechanisms to insert themselves in the process.

A major difference in how NGO's see themselves is whether they are the ones who create a space for government to come in with a solution or whether they impose a specific technical solution or element. And I think we have tended to fall into the later camp of... providing technical specifics and government would much prefer the more general... frame the criteria for the solution. (P10)

Exploring advocacy as the domain of NGO leadership in national HPP for CDP in Canada directly addressed the first research question (RQ1) of how NGO actors describe leadership with four participants directly equating NGO leadership and advocacy. It also bounded the research context (RQ2) within a complex adaptive system (CAS) (i.e. addressing who, what and when) framing how leadership creates outcomes (RQ3) by informing and inspiring action.

Figure 1 (below) provides a view of the policy process from the participants' narratives. Appendix B then provides an exploration of the policy process from government sources. Participants explored inputs, outputs and outcomes when articulating the logic of the policy process. They described social processes that share knowledge and create purpose to influence the policy process and policy outcomes. They further described a number of strategies and tactics that assess the alignment of policy options with the aims and intents of governments and their role as framed within the Constitution. As the interviews focused on NGO engagement, the activities that create policy and the framing that structures these processes (the Constitution) were only explored in relation to their role.

The next two sections of this chapter explore the sensitizing concepts of public policy as described in Advocacy Coalition Framework (ACF) and Multiple Streams Framework (MSF) within a complex system thereby demonstrating an ecological, systems view and various levels within the system. These sections describe practical and pragmatic aspects of the relationships between the combinations of problems, solutions, aims & intents of policy ideas and their outcomes. There is also some exploration of their relationship to the Constitution.

Figure 1: The NGO View of the Government of Canada's Policy Process Logic

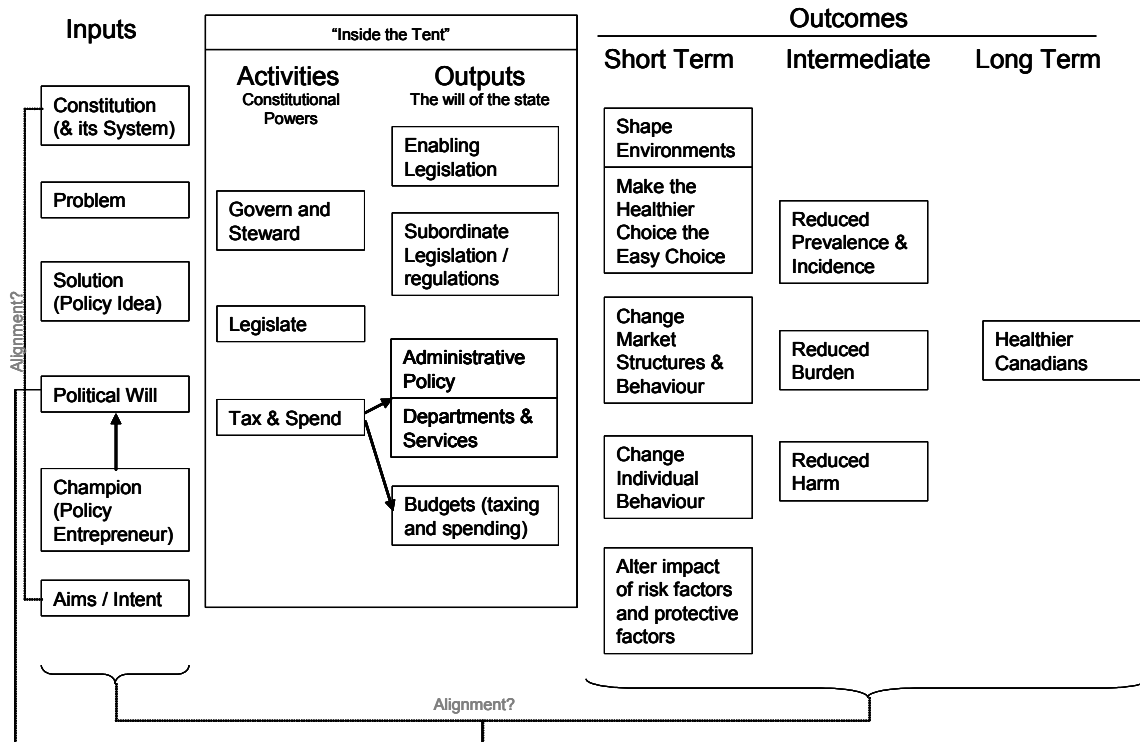


Figure 1 provides a framing of the linkages that participants described to assess the strength of policy inputs and ideas with the desired political and population-level outcomes. They looked for alignment between the aims and intent and the Constitutional framing within which the GoC operates. They assessed political will for policy ideas and the desired outcomes as well as an overall match to the inputs and to the outcomes (does the policy idea logically lead to the desired outcomes? What evidence exists to support it? Is it within the GoC purview? Do politicians want this policy option? Does the public want it?)

5.2.2 Policy Advocacy Inputs: Aims, Objects, Ideas & Options



Policy idea

Symbol used for policy ideas in figures to come

Within the context of chronic disease and public health, HPP was most often framed within a **problem/solution paradigm** with participants stating that CDP tends to be **pan-partisan**.

The difference in [political] parties didn't make too much difference. One of the best health ministers from a tobacco agenda was... a Conservative, but a Mennonite and of very strong values... (P3)

Participants spoke about policy aims and policy values and related these to both existing policy and the policy ideas that get explored and advocated.

Part of the context of HPP for CDP in Canada is the policy options and ideas that are **researched, adjudicated, refined, "shopped" and advocated**. Participants expressed that these can be based on needs, gaps, questions, complaints, wishes, gripes or opportunities in existing policy or political ideology. A number of participants spoke about a process of representing and validating these problem/solution pairings as an expression of "the will of the people" (thereby sending a message to policy-makers that enacting such policy would allow the **"will of the state" to reflect "the will of the people"**).

Policy ideas are the domain of every actor and organization within the system

whether an individual, organization or collective. Policy represents a set of beliefs, values and assumptions about chronic disease, each or any chronic disease, its priority, the interventions (programmatic or policy) that are effective, and the levels (of the system) that are most appropriate for intervention. Individuals and organizations do not just have one policy idea (or ask) but have **myriad ideas and options**. One participant gave an example from a provincial coalition that has a list of over sixty "asks" of government on a particular chronic disease issue. Even coalitions that are established for an express purpose can still have members who would support a wide variety of different asks or tactics.

Along the way, we realized that the environment around us in terms of needs and windows of opportunity led us to increase sort of the range of issues and topics and priorities that we're going to address collectively as an alliance. (P15)

Each actor also holds a set of **beliefs, values and assumptions** about the opportunities and constraints in the system and the best use of resources for CDP. Prior to making a collective decision, political decision-makers assess the importance of chronic disease in the political agenda as individuals. Beyond their individual and collective understandings of disease progression and burden, the kinds of evidence that make chronic disease "attractive" for political intervention vary greatly. Participants stated that **CDP is not sexy**. That it was not an issue about which people would get riled up and march on Parliament Hill to demand action.

When a lot of individuals who contracted HIV were getting AIDS and dying, they had nothing to lose, right? But, to go to the hill and make a scene and go to the media and you know, all those really, really smart, educated people who suddenly recognized that their lives are on the line and could make it very, very uncomfortable for elected officials and so, yeah so you talk about an integrated chronic disease prevention strategy. Really? How are you going to get movement and momentum around that from people who vote? You just don't. (P9)

This suggests that relying on one body of evidence to sway political actors may not result in policy enactment or success. **Individual and societal values and perspectives** on the issue have an impact, both in terms of general support, but also specifically in the policy process:

What surprised me? You would think a natural ally would have been the NDP but we had problems there too because there was an MP that was a former conductor on the CPR or something. He was a smoker and so we had some battles even there where normally most of them would have supported us. One thing that was very clear is whether you smoked or not, it was a big factor whether you would support the legislation. If you smoked, you were in denial. (P3)

There is a calculation that occurs between the policy idea, the problem, the solution and the political feasibility (technical and values feasibility). There are various kinds of evidence that come into play in these **calculations** and there is **weighting of factors** in these calculations (explicit and implicit).

As previously stated, **a policy is a construction of ideas, aims and values**. Even in its implementation, it still represents an abstraction. As such, participants spoke of the "**form**" and "**general beliefs**" of the policy being important in the process: whether proposing a specific bill or regulation (e.g. Plain and standardized packaging of cigarettes), or remaining vague about the solution but focusing on the urgency of the problem (e.g. poverty). The **idea's source** (and champions) is also important (i.e. who is promoting/supporting it and

who is opposing it and why). Even the lack of opportunity (i.e. the government not doing anything about a particular issue) makes a difference to how organizations and coalitions will act and where they will focus their efforts.

Participants considered NGOs and groups who have a **preferred "bag of tricks"** of policy options as being less effective. Some participants spoke of these groups in terms of their particular style or the type of strategies they employed. However, some of those participants who were aware that they (or their organization) were being identified with specific policy options that they tend to advance (e.g. "you know so-and-so, always beating them up about taxes being too low") framed this as **some policy options simply not working, yet** and that the fact that something has not been adopted does not mean that it is not an important measure that requires continued advocacy, especially considering the constant change (and change in appetites) within the political system.

Various sensitizing concepts are touched on in this section. Participants' framing of policy advocacy as coalitions or collaborations of interests suggests the self-organizing that occurs to address the wicked problem of chronic disease as groups recognize the complexity, large scope and scale of the problem and the need for many perspectives to advance change.

From an ecological perspective there is a distribution of ideas across the eco-system and then a spreading of those ideas through interaction: the various ideas and options setting the stage for individual and organizational agency to organize to advance policy ideas. The ACF is suggested through the collaboration that occurs as like-minded groups connect and learn and exchange ideas and knowledge. The elements of working with new knowledge to affect change are also part of the foundation forming here. These then relate to RQ1 and RQ3 by introducing some of the elements that are important in the process.

5.2.3 The Policy Process for National HPP for CDP in Canada

Through participant interviews, the researcher sought to understand leadership within the context of the CAS that creates national HPP for CDP in Canada. As such, part of the analysis focused on understanding entities within this system and the relationships that exist between these entities. The analysis explored events and processes to describe and understand the phenomenon of leadership from participants' perspectives. Thematic codes (see Appendix L) of advocating and the policy process highlight how NGO actors described leadership (RQ1 & RQ4), the relationship between context and leadership (RQ2) and how leadership processes create outcomes (RQ3).

The enactment of legislation at a national level is the domain of the GoC. While other entities can have influence, the core processes occur within a closed government system. Participants spoke of the importance of understanding the legislative and political environment in Canada. In order for HPP to be enacted, whether as enabling legislation (i.e. Acts), subordinate legislation (i.e. regulations), or administrative policy (i.e. budgets, strategies and department plans), governments must believe at a fundamental level that the issue is a priority.

This section employs the MSF (Kingdon, 2003) and ACF (Sabatier, 1988) to illustrate participant testimony of problem-, solution- and political-streams and the beliefs and values ascribed to various entities in the system. These frameworks also address the role of policy entrepreneurs (champions) and policy communities in influencing the enactment of legislation and the adoption of administrative policy. While some participants used the policy window metaphor, they described problem and solution streams with less distinction than Kingdon (2003). Further, participants described a process of using both problem and solution framings as a mechanism to test political will and inspire, cajole and/or pressure political action.

Table 7 provides excerpts from the data that described the **policy process** and the "**policy windows**" that open when the problem, solution and political streams align. The narrative in the six sub-sections that follow this table explore each of the aspects of the sensitizing concepts named in table 7 to highlight important considerations and implications for NGO leadership in this context. Recognizing that in a CAS, the initial conditions play an important part in system behaviour, a seventh sub-section provides a historical description of the NGO relationship with the GoC in national HPP for CDP in Canada.

Table 7: The Policy Process for Healthy Public Policy - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quotes
MSF - Problem Stream. Information Gathering Leadership	Consistent with the problem stream, participants described the problem of chronic disease in terms of burden...	The primary [mechanism to choose priorities] has always been about estimating both the size of the burden and the potential for an effective remedy . I read the mortality statistics from Statistics Canada. There are certain diseases that lead to very large numbers of people dying - others not so much (P8)
MSF: Problem Stream	Social justice and equity...	The Ontario Government is bringing something like 3 billion dollars a year in revenue because of alcohol sales. We know the majority of the people who drink, drink in moderation but the majority of total alcohol sales come from people who drink in excess . This is a huge NCD problem. (P12)
MSF: Problem Stream	And the persistence and long term impacts of NCDs.	There were people in The Government who thought we should be doing something about tobacco and there were people [outside government]... but mostly, everybody smoked and everybody was in favour of tobacco companies and they were held in high esteem in 1964, and there were no NGO's working on tobacco. (P11)
MSF: Solution Stream	Although consistent with the policy or solution streams, participants described a stronger link between the policy and solution streams than conveyed in Kingdon (2003).	For the most part, there's been a consensus about what we should do: increase taxes, ban advertising, have bigger warnings, display bans, smoke-free public places. Now, within that, there may be a brief that supports it or a news release or rationale that supports it. I mean, I know that there has been a need to come to consensus as to what our priorities within a particular time and what we should be emphasising. There have been examples where there has been a divergence of views of whether we should be lobbying on something or whatever. I mean, but generally that's not an issue. I mean, the bigger issue is what do we emphasize? (P7)

Sensitizing Concepts	Description	Illustrative Quotes
MSF: Political Stream	Participants described political will as more complex than just doing the right thing.	A lot of politicians want to do the right thing. They want to make a difference... but if you want to have smoke-free restaurants and bars then you've got an economic interest opposing it. (P7)
MSF: Political Stream	The political cycle (both electoral and annual budgets), and the assessment of how to best frame advocacy efforts within the cycle	Anyone who does government relations work in the policy world [would say] the first year after an election is the best year to get things done because things are accessible to you. This is prime time. If things don't happen, we only have until the next budget to do things, realistically. After this, what starts happening is they begin to start planning for their next cycle, start building their next platform already... What are we pushing for collectively? ...Timing is everything. (P13)
Advocacy Coalition Framework (ACF): Policy beliefs	Participants saw the potential bias that advocates can bring to the political process.	I think what often happens is people bring their [own] ideology and then they try to fit whatever they're doing around their ideology so they see themselves as a free marketer sort of person, then everything they do has to be free marketer. Well, no. I mean your goal is to do public health and of course, what happens? You don't get a lot of free marketers, you get a lot of people who believe that all corporations are evil, all conservative politicians are completely unethical and awful and should be shot and the NDP just isn't far enough to the left and they bring all that. (P12)
ACF: opposing coalitions and influences	NCDs often have corporate or opposing interests (often with profit motive) that counter CDP HPP efforts.	Public health invariably ends up having a political dimension. It's a fight because there's always vested interest on the other side and so you need to be able to figure out how to respond to that and governments are often more like the referee of a game than the players. I mean, they have to see where things are moving and you know that they're gonna be pushed by sides who are opposed to a measure for whatever reasons, often financial but sometimes moral or just being obstinate for political reasons. (P12)

Sensitizing Concepts	Description	Illustrative Quotes
ACF & MSF	NGOs play a role that creates political pressure through persuasive communication and mobilization.	You just try to force transparency . We don't have any political power, we don't have any financial power, we can't threaten to move our operations to another country or something like that and layoff a bunch of staff, we have to argue the merits of the case and say is there a good public policy rationale for this? And, there will be payoff in terms of a healthier population that requires fewer social services and insurance payouts and health care services down the road... (P8)
MSF: Coupling	Couplings can come from anywhere. In Canada, the history of inaction on NCDs was recognized by governments who created the environment that pushed for coupling of the streams.	The Government recognized they needed more people to be telling them what to do and they went so far as to take a goodly part of the budget that they were awarded in the beginning and created groups of people that could tell them what to do from outside government. Even in those early days when people were quite naïve about what needed to be done ... the Government recognized they can't move ahead unless they're getting advice and recommendations from elsewhere (P11)
MSF: Coupling and Policy Windows	Focusing events provide opportunity for couplings of the streams and the opening of policy windows.	At that time, groups were campaigning for adoption of Bill C-51, the Tobacco Products Control Act to ban advertising and it was very much a coalition effort . People were in town that day... Bill C-51, on the Tuesday, got third reading in the House of Commons as well as Bill C-204, the private member's bill that they'd been lobbying for years . (P7)
MSF: Policy Windows	The long-time horizons required for HPP in CDP to realize results means that champions are needed who keep political pressure through a variety of techniques.	One of the difficulties of this work is that it's totally upstream ... and if you have [governments] saying we're trying to get maximum impact in a measurable timeframe and we say well we just did something that's going to have a great effect 20 years down the road. It's like 'oh yeah, okay, that's interesting' [sarcastic tone] right? It's not that interesting to them actually, unless someone else is telling them this is really important for the short term advocacy work. So we have to get other people to say this is important . (P14)

5.2.3.1 Problem Definition in Policy Advocacy

A "problem" focus in policy development requires a variety of forms of evidence including scientific (i.e. research and epidemiology) and colloquial evidence (i.e. lived experience and public opinion). A **problem framing can help focus political priorities** by creating a **shared understanding** of the need and **urgency for action**. Participants explored issues that impacted their organization's mission-related concerns by describing policy priorities that focused on specific diseases (e.g. cancer, cardiovascular disease, etc.), risk factors (e.g. tobacco use, trans-fats, etc.), and protective factors (e.g. exercise, good nutrition, etc.) of overarching issues such as the SDOH.

One reason NGOs involved in HPP for CDP work together is because the **underlying risk factors and consequent protective factors are common to many chronic diseases**.

A lot of the factors for some of the major chronic diseases are **shared risk factors**: common across various diseases and chronic health issues. So, [these organizations] decided to have **a table where they could come together** to do that aspect of their work together, **to amplify one another**. (P15)

Working together brings different views to the table. Participants explored how there can be different understandings of the problem definition and the ways in which these understandings can then enhance or constrain solutions (and action).

5.2.3.2 Policy Solutions

Many informants described their perspective on problem definitions within the context of **policy solutions** to address these issues (e.g. taxation or marketing and advertising to children linked to childhood obesity) or the structures required within government to facilitate future action (e.g. health in all policies). Often participants provided different **policy options** for specific problems and explored processes used to assess which options would have the **best impact** and which may be most politically **feasible** (although this "feasibility calculation" appeared to be different for various actors or organizations).

The policy (or solution) approach requires specific **evidence** including **research, evaluation and political calculation** (technical and values feasibility in the political environment) to **identify and choose policy alternatives** for advocacy. Such evidence can be used to shape **the political discourse and frame the problem for political action**. An important part of the solution stream is an assessment of the **likelihood that the policy will achieve its intended aim** (not only would it pass, but if successfully implemented, would it work?)

Analyzing the applicable law and looking at what can be justified in the current, or any, political environment and this is more like a human calculation than a **political calculation** ... we take into consideration the Supreme Court **jurisprudence** and an assessment of kind of the history of how laws and regulations respecting young

people are treated ... kind of like a **pressure test analysis** of some of the approaches that have been recommended in the scientific literature or World Health Organisation... It's an important kind of **pre-condition to deciding what to advocate** on. (P8)

As **problems manifest over a long time horizon**, so too, **solutions can also have a long history and evolution**:

We've obviously made progress in tobacco control so I think that the collective action that we've undertaken through the coalitions has worked but there's a lot of stuff that hasn't worked or hasn't worked yet.... There's a lot of talk in the air about plain packaging right now but what people might forget is that in the mid-nineties, proposals were put forward for plain packaging that did not see the light of day... well, it's an idea whose time has come and it's time is two decades later, two decades is a lot of time. (P11)

Participants described situations where a specific intervention was championed because it had **political favour** or was implemented in a "**jurisdiction of interest**" to the GoC - not that these "solutions" were not addressing important problems but more that "**the stars were aligned**" to favour their implementation. Two participants described this as "**good policy is contagious**".

Within the problem and solution streams of the policy process, the elements of identity and purpose (the cause) are identified as well as the need for knowledge and learning. The distribution, interaction, competition/collaboration and evolution of these policy ideas, expressed as problem/solutions pairings, within the system provides a context for ACF and the emergence of leadership.

5.2.3.3 The Political Stream

Kingdon (2003) describes the political stream in terms of **public mood, pressure group campaigns, election results and ideological/partisan distributions**.

At the end of the day, they are the policy-maker; they are the decision-maker. The NGOs are, in a way, engaged in a bit of persuasive communication, right? That's what advocacy is all about is trying to get them to do the right thing. (P1)

Participants spoke of the times that **political actors** and the **political agenda** create CDP priorities (e.g. Throne Speeches, Minister's mandate letters or notices of intent to regulate). In many cases, participants attributed these to direct lobbying or from the efforts of specific **champions** (e.g. a private members' bill or Senate bill). NGOs engage pro-actively in lobbying to create these opportunities, and then lobby reactively to get "within the tent" when these priorities are announced.

Certain things like platforms or statements affect things but if there's not political will, you try to generate it and you try and create the political will... 'Politicians are concerned about two things, money and avoiding pain.'... 'We haven't had a major reform without government's, kicking and screaming as we dragged them over the finish line.' And so, a lot of what has often happened is that **governments realize that this issue is not going away** until they deal with it and so, they deal with it so that they stop getting the criticism (P7)

Appendix B explores the legislative environment in Canada to illustrate the extremely limited timeframe and agenda of Parliament (i.e. the number of sitting days and the time required in the process of enacting legislation and regulations). Even within the most generous framing of political ambitions and Member of Parliament (MP) actions and motivations, the crowded and limited legislative agenda at the federal level in Canada means legislators must make significant and judicious choices as to where they focus their efforts. As such, external entities that help focus Parliament's attention become an important expression of engagement in the political process.

NGOs play a variety of roles in this process including **demonstrating the receptivity** to a bill and **mitigating (or creating) political risk** through **poking and prodding, or stroking** the government. NGOs meet with Ministers, MPs, Senators, and the department to gather information and influence the ultimate policy decision, instrument, implementation and/or monitoring.

Participants provided a fairly uniform description of the political stream. However, in considering Kingdon's (2003) description of pressure groups, informants described HPP for CDP as **pan-partisan**, but still requiring **framing to influence political action** because of the complexity of the issue, opposition from industry and the long time horizon required for policies to show results in chronic disease incidence and burden.

There's opportunities that are presented by every political context, and we can't just simply assume that, you know, the Conservatives aren't interested in some good news announcements, at least, and trying to move an agenda along. (P1)

While **partisan ideologies were seen as less of an issue, framing the issue within specific political ideologies can** be helpful to **reposition the issue** for different partisan interests.

If you're doing something like public health and you think one of the political parties doesn't support it, you're not doing your job properly. You need to **reposition** it... a Conservative would say 'that's the parent's job' [and...] 'We need to give people choices... the economy works better if you let people keep more of what they earn but you tax them when they spend it on something... The next meeting is with a really left wing member of the NDP party. So, you go in there and you talk about the

exploitation of little guys from corporations, you talk about people not giving consumers enough information to make informed decisions and how people are making money off the backs of people for doing this... (P12)

Many CDP issues are complicated by **corporate interests** whose products are implicated in disease incidence and progression (e.g. tobacco, alcohol, sugar, trans-fats, sodium). These industries can have **powerful lobbies** that create a **counter pressure against HPP** (often framed as counter to government regulation in their markets). As such, NGOs play an important role in protecting the **public interest** and mitigating (or in some cases creating) **political risk**.

[Ministers] want front runners to take the flack. They want someone to scout out the issues so that if anyone's gonna get shot down, it's not them. They want to minimize the political risks. They want third-party validation in order to do that. They want people to throw at someone else to put the **ideas up the flagpole** unless they're sure they're gonna work and then they want credit for it. (P10)

Assessing the political stream adds to the understanding of the context. As decisions are ultimately made in the closed system of the GoC, would-be influencers benefit from an understanding of the lack of direct "cause and effect" of outside groups in the process. In this way, and reflecting on analytical dualism, the "inside/outside" perspectives become two lenses that help inform NGO engagement in the political process. How information is gathered, processed, interpreted and used are important elements of NGO leadership in HPP for CDP in Canada.

5.2.3.4 Elements Combining to Create Opportunity

Coupling the streams refers to the situations where the problem stream, the solution stream and the political stream come together (Kingdon, 2003). Although participants shared examples of important problems for which solutions were not apparent (e.g. poverty), there was little exploration of solutions (policy ideas) that did not relate to a problem. In fact, participants expressed a distinct preference for **solutions that demonstrated effectiveness** (or high likelihood) of **addressing specific problems** citing examples where solutions that did not have a well thought out logical relationship to the problem often backfired.

As these elements combine within a complex social system, there is not a "recipe" available to guarantee success. Instead, participants used language that expressed **likelihood, possibility and chance**.

Informants expressed a belief that political decision-makers want to be assured that policy reflects the will of the people, that it is within their constitutional authority, that it will achieve the aims intended (their aims may be different than the aims of advocates) and that it won't cause them pain (political and/or reputational). As such, addressing each of these provides opportunity for policy influence.

[The ministry] was not going to hear us, and we basically told them that they had better hear us otherwise they were going to deal with us in the **press**. And then we got the Medical Association involved, and people had some lawyer friends that were giving pro bono help ... it just sort of evolved out of that. P1)

They further expressed a belief that the **linkage of the problem and solution streams itself is insufficient** to guarantee policy implementation - **without "political will"**, the best (most efficacious) problem/solution pairing will not go anywhere. Even post-implementation, policies can be pulled because "political will" favoured the elimination of a specific action.

Saskatchewan came up with this I think brilliant ad campaign aimed at young people about smoking and it was all based on the idea that smoking is so stupid you'd have to be an adult to do it because I mean, kids are way smarter than that ... and of course what happened is that the health department got inundated with calls saying 'you caused my nephew to give me a hard time about my smoking and saying I must be pretty stupid and that's tax payer money' so they killed the campaign. So, they came out with other things saying "Children shouldn't smoke, that smoking isn't good for children" which is an incredibly effective way to recruit kids into smoking because it makes it look to be an adult thing... (P12)

Interviews explored facilitators and constraints in the complex system where policy is enacted. Ultimately, **time is the largest constraint in policy implementation** as the legislature only has so many hours where issues can be processed (whether through votes or other decision mechanisms). A second constraint related to time is **attention**: the government system tends to focus on issues related to specific portfolios within their constitutional authority. Health is one of 210 federal departments and agencies² competing for legislative attention (although health, as an issue, has reciprocal impacts with many of the federal departments and policy domains). A third constraint related to attention vests with the aspects of the Constitution that deal with **Federalism**: the decision of **whether an issue falls within the Federal or Provincial purview** (Territories being a separate construct constitutionally). While this constraint can add clarity in decision-making, it can also take time to decide if an issue is constitutionally valid for Federal action. Even if these inter-related constraints are the only considerations, the myriad interests that work to affect public policy (in one direction or another) must find a way of getting on the legislative agenda, and then have their position taken and enacted, or counter legislation and potential policy on issues they're against.

² <https://www.canada.ca/en/government/dept.html>, accessed March 15, 2017

Political will has elements of **risk-avoidance** and **expediency** and NGOs play a role in assuaging or augmenting these elements. For the participants, a powerful opportunity to gain political will on policy ideas are focusing events (although some would appear to be more of a process than an event).

5.2.3.5 Focusing Events and Windows of Opportunity



Symbol for focusing events in figures

Participants explored over 100 "**focusing events**" where an opportunity to potentially influence decision-makers arose in the political process, including: throne speeches, private member bills, strategy development, international treaties, updating the food guide, Parliamentary and Senate reports and Supreme Court hearings. They also explored specific **initiatives and processes which occurred "outside the tent"** including advocacy campaigns in tobacco control, marketing to children, taxation, as well as other health promotion campaigns, report cards, FCTC shadow reports and NCD Alliance meetings.

We knew that on the **minister's mandate letter** nor any of the other mandate letters to the other ministers, we didn't see anything explicitly saying taxation of sugary drinks but we learned ... that there was internally an interest in possibly looking at taxation of sugary drinks as a policy or program action for government. So there's another **window open**, we can't expect to see taxation in drinks put into this year's budget but we've got to **start planting the seeds for next time**. (P15)

Examples from administrative policy included **budgets and strategy formation** (e.g. Lung Health Framework, Stroke Strategy, Diabetes Strategy, and Fresh for Flavour) as well as specific government campaigns on CDP.

There were also examples of **things that "happened" in the environment that NGOs needed to respond to or seize as an opportunity** to influence the political process. These focusing events emerged in the media or from the public through other channels.

I was sitting in my office one day and saw that Air Canada had decided to try a trial measure of smoke-free flights between Montreal, Ottawa and Toronto. The Globe and Mail reported that the tobacco company said that if they did that they would boycott those flights. So I talked to our CEO and the National President. I said, "Look. We've got to do something about this"... so that got us on the track of

smoke-free flights. Then [MP] came up with her bills on advertising, and then the war took off. (P2)

With their outside government role, NGO actors described focussing events as being central to advocacy. Participants described a number of strategies and examples of trying to create or exploit focussing events (i.e. causing policy windows to open and influencing adoption or enactment during the open period).

This speaks to the need for self-organization. Groups need to easily connect and exchange information and knowledge and mobilize for purpose and action. Even at the level of events, the various streams combining to create opportunity are another expression of the CAS function of self-organization to create the conditions for emergence.

5.2.3.6 Policy Entrepreneurs (Champions)



Champion

Policy entrepreneur symbol in figures

Political will is crucial for policy implementation. Focussing events are one mechanism of bringing problems and solutions to the attention of political actors. Another important mechanism **for inspiring political action** is the **recruitment and empowering of influential champions**.

Participants described fostering champions from a variety of places through various means. A desired source for locating champions is within the political ranks. Many participants spoke of the positive impact of **discovering personal connections** that politicians have to specific issues (e.g. a personal diagnosis of cancer, asthma or CVD or that the issue has affected someone they love). They also spoke of the importance of discovering **those who may be opposed** to HPP for CDP.

What you really need is a catalyst or a spark plug. A catalyst may be a **minister**, it may be a **public servant** and or it may be an **advocate** or any **combination** (P7)

Outside of the political realm, identifying and fostering intermediate champions who then inspire political action was also seen as important: a public servant, health professional or academic with a passion for the issue, or an everyday Canadian with a compelling story. These champions can influence politicians **directly** or through the **sharing of their story with the public and/or the media**, which then can **influence political discourse and decision-making**.

Sometimes leadership comes from – it can be a **volunteer** who has good evidence and a clear path and can convince others or a group of volunteers – often from the **grassroots**. It can come from a **national** level politician. It's often people who are **well-informed, have an agenda and a passion**. (P3)

Identifying champions with influence involves not only the person with connections who can inspire, but also those with the **information** and "**sound bites**" that can hold sway:

Getting your facts right, understanding the decision-maker, recruiting, what I call intermediary decision-makers but basically **opinion leaders** to get them on side and being persistent. (P8)

Because the impact of policy levers can sometimes not be realized for a long time (longer than election cycles) it's important to identify **people who can help politicians see the importance of their actions** beyond their political mandate.

The need to focus on relationships and interaction was highlighted in this section, however, proximity (i.e. the CAS concept that "neighbours" react most frequently with and influence each other's behaviour and actions) is not necessarily geographic it can be a proximity of values, beliefs, purpose and/or historical connection.

5.2.3.7 The Historical Trajectory of NGO Engagement in HPP for CDP in Canada

In complex systems, initial conditions influence the system's behaviour, which in turn influences the actors' behaviour, which in turn influences the system's, etc. (Wheatley & Kellner-Rogers, 2015). Therefore understanding the historical trajectory of NGO engagement in national HPP for CDP in Canada provides information on the current state as well as the future hopes and expectations.

Table 8 describes the historical context in this CAS. Over the years, many funding vehicles have been reduced or eliminated and those that remained have been directed to GoC objectives, with the most recent environment requiring matching funding from NGOs. Such a practice can be considered to usurp donor directed dollars (often donated for an organization's mission-related activities) to now serve GoC objectives. All of this has impacted NGO capacity and their role to contribute to informed policy. The impacts of the changing structures which governments have imposed over the last forty years are not well explored. What remains consistent is the tension "outside the tent" that NGOs must navigate: structured to "rabble rouse", but still wanting to get in the tent.

an active NGO that takes its advocacy role seriously as often the rabble-rouser that gets the conversation going and if you're fortunate, then you're also invited into the tent where the policy process happens, particularly if you're looking at something like government, right? And then all of a sudden, you're part of the formal dialogue

where a policy - policies might be developed and they may then morph into legislation and regulations, etcetera. (P9)

Participants provided many examples of how initial conditions are dependent on where an actor is in the system and where they've been and hope to be. There is a fluidity of movement in the system that creates a myriad of perspectives on the system and the opportunities and constraints. This further suggests the importance of interactions to share knowledge and learning to influence change.

Table 8: Government-NGO Engagement in Canada - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Government within a closed system.	Inside the tent has changed. 40 years ago, government policy was made in an insular structure	Elite accommodation was how [public policy] was managed and some of those elites were NGO's, churches and Tuberculosis Societies and stuff like that but essentially, there was not a political discourse that set the parameters for it and so, it's only in the... seventies and eighties when the environmental pressures, women's movements, civil rights societies - where people saw that the political discourse would move and then policy would follow... (P10)
Government creating structure and process to support input	Changes in funding structures over time	...even in those early days when people were quite naïve about what needed to be done, at the very least, the government recognized they can't move ahead unless they're getting advice and recommendations from elsewhere so they used this money to create a couple of committees and they staffed them with academics and people from professional organisations and their job was to advise the government... (P11)
Government sees the benefit of external engagement and opportunity of NGOs that operate with different constraints (community building leadership)	Government valued the role of NGOs	[the Minister] got the importance of public health harm reduction was moving on issues like alcohol and tobacco and we created the advocacy that made it possible to do things on cigarettes so the various campaigns about tobacco advertising and.... all these things that captured the media... I remember [the Minister] getting Health Canada to give us a grant where he said to me, 'You've got the money, you've got it because you're doing good work. I'm putting absolutely no constraints on you as to how to you use that money because I'm trusting based on your track record that you will find out what to do.' (P12)
The created structures have autonomy and evolve	Governments start to adapt to engage stakeholders more broadly.	From the government perspective, I think there was always a deliberate effort to engage the stakeholders and the NGO's stakeholders and to listen, but there were always some parameters around that. (P9)

Sensitizing Concepts	Description	Illustrative Quote
Government revenue from products implicated in NCDs is large. Reciprocal impacts and feedback.	Funding sources also has a large impact on government behaviour.	Government is getting over one and a half billion dollars a year in revenue from people who are alcoholic basically. Huge impacts on their health from the alcohol, also huge impact just like smoking where the price goes up, you've got a lot of disadvantaged people, low income, spending their money on casinos, lottery tickets , look who buys lottery tickets and what impact it has, cigarettes, alcohol. The government is benefiting from all of that . These people now no longer have enough money to eat properly nor get effective housing. Huge impacts on their health. (P12)
Accountability mechanisms for government spending start to shape how NGOs engage with governments. Small changes have large impact (complexity)	Government started to move to more service and delivery based models (outsourced bureaucracy)	'If you're handing out pamphlets and you can count how many pamphlets you've handed out or you're taking phone calls and you can monitor the number of phone calls or requests for information at a clearing house, etcetera we can give you money for that but we can't give you money like to just go out and do stuff because that might cause problems.' So over time, it became all about deliverables and we ended up with bureaucrats... if you've got somebody who is happy doing a deliverable and says, 'I'm gonna write a paper on smoke-free housing' and that's what we've agreed to do and even if for some reason, is no longer an issue, you still write the paper. You're a bureaucrat. (P12)
As the external sector evolved, the Government started to question why they were funding groups to lobby.	Government instructing audits into organizations that lobby, challenging charitable status and defunding groups	With the government actually taking organizations to task for their charitable status and warning them not to be involved with the policy and political process and defunding of many NGOs... I think by them silencing their critics and harassing NGOs and defunding them, it demonstrates that they don't want their effect. (P1)
Government then changes the funding vehicles.	Government defunding chronic disease prevention groups reduces NGO capacity	But then when you eliminate the Health Canada Gs & Cs in 2012 - Health Canada funding - and we now have the offices closed.... You just have fewer people doing things. (P7)

Sensitizing Concepts	Description	Illustrative Quote
The NGO sector then reacts to the cuts in funding.	NGO capacity has dwindled	Over the years, I think the constituent members of [coalition] have been weaker on [CD] issues first of all which it used to be three national organisations that were funded that just did [specific CD] issue. [Org 1] is all but disappeared. [org 2] has been confined to the rodent infested basement [laugh] and [org 3] is a shadow of its former self too but at the same time, the bigger organisations don't have the little ones pushing them anymore and they're just kind of coasting, I think on [CD issue] policy has been pushed down the list in the bigger organizations. (P11)
Government funding vehicles emerge that again change the nature of engagement and impact NGO purposes.	And what governments funding does exist requires matching funds	What's happening in the funding arena is that all, most all government pockets of funding now come with a 50/50 match donation . So if you go in to do any type of a grant or to run an educational program and especially in research realm, you have to come in with a 50/50 match partnership. Whereas that use to be 100% covered by the government... Health charities every year start with zero because we have to go back to our donors and knock on their doors every year and say, "Will you donate again? Can we count on your 50 dollars again?" So it's, we don't have that guaranteed income year to year to be able to maintain our 50, now required 50% matching to be able to do our work. (P13)

As interviews took place following a federal election that saw a change in the governing party from one majority government to another, some participants were hopeful for improvements in the sector. However, with legacy systems still in place (i.e. in the public service) the importance of forging new relationships with the government was explored.

People are in awkward positions... you have to have a good relationship with government, you have to keep - you know, the government pride, the developments and so on, give them a heads-up within the priorities and what can be worked on (P7)

Participants recognized that patterns that have been reinforced in other parts of the system follow their own trajectory and change process: what happens in the NGO sector is not necessarily front-of-mind for other parts of the system.

5.2.3.8 The NGO View of the Policy Process

5.2.1, 5.2.2 and 5.2.3 directly addressed RQ1 and RQ4 within the framing of NGO actors' descriptions of engagement and leadership as championing specific HPP for CDP. These sections also provided descriptions of the relationship between leadership and this context (RQ2) by exploring the relationships between structures and processes and action. These sections further started to describe how leadership processes create outcomes through advocacy (RQ3).

The previous sections introduced the participants' views on the policy process, the policy idea (the problem and solution that can garner political will), focusing events and policy entrepreneurs (champions). The next section explores the processes used in NGO engagement in national HPP for CDP in Canada.

5.2.4 The Social Learning Process of NGO Leadership in HPP for CDP in Canada

Data analysis through the initial coding of excerpts focused on process. The preceding sections mainly aligned with the thematic categories (referred to in Appendix L) that described "advocating" and "the policy process". Starting in the early interviews, and continuing throughout, specific themes of "agitating", "collaborating/working together", "gathering and using evidence", "organizing and structuring" and "building identity and mobilizing" were appearing as central to the participants' experience. These inductively-derived themes were used to create assertions to address the research question RQ3 and RQ4. The results from this analysis further informed selective coding and theoretical sampling that returned the researcher to the transcripts to deductively root these assertions and their related processes within the data.

Having already explored advocacy for national HPP for CDP as the domain in which NGO leadership is expressed, and providing a logic model of the policy process from participants' point of view, this section goes on to explore the process of NGO engagement in HPP for CDP. Participants described the importance of evidence and connection in successful advocacy and articulated a process of engagement that can be sequenced (although, in practice, it is not linear) within four stages: learning & engagement; creating structures, processes, purpose and momentum; improving, informing and inspiring; and, either further preparing (cycling back through the first three) if an opportunity is not created, or advocating political enactment of policy.

The following excerpt from an interview (P9) articulates the various elements described in the thematic codes and demonstrates the connection of these elements within a process. It further plants the seeds for how leadership engages in this process.

There was an issue around [physical] safety... It's a great example of how policy works actually. At [organization], we had a volunteer, he wasn't our volunteer actually. He was a **volunteer/consultant** but this guy is an **agitator**, ok? And, agitator **in-your-face**. He came to [our conference] in fact and we didn't realize that he was taking measurements of [building elements] throughout the conference hall, then used that information to then do a presentation at the conference with all this **inflammatory language** about how [the organization] doesn't care anything about public health and pictures like of all [his findings], ok? So, basically used the forum to then completely shoot us down so he was an agitator and he would go to every commission, etcetera, right?

Ok, so it's a big - it's a commission. It's the group that determines what are the codes with regard to all buildings and fire codes, etcetera, ok? It was **created in fact to protect the public's health** but now, it's a big commission where there's a lot of

manufacturers, industry, construction, right? It's like a table that's really **dominated by vested interest**, ok?

So, this volunteer has been trying to get this new policy with regards to [physical safety especially for children] and so, he came to us and **he was blown off many times** by [our organization] because he seemed **too militant**, because he was really **hard to listen to**, because he was accusatory, because he was really quite insulting right to your face about how inadequate we've been, right?

The first part of this excerpt demonstrates aspects of the policy process discussed in Sections 5.2.2 and 5.2.3. It defines a problem and positions that problem within a specific domain of public health. It alludes to specific solutions and names the political body that regulates this area. The segment further speaks about types of evidence, processes of gathering evidence and the communication styles involved in conveying that evidence through advocacy.

And, then he came to me and said all the same things and I said, ok this is **not a priority for us but** I'm gonna come to that meeting and I'm gonna **hear what the issues are** and we're **gonna determine whether or not we can at least make some difference**, ok?

So, there's a volunteer that **got the attention of the CEO** on something that was not really on our radar at all, just by agitating and then we went to a commission meeting. I kind of was convinced and I thought ok, we actually should do something but I said I'm gonna put a timeline around it and I'm gonna **put parameters around it**. Our policy director said "I'm not doing it" - he just said "I'm not doing it." I said, you know what? I'm gonna do it. So, **I researched** - I was up like three or four nights and I was just researching what is this about? You know, I've never even thought about [the issue]. **I asked for ten minutes at [the commission's] meeting**, I went to [committee] where [volunteer] was and had been there for several years but because of his approach, he was never really heard, right? So, this is the **right leader, right time** kind of thing, right? **Right message, right time**.

Every participant spoke about the **importance of conflict**. Ten participants directly named the role of the **rabble-rousers, ginger groups, insurgents or agitators**, mainly from the perspective of being the agitator or supporting the agitator. Here, the informant is the target of agitation and explores the steps taken to work with the new information. They assess the issues alignment with the organizational mission and purpose, they research the issue, they take the effort on themselves, and even while putting parameters around the action, they validate the perspective of the agitator and take accountability for action.

But **[the agitator] seeded the ground**. Had he not seeded the ground over all of those years and where people stopped listening to him, they would not - I think have

been as receptive to me who took the podium for fifteen minutes, talked about you know, I understand what your challenges are, you have to make money, you have to build buildings, etcetera but you know, **I looked up what your purpose is** and you're really supposed to be about safety and public health, who is here representing public health, where is that voice? I don't see it, ok? And, I thanked them. You know, I just want you to think about it. I want you to reflect on it. Left the meeting and then apparently, it derailed the entire meeting for the next five hours. That's all they discussed was why don't we talk about health or safety? [The volunteer] said it was - he'd never seen anything like it. So, I know that **since then, there's been movement** but it wasn't because I was so special. It was because it was a combination of who needed to be heard and when.

The importance of the "**packaging of the message**" is emphasized in the above excerpt. Not only did this person research the **kinds of evidence** on the problem and the solution, but also looked at the **organizational and political evidence** concerning the purpose of the political body to whom they were presenting. Participants gave many examples where having the evidence was not enough, they needed to weave it into a compelling argument, and then select (or find) the best person to make that argument.

Then we were able to nominate someone to the table and we got somebody who was a physician who actually cared about these things, a public health physician, etcetera. Now [our director] is much more involved in the whole issue. In fact, working with that volunteer. So all of a sudden, all of that you know, was not linear, not predictable at all, not like these tidy little strategies but it might have more impact on kid's safety in the long run.

This story speaks to the lasting impact that can occur through an advocacy process. It highlights the complexity and messiness of the process, as well as its potential for social, organizational and societal change through self-organization and emergence. Although further explored in the Chapter 6 (Discussion), Figure 2 is introduced here to provide an illustration of this process as described through participant testimony and to structure the narrative that follows through stages one through four illustrated in the figure. (Note: This diagram sequences the process although participant testimony did not describe it as linear).

The four stages explore how policy ideas are honed in a social learning process. Figure 1 (the NGO view of the Government's policy process logic pp. 57) alluded to the alignment between the policy idea's aims and intents, the actual outcomes, the Constitution and political will. Figure 1 also acknowledged that the purview of national HPP as legislation and administrative policy vests with the GoC, setting the stage for the NGO role as advocate. Figure 2 then speaks to the process that NGOs use in this influence process.

Figure 2: The Social Learning Process of NGO Leadership in HPP for CDP in Canada

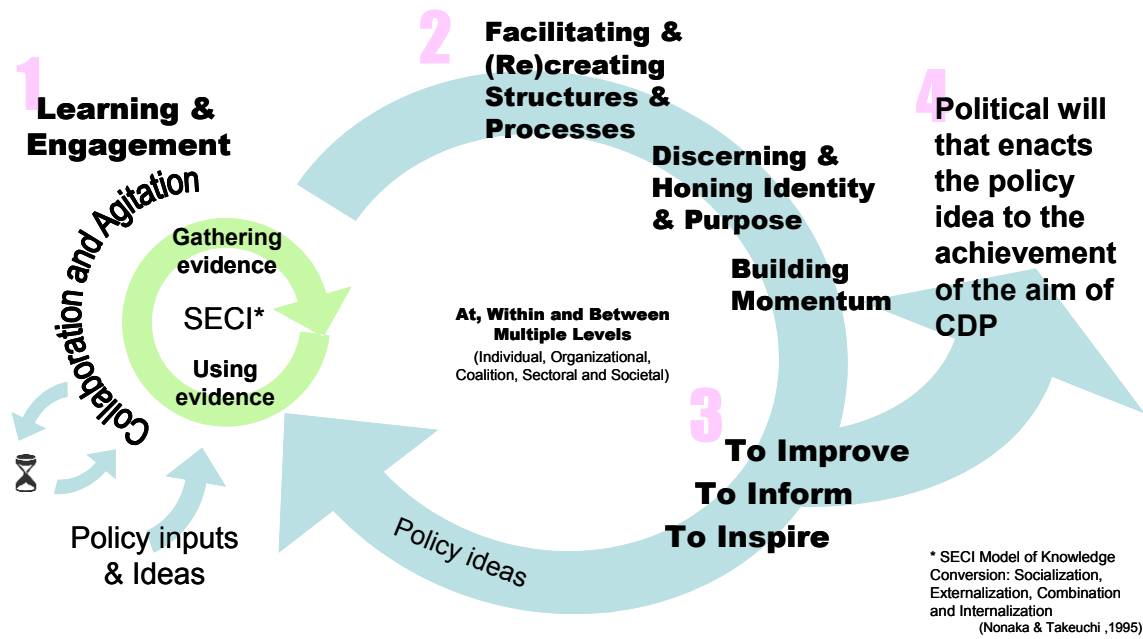


Figure 2 depicts a process that starts with the individual and moves to an organizational and collective process. This process describes NGO leadership as a social learning process that hones policy ideas for achieving policy aims through influencing political decision-makers.

5.2.4.1 Stage 1: Learning and Engagement

Participants described an iterative process of **learning and collaborating** that gathered and used various forms of **evidence** towards the ultimate goal of influencing the enactment of HPP for CDP in Canada.

NGO's have **evidence behind all their pokes and prods**. And then they really are **seen as credible** and in some cases, formidable, right? Like you want to make sure that they're on side as you (before you) create something... in any policy development, it is that poking and prodding that ultimately leads to some of the best policies or at least you know, the ones that **create systems change**. (P9)

In this sub-process various inputs are explored within organizations and coalitions to identify a policy idea that, if implemented, will achieve the policy aims. These inputs can include aspects of the organization's identity (mission, vision, values, strategy), the policy idea (and the links between the two), and the "evidence" that explains, supports, counters, etc. the "logic" of this combination.

Consistent with the sensitizing concepts that explored knowledge creation, policy learning and change, the relationship between the gathering of evidence, using evidence, collaborating and agitating framed a process of social learning with information and the creation of knowledge. While participants were sharing experiential accounts consistent with diffusion of innovation (Rogers, 2003), they were also describing processes of socializing knowledge (connecting with people so that tacit knowledge is exchanged through stories and worked with in deep ways to transfer tacit knowledge). They spoke of externalization: taking tacit knowledge from the group and creating documents, arguments, materials, etc. - explicit (coded) forms of knowledge that would be used for advocacy. They also described combination: taking various forms of explicit knowledge (research, statistics, and experience) and repackaging that in ways to mobilize and advocate as well as Internalization (taking explicit knowledge and learning from it so it resonates within - i.e. converting it to tacit knowledge within the people). These matter-of-fact accounts of how they worked with evidence, collaboration and agitation fit the SECI and Diffusion of Innovation models (Nonaka & Takeuchi, 1995; Rogers, 2003).

5.2.4.1.a) Gathering Evidence

Participants spoke of the central importance of data, information, knowledge, wisdom, values, evidence, and research. While this created a rich picture of the gathering and use of information, assessing definitional clarity across the interviews (i.e. what constituted information, knowledge or evidence) became quite difficult as the content that one person described as **information** was called **evidence** by another; what one called **knowledge** another named as **research**. As such, the researcher has chosen to generally use the term "evidence" to include the spectrum from data through to wisdom (i.e. data --> information -

-> knowledge --> wisdom) and the tacit and explicit forms and expressions of these (Ackoff, 1989; Nonaka & Takeuchi, 1995).

Informants described **coming into an organization** that had a mission, **history, networks and culture**. Whether they were creating a new role in public policy engagement or coming into a "program" that was already in operation, they had to first learn how their role fit within their organization and the sector. They then needed to **learn how their organization fit** within the sector and the policy process. Participants described the ways they shaped these dynamics. They shared how their background (previous work and education) shaped their approach to their role.

The **entire advocacy process is informed by evidence** of various kinds, and the individuals and groups involved go through a **learning process** where new information is sought and integrated and new knowledge is created.

Evidence gathering is a process as opposed to an event. Learning and engagement are continual and iterative. Participants described a learning process rooted within their organization's mission, vision and values, and their position or role within the organization. Their **learning was intentional** to inform action. Participants sought to inform themselves about the issue, options for addressing the issue and invariably, who else is working on (or has interest in) the issue. Throughout the process they maintain a focus on the goal: what they were trying to achieve.

Table 9 provides illustrative quotes that demonstrate how gathering evidence is connected to the sensitizing concepts of complexity leadership, knowledge creation cycle, public policy and change. These quotes further demonstrate how structures are created formally and informally through relationships that facilitate the flow of information.

Table 9: Gathering Evidence - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Knowledge creation cycle and complexity leadership	Getting started. Recognizing the importance of information and the need for robust ways of gathering it.	You look at what's happened elsewhere... when I got involved in doing stuff on tobacco, I had already read a lot about things that had worked on environmental movements, civil rights, that sort of thing and there's lots of parallels but you need to borrow from what's happened elsewhere, adapt it to your situation and then you keep changing as things go forward so sometimes, the big need is informational . (P12)
Complexity leadership	The need for relationships and the informal and formal structures that facilitate connection	You have your own network of relationships within the organization and you know related to the work that we do and a lot of times it's behind the scene and you talk to people and you build a case for support... your champion's first reporting it and I think that's how things then tend to grow. (P6)
Public policy, learning, change, knowledge creation cycle and complexity leadership (information gathering)	What evidence is gathered?	First of all we look for evidence: if we need to bring new evidence or evidence forward that isn't necessarily known across the country in terms of the need for certain things... The evidence, the research, the medical evidence, making sure we have all of our statistics and everything in line and when you look at impact with disease and you know the basic nuts and bolts of it - if you have all that lined up, then it demonstrates impact (P6)
Complexity leadership (connection) and knowledge creation	The importance of the sources of evidence and the relationships and the structures that nurture them.	[Evidence] does tend to come in through patients because we're so connected - more connected into patients, caregivers, individuals who are affected and/or just concerned citizens, so you know, it tends to be introduced that way. (P9)
Complexity leadership, change, complexity	Gathering evidence is an ongoing process	You do your environmental scan , whether it's formal or informal. If things change in the environment, you've got to have your finger on the pulse of that change and the environment and you have to change tactics and strategies depending on those opportunities as they pop up. (P5)

Participants informed themselves through a variety of fairly **simple and informal means**: seeking information through published and unpublished sources and from people and organizations through networks and "cold calls".

Through the interviews, participants described many forms of evidence that are critical to the policy process. Participants described evidence that informs the problem definition and policy solutions. They explored evidence concerning political will and political feasibility and its use in setting priorities and choosing between options. They spoke of the importance of personal experiences, public opinion and media coverage to convey the social acceptability of policy aims to politicians. They talked about medical and research evidence as well as organizational and program-based evidence (i.e. implementation science and program evaluation). For policy to be adopted, **evidence is required at each stage of the policy process**. However, the only consensus statement that emerged from participants on what that body of evidence should include was that it was **context-dependent**.

You have to get to the mind and the heart. The stories typically get to the heart. Very little data speaks to the heart but stories speak to the heart... (P4)

One form of evidence is not necessarily better than another. Participants discussed how even policy areas that are well researched and supported by **rigorous science do not necessarily pave a guaranteed path** to enactment. There are a number of factors that influence decision-makers and advocacy requires the ability to present evidence through a variety of formats and channels. This recognition of the different forms of evidence and their uses also provided a point of differentiation between NGOs and academics. While some of the distinctions and gradations of the quality of the evidence that appear to concern academics are important to evaluate the evidence, they are not necessarily as influential in the practice of advocacy.

Table 10 provides examples of the various types of evidence that participants sought and created in the policy process.

Table 10: Types of Evidence Mentioned in Interviews

<u>Strategic</u>	<u>Epidemiology</u>	<u>Tacit Knowledge</u>
Competitive Intelligence	Burden	Expertise
Context Information	Epidemiology	
Contextual Sensitivity	Incidence	<u>Logic and Political</u>
Economic analysis	Morbidity	Models
Environmental Scan	Mortality	Options
Experience from other issues	Prevalence	Outcome potential/assessment
Experience from other jurisdictions	Surveillance	Political Feasibility
Heat Maps		Political Intelligence
Media	<u>Organizational</u>	Political Will
Network	Administrative Data	Pragmatics
Network intelligence	Benchmarks	
Public opinion	Best Practice	<u>Explicit</u>
Scatter maps	Case Study	Colloquial evidence
	Evaluation	Facts
<u>Governance/philosophical</u>	Monitoring	Grey literature
Ethics	Organizational Capacity	Medical Research
Ideological Assessment	Practice information	Publications
Logic	Resource Capacity	Qualitative Research
Philosophy	Standards	Quantitative Research
Rationale	What works	Stories
Risk		Testimony
Theories		Thought pieces
Values Assessment		

5.2.4.1.b) Using Evidence

Participants described processes of **sharing intelligence**. They gathered information to inform their collective goals and strategies, to create products and key messages and to organize their actions and learning and adjust as they go. Evidence is **used to educate** self and others. As this process is focussed on political decision-makers, the need for it to be conceptualized as ongoing is highlighted because of turn-over within the political system.

We also realized that when we meet and try and inform and provide insight to Members of Parliament, etc. very **often we needed to start at the beginning**. We were **careful not to make the assumption** that everybody understands why there is a role for the federal government in healthy living. (P15)

An important part of gathering and using evidence is **assessing the volume, form and weight of evidence**, assessing **gaps and needs** and comparing the evidence against aims and purpose. With the feedback gained in each iteration of assessment, there is a cycling through this gathering and using process. The new understandings of the evidence is then used to persuade decision-makers, and often, to counter opposition to HPP for CDP.

Putting together a detailed economic analysis of the impact of the cigarette tax increase... getting an appropriate legal opinion on cigarette advertising ban at a time where it's really timely, **doing something that throws your opposition** off because of course, you're having that opposition so again, it's that soccer ball in the field. **What's the other team doing?** How do you foresee what they're likely to do in order to counter it before they even try it? (P12)

Values feasibility of policy initiatives is an important calculation that NGOs perform. This does not necessarily mean political ideology (e.g. libertarianism or free marketer). It can be about values that favour education over policy action or a belief in incrementalism over radical change. Informants explored policy interventions vs. program delivery or education; universality and harm reduction. They explored the underlying values of entities and actors in opposition to HPP in CDP.

...this person from [industry] ... We were presenting at the same time. She was adamantly opposed to the regulations. I actually asked the Chair to say, 'Can I have a conversation directly with this individual because you're not allowed to do that. Yes? Can I ask a question?' So I basically said to her... 'Okay. So you're telling me that in **no way is any of this going to hurt your members, any of your sector members**; either individually or collectively. [When she replied "no"] I said, then **why are you opposed to this?**' She said, 'Because we are **philosophically opposed to regulation**.' I said, 'Mr. Chair, I'm finished.' [Laughs] 'Over to you. Drop the mic.' [Laughs]. That's what happens when it's adversarial. It's trying to get at, 'what's going on here?' (P4)

In discussing values, many participants acknowledged that political decision-makers want to "do the right thing". However, they acknowledged a number of challenges including industry opposition, lack of consensus on what the right thing is, and even **doubts about whether the policy solutions will achieve the intended outcome** (and be accepted by the public). A form of using evidence, therefore, is creating the arguments that make it easier for politicians to do the right thing.

Whether that organization is a federal government cabinet or, you know, a local branch of an NGO tend to need **good information – knowledge – about what's the right thing to do** and some passion and an eagerness to work with others, which is a kind of way of leadership (P3)

Evidence is also used to inform how the organization moves forward creating the structures and processes it needs and navigating the implications for organizational resources and capacity.

[Org] has many issues that affect [disease x]. What are ones that we're gonna be more active in? And, what are ones that we already have more supportive role and somebody else can be more active? And, you know so we may - for example, historically [other org] has been more active on sort of healthy eating things than [us] and - but [we] has been more active than [them] on tobacco so I think for an organisation you know, I think having the **capacity to do stuff is fundamental** (P7)

Informants described learning from a variety of perspectives: learning by doing, learning through reflection and learning from others. Participants described this process as starting "at their desk" and then expanding out within their organization and then to the broader field. The process appeared to be guided by their curiosity and aims and constrained by their access to resources and people: whether technically, socially, and financially or (organizationally speaking) culturally restricted.

Participants spoke of exploring policy ideas with others within and outside their organization. Part of this process was the comparison against missions, visions and values, which participants navigated by assessing the alignment between their personal, organizational and the emerging collective mission, vision and values. The learning and engagement activities described provided many examples of gathering and using evidence that were consistent with the sensitizing concepts of knowledge creation (Nonaka & Takeuchi, 1995), diffusion of innovation (Rogers, 2003), PDSA (Deming, 1986), policy learning (Sabatier, 1988), and complexity leadership (Hazy & Uhl-Bien, 2015).

The following table illustrates how using evidence is connected to these sensitizing concepts. This further demonstrates how structures are created formally and informally through relationships that facilitate the use of information to affect change.

Table 11: Using Evidence - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Complexity leadership (information using leadership), change, ACF and diffusion of innovation	Knowing your audience. Developing persuasive communications.	It's much more of an art than a science in that it is very much like what we deal with in law, if you're in court, what are the arguments you're gonna need to bring up? Well, it's not gonna be the same from case to case . You have to size up the judge and the jury and you look at the evidence and figure out how you're gonna play it . (P12)
Information using leadership. Broader conceptions of knowledge beyond research knowledge.	The mix of types of evidence you use in advocacy.	It's an example of how personal story and qualitative information and the power of the individual story and collective storytelling to influence policy changes - lots of information - lots of talk about data and how you use data to influence policy . I think you need both . I've always said that this fight between quantitative and qualitative is a bogus fight . It's a very academic exercise and you need both. (P4)
Information using leadership (complexity) and the need for relationships to influence change	Using the evidence to create materials to communicate exactly what is wanted.	Working within political parties to actually write their campaign platforms... meeting with ministers and cabinets and caucus to educate them about what's important to do... drafting legislation or regulations or specific proposals to help with the process, to say, "This is exactly what we want." (P1)
Social change, diffusion of innovation, community building leadership (complexity leadership)	Using evidence to educate the public is an important part of mobilizing and convincing decision-makers.	You start looking at Social Change Theory and all these things, you realize that policies are most successful - in our Western culture - these policies have been most successful when the majority of the people at the local level already believe they're important . So the education and knowledge seems to be a necessary precursor . You could think of those 20, 30 years of education about tobacco, and a lot of the discussion going on about food right now, has been in education phase. (P3)
Change and learning,	Self-organization. Learning as a form of	I think it was the learning from the Ontario strategy. It was the learning from our volunteers. We created

Sensitizing Concepts	Description	Illustrative Quote
knowledge creation and diffusion of innovation. Structures needed (systems)	evidence use.	our own network. Our own NGO strategy in essence and that combined with just the early days of the practice and the meetings of going out to talk to people made it really clear that we would get further by taking more of a bottom up - not top down, but more of a bottom up and a facilitative role at a national level. (P9)
Change, systems, complexity (wicked problems), emergence	The evidence environment is changing. The ways NGOs gather and use evidence may also have to change.	I think we've hit an Uber moment where we say that no matter what regulated mark that we might put in place, people tend to undermine it. We have medical marijuana dispensaries that are illegal, we have vape shops that are illegal, we have contraband cigarettes that are illegal... there are three large unregulated illegal markets that are socially acceptable and because they're socially acceptable, they continue... the tools that we thought of regulation be the means to achieve things is being challenged and we haven't really got our heads around how to fix it. (P10)

5.2.4.1.c) Collaborating / Working together

Collaboration was a theme discussed in every interview and from many angles. Participants spoke of informal and formal collaborations. In many cases, people saw chronic disease prevention as a unifying issue where different organizations could work together, share resources, strengthen their voice and benefit each partners' mission and vision. Collaborating was seen as both a Canadian value and a NGO value. This is consistent with the network/community organizing structure of NGOs (Adler et al., 2008). Although there are challenges to working together (e.g. differing personalities, competing priorities, organizational needs and power imbalances), participants felt that the benefits far outweighed the challenges.

As mentioned in previous section that described gathering and using evidence, this process starts off with the individual in an organization, but moves to collaborative and collective levels within and external to an organization. Within the context of the social learning process of NGO leadership, collaboration appears to describe a process of self-organization and emergence in CAS's explored in the sensitizing concepts (i.e. collaboration is both the self-organizing that occurs and, from building relationships, collaboration emerges). Other sensitizing concepts of social change, ecology of leadership, shared leadership and complexity leadership are also explored.

With their colleagues, participants explored issues, priorities and intelligence concerning evidence, the political mood or public opinion while developing relationships. Participants talked about “feeling out” their colleagues' desire to work together. In situations where a coalition already existed - like CCAT or CDPAC - participants would bring an issue to that group, often having explored the possibility first with individual members.

It's a **fairly small world** so you do **run into to the same folks a lot** and you have discussions around what you're working on and **often there is cross-over...** you know the **best way** to do stuff like that of course [is] to **combine resources and work together.** (P6)

Participants spoke of informal processes of connecting with colleagues through personal and organizational networks to share information and intelligence. Through these connections, participants explored many of the same questions they had tackled within their organization creating a dyadic and eventually collectivist process of inquiry and exploration. This acted as a validation of learning to-date, a feedback mechanism on goals and planned actions, and a continuation of evidence gathering.

Colleagues in different organisations can do work in a coalition and be **mutually supportive** and a **source of information** or advice because you have somebody - you have others that are working focused on a specific issue. I think working with others in that way is reinforcing and it helps sustain efforts, it's mutually beneficial in increasing the impact on each other (P7)

The gathering and using of evidence is not an event, but an iterative process.

It's sort of the same things that happen – they all **happen at different levels**. It's all the same kinds of **relationships and interactions happen at all levels**. You usually need at least, say, one person in each organization [laughs] who has that same view of the world. (P3)

Collaboration was explored as an input, condition, process and goal. Participants spoke of collaboration as a Canadian value and discussed this not only within the NGO sector, but also as a Government value as well. Table 12 provides examples illustrative quotes that expound on the sensitizing concepts from participant narratives.

Table 12: Collaborating - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Ecological approaches (competition vs. collaboration), complexity leadership (community building leadership) and Social identity	Individuals have a strong value for collaboration and influence their organizations to collaborate.	Canada is a very small population scattered over a very large area - so very limited resources in order to do things ... Canadians are particularly good at collaboration... Canadians as a whole have seen collaboration as the only way to do things. It's that kind of thing that I think is natural to us. There's something in Canadians that we sort of assume that we're going to do better with our resources if we work together . Then you have to have individuals that believe that and can have the ability to sway their organization to go in that direction too (P3)
Systems thinking, social identity and collaboration	Public health imperative to work together to influence change.	I should say that one of the important things that people don't realize is that we have this thing in public health that we need to be working together collaboratively in order to move a broad agenda forward . (P1)
The initial conditions (existing relationships) are important in CAs	Organizations collaborate because they have a common objective (and they've worked together in the past).	Over the last - roughly thirty years plus, there has always been some type, nationally, of a mechanism for groups to work together. Groups with a common objective and there's been many victories since and it's just a matter of doing it. I think groups come together because they have a common interest and objective. And one reason groups are together is because they have worked together in the past ... (P7)
Collaboration to support self-organization and emergence	Organizations collaborate to strengthen their voice.	I would describe the process about getting involved in tobacco policy, through collaboration with others...the collaborative approach - one is it helps you if you're trying to get on a policy agenda . Two, with government - having many organizations speak with one voice is more powerful than one voice. (P3)

Sensitizing Concepts	Description	Illustrative Quote
Collaboration as adaptation to the environment.	Organizations collaborate to share resources.	[We] collaborate to share resources as we don't have the resources to respond in an effective, thoughtful and professional manner. (P5)
Collaboration as self-organization. Have every day, informal aspects and more formal processes and norms.	Collaboration is self-organization within the system.	Most of the time the other collaborative things really came out spontaneously that you and other people in the organization and other organizations with the same place, listening to some of the same information that was relevant to both of you, and you said, "Gee, maybe we can work together on this." You start small with that kind of interpersonal content and information (P3)
The interaction between the individuals and the system.	The environment facilitates self-organization through communication, building trust.	You have to have an environment that facilitates open communication because if you don't have that and trust , then no-one is going to pick up the phone to say, 'Hey. I think there's a change in the environment or let's have a meeting to discuss this' (P5)

5.2.4.1.d) Agitating and Dealing with Difference

As different individuals and organizations collaborated, differences arose at many levels. These differences created challenges and opportunities. Participants expressed that ultimately this can lead to the creation of better policy through the process of butting heads, disagreeing and "really working through issues".

Agitation was a key theme in the data. It appeared to play a role in honing purpose, building momentum and helping prepare policy ideas for advocacy. As new evidence and ideas were introduced, tensions in the group grew and the issues inherent in dealing with diversity (i.e. group dynamics) came into play. While some participants saw this as a necessary evil in coalition, there were those who talked about seeking it out, and the importance of difference. Most participants saw this "creative dissonance" as imperative in the policy process and something that NGOs, through their collaborative styles, are well equipped to champion.

Participants spoke of the need for agitation to create conflict, shake up thinking, destabilize organizations and push for improvement. Conflict was explored as a necessary part of the process. Participants spoke of differences arising on many levels: philosophical, personal, cultural, values-based, evidence-based, resources (i.e. relative wealth), etc. While these differences can create problems, they also create opportunities.

Differences in personality were mentioned often, but, for the most part, participants did not see these as insurmountable obstacles. In dealing with difference, participants spoke about being open to change. CDP as intervention or policy are primarily about change at individual and population levels. The policy process also concerns changing behaviour of individuals and groups to support policy interventions, changing institutions and systems to enact policy and counter opposition.

Every time I think about what works and what's **successful** in terms of policy development, **systems change**, etc. I think about tobacco and smoking and how that worked and how it was a **multi-pronged approach**. It was **multi-jurisdictional**. It did have - and needed to have - movement and the **will from all communities, all sectors**. So, it continues to be that way and it continues to be a little bit messy but at least things have changed. There's been a change - a shift... I think the messiness of it is quite beautiful. It's not linear... it's just **the messiness of the process that is so necessary**. (P9)

This messiness, speaks to complexity within the system and inherent in the issues of chronic disease and CDP. Having comfort with this is pivotal. The complexity of the issue creates part of the grounds for differences to emerge as different actors and organizations can hold different views on the nature of the "problem", and the plurality of these understandings highlights that different people can disagree on an issue in good faith and all can be right or justified in their understanding.

Make parties realize right at the beginning that this is an issue that **people in good faith could disagree** on and so they shouldn't assume somebody disagreed with them necessarily, that it's because they're the devil or the tobacco industry or whatever... (P14)

Participants talked about leadership as being open to agitation: recognizing the gifts of external voices providing critique. Leadership invites criticism which demonstrates respect for the agitator and a willingness to listen to the feedback. In examples given, participants described the willingness to listen and the ability to be clear about which commitments can (and cannot) be made (i.e. providing scope and framing expectations) as being an important part of leadership.

You have to have **an environment that facilitates open communication** because if you don't have that and trust, then no-one is going to pick up the phone to say, 'Hey. I think there's a change in the environment or, or let's have a meeting to discuss this' (P5)

In NGOs, agitation can be experienced as the agitator or the agitated. Targets of agitation can include individuals, organizations, sectors and systems. An agitator can try to influence their own organization, another organization, the government (political or the bureaucracy) or the system. Agitation appeared central to the NGO leadership process and provided further exploration of all sensitizing concepts. Table 13 relates participant quotes to various sensitizing concepts of learning, change and the policy process in relation to agitation and conflict.

Table 13: Agitating - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
<p>Conflict as part of what moves individuals and organizations. Social learning, change, knowledge creation cycle and complex systems</p>	<p>There is necessary tension in coalition.</p>	<p>It's not all about Kumbaya; it's not about everybody holding hands and singing along together. It's sometimes very, very tense and there's dynamic tension even within the coalition. You know, people don't always agree. People fight and there are personalities. There's creative tension that happens and it's inevitable. People push each other to move things along; more quickly sometimes than organizations are able to respond to but it's this dynamic and creative tension that really makes things happen. I think it's really - conflict is part of the process; both within sort of the leadership group. It's not a common cabal that functions together; there's a dynamic and it's continually alive and shifting. (P1)</p>
<p>Recognition of the benefits of difference has implications for wicked problems, complexity, systems and the collaborative vs. competitive aspects of ecological approaches</p>	<p>Differences are a source of creativity.</p>	<p>I think what we try and do is realize we're all different and it's our uniqueness that gives us a greater value as a coalition. I never try and shy away or encourage people to all look alike because we don't want to be cookie cutter. The value to our coalition is that we are different, that we have diversity within our group, and so one person might do something one way and another group radically different. What matters is that we share the same principles on many issues, and so a lot of what we do when we're looking at policy we will talk about what are the principal statements for this policy ... How you actually execute that policy as long as you adhere the same principles is okay. (P13)</p>

Sensitizing Concepts	Description	Illustrative Quote
Systems view recognizing constraints for different entities. Explorations of individual and collective agency.	The important tensions are at the level of ideas (not tactics or personalities).	I think the tension - I wouldn't put it as conflict, the tension is between ideas. It's more in the discourse. There's more than one way of doing something. There's more than one thing to do and different people operate under different constraints. That's a larger tension than the silly kind of sibling rivalry that will take place within a movement. These bigger structural conflicts between objectives and the means of getting them... (P10)
Competition and collaboration not exclusive. Shared identity and purpose. Self-organization	Competition can be productive, but it can be destructive. Having mechanisms in place to acknowledge differences and provide framework for dealing with them is important.	Friendly competition is fine. It can even make everyone better. If competition is all that really kind of - the only kind of dynamic that's happening, then it can be destructive, right? So, I'd say it's not black and white. It's about establishing parameters and it goes back to the terms of reference as well. You can address those kinds of issues in the terms of reference. (P5)
Social identity & social capital: Trust and credibility. Navigating personal beliefs and role requirements	Transparency is important from the outset to establish a trusting environment.	I have found in the past that the lead organization that was trying to put things forth - put together the coalition - they were not being transparent in terms of what their objectives really were, in terms of what they said or what they put down on paper. But at times, I felt like well I kind of pretty well know what you're trying to do but why didn't you just say it? I'm kind of okay with it but you're not being 100% transparent. (P5)
Self-organization, agency and role of trust and credibility	Trust is important to work in this space (with and through the tensions).	I think that we really have developed a really good overall trusted relationship across the board but ... there have been some organisations that just think 'Why do I even bother being at this table if what we all collectively agree upon can be trumped by some other organisation because if they don't get their way, they're gonna walk?' (P15)

Sensitizing Concepts	Description	Illustrative Quote
Creating a learning environment to respond to change and adapt	It requires an attitude of learning and the ability to stay connected to changes in the environment	Being open to and being on top of, or using tools and techniques that facilitate being able to be on top of the external environment , changes so being able to monitor whatever way that is. I think that's going to facilitate change happening. (P5)
Change	It requires individuals taking the responsibility to be change agents.	We have to take responsibility and be agents of change and if we don't do it, we're part of the problem if we're not part of the solution kind of mindset. (P1)
	It requires a focus on the culture of the group	It's about trying to change perceptions and sort of the culture . (P1)
Social learning, knowledge creation and diffusion of innovation	Impasses can be about not knowing how to have the conversation	Even when there is a nice sweet spot of a compromise ... there's a false divide that almost prevents something from coming in . Yeah, where the divide comes, it's not everybody agrees ... but some of us get worried about the public health consequences a great deal and we want to proceed cautiously while others are much more cavalier, saying "well, let's give it a try and [as for] public health consequences, we'll just hope for the best or we'll control them somehow later". And, because we don't know how to have these discussions, we tend to avoid them which means things don't happen when they need to, right? (P10)
Change and social identity. Complexity leadership	Agitation is imperative for advocacy.	For any sort of change in attitudes about something, you need people who are really out there early on, the people who are willing to knock heads, change things and that starts the process . And then you need to facilitate bringing that into the mainstream and that's advocacy. And then you get your changes and then you start to move on to other things as your new changes become the new paradigm . (P11)

5.2.4.1.e) Learning and engagement recapped

The above four elements of gathering evidence, using evidence, collaborating and agitating describe a social process of learning. As participants reached-out, within and external to their organization, evidence gathering became a dyadic and eventually collectivist exploration. As different individuals and organizations collaborated, differences arose at many levels. These differences created challenges and opportunities. Participants expressed that ultimately this can lead to the creation of better policy. This described a "lived experience" account of the "Plan-Do-Study-Act" cycle (Deming, 1986) as reflecting on experience informed the progression of learning towards their ultimate goal.

Participant testimony provided rich descriptions of socializing, externalizing, combining and internalizing knowledge (Nonaka & Takeuchi, 1995). Further, their focus on policy ideas and aims in this process also describes a "lived experience" of the Diffusion of Innovation theory - albeit independent of Rogerian labels of innovator, early adopter, laggard, etc. These individuals were not dwelling on where they sat on the innovation curve but instead were describing the experience of innovating, adopting (and adapting) and lagging. Consistent with Rogerian Diffusion of Innovation, engagement and collaboration sought innovation through the resolution of tensions that arise in the process, the outward expressions and uses of innovation and evidence informing tactics to create political pressure. There were characteristics described that were beyond the individual, but were influenced by the individual. Participants spoke of the outcome of creating an environment where collective learning occurs to inform, improve and inspire.

5.2.4.2 Stage 2: Structures, Processes, Purpose and Momentum

The previous section described Stage one of a social learning process of NGO leadership through the connections participants made in learning, by focussing on the gathering and use of evidence through collaboration and agitation. This social learning process feeds the creation and re-creation of structures, processes, purpose and momentum as individuals and organizations collaborate towards the aim of improving, informing and inspiring advocacy for HPP for CDP in Canada. This section describes Stage two of the social learning process of NGO leadership focusing on the relationships and structures that are created and nurtured in the learning process. Stage two touches on how self-organization leads to emergence of leadership and supports knowledge creation, learning, change and complexity.

5.2.4.2.a) Facilitating & (Re)Creating Structures and Processes

Participants described the NGO system that self-organizes as it moves towards its aims. Focusing on the structures and mechanisms that are created and recreated (i.e. the shape, linkages and texture of the bonds, rules and norms that facilitate these processes) draws attention to the complexity within the system. Participants described many collaborations that formed and could be framed as an organizational structure - a network of formal and informal relationships and the norms, behaviours and values that nurture and perpetuate (or damage and nullify) these structures.

In collaborating, participants spoke about the intentional work of forming structures and norms as well as the natural social processes of people engaging with each other and building rapport. Participants provided many examples of creating working relationships to achieve organizational aims through formal and informal mechanisms (e.g. a working arrangement with or without formal Memoranda of Understanding). People sought and formed relationships and created ways of working with each other within and across organizations and sectors. Participants talked about building trust and connection. Some structures emerged organically while others were expressly created (purpose-built) from the outset. Participants compared the costs and benefits of going it alone or working in partnership as well as the considerations for informal and formal collaborations:

In an informal coalition, you can [be frank] via a **conversation** but if it's a bit more of a long-term... then the way to do it obviously is through **terms of reference** or development of some **agreed upon operating principles**, agreed upon **goals**, you know, **vision**, etc. So I think that kind of stuff you need to establish up front and, you know, terms of reference is the kind of thing you use for that. (P5)

In exploring the linkages between this iterative, collective, social learning process and the organizing that occurs from it, participants spoke about the norms they establish informally and the structures and tools they used to frame more formal collaborations. They spoke of the importance of feedback. As the policy process (and the advocacy process) happens over a long time horizon and as intelligence gathering, learning and action progress, it's important

for NGOs to learn from each other's experience. Often feedback was quite informal, but participants spoke of more formal mechanisms as well. Feedback informs adjustment and adaptation. Participants shared examples of connecting with others across organizations to educate and provide opportunity for learning, education and further collaboration.

Agendas were carried forward by staff – even if the organization wasn't – if staff thought it was the right thing, they might push it even when the organization was hesitant. So sometimes the staff, in all the NGOs... **we had good relationships**. Now, we got to know each other through... all these different things. Some of the same people around the table, and **we could see the science** – so **even if the organization hadn't caught up to its own science** yet, we often were trying to do it. A lot of it was **trust**. (P3)

The organization's Board culture was also important to self-organizing and emergence. Advocating HPP for CDP can have many consequences, and managing the risks meant managing the Board and senior management. Where participants spoke about having a Board with terms and rotation, they talked about the importance of continually keeping the Board informed and engaged. Some participants discussed the importance of navigating the relationships and maintaining trust with departmental and political staff as well as with politicians themselves as NGOs are invited to influential tables inside the tent, and that invitation can also be withdrawn. As such, self-organizing is not happenstance, it is intentional and must be nurtured.

As the coalition gathers and uses information to define and refine purpose and to learn about the issue, the solutions and the environment, it also learns about its partners. Structures are fluid. Through the relationships built, side partnerships can be created or spun-off to deal with things that are of mutual importance (i.e. coalitions of the willing).

The social learning process provides a forum or context within which relationships are built. As people experience success in working together, they continue to work together in the future - using formal and informal mechanisms. One participant described this as an organization's "playbook", it is (often metaphorically) written by the individual actors, but it influences the relationships, structures and processes the organization has used in the past.

Some participants described the structural considerations around who is included in a coalition and stressed the importance of excluding industry and government from coalitions. In these instances they explored instances where industry inclusion in policy communities eroded trust and undermined the policy objective (and the policy process). In terms of government participation, four participants pointed to three committees where government participation steered different committees' work away from advocacy.

Table 14 explores the structures and processes that participants described ranging from the informal, personal "style" of individuals to the creation of formal organizational structures.

Table 14: Facilitating & Re-Creating Structures and Processes - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Self-organizing	Using existing networks and relationships.	You have your own network of relationships within the organization and you know related to the work that we do and a lot of times it's behind the scene and you talk to people. (P6)
Building relationships (social capital)	Building networks.	Pick up the phone , have a meeting, maybe consult with an external organization for consultants to verify that that in fact is what you, you perceive things happening, right? Opening of doors in the building of trust in a collaborative way. (P5)
Systems change, self-organizing community building leadership	Relationships and communication to identify champions and sustain systems change.	I really think a lot of that system change is personal relationship building and communication so that and identifying champions at a local level who could help to sustain that systems change (P9)
Change, dealing with difference, social capital, bridging and bonding	Relationships between sectors can require a sensitivity to different cultures and sensitivity to connotation in language and communication	[There is a] process of clarification and sometimes you just - if you've never worked with someone from a particular sector , you're just not gonna know that right away, right? And, you'll learn about it and say well yeah, from this sector, this is the way they use the approach, this type of thing and this is the way they would refer to that kind of thing. (P5)
Self-organizing. Identity.	Creating separate structures to be nimble and agile. Provide a structure to protect organizational brand.	[A group] essentially spun off [from organization x] ... They could be a ginger group and more nimble... they sort of set it up purely with the idea that they would be politically engaged, not just leading the ideas or not just validating... but as a mobilizer... as an engaged actor... it's the style of NGO and then the structure of the NGO. (P10)
Administrative leadership. Self-organizing. Identity. Social capital (notions of risk taking and	Keeping organizations engaged in external structures requires persuasion inside the organization and the identification of key	You get some combination of who is the president of the organisation, are they keen on this? Who is the executive director? They get it. Who is the line manager for this topic and who is the volunteer in charge of that? And you get the combination of those people saying let's do this and you've got a

Sensitizing Concepts	Description	Illustrative Quote
trust).	roles that are required to maintain support.	winner. And often it only takes one of those people to say no I don't want to, I'm scared or whatever for it not to work. So you have to try to find where those organisations are and then reward them so they see that they're actually accomplishing something... (P12)
Self-organizing. Different organizations operate with different constraints	NGOs hold a different position within the system, not bound by the protocol that exists inside the tent.	The way we organise our organisation that kind of allows us to speak freely does you know, I can have a conversation with a reporter, do a media interview without having to check in with the Deputy Minister kind of thing on precisely what I'm gonna say and that I think is a unique and valuable contribution in a civil society. (P8)
Competitive vs. collaboration in ecological systems.	A shifting environment that focuses on partnership has created new linkages with corporate sector (which for some is positive).	Health charities are partnering with big corporations to tackle some of these topics and subjects that we would have never talked about before.... So I think that's some of the really innovative fun exciting things and it's win-win so the company gets some of their [corporate social responsibility], you know, contribution. Everyone's logo gets out there.... there are no losers. (P13)
Impact of Complexity	Complexity requires a lot of effort and communication to come to agreement on parameters and have clear understandings.	... An issue can be complex because it has multiple stakeholders or multiple actors or players... some issues are more complex by nature because the pathways to address them are much more complex... It makes it much more difficult... it then requires you to have a much more complex up-front, straightforward discussion of operating parameters with your partners... and people sometimes don't have the time to have those much clearer discussions way up front. (P5)

5.2.4.2.b) Discerning and Honing Identity and Purpose

Several participants spoke about the importance of the organization's mission for HPP in CDP. NGOs in Canada are legally constituted with a specific purpose. Those with charitable or tax-exempt status must have corporate objects that specify a charitable purpose with public benefit. This was seen to add credibility to the organization and the work they do: it provides a public (and transparent) accountability mechanism that allows the public, stakeholders and donors to make their own assessments of how the organization's engagement in any activity (including policy advocacy) aligns with their mission. This structure-for-purpose then speaks to a second area that the social learning process creates and re-creates, honing the organizational and collective purpose.

The importance of purpose to the sensitizing concepts of identity and community building leadership was well explored by participants. Instead of applying a spatial framing to "neighbours" as an element of CASs, individuals and organizations with common purpose can be viewed as neighbours in a systems context. Participants addressed social capital and social identity and related them to NGO leadership.

Participants described how organizations create identity through processes that result in missions, visions, the articulation of values and strategic plans. This responsibility of the organization's Board within the NGOs was often driven by staff and engaged organizational stakeholders. These processes then create an identity that frames the organizations structure and actions including policy priorities. NGOs working in CDP tend to focus on specific diseases (e.g. cancer, cardiovascular disease, etc.), risk factors (e.g. tobacco use, trans-fats, etc.) and/or protective factors (e.g. exercise, good nutrition, etc.).

Traditionally we've always had kind of three main kind of pillars... in terms of what kind of work we do. So first and foremost, it's always been **research** ... Second was **health promotion and educating the public**, including programs. And then the third *tranche* has always been **advocacy/public policy** and most of the public policy that we undertake... is predominantly focussed on population health level type of public policy... in part because there's an understanding within the organization that public policy, **policy at the population level can be highly cost efficient** (P5)

Strategic plans evolve as different people move into and out of organizations. There is a dynamic between the individual actors (i.e. staff, volunteers, members and stakeholders) and the organization as a collective that influence an evolution of the corporate identity. This identity (and brand) articulates the purpose and promise of the organization. If this purpose is compelling, the organization attracts resources (human, intellectual, physical and financial) to help achieve that purpose.

Participants spoke about their experience of organizations working to improve and protect their brand and identity. They shared instances where "working with brand" impacted the

organizations' internal and external relations. They highlighted the importance of the alignment of the organizations' objects, goals and structures. Identity issues include who they connect with (and who connects with them). At an organizational level, participants stated that this required leadership (i.e. the championing, commitment, effort and the desire) to "do the right thing".

Gathering and using evidence from the various partners and sources adds credibility and legitimacy to the movement and provides a voice and channel for those sources. The social learning process creates shared purpose. The processes that shape organizational identity play an important role as identity becomes shared in collectives. The process starts with an NGO's mission and grows (and mutates) into a collectives' purpose, vision and/or goals.

No collaboration will last more than a very short time unless you sit down at the beginning, sort out where your **shared areas** are and where your **disagreements** are, and **make sure that it's compatible**; there's no conflict. If there is conflict, you can't have a relationship, I don't think. You have to be **congruent in what you want to achieve**, and basically also congruent in the way – the methods – you want to do. Then the personalities have to click, to be honest. (P3)

Some coalitions were not open to having their purpose challenged or reshaped. In these instances, participants described the clarity of purpose as being inspiring and a benefit for members, providing a strengthened voice to which potential members could then either buy-in, or stay away.

Various participants emphasized the importance of a shared goal, a shared vision or a shared world view in both the content and process of advocacy and partnership in NGO engagement in HPP for CDP.

Regardless of the breadth or focus of the vision, or its time-frame, participants shared a belief that it is the vision and purpose that engages others and creates momentum. The social learning and engagement process is the context in which these are explored, clarified and shaped whether within the organization or within a collective.

Table 15 provides illustrative quotes from participant testimony of creating common purpose through the social learning process of NGO leadership.

Table 15: Discerning and Honing Identity and Purpose - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Creating Identity and Purpose	A common purpose creates a unifying identity.	There's leadership and followership and collegial respect and support for each other - like 'we're in this together' . (P1)
Organizational culture and structure that engages.	Identity starts within the organization through corporate objects and strategic planning.	I think that always helps in a coalition to have people that are willing to actually roll up their sleeves and do work and create the common vision and a common action . (P15)
Creating Identity and Purpose	Creating a vision to inspire, to create a movement.	I remember when we were working out the vision... we talked about creating a movement , we talked about moving outside of our own pillars and really looking at strategies and policies that focused more on common risk factors . (P9)
	Maintaining a focus on the goal.	You have to look at what is it we're actually trying to accomplish on any of these things and focus on that because people go off in tangents very, very easily and so you want to try to keep focusing in on what's the goal . What is it we're actually trying to accomplish here and are we doing things that are logically connected to that goal? (P12)
Goal setting and common purpose	Well defined goals allow for clearer engagement of partners.	The overall goal has to be narrow and it has to be pragmatic . You sometimes then bring in people who do have a different sort of agenda but they agree with that goal. (P12)
Purpose and the learning process	The processes of coming to agreement can build trust and develop open and honest relationships.	It opened doors to collaboration, people were members of the steering committee for the common goal of developing an [action plan] and I think the groups that were involved, and there were many, really made a lot of progress in building trust and being more open and having open and frank discussions about what areas we play in and how our goals can be mutually beneficial without being overly competitive. (P6)
	As new people and organizations join its	I always state upfront what we're currently working on because there are some members who's missions

Sensitizing Concepts	Description	Illustrative Quote
	important to communicate the goals and expectations.	and their focus is just not going to align with what we're doing and I think it's really important that they realize that , this is what we're working on right now, these are our key missions, this is what our purpose is, um and if they're willing to do that then um, yeah. (P13)
	As new people and organizations join its important to allow that "newness" to reshape the purpose and identity	When you develop what you think is a shared understanding and a shared vision and shared priorities and then suddenly there's a few new organisations and new individuals, well you keep constantly tending that shared vision . That doesn't happen easily. (P15)
	Shared purpose becomes an organizing principle and one that increases voice and inspires.	[A coalition] was a forum that provided us an opportunity for influence... it's much more at a high level, inter-organisational , it's collaborative . It's focused on network and really at that point, we did have much more of a collective vision that went beyond individual interest . (P9)

5.2.4.2.c) Building Momentum

Participants described an alignment between NGOs and governments in that both exist for the public good. The GoC is empowered through the Constitution to serve the people of Canada. However, deciphering "the will of the people" can be a challenge. NGOs often play a role then advising the GoC on what the public wants.

The difference between **advocacy** and **advice** is whether or not **the advice was asked for** in the first place. (P13)

Not only is evidence an important part of NGO advocacy, but also the strength, breadth and depth of voice is important: on behalf of whom does the NGO advocate?

I think that the role of NGOs is really to be the **voice of public interest** and to identify specific alternatives or specific policy changes that they want to bring about and to find a way to make that happen; whatever it takes to make that happen. (P1)

A part of Complexity leadership explores community building leadership. This is linked with social capital in terms of the bridging and bonding that occurs among actors in a system. Mobilizing communities relates to self-organizing for emergence. It is tied to the political process (MSF and ACF) and the diffusion of innovation.

i) Mobilizing Communities

Some NGOs have particularly large reach across the country. They are able to engage thousands of individuals whether as members, donors or volunteers. One particular form of NGO (the health charity) is heavily engaged in voluntarism for governance and service delivery. These organizations have a history of engaging "talent" based on the strength of their mission and vision and their ability to inspire people's passion in the service of their mission because of their connection with those affected by a particular disease or condition. In this respect, NGOs become a vehicle or channel through which individuals can make a difference.

...but legitimately, you know **the reason for success** in tobacco control in Canada is **having involved many people...** the 'we' is normally people within an organisation and outside the organisation **working together**. And certainly in [my organization], one of our aspects is that we have [divisions] and that give us a **strength** to support national advocacy. (P7)

A strong identity becomes a way to mobilize communities. Participants shared the importance of politicians believing that the policy objective is being demanded by the public. NGOs are a credible conduit for that public voice, and historically, politicians have used NGOs to create the groundswell for political action on CDP:

At some point, policy will come in, but it's always much easier for our democratic culture to have grassroots. The NGOs have been the **conduit to the grassroots** for the government. Governments would say "What do people want?" (P3)

Mobilizing communities and creating momentum starts from very personal connections between organizational actors in collective spaces to more distal connections.

An organization would have a lot of influence for instance if it, it's scope and reach was wide. So, where you can **reach out to mobilize** a volunteer for one thing and that's had a lot of power or anybody that had that kind of outreach at the grassroots level. Grass roots was very important, it had probably more of **a currency in influence** than some of the smaller organizations which were more kitchen-table. (P6)

Grass-roots connections and linkages with professional bodies and academics also provide the mechanism and source for the identification and inspiration of champions. Participants described this as a function of relationship building, individual passion, and communication of the salience and urgency of the mission and vision. Independent of the individuals involved a ground swell of passion for an issue and the building of momentum created the conditions for champions to emerge.

You get **three really key people to agree** to come to your party and the fourth one becomes really easy and **the fifth one easier, easier, easier** to the point it's just sharks to feeding frenzy. Everybody wants to be at your party because all the cool people are gonna be there so you find ways to get them involved and then once they're there, they've made a commitment and that's just you know, sort of cognitive dissonance. (P12)

Direct connections with the public or patient groups are not necessarily required. NGOs can use media advocacy and other techniques to mobilize the public and set the tone within the public sphere to support action.

Table 16 explores participant testimony in relation to specific sensitizing concepts of community building leadership, identity and the emergence of leadership.

Table 16: Mobilizing Communities - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Community building leadership	Organizing grassroots movement for policy aims.	We actually worked with [senator] to develop national grassroots lobbying campaigns that made it clear that the government needed to do something... (P1)
Community building leadership. Identity. Learning.	Even without political support mobilization was a tactic NGOs could use.	The tobacco companies had more money than God, right? They could spend money. They could take out full-page ads, but we had hundreds of thousands of volunteers across the country. We would teach our volunteers what to do. We would get them to write letters into their MP but then we would coach them how to send a carbon copy to the Health Minister or the opposition leader and so forth... We flooded the country with letters to MPs... (P2)
Encouraging further self-organization and emergence	The NGOs and the champions involved with the cause inspired people to take action.	Because we inspire people to act and that can be whether it's a person who inspires people to take control of their own health or we inspire government to take action or we inspire community - people in the community to improve the law for their fellow citizens . So, I think it's about inspiring. (P5)
Creating momentum and mobilizing communities	The leadership of champions can come from anywhere	Sometimes leadership comes from a volunteer who has good evidence and a clear path and can convince others or a group of volunteers - often from the grassroots . (P3)
Leadership emergence and Policy entrepreneurs (MSF)	With this organizing, comes emergence. Once the trajectory is set and people are engaged, independent of the individuals involved, the momentum emerges	I think often there surfaces a champion for something... an influential champion, who can convince through various means and mostly... back to the evidence, the research, the medical evidence, the making sure we have all of our statistics and everything in line and when you look at impact with [disease] and the basic nuts and bolts of it - if you have all that lined up then it demonstrates impact. Usually, there's a champion who is able to bring forward co-champions then that's usually how it works. (P6)

ii) Building Momentum and Persuasive Communication

Information Using Leadership is a part of Complexity Leadership. This aspect of leadership speaks to the importance of using knowledge to affect change. Knowledge exchange and diffusion of innovation engage people in sharing knowledge. Within the policy realm this type of policy learning helps engage people and define a coalition and movement. It can also then help open policy windows.

Many NGOs use indirect sources to infer the public or community mood and then use that information to create persuasive messages. One source, the media, can represent both message and tone to which decision-makers pay attention. Engaging champions from specific communities represents another indirect way to understand a community.

Participants pointed out how social media has started to challenge assumptions and disrupt their connections and channels. In spite of this, communications and media advocacy remain popular mechanisms for connecting with the people, shifting public opinion and thereby influencing politicians:

You need to have the NGOs actually **pushing the agenda** and being engaged in **mass media** communications and **media advocacy**. No one person can move a broad social agenda forward. It's inherently a team sport. It has to be **done in a team** but everything doesn't have to be smooth. (P1)

Media connections are two-way. While organizations sometimes want to create media advocacy, media can also create pressure for organizations to pay attention to an issue or act on something they otherwise may not have acted on.

The reality is when it gets out in the media and it appears to be relevant to you and you're silent, it doesn't look good. So even if it doesn't have...it might not have a lot of legs, more than six months from now, **if it's very visible we're going to have to say something** (P5)

In the policy process, the role of NGOs is to create momentum and inspire policy change by translating evidence from scientific sources and the stories of ordinary Canadians impacted by chronic disease into compelling narratives. If NGOs provide service delivery, their ability to allow this function to inform their policy advocacy can augment the persuasive impact of their advocacy efforts while improving their products and processes at the same time. This further engages people and empowers them to take action.

NGOs contribute to a discourse in public and political spaces and then build momentum around that discourse. In doing this, they define purpose and vision that inspires people to engage around a common vision and message.

Our experience there is that being in **collaborative work was more powerful than speaking alone**, though often it's useful to have a lone voice come out and the rest agree, but that's part of the overall strategy.... Unless all five voices are saying the same thing. But if [politicians] got five different messages, they won't act. (P3)

Success also motivates engagement. As complex as HPP for CDP is, there has been success (participants citing tobacco control among other policies). Success has created a sense that there are things that can be done, because there are policies that have affected health outcomes. Conveying this message and focussing on success and the organizational / coalition story can create momentum.

People that are involved with the process and are feeling that they're starting to be **successful** are more likely to be engaged in it again, and it tends to **attract other people to the movement** because they can see that something is going to happen. (P1)

From this, success breeds success.

I think one thing that certainly help us in Canada and other countries is that we've had successes so that provides **positive reinforcement** that you can do things and succeed. And you know **success breeds success**. (P7)

As already alluded to, the process then leads to improving, informing and inspiring action among decision-makers.

Table 17 expounds on particular sensitizing concepts related to social identity, change and the policy process as they related to communicating identity and purpose to inspire.

Table 17: Momentum and Persuasive Communication - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Momentum and Persuasive Communications	Advocacy is a form of persuasive communication.	The Voluntary Sector Initiative at the federal level years ago actually had a definition of advocacy that was basically saying that it was about persuasive communication . (P1)
A structured role within the system	Part of mobilization is the construction and communication of a message.	I see the NGO role often as being independent, the authoritative voice, the honest broker , helping to not only initiative discourse but to continue the momentum around that discourse . (P9)
Media Advocacy	Media's desire for controversy can lend itself well to creating political pressure.	Controversy is terribly important in order to get media stories placed. I think that the government realizes that if they want to keep people off the front page of the newspaper or above the fold somewhere, they really are going to need to engage with them behind closed doors. Otherwise, it's going to be out in the media. (P1)
Message Construction	Having the right message is important	If you don't have the right messages I think you can do a lot of damage to your reputation . And so you have to make sure that if you're going to say something that you're ready, that you've got your facts straight, that you know what data you're referencing and why you're referencing that data... if you haven't taken the time to develop your rationale then you're not ready to go out. (P13)
Data and story	While the facts are important, it is the human stories that inspire people to act.	We told stories... individual personal stories ... There was no evidence on the table; there was no data ; there were no reports ; there was no knowledge translation going on other than individual people telling their stories . (P4)

Sensitizing Concepts	Description	Illustrative Quote
Data and story	CDP can be challenged because of the lack of human stories	It's really hard in that situation. There were no human stories about trans fats. You know, we didn't really put out somebody who said, "You know what, I've been eating trans fats all my life and I had a heart attack and I almost died." That's harder to do and it's harder to make that sort of causal link. It doesn't always work but where it does, it's incredibly powerful. (P4)
Media magnifies voice	Media provide a way to reach and engage the public	Speaking to the media is essential, when we have low resources, to magnify our voice. (P7)
The Messenger	One voice can be too easily marginalized.	I think it's dangerous to have people with - that are so well identified as being the spokesperson on anything because you know, to the point where you can't separate the two (P9)

5.2.4.3 Stage 3: Improving, Informing and Inspiring

The processes described in stages one and two have been directed towards the purpose of improving, informing and inspiring the policy ideas for adoption by decision-makers. As such, many of the processes described have inherently described these purposes - usually with the hope of achieving multiple aims (i.e. what informs and improves can inspire, and in inspiring and acting on inspiration, other actors are informed, etc.).

The ongoing learning described above that forms the preparation for advocacy is supported by the creation of structures, processes, purpose and momentum which in turn creates the conditions for self-organization and emergence. The process as described has honed the policy idea(s) to be ready for when the “stars align” and a focussing event occurs (through luck, circumstance or design) and champions have “emerged”.

5.2.4.3.a) Improving

There are many benefits for an organization to work in collaboration. Casting a broader net on environmental scanning improves intelligence. Staff and volunteers can gain new skills and connections.

I think sometimes the fresh thinking, you know, we hear from the ED all the time. Once in a while it's nice to have new insights from the Chair and other members of the Board to say, “Hey. I was on a board once where they did such and such this way.” I think there's a really good **culture of constant improvement**. (P15)

Improvement comes through difference, seeing things from many angles; many perspectives and identifying how those differences enhance the final product.

The value to our coalition is that **we are different**, that we have diversity within our group, and so one person might do something one way and another group radically different. What matters is that we **share the same principles** on many issues, and so a lot of what we do when we're looking at policy we will talk about what are the principal statements for this policy. (P13)

With the ultimate aim of the collaborative learning being to improve the policy and policy objective:

The policy realm is the only realm where **conflict is good**. Especially within my own members because if we're going to have any conflict on any policy that we're recommending, policy change that we're recommending, I want to **hear as much conflict while it's in house**, within our own members because sure as sugar once we get it out there in the public forum someone's going to have something to say about it. (P13)

Improving relates to the sensitizing concepts of learning and identity as well as complex systems, wicked problems and policy learning.

5.2.4.3.b) Informing

Informing is an ongoing process. There is a continual evolution of people moving in and out of organizations and coalitions. So too, the political environment is constantly changing through elections and internal shuffles.

We realized that the environment around us in terms of needs and windows of opportunity led us to increase the range of issues and topics and priorities that we're going to address collectively. We also realized that when we meet and try to **inform and provide insight** to Members of Parliament, etc. very often we needed to start at the beginning. (P15)

Some participants had experience in government (and other sectors) and conveyed first-hand experience of the opportunities for NGO to inform the policy process.

I worked in government too for a couple of years. So then I see that policy development process as being so different, difficult and anonymous. So many **lost opportunities to help inform that policy process** through an NGO (P9)

The issues are too complex for any one actor or organization to be able to understand, let alone effectively deal with, the complexity.

No one person can move a broad social agenda forward. It's inherently **a team sport**. It has to be done in a team but everything doesn't have to be smooth. It's obviously not well-coordinated sometimes and it can create lots of dynamic tensions within the system but there's a need for people to **exercise their responsibilities** and to **keep pushing the system** in order to make particular policy change happen. It's the way it's always been. (P15)

Participants varied greatly in how they select which evidence to emphasize when informing. The two examples below talk about a continuum while the second applies more of a matrix approach to conceptualizing the necessary evidence.

we sort of see health care as a continuum where we **start with research** and what does evidence say at the beginning and then how do **we use that to inform prevention** and diagnosis and treatment and you know, all the way through. (P13)

That was part of the approach that we had, so it was really taking an educational part to it. So anytime you do anything there's the **key messaging** that we had for the politicians that give them or the bureaucrats all the key data that they need in terms of what are the numbers, what's it going to cost, you know, other examples where it's been successful and then there's also the human aspect in terms of why is this

important to Canadians, what difference will it make in your lives in making sure that we have those key messages aligned. So we had that dual piece that goes forward and I think that's what makes it successful (P13)

The responsibility to be frank about needs and positions in a coalition or collective is another important element of informing as this process requires an accountability mechanism to ensure transparency in decision-making.

5.2.4.3.c) Inspiring

Participants talked about the credibility that NGOs have with the public and with governments - largely because they are understood to exist for the public good. One participant spoke of inspiration as an organizational objective.

We **inspire people to act**: that can be whether it's a person who inspires people to **take control of their own health** or we inspire **government to take action** or we inspire community - people in the community to **improve the law for their fellow citizens**. So, I think it's about **inspiring and motivating and mobilizing**. (P5)

Inspiring and motivating can be cheerleading, but it can also be a quieter conviction for doing the right thing and encouraging others to join:

Any leadership is about **instilling motivation to act amongst others**. And you can do that without waiving a huge flag. (P5)

The motivation of success that inspires and mobilizes others:

We need to have people that **believe that change is possible** – even if it seems so far away to be able to achieve any particular policy gain. If we start at it now and we carry on, we'll actually eventually achieve something. I think that the **modelling effect** happens. People inspire others by their example. And I do think that there's a certain, like a social dynamic that's part of this. Success breeds success. People that are involved with the process and are feeling that they're starting to be successful are more likely to be engaged in it again, and it tends to attract other people to the movement because they can see that something is going to happen. (P1)

These three process objectives of improving, informing and inspiring are then related to the overall purpose of achieving political adoption of specific national HPP for CDP in Canada. Participants had various opinions on when a policy idea is "ready" or if it even needs to be ready to advocate. Those who already viewed the process as one of constant vigilance and preparedness spoke of testing the waters and learning at different times as opportunities presented.

5.2.4.4 Stage 4: Influencing Political Will

The motivations that influence individuals, organizations and coalitions to act on their policy ideas are many. Participants described the importance of evidence, goals, focus and action.

Even though individuals and organizations act in informal groups and formal coalitions, there is individual autonomy at each level. While a coalition may not feel ready, individuals and organizations involved in the collective may see opportunity and seize it. Various members within a group may assess a tipping point or other threshold in the policy process differently from others in the group and will invariably act on that information (whether that information or intent has been shared or not).

Further, some members described situations when "group think" co-opted the collective against action. In these times, the social learning process favoured ideas that were the least risky and therefore leadership or action was required to shake things up. Sometimes a splinter group was created or members chose to "go it alone". Splitting off also occurred in situations of competing ideas (or competing leadership) that did not get resolved and in situations where some members held a different assessment of the opportunity costs and benefits of the ideas that were moving forward.

Autonomy then translates into the various members, groups and individuals reacting and acting based on their values, needs, desires and objectives.

5.2.4.4.a) Continued Preparation, the Iterative Process Continues

In the absence of opportunity (for a variety of reasons), the process described in Figure 2 (pp. 80) continues to hone policy ideas. As described in CASs, the process acts as a **feedback loop**. Individuals, the organizations and the collective **continue policy learning** through gathering and using evidence, collaboration and agitation and the creation and recreation of structures, processes, purpose and momentum that facilitate and refine the policy ideas, process and structures themselves to create the conditions for emergence.

Although the "stars aligning" was part of the luck and happenstance of which participants spoke, they also provided many examples of testing political will by creating opportunities. The framing of options for action were described in a variety of instances (vague, specific, nested, etc.) but these framings tended to **solidify when a policy window opened**. NGOs (and other actors) work to continue to gather evidence and refine policy options to be ready for these opportunities.

5.2.4.4.b) NGO Advocacy of HPP for CDP

There are many inputs into NGO advocacy. As described in section 5.2.2, individuals, organizations and collectives have various framings on chronic disease problems and many ideas about potential solutions. The process described above works with these ideas through learning and engagement to create the structures and processes that hone purpose and build

momentum to inform, improve and inspire political will to enact the policy idea to the achievement of the aim of CDP.

Even when speaking about the same instrument or opportunity, there were differences in how various participants recommended approaching the situation and achieving their aims. The focusing events that participants described can be framed as key settings or events. Through the exploration of a variety of chronic disease and CDP issues, participants mentioned various events and the settings in which NGOs would then move from this process to advocacy. These included:

- i) **Pro-active and reactive lobbying:** Lobbying can initiate in response to the tabling of a bill (or regulation) or in the hopes of having an MP propose a bill in the house (or a minister propose regulation). Lobbying usually occurs as a meeting (or series of meetings) with Members of Parliament, Senators and/or their staff. In general, department staff (bureaucrats) would be asked by the Minister to attend any such meeting, so proactive and reactive lobbying may involve meetings with department staff prior. Some participants described how during an election, various issues can be tied to other issues and developments to try to create a focusing event and make the policy issue an election issue.
- ii) **Consultations** (invited): There are a variety of types of consultation including the informal consultation processes governments use in preparing new legislation or strategies to the more formal consultations used as legislation is studied. Consultations also include time-limited feedback processes as governments table regulations under existing legislation. Consultations can also be in response to Canada's international obligations (UN treaties – i.e. FCTC). The Senate also commissions reports from time to time to gain understanding on specific issues.
- iii) **Strategy Development** (invited): As a specific kind of consultation, over the last few decades, a series of national strategies were developed to frame legislative, policy and programmatic response to various social issues.
- iv) **Grass roots mobilization** (proactive): Participants stated that politicians only follow (and never lead) public opinion. Therefore, convincing politicians that a specific policy idea is something that Canadians want can be a successful strategy. Participants also expressed that politicians act to avoid pain. As such, conveying the intensity of the public's desire is important. Creating a social movement around an issue can set the environment for politicians to act (whether in an election or not). Some participants mentioned that social media is acting as a disruptive technology in this process as politicians pay attention to various social media channels to get a sense of the public mood that may or may not conform to an NGOs messaging.

- v) **Media Advocacy** (proactive): Using the media to create the social environment and grass roots pressure.
- vi) **Actions and Opportunities in Other jurisdictions** (proactive and reactive): International opportunities (multi-lateral negotiations and UN high level meetings) can be used as lobbying tactics. Provincial/territorial actions can be used to convince federal government to level the playing field – sweep up the leftovers.
- vii) **Judicial hearings:** NGOs have provided counsel (as 3rd party and co-defendant) within Supreme Court trials. NGOs can also provide expert witness in this process.

Participants described over 100 examples of events that provided focus for opportunity to influence HPP for CDP in Canada. Whether successful or not, the results and learning from these opportunities continued through the process described (feedback as inputs).

A few participants spoke about the reaction in public health to the passage of smoke-free bars and restaurants and how this created the notion that smoke-free was "done". However, other communities continued to develop options for smoke-free spaces, searching for the next frontiers and creating smoke-free patios, sidewalks, beaches and parks. This described an example of a "Deming cycle" or Plan-Do-Study-Act (Deming, 1986) or the lived experience of "diffusion of innovation" as groups continue to make small changes and learn from what works, in which situations and under which conditions.

5.2.4.5 The Creative Social Learning Process: Weaving it All Together

Participants' explorations of the process that engaged people and organizations in the gathering and use of evidence to create purpose and identity can be woven together into a process of collective, social learning. The above excerpts demonstrate how this can help self-organization that informs the structures needed to refine purpose and create the conditions for momentum to emerge.

Participants described the process as having momentum and drive. As things get set in motion, more people are inspired to join 'the cause' as it taps into their passions and articulates a vision that resonates with them. With more people engaged, differences start to emerge through personalities, values, evidence or opinions. Participants talked about creating a culture that allows room for these differences in perspectives, values, knowledge and experience to shape contributions and the goal. They also shared experiences where that culture was not evident and the struggles this created.

When the process does work, shared understandings, goals and framings can emerge (whether new, or reinforced). In this way the process improves both the coalition and its actors, but also hones the purpose and improves the objective for the organizations and their aims as well as for the collective. These structures, purpose and momentum and their outputs are also directed at the policy decision-maker and when (and if) successful, the policy

is implemented. The elements of this process were not guaranteed to be effective, but they contributed to past success and what participants look for when advocating HPP for CDP.

Participants described the political process within government as occurring within a "black box". The elements go into the process and a decision emerges with little information on the rationale or decision-making process. These instances when political action (or inaction) is taken in one direction or another led to speculation and discussions framed as likelihoods and possibilities instead of conveying a certainty of employing specific processes to achieve guaranteed results. However, participants were quite clear that this is not randomness, there is intentionality in decision-making: but, with little transparency in how those decisions are made, there is uncertainty and surprise.

Therefore, the hope of engaging in this process is to:

- i) Clearly **link the policy idea** that has been formed **with its aims** to create a compelling, urgent, clearly identified federal role/action, that carries sufficient risk for those who do not act and reward for those who do, and can be demonstrated to have the support of Canadians.
- ii) **Empower the champions** who emerge and equip them with persuasive messages to influence political decision-making and inspire political action.
- iii) **Create or respond to focussing events** that clearly link to the need for the policy idea and further inspires and confirms that implementation of the policy idea will achieve the HPP aims and reflect the will of the people, and
- iv) **Counter any opposing policy ideas** to sufficiently trump any opposition champions through evidence, logic and messaging that has occurred in the NGO policy learning process (although four participants lamented the number of corporate executives from various industries who hold positions of power and influence in government corridors).

More than just discussing the importance of leadership to establish the conditions for these processes to successfully allow for the self-organization required for the emergence of each of these elements (policy ideas, purpose, momentum, policy entrepreneurs and focusing events), participants described this as leadership. They also discussed the various levels of the system where this occurred and the relationships required at individual, organizational, inter-organizational, sectoral and inter-sectoral levels.

5.2.5 The Eco-system of National HPP for CDP in Canada

This section explores a policy eco-system for HPP for CDP in Canada, by focusing on the entities and relationships that exist at (and between) various levels within the system. This section explores national HPP for CDP in Canada through the sensitizing concepts that deal with ecological frameworks and systems thinking and lays the foundation for RQ2 to address the relationship between context and leadership.

Participants described NGO engagement in HPP for CDP from different perspectives within a system that includes individual actor, organizational, collective, sectoral, societal and global influences. They explored the relationships between people within and across organizations. Participants discussed the dynamics that individual actors navigate as an organizational agent in collectives. They spoke about dynamics that arise when values, philosophies, individuals, organizations, and sectors interact and differ (and clash). Participants spoke of chronic disease and the values and assumptions people hold in addressing this complex issue.

Participants described a history and future of HPP in CDP and their role (and organization's role) within that. Time was explored as a crucial contextual factor when looking at public policy and NGO engagement in it (i.e. the long duration of chronic disease onset, the political process, and the temporal uncertainty of the opening of a policy window). Even when exploring current events, time played a role in both the historical context that led the organization (and actor) to their current position (or choice), as well as the influence in that current moment of their expectations and hopes for where things were headed. Their history, vision and goals, had a significant role and influence in their current situation.

Applying an ecological lens (as per Bronfenbrenner, 1994) on the data provided segmentations of participants' stories across many levels (issue, micro-, meso-, macro-, and chrono-). The various processes, characteristics and outcomes explored at and between these various levels highlighted the successes and challenges of navigating these relationships and environments and the need for leadership.

Table 18 explores these various levels setting the stage for an exploration of a multi-level leadership. Appendix M then describes each level in detail with the narrative that follows Table 18 focusing on the relationships between entities at and between the various levels of the system.

Table 18: Eco-System Levels - Illustrative Quotes

System Level	Description	Illustrative Quote
The Individual	1. The individual plays a central role - having people whose job focuses on a key issue.	When it comes down to it, it's all about people and ideas and we've had good ideas and we've had people and we move things along. And, you know I think one of our successes in Canada is the quality and depth and longevity of some key advocates. (P7)
	2. The individual as a person, actor and agent. Their personal experience and the roles they play.	Public health policy and chronic disease prevention policy is inherently political , and without political actors actually engaging and leading the change, and creating the context, the environment for the Minister to do the right thing, the right thing is not likely to happen. (P14)
	3. In coalition, there is a tendency to think of organizations around a table.	In practice of course, it's actually people that come to the table and the individual [members]. Their mandate may be to represent the interest of [their org] but in practice they are people and they have interests of various kinds and of course they also have more or less knowledge and prep time. (P14)
	4. Individual actors change over time, bringing different skills, experiences and interests.	Mak[ing] use of the chair versus the ED. Using the roles but also using the particular individual's skills and abilities and experiences that they've got. Then that could change over time... at this point in time, with me as the ED and skills and abilities that I have... Ask me two years from now and that could be different. (P15)
Organizational	5. While individual actors can emerge as champions, the system is constructed around organizations and coalitions	It could be fine for [someone] to have some great ideas but unless [they were] able to bring the other organizations that are much more broadly-based along , [they've] got no credibility, right? It's moving a political base all together... Those organizations have to mobilize their own members. And obviously government leadership is needed as well because only the government can actually make the decisions that governments make. It's just the way the roles are defined. (P1)

System Level	Description	Illustrative Quote
	6. Inside Government: HPP for CDP at a national level is the purview and domain of government.	If you're fortunate, then you're also invited into the tent where the policy process happens, particularly if you're looking at something like government, right? And then all of a sudden, you're part of the formal dialogue where policies might be developed and they may then morph into legislation and regulations... (P9)
	7. Outside Government: External pressure (outside Government) is required to create HPP for CDP.	There's sort of this dynamic between the inside and the outside that people recognize that there needed to be pressure from the outside and some sort of creative tension generated because of advocacy and grassroots political involvement by NGOs. (P1)
	8. NGOs: purpose-built to serve a public good: especially those with charitable status. They have credibility and connections.	The organizations are really not self-interested ; they're advocating in the public interest and they're very credible , in that regard – even though they might draw some opposition from, let's say, the tobacco companies, or the food industry, or beverage/alcohol manufacturers and things like that (P1)
	9. NGOs: Structure increases credibility with government.	The advantage of being an NGO is that the government understands your objectives and will treat you in a different way from the polluter and will treat your advice in a unique way... (P5)
	10. NGOs: Honest broker	I feel that what NGO's often are... the honest broker ... what they bring to it often or at least they're perceived to bring to it and I hope they try to bring to it is a voice that's authoritative but doesn't necessarily have a vested interest in the outcome other than the public good (P9)
	11. Academic Institutions: While there has always been a value for academics (particularly as champions), previous reluctance to engage is changing in some	Twenty years ago [there was not] an academic ... who was willing to speak... there wasn't. They would have been reluctant to do it and in fact, they were reluctant . We would ask them to do so and they would say no, we can't or you know, we have paper coming in... But, governments [have] been very willing to provide research funds and [academics] have been able to collect the funds, and they gain

System Level	Description	Illustrative Quote
	academic circles.	more credibility, both with the government and the universities where they operate. (P10)
	12. Health Professional Associations: NGOs have various connections to HPAs: from no connection to formal organizational (structural) linkages.	[X] Association has so many issues and you know the primary interest that they have is to advocate on behalf of their member [health professionals and profession]. And, so they're supportive but there's a lot of health issues for an [sic] association to deal with and you're only gonna get so much time on [CDP issue]. (P7)
	13. Opposing (industry): For the most part, industry was seen as oppositional to HPP (and opposed to regulation in general).	Trying to get the government to move on trans fats... We came up with all the data; the bureaucracy wrote draft regulations; everything was ready to go and everybody signed off on it. Then, of course, various interests at the table started going ... to the government and saying, "Absolutely. Don't touch this... We sat there and agreed to it but don't bring this forward." So, the government listened to industry as opposed to health advocates because they saw that their interests lie much more at the industry level than it was at the health, consumer level or individual Canadian level. (P4)
	14. Industry: Some organizations benefit from weak regulation	You find out that the people who need to change the policies are the people who [are] actually benefiting from the bad policies (P12)
	15. Industry: However, there were examples where participants spoke about working with organizations to improve health	Being able to partner with huge construction firms where typically you would have during the break, every single man who's on that construction site wearing a hard hat would be coming out to light up a smoke... we have incentive programs and education programs to teach them about smoking cessation... So it's a different, we're creating a different environment. (P13)
Coalition	16. There are pros and cons to working in coalition	The upside is you do have very, very strong relationships and you have quite a lot of people with quite an institutional memory. The downside of course is it's not a very nimble system (P14)
	17. They tend to start small with personal	Collaborative things really came about spontaneously... you and other people in the

System Level	Description	Illustrative Quote
	contacts and then gain organizational support. Collaboration emerges.	organization and in other organizations at the same place, listening to some of the same information that was relevant to both of you, “Gee, maybe we can work together on this.” You start small with that kind of interpersonal content and information – ‘Aha! We have a shared agenda. ’ (P3)
	18. As the coalition comes together, it's important to ensure that there is agreement on goals, vision or purpose and what each organization contributes.	you have to look at what is it we're actually trying to accomplish on any of these things and focus on that because people go off on tangents very, very easily and so you want to try to keep focusing in on what's the goal? ... Then, with NGO's to say what is our value-add? What are we bringing to this process that isn't already there? (P12)
	19. Success factors appeared to be around transparency, honesty, being frank and creating a space where members feel valued and people actual do the work that is required.	be really aware of the individual needs and expectations of all participants... not only what are the important topic areas that are gonna show value add, but what are the operational styles or participatory styles of individuals, just getting to know who it is that's around the table with you. ... getting to know the individuals, what's gonna work... how to sell concepts and ideas and how to sell participation and contribution. What's gonna resonate? What's the language to speak? (P15)
	20. Coalitions can exist to serve a purpose and disband if they don't work or if they fulfill their purpose	Our goals and objectives have now changed and we're too far apart and let's not waste any more energy and we agree to disagree and kind of dissolve our partnership. That can happen sometimes... it's always important to be able to recognize that it's not working and understand that it's more cost efficient not to continue. That happens sometimes. (P5)
Sectoral	21. The influence of the broader health sector came through participants connections (personal or organizational) to other parts of the sector	We have connections in pharmaceutical industries... strong connections that can help open doors, and [with] health professionals... [these are] very, very important because it is part of credibility and trust to have a mobilized group of health professionals that you work with that add to the credibility of the work... I think is a unique position for an NGO. (P6)

System Level	Description	Illustrative Quote
	22. A sector needing to change and keep up with the times.	So the voluntary sector in particular, I think the governance structures of organizations hasn't morphed and changed to keep up with the environment. (P13)
	23. A sector undervalued (and under attack)	tobacco control is not as strong as it used to be because it just doesn't have the financial viability to sustain the organizations and that hurts (P1)
System	24. A systems view recognizes the diverse perspectives needed for systems change.	When we start looking at some of the complexities of the system and developing policy... and saying, "Now like a multitude of voices are needed , it's not a one stop approach that's going to do it." We need to be better at having these dialogues to say... "I'm going to need these people to do this. Here's what I can do. And this is what I'm going to commit to doing and making it known that this is the piece that I will do." I think we need to be more clear about those rules and relationships and just sharing more of that information with each other. (P13)
	25. There is a level of coordination (or awareness of efforts) required.	There's a need for people to exercise their responsibilities and to keep pushing the system in order to make particular policy change happen. It's the way it's always been. (P1)
Societal	26. Societal influences are important to government action.	In our Western culture – these policies have been most successful when the majority of the people at the local level already believe they're important . (P3)
	27. NGO advocacy is persuasive communication that demonstrates that any particular HPP for CDP, if enacted, would reflect the will of the people.	We actually worked to develop national grassroots lobbying campaigns that made it clear that the government needed to do something... [GoC] did respond because there was broad-based pressure... to do something and it wasn't going to go away. That's an example, of both external pressure and broad-based grassroots mobilization that created a context [where] the government needed to act . (P1)
	28. Grassroots as a form of currency	Grass roots was very important. It had probably more of a currency in influence. (P6)

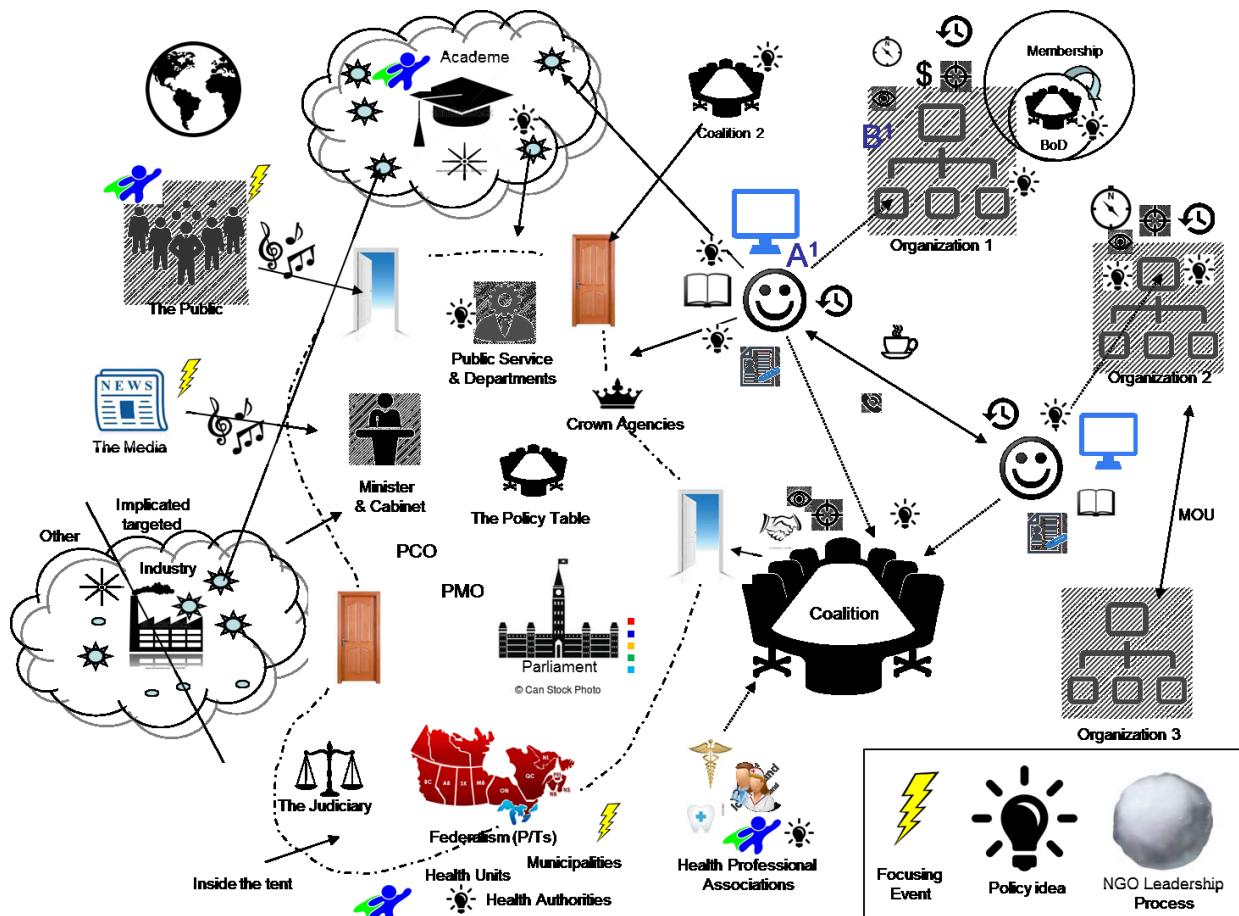
System Level	Description	Illustrative Quote
Global	29. NCD issues are global issues because of multi-national corporations implicated in chronic disease.	Multinational food companies in the world, they're extremely powerful, they have billions or tens of billions of dollars in sales globally - a handful more than that and they operate in an environment where there are very loose restrictions... (P7)
	30. International obligations through WHO improve the health of Canadians	I think we're seeing some of the leadership through the World Health Organization... We're a population that's living longer. No one lives anymore without some type of disease. It's not a matter of if. It's a matter of what nowadays. (P13)

5.2.5.1 Mapping the Entities within the System

In the analysis process, many different diagrams were created that mapped individual relationships across the system, documenting past relationships (e.g. when participants shared their work and volunteer experience) as well as places where people spoke of desired relationship. While these individually-based diagrams provided the researcher with key information, they have not been included here to protect participant confidentiality.

A generic view of the participants' representation of the entities and relationships in the system was created in Figure 3 below (Latour, 1999). Inherently, this figure is an oversimplification of a snapshot of the various actors and potential relationships within the public policy system in Canada as described in table 18, but from an entity-relationship perspective (as opposed to a view from the various system levels). Note: In the name of simplicity and clarity, only a few organizational actors and relationships have been depicted.

Figure 3: A View of the NGO Public Policy Eco-System for CDP in Canada



The following provides a brief description of some of the entities in Figure 3. More detailed information of these entities is provided in Appendix M.

The NGO Actor: Although the diagram shows two actors (the "happy face"), there are many actors in this system across the diverse organizations and sectors. Actors have a history (the clock counting backwards), experience (the resume), access to information (the book and computer) and policy ideas, hopes and expectations. These elements have influence on their current position, perspective and behaviour. Actors move within the ecosystem occupying different positions on (and off) the map over time. Further, this system would have a continually evolving cast of characters as people enter and exit the field. Participants spoke of the impact (in the present) of people who were no longer in the field and of expectations of what the next generation will bring.

NGOs (represented by the three organizational charts) are part of an **open system outside of government**. While these three organizations appear similar, NGOs have various structures, visions (the eye), directions (the compass), history (clock counting backwards), resources (the dollar sign) and targets (the scope). Many have memberships and Boards of Directors derived from that membership. This sector has a vast heterogeneity and there was not a "typical" NGO structure described by participants.

The Government of Canada: The closed system of government, described by participants as "**Inside the Tent**" is depicted in the middle section of Figure 3 within the dotted-line boundary. Here the public service and structural elements of the Constitutional environment create legislation, regulation and administrative policy. The **policy table** is the only figurative element within this closed system; the other elements are defined by the Constitution (see Appendix B). The five dots beside the image of the Parliament building represent the five parties in the House of Commons. The doors along the perimeter represent various forms of access into this system that can be opened or closed.

Relationships: Only a few of the myriad relationships are represented on this figure. However, far more types of relationships are possible than are represented here. There are direct relationships characterized by physical (and virtual) interaction and there are indirect relationships where the tone or mood of an entity is inferred. There is strength and depth of relationship. While this can be represented by thicker or thinner arrows, this convention is clumsy as the relative difference between the perceptions of actors within a relationship does not provide "comparability" across the system (or even within a dyadic relationship). A relationship may be one-way, two-way or collective (i.e. recognizing that a group is not just a collection of dyadic relationships). Relationships can have dimensions and constructions of time, place and purpose (e.g. sitting on a Board together). There can be formal and informal relationships: those bound by agreements and conventions and those formed by mutual affection, enjoyment or intent. Relationships involve sentiment, values and expectations. Relationships inherently have the dynamism (i.e. changeability) of human interaction.

The Policy Idea is represented by a light bulb. However, policy ideas are far more diverse and numerous than the simplistic representation (a single light bulb) can convey. Not only does each entity in Figure 3 have potentially dozens of policy ideas related to them - some proximal, others distal, others still nested with options within them - there would also be a diversity of form. A policy idea can be a value, a hope, or a fear; it can follow from an event, a crisis, a piece of drafted legislation, etc. The most common characteristic is that it is almost always an abstraction, i.e. an idea (as represented here).

Focusing Events: The lightning bolt suggests an immediacy and intensity to a focusing event. However, an event can be far more subtle (global influences like accords and conventions), cyclic occurrences (a government audit on a program), or it can be influenced by media or zeitgeist. Other appropriate symbols would include a magnifying glass or a lighthouse as participants described events that were more akin to a beacon and others that were found by intense scrutiny.

The NGO leadership process described in 5.2.4 and depicted in Figure 2 (pp. 80) is represented here by a snowball. In Figure 2, the social learning process of NGO leadership is illustrated using a rotating circle on the path of another circle, with arrows suggesting a process that is iterative and dynamic. Figure 3 uses a snowball as the symbol to illustrate the process as a snowball can be rolled around or passed around. It can be held or lobbed. There are many ways to work with it. More snow (or other material) can be added or taken away, it can be shaped and it can be carved. A snowball requires certain conditions to remain viable: it has strength, but it has fragility. Even if melted, or evaporated, it can still be reconstructed by refreezing and moulding it. Not represented on Figure 3 is the movement of the various snowballs around the system: not just illustrating their current position, but also showing the paths they've taken and the events that have advanced them to where they are now as well as their future trajectory as represented by the aims and hopes of where they could go and the intended ways of getting them there.

Participants described how an organizational actor will take hold of an idea (e.g. a problem, solution or an opportunity like a bill) and then try to navigate the landscape to identify (as well as create, nurture and exploit) partners, focusing events and policy entrepreneurs in the broad system, to influence the political decision-makers (depending on the decision-making authority) to act. In this system, relationships can be forged (desired, neglected or broken) between any element of this diagram. As well, an actor or organization can work in isolation.

5.2.5.2 The Temporal Perspective: The Chrono-system

As previously explored in section 5.2.3.7, the temporal dimensions in the system provide information on the current state of activity for each entity. Exploring the temporal dimension provides a mechanism to separate timelines at and between levels (Archer, 2003). Participants described impacts that people had on an organization or coalition in many ways. Some were instantaneous and others took time to have effect, but those changes could linger

and steep, affecting an organization's or coalition's culture long after those individual actors had moved on. Examples included coalition musings about what specific actors who were not present might do or say in a specific situation as a way of analysing or exploring various issues. Specific examples explored agitators that changed an organization and the leadership that either reinforced or reversed those changes through its acceptance of emergence and normalizing of new patterns or by reverting to old patterns. These types of impacts happened at every level (interpersonal, organizational, inter-organizational and inter-sectoral). Participants even invoked societal and global influences, past and expected, in the process of advocating national HPP for CDP in Canada.

The interviews occurred after a change in Government from one majority government to another, yet the structural impacts within the government system had lasting impacts arguably beyond the last interview as the legacy impact of the Harper government was discussed in member checks wholly 16 months after the election.

Some participants described the interplay they experienced between themselves as an individual and their organization; others spoke more systemically of their observations of interactions between various organizations, sectors and philosophies.

To examine the relationship between context and leadership (RQ2) in relation to the sensitizing concepts of ecological, systems approaches, leadership and social change, the rest of this section will focus on the relationships at and between levels.

5.2.5.3 Relationships within the System

The various relationships participants described in HPP for CDP had far more diversity in types and characteristics than are expressed by the dotted and solid lines in Figure 3. Participants described thresholds, tipping points, movements and zeitgeist. They spoke of vehicles and channels (illustrated on Figure 3 with a telephone receiver and a cup of coffee to convey an informality, and an MOU to speak to more formal ties of a Memorandum of Understanding between organizations). They also spoke of the impact of past relationships and desired relationships.

Figure 3 uses a notation of musical notes shown within the media and public elements to illustrate a more interpretive type of listening. These relationships rely more on inference as organizations paid attention to the tempo and mood of external bodies. They also paid attention to proxies (and champions) as represented by the caped "super heroes". Although the representation of a "link" between the tune's sender and receiver has been omitted, so as to not overcomplicate the diagram, it could be illustrated to show the connections linking the proxies and the tune to ideas, events, individual actors and organizations.

Table 19 explores various types of relationships described at the various levels of the system.

Table 19: Relationships within the System - Illustrative Quotes

Sensitizing Concepts	Description	Illustrative Quote
Interpersonal: MSF, social capital.	Participants spoke about the need to foster relationships so that when they're needed, a good relationship exists.	I do a lot deliberately as well to get relationships going with the people in government and particularly within Health Canada and Public Health Agency because, when those windows open , you need to be able to act fast and so, you... find ways to be able to talk and chat and just keep in touch with those people and when the windows open that they're gonna be the ones that are gonna be eager and ready to work with you . (P15)
Interpersonal: self-organizing	Personal relationships can then become organizational relationships as people work together across organizational boundaries.	You have your own network of relationships within the organization... related to the work that we do and a lot of times it's behind the scene and you talk to people and you build a case for support and you build... not only your case but your champion's first reporting it and I think that's how things tend to grow (P6)
Inter-organizational: self-organizing	Competition among organizations, or turf, requires mitigation through open dialogue to build trust	Other organizations are saying, "No. We don't want to do that because our own policy position in that area is a little bit different, so stay away from it instead of muddying the waters for us." You get to know that through really good discussion at the board table but also like the one-on-one relationships that I have with all of the members. (P15)
Inter-organizational: competitive / collaborative system dynamics	With organizations resourced and structured differently there are key roles that can help build bridges across organizations and coalitions.	We can make it all sound pretty nice and say oh no, no we're all on equal footing at the table; it doesn't play out that way . And that in turn the power and trust do go really hand-in-hand because time and relationships and good chairmanship... help to build those trusted relationships but power has a way of undermining trust . And I've seen that happen more than once. (P15)
Inter-organizational:	Organizational size can impact inter-organizational	With [a small organization] we're dealing with one point of entry – maybe it's the CEO – and so I'm dealing with [person] on public policy/advocacy.

Sensitizing Concepts	Description	Illustrative Quote
self-organizing	relationships as people identify and work with the right person to work on specific issues.	With [large organization], it could be that maybe I'm only dealing with the public policy advocacy lead or it could be that I also have to deal with the comms person and a couple of others... generally in the larger organizations there will be a few more points of contact (P5)
Inter-sectoral: self-organizing. Structures (positions) for connection.	Most participants spoke about stakeholder engagement or partnership development as important to their job.	In my roll... at the national level, It's a pretty small team so we often would take on, as you know sort of broad files ... So, as the main contact person for those areas if there was an invitation to sit at a table, a collaborative table with the Government or with other NGO's I would be the one. (P6)
Inter-sectoral: Complementary dynamics	Participants saw that other sectors had other interests and this provided a niche for NGOs in the policy process.	I think you know, medical association, you have so many issues and you know primary interest that they have is to advocate on behalf of their member physicians or nurses. And, so they're supportive but there's a lot of health issues for a medical association to deal with and you're only gonna get so much time (P7)
Inter-sectoral: Complementary dynamics	In reaching out, participants looked for complementary organizations across the sectors.	Contingency bar lawyers ... that specialize in racketeering law. They're not an NGO... They're certainly not a not-for-profit but if you can get a confluence of interest where they say yeah, what you're trying to do is really important for public health . The companies you're up against, we think of them in violation of racketeering laws and we can do a contingency based case for government going after them and if we take a twenty percent contingency we walk out with 2 billion bucks. We're gonna work with you. We'll really help... I think that's a matter of getting more creative. (P12)
Inter-sectoral: oppositional dynamics	A few participants discussed the various ways that industry has had influence over governments beyond their economic impact.	We used to have to decentre governments out the way we did when senior cigarette industry people were too attached to governments and three sitting senators were sitting on the boards of cigarette companies and the former chief of staff to the Prime Minister was running the tobacco products - the tobacco manufacturer's council .

Sensitizing Concepts	Description	Illustrative Quote
		We'd go after this and saying this is unfair and we'd win. (P12)
Inter-sectoral: oppositional dynamics	Depending on the ideology of the governing party, the value they place on corporate actors can have a significant impact on NGOs	I think we're losing ground and we're having a weakening – a weakened NGO sector , at least in the tobacco control area and probably in other areas as well. With the government actually taking organizations to task for their charitable status and warning them not to be involved with the policy and political process and defunding of many NGOs (P1)

5.2.5.3.a) Interpersonal Level

A number of interpersonal dynamics were explored in the interviews including **brokering, motivating and learning**. Brokering positions was seen as an important task at the interpersonal (and inter-organizational) levels (43 citations). Participants described "back-scratching", cajoling, clarifying/translating, facilitating, maintaining a focus on the goal, attaining and maintaining agreement, communicating, networking, and polling/surveying and reporting, resolving power-plays.

Related to brokering was the ability to navigate tensions and conflicts. Participants described leadership as creating a culture that invites and encourages differences. Being open to challenges and modelling comfort with uncertainty, disruption and change. Demonstrating value for and ability to learn from conflict was an important part of taking-in new information and allowing it to influence knowledge, purpose and actions.

Motivating others was seen to be a key interpersonal dynamic (36 citations related to NGO leadership). This included appreciating and valuing people's contributions and efforts; focusing on accomplishments and purpose; encouraging exploration of personal and organizational perspectives; engaging skills and passions; demonstrating passion for the issue; and being clear on expectations and accountabilities.

As previously discussed, learning was discussed as a key interpersonal process: **learning** from history, from others, from research and from practice. Participants described a knowledge creation process of which social learning was a central component. A main goal of this process was seen as improvement of self, of the organization, of the coalition, of the "issue", of the health of the population, of the policy instrument and of the system. There was a common understanding expressed that getting a wide range of perspectives from various individuals and organizations resulted in more robust ideas and outcomes.

Participants spoke about processes and characteristics to build strong relationships. Interpersonal characteristics they valued and experienced **were patience, consensus, respect, listening, trust, and fair and democratic processes**. While these might be described within the domain of individuals, they were also things people ascribed as interpersonal attributes.

One key relationship explored by those participants who held the most senior position in their organization was the CEO/Chair relationships (26 excerpts). Participants recommended having clear roles and building a trusting relationship that allows each to use their strengths to move the agenda and to mitigate deficiencies, risks and/or liabilities. CEOs spoke about the adaptability required in their role to help get the best out of the chair position. Many informants (even those who were not CEOs) spoke of the need to keep the Board informed and engaged and the mechanisms used to do this. One of the key challenges was the Board's (obligatory) focus on the organization as a going concern and where this

presented challenges to collaborations or coalition aims. The ways that staff navigated these circumstances (successfully and not) had an impact on their (and their organization's) engagement in collaborative initiatives and ultimately on the advocacy process.

From the coalition table, participants shared stories about conflicts between egos, but in most cases these were dismissed as not truly a barrier to advocacy, NGO leadership or the policy process. One participant explaining:

These bigger **structural conflicts between objectives and the means of getting them** are the larger tension than the **silly kind of sibling rivalry** that will take place within a movement. (P10)

This sentiment was shared by others. Although a few participants described a hope that coalition members could "get along", in general, participants placed a higher value on respect and contribution to the greater good than for shunning difficult people, especially in relation to the perspectives, improvement and information such agitation brings to the process.

5.2.5.3.b) Inter-organizational Dynamics: NGO-NGO

Relationships between organizations have both an **interpersonal and an inter-organizational narrative**. Participants said that organizations that worked **together in the past** are **more likely to work together in the future**. They talked about **long memories of transgressions** within organizations. However, if there was success in working together that became part of the organizational narrative and context that new employees learned when they joined.

Many participants spoke about the difficulty **navigating their role as an organizational actor** sent with specific objectives with having their own **personal ideas and values**. Many expressed the sentiment that at the end of the day, "**we're all people around the table**".

There were organizational qualities identified that **negatively affected inter-organizational relationships: being risk adverse, being overly-invested in organizational brand or playing their cards too close (i.e. not being transparent)**. Some organizations have **slower approval processes** and are **not as nimble** or able to make decisions or act as quickly as other organizations and while there was recognition that **different organizations operate with different constraints**, there was also identification of this as a **barrier to collaboration and successful advocacy**.

Differences in resources (financial and HR) and capacity **can cause tensions** between organizations and actors. Large organizations interacting with smaller organizations can encounter **real and perceived issues** of access (e.g. **pay-to-play**). The **power and influence** of individual organizations can also create challenges in inter-organizational spaces as organizations currently "at the policy table" may be perceived by others as being, or actually be, **unwilling to jeopardize their "insider" position**.

Both **existing organizational ties** (relationships) and **broken ties** tend to be **perpetuated**. One participant described this as "creating the organizational playbook". As new partnerships are entered into and projects or collaborations succeed or fail, **the playbook is reworked**. For the most part, the playbook is an oral history. While organizations may have corporate relationship guidelines and partnership templates, the practice of working with other NGOs tends to be based on individual preference and organizational history.

Extending the playbook analogy, the position a participant occupied in the organization appeared to affect **their ability to rewrite the official playbook**. Some factors appeared to be based on the **organization's size and the autonomy granted** the person or their position. There was some exploration in the data of how these affected **people's ability to act inconsistently with the playbook and forge their own relationships**.

In the coalition, tools and structures like **terms of reference, shared vision and specific goals** were discussed as **mitigating mechanisms** (though imperfect). Most participants spoke of the **initial structures and relationships being informal, based on mutual trust and need**.

5.2.5.3.c) Inter-sectoral Level: Complimentary Dynamics

Four participants described the ideal environment for HPP in CDP involving NGOs, the public service and politicians.

You need the three stool - you know, **three pillars** - three people, three organisations being on side with each other, **civil society, government and the politician** and so that alignment has to happen for movement but then **who frames what that agreement** is or what goes on is also part of it (P10)

This particular citation extends the three-legged stool metaphor to highlight a tension that exists in this dynamic as the **Government has decision-making power over legislation** and administrative policy which controls both the content of HPP for CDP and the budgets that structure and govern the public service and can also flow to, and support NGOs. The authority over the legal framework of corporations in Canada (Industry Canada and Revenue Canada) also vests with the GoC. Although the Department of Health (with allegiance to the Crown) is part of this structure, it has a different role in both providing advice to the Government and executing the Government's plans.

The **different dyadic relationships between these entities** (i.e. NGOs and Civil Servants (the Department), NGOs and the politicians (the Government), and the Department and the Government) have a **tone and quality** that impacts on the third party. Based on the relationship of the other two (e.g. the Department's view/impact when NGOs have the ear of the Minister, or the NGOs' view/impact when relations between the Department and the Government are good or bad) participants conveyed a number of strategies to advance HPP

in these contexts. The three relationships are **governed by different constraints**, and as such, also provide different opportunities.

Going back to the relationship of NGO's and civil servants and the government, I think there's a **traditional relationship [that's] still there...** NGO's get access to the minister's office and make their views known and the minister learns that there are people outside that are supportive... The NGO's have **access to minister's office and the civil servants don't**. (P11)

Most participants distinguished between political and bureaucratic staff, but there were plenty of instances in the data where that distinction was less clear (and maybe less important). There was also not universal agreement among participants on how these relationships should be managed.

[X] would want to **blame the bureaucrats for political decisions**, and we would say well that's not their fault it's like they don't control the Minister, right. Then [X] would say 'but you have to beat them over the head, you have to beat the government over the head' and you know [X] would want to write a long letter to the bureaucrat and denounce them and that sort of thing. It was **very, very difficult to deal with** in terms of trying to do effective advocacy and then **getting information afterwards** out of the bureaucracy **if they don't trust you**. They're scared of you in that way. (P14)

The inter-sectoral dynamics, even among sectors that share similar goals of acting for the public good, can still be difficult to navigate.

That's when politicians were enlightened and not closed... But I still think that the system works the same way. That **governments need to be pressed** in order to move agendas along, unfortunately. They don't simply do the right thing because the right thing needs to be done. Public health policy and chronic disease prevention policy is **inherently political**, and without political actors actually engaging and **leading the change**, and **creating the context**, the environment for the Minister to do the right thing, the right thing is not likely to happen. (P1)

Having trusted relationships between the government and NGO sectors was seen as imperative, but there was considerable latitude in how participants exercised their role and how they fostered trust: **being trusted to "stir things up"** and to **provide honest, evidence-based advice** were **not seen as opposing views or mutually exclusive** by many of the participants. Participants spoke about maintaining the informal relationships, as the **personal capital could be transferred to the organization**.

5.2.5.3.d) Inter-sectoral Level: Oppositional Dynamics

There is a fourth relationship that also plays into this dynamic. Governments need to work with industry. Even on an issue like tobacco, where international obligations require the government to ensure that health policy is not influenced by the tobacco industry, there are still ties within the department (for monitoring and reporting) and external to the department (e.g. the Department of Finance) that have ties to the industry. As such, a political ideology (and relationship with industry) can have an effect on NGOs and the "three-legged stool" metaphor referenced above.

Governments are often more like the **referee** of a game than the players. I mean, they have to see where things are moving and you know that they're **gonna be pushed by sides who are opposed** to a measure for whatever reasons, often financial but sometimes moral or just being obstinate for political reasons. (P12)

Although some participants expressed that perhaps the relationships with industry help reinforce the governments' view of NGOs as different, unique and necessary.

So I think in some respects, the advantage of being an NGO is that the **government understands your objectives** and will **treat you in a different way** from the polluter and will treat your advice in a unique way versus the other. (P5)

Most participants saw industry as opposition in HPP for CDP in Canada; either actively or incidentally on their way to making and protecting profit. As such, part of effective advocacy is countering this opposition.

What's the other team doing? How do you foresee what they're likely to do in order to counter it before they even try it? So looking at ways to **shut down your opposition**, deal with their credibility, how do you make it so it's hard for government not to act and that is the nature of advocacy. (P12)

Countering the advocacy and lobbying efforts of industry is an important part of NGO advocacy, however the influence of corporations on government is significant. Three industries are responsible for a significant amount of lost productivity in every other sector in Canada (tobacco, alcohol and food industries) yet other industries appear to remain silent on these issues.

5.2.5.4 Closing the Loop: The Person Working Between Levels

As described *in vivo* from the data "**The system is important but it's the people in the system that matter**" it is individuals who navigate the relationships and levels of the system and **their ability to work collaboratively across the system is key**. Also mentioned *in vivo*, is the recognition that "it's not all about Kumbaya", situations can be quite tense and heated. Looking at the dynamics between levels, even while maintaining the perspective of the

individual, provides a view from which to pivot the investigation of NGO leadership to other perspectives in the system.

5.2.5.4.a) The Individual in the Organization

Participants talked about representing their organization within the context of the role they held, as well as the match between their values and the organization's stated values. They described a role of keeping their organization focused on policy and collaboration. As individuals collaborated, particularly at coalition tables, there were dynamics at play situated between the individual actor and their organization.

My job was to keep [the policy issue] on the table in the [organization]. Then when I was a member of the coalition, my job was to keep the coalition alive. (P2)

In the situations where organizations needed credit or there was "brand conflict" (i.e. an organization's value-proposition), participants described the leadership required to keep the organization engaged in the collaborative through constantly communicating the benefit of collective action and HPP within the organization, especially at governance levels where there can be constant change in membership.

The fund raisers in the NGO, however, you know, that's always the balance. Where they're thinking, 'We need to sell our story – our unique story – not a shared story. We can't sell that.' (P3)

Those in more senior roles talked about ways of structuring the organization so that this was part of the culture. One participant spoke about identifying champions while ensuring the organizational brand or position is not overly identified with any one person.

Even as I was leaving, there was a sense of, how is this gonna keep moving forward because X is leaving? ... I think it's **dangerous to have people that are so well identified as being the spokesperson** on anything, to the point where you can't separate the two [i.e. the organization and the person]... (P9)

While the dynamics between the organization and the individual were identified by many participants, the ways that they addressed these dynamics seemed to depend on where a participant was situated within the organization as well as on aspects of organizational context (i.e. size, governance structure, history, etc.).

Our whole vision was about enabling, facilitating - it was **leadership through enabling and facilitating** and even here, I've often talked about our leadership - our role in federation and **servant leadership**, right? We can be formidable leaders. I intend on being a formidable leader at a national level but we're here to serve and to buoy up the rest of the fleet. (P9)

Participants looked at the environment, both within the organization and external to it, when making decisions of how they would engage in HPP for CDP in Canada. Most participants had significant latitude within their organizations to engage within and external to their organizations on HPP. They further worked to build and nurture the structures within their organization to maintain collaboration as an organizational value. This interplay between individuals nurturing an organizational culture based on community and networks and organizations structuring around networks appears to be a mutually reinforcing element of participant experience.

Figure 4 graphically organizes the thematic codes identified from the interviews (see Appendix L) around the individual and the organization. The diagram frames the places where participants must be "wearing two hats" in events, processes, attributes and roles; navigating their organization's expectations and their personal beliefs and values.

Many concepts are directly expressed or implied in Figure 4 which further articulates the context for NGO leadership in national HPP for CDP in Canada (as per RQ2).

Figure 4: Situating NGO leadership between the Individual and the Organization

Between the Individual and the Organization



5.2.5.4.b) The Individual in the Collective Space

When a coalition comes together (i.e. when two or more organizations start to work together) the additional roles or hats that people take on become an additional element for the individual members to navigate.

The dynamics of navigating the collective space appeared to play out in a couple ways:

i) The individual as a person and what their beliefs are in relation to their organization.

You have to set as part of **creating a safe space** a little bit about some of the ways in which we're going to make sure that this is a safe space. I think part of it is you allow somebody to say, "Okay. Well, **I need to take off my organizational hat** right now and just speak as a person or as a Canadian or as a whatever," right? "Here is my own **personal view**. Now I'm going to put my own **organizational hat back on**." I think that you need to create that ability for people to share their own personal opinions and thoughts... You can only have that kind of conversation if it's a **trusting environment** as opposed to somebody going back and going to their boss and reporting back. (P4)

ii) As the coalition engages in the process, the individual then needs to navigate being a representative of their organization and representing the coalition.

One of the big challenges is getting individuals to really truly be able to **wear two hats**. You know the one of **the organisation** and the one of **the [coalition]**... when I'm sitting at meetings with MP's or with senior bureaucrats in the government, where I've actually had [members] from the [coalition] say, "Well, thanks for inviting me to go to that meeting but I really can't because I've been branded such and such an organisation." ... [that] serves to help remind me that I have to be constantly helping people realize you still are ultimately responsible in your organisation but you can also be the eyes and ears and mouth for the [coalition]. You can do that because you are able to be in that function as a [coalition member], to be acting on behalf of the [coalition], not just your home organisation. (P15)

The three hats described above (the individual as a person, as an organizational actor and as a coalition actor) further complicate interaction. In the situations described where members were adept (or not) at representing themselves and their organizational interests, there were implications and consequences around credibility and trust.

In order to kind of establish good relationships and to **work in solidarity** with our partners, sometimes we endorse things ... [that] don't directly [fit our mission]. (P5)

Doing some **back scratching** to ensure and strengthen relationships. That can also be, in an indirect way, beneficial to the mission as well. (P5)

In some instances, participants ascribed the "ability" to navigate this as being a function of being empowered by their organization with authority delegated. Could they bind the organization in the moment, or did they have to check back with headquarters? And were they sent with specific positions or orders? This linked to the individual's ability to navigate these situations as an individual and as an organizational agent. While some participants spoke of this as a problem to be addressed, others simply framed it more pragmatically.

There's more than one way of doing something. There's more than one thing to do and **different people operate under different constraints.** (P11)

Many of the same dynamics that an individual must manage within their organization must also be managed within the collective context: they *are* both their position and their organizational representative within a larger purpose. However at the collective level new elements are introduced.

Competition for fundraising was often seen as less problematic in the collective space, especially in light of alignment of organizational goals.

I think the **spirit of collaboration was always there**, I mean there was **competition in our sector too... around fundraising...** but the underlying mission and goal of each organization is aligned. So, you know you **look beyond the competitive** nature of it and you work together. (P6)

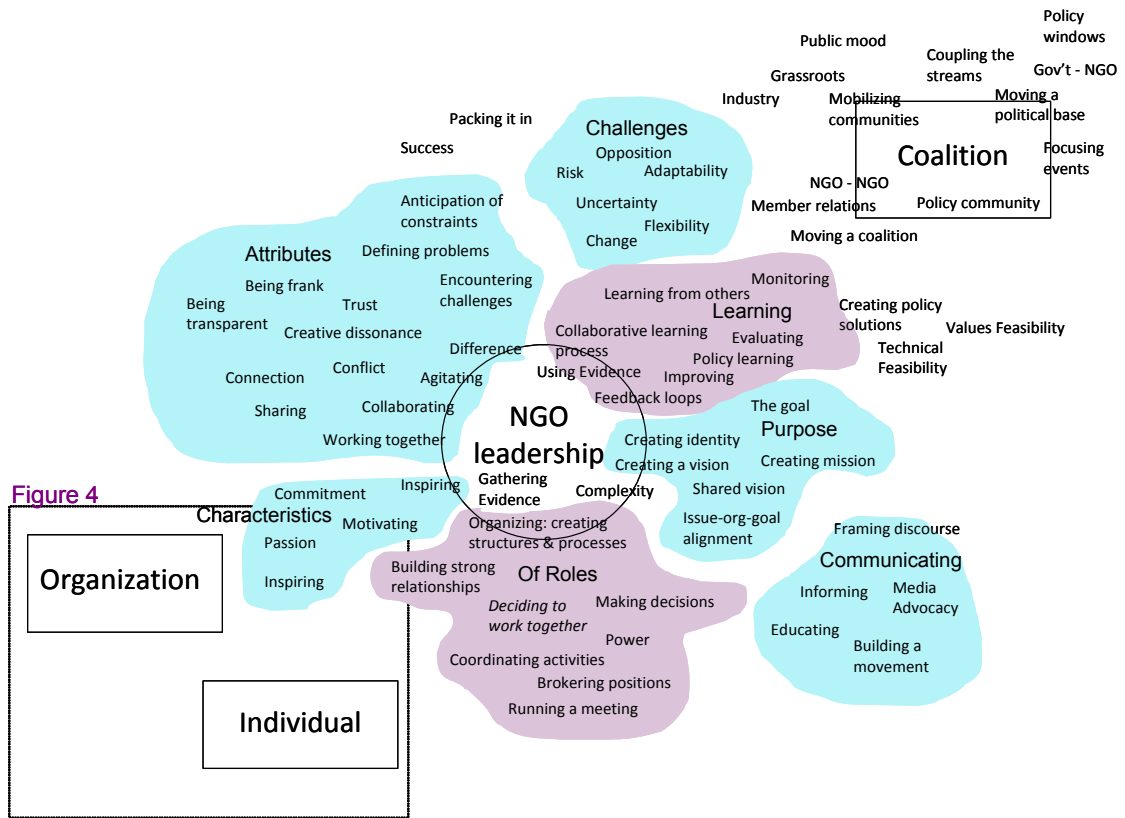
However, there was also a sense of keeping the organizational needs and the value proposition of the coalition in mind when dealing with partners

We know there are a number of **alliances in many sectors** including the health and healthy living sector. It's great to have goals and objections and priorities and targets for coalition... [But] What's the value add? I think that especially in these increasingly fiscally challenging times, each member organization needs to be **closely looking at why am I part of this alliance.** What do I get out of it? (P15)

Individual conceptions of leadership (i.e. leadership as an individual competency) come into play when looking at these dynamics. However, the notions of leadership that participants explored go beyond the capacities of individuals in this shared space and speak to choices they make based on a variety of factors.

Figure 4 illustrated the individual and their within the organization. Figure 5 illustrates a layer of complexity as this changes relationships and structures when they become the organization representative at the coalition table. Participants spoke about the importance of navigating this space intentionally i.e. openly communicating constraints and expectations, wants and desires (individual, organizational and collective) in order to help all parties assess alignment and opportunity.

Figure 5: Situating NGO leadership between the Individual, Organization and Coalition



5.2.6 Elaboration of Leadership

Leadership was expressly discussed in thirteen of the fourteen interviews. In six instances, when an informant mentioned leadership, the researcher then further explored the concept. In two instances, when the informant mentioned things that sounded like leadership (but didn't necessarily use the term); the interviewer reflected that back to the participant and continued to probe. In one interview, the significance was missed during the interview and only caught in analysis. In the remaining four instances, the interviewer directly asked about leadership, without it being brought up (as per Parry, 1998).

Participant's descriptions of leadership focused on elements consistent with leadership as it has been described in the literature (See Appendix N).

Leadership means... **credible, trusted, influential**, it broadens scope in terms of, you know, coast to coast grass roots to national, I'm not sure how that's described but it brings in all those factors. Hmmm and collaborative I guess. NGO leadership is probably similar adjectives, with a level of trust, **neutrality**, credibility and **accountability**; yeah I think those are probably the main ones. (P6)

Participants described NGO leadership as a persistent and consistent pressure on government to focus on CDP in a crowded legislative agenda: moving a political base all together. As such, leadership was related to the policy process, both ACF and MSF.

No one person can move a broad social agenda forward. It's inherently a team sport. It has to be done in a team but everything doesn't have to be smooth. (P1)

Four participants spoke about leadership as "making things happen" through having the ideas and vision for what needs to happen and being the activist to make it happen

There's **intellectual leadership**, there's people that have **ideas**, that have a **vision** for what needs to happen, and there are other people that are about actually being the activist and **making it happen**. I think it **requires both**. (P1)

Participants described leadership as being shared and distributed. Leadership occurs at multiple levels (and can emerge at any level). Participants recognized that in working together different people bring different gifts and operate under different constraints. However, within this diversity there were similar themes around evidence, passion, collaboration and "doing the right thing".

NGOs tend to need good information, knowledge about what's the right thing to do and some **passion and an eagerness** to work with others, which is a kind of way of leadership. (P3)

Participants spoke of the messiness and complexity of the system and the policy process. Learning was described as a way of navigating this messiness and as a strategy for

improvement. Participants spoke about organizations being "risk averse" and learning as a mechanism to deal with this.

I think [leadership] helps to **maintain sort of a culture**, a spirit of collaboration, doing things to cultivate and maintain the **spirit of collaboration**, helping to keep the value proposition in mind always, making it sort of a safe place for people to share and participate and I think respect as well to sort of really ensure that the alliance tables and by tables, I mean not just board but the various working groups as well, I think just thinking those to be **safe places** where everybody is encouraged to participate in discussion and their **views are respected**. (P15)

Persistence was explored as a key element of leadership, not only at the individual level, but also at the organizational and coalition levels.

Learn from others and - well, **listen** to others, never give up because it's persistence that pays off in many cases for many issues, especially when it's complex issues, especially when there's multiple stakeholders. Especially when you're dealing with large regulators, the federal government... (P5)

Six participants spoke about the role of passion in leadership and the policy process. They attributed success to those individuals who had the passion for an issue.

I think what it boils down to is the **passion**, and the conviction of the individuals who are involved. If those individuals can wield influence then they will be the person who's gonna **spend time off the side of their desk** doing it and be dedicated and seek out other people that are because they really want to see it happen, and the multiple hats that you wear, maybe that one is the one you are really passionate about wearing that hat and you find other people that are and you just **make things happen**. You mobilize people that will be there. (P6)

Although participants talked about styles of leadership, they did not necessarily favour one style over another. Some recognized their own style (or the styles of others) but expressed that the process can require different styles and forms:

I don't think it's a style thing, right? I don't think **any NGO is necessarily better served by one style or another** in general. It really does come down to the right leader at the right time for NGO's and for policy... (P9)

Some participants explored shared and multi-level leadership that is required in complex, messy environments.

It was a **multi-pronged** approach. It wasn't - it was multi-jurisdictional. It did have the - and needed to have movement and the will from all communities, all sectors, right? So, and it continues to be that way and it continues to be a little bit messy but

at least things have changed. There's been a change - a shift. You may have wanted more but really, when you think about it as compared to some of these other things that we're discussing, at least there's been a true change...Like, that's I think the messiness of it that it's quite beautiful. **It's not linear.** It's not linear; it's just the messiness of the process that is so necessary. (P9)

This supported a different view of leadership as a system capacity.

There's another way looking at leadership too. Rather than the qualities of individuals or organisations, it's a **structural place of NGO's in the system.** (P10)

Given the risk and uncertainty in the system, the way individuals and organizations "read the tea leaves" influences their decision to engage (and how fully to engage). Two participants spoke to either end of this spectrum (the importance of their role in the process).

When I think about it... anybody in a complicated system **foresees their bit as more** than anything else and they obviously always **inflate the effect** of their bit compared to everything else in the system, right. (P14)

I don't know if you'd ever really know for sure and **nobody knows all the information** and this is one of the big things about it. We advocate and try to advocate in the right direction but you never really know if you're completely wasting your time or if they were gonna do that thing before you started you know, being a blowhard kind of thing and everyone is kind of giggling while you're still going out there and doing your media thing or whatever. You know, or we decided to do this six months ago and that guy is wasting all of his time but I don't know, we have to kind of operate in the assumption that we are making useful contributions in that regard - but it's so hard to tell. (P8)

With their position outside government, influencing a closed system that uses adversarial dynamics (parliamentary process) to enact policy, leadership can be seen as the structural place of NGOs within the system: they don't have the same constraints as actors within that closed system of government and political actors, and they're different than competitive or market-based actors. This suggests conditions under which leadership emerges.

In terms of leadership, **it emerges.** Leadership helps understand and navigate complexity. (P1)

The excerpts above demonstrate leadership as a systems' capacity, consistent with the sensitizing concepts that explored leadership as relational, shared and multi-level. Within the specific testimony related to leadership, eighty-nine codes were developed that explored how NGO leadership works as a social, relational process (RQ5). Table 20 and the subsequent narrative explore participants' views on leadership.

Table 20: Leadership Concepts Explored by Participants

Concept	Descriptions
Persuasive and Influential	
	Convincing others, brokering positions
	Instilling motivation to act among others
	Inspiring people to act (inspiring people to take control of their own health, inspiring government to take action, inspiring community to improve the law for their fellow citizens)
	Motivating and mobilizing
	Encouraging and motivating others when there are difficulties
	Tapping into the passion and conviction of others and recognizing the influence they can wield
	Being a catalyst; a spark plug
	Employing effective communication; persuasive communication
	Stroking members so they stay motivated
Inspiring	
	Engaging
	Bringing new energy to a mandate
	Creating energy and excitement
	The maintenance of a culture, doing things to cultivate and maintain a spirit of collaboration, helping to keep the value proposition in the minds of those involved
	Creating a safe place for people to share and participate. Fostering and modelling respect so everyone is encouraged to participate and bring their perspective
	Making members feel valued for their contributions. That their thoughts, experiences and insights are valued
Out-in-front	
	A policy entrepreneur (a champion)
	First out of the gate
	First to propose something
	Being first at the mic
Goal-oriented	
	Both having the ideas and vision for what needs to happen AND being the activist to make it happen
	Directed (and self-directed)
	Seeking out others to help with the goal
	Being of service (to a mission, to a public, to a goal); servant leadership
	Forming (knowing) the goal and advancing the base towards it
	Constantly revisiting purpose and identity and re-committing the group to them
Thought Leadership: Knowledge and Expertise	
	Having good evidence and a clear path

Concept	Descriptions
	<p>Having experience with and knowing how to lobby</p> <p>Having knowledge and experience to push an agenda forward</p> <p>Collaborating with and engaging experts; having (using) expertise for credibility and to increase reach (making sure the information is correct and that it informs and engages the grass roots)</p> <p>Bringing various skills together (the policy wonk, the evidence gal, the I-get-along-with-everyone guy, the one with the killer instinct for a sound bite, the knows-the-political-system-and-processes type) and pulling this cabal together to function cohesively)</p>
Learning and Adapting	
	<p>Learning attitude (and adept at learning); Learning from others, learning as they go, learning from experience</p> <p>Attentive/responsive to grass roots; Allows things to bubble up</p> <p>Able to wear multiple hats (aware of roles)</p> <p>Recognizes changes in public and social context</p> <p>Recognizes the importance of context, time (timing and "the times")and the issue</p> <p>Responsive to feedback; responsive to different ways of doing things; responsive to new information; acting with the information at hand and then adapting as new information is learned and being accountable for those actions</p> <p>Uses success to reinforce and motivate</p> <p>Being open to difference (different ways of doing things, different ways of knowing, different cultures, different information, different purposes and different values).</p> <p>Constantly scanning and learning</p>
Creative	
	<p>The need for leadership to be creative</p> <p>The creativity to have the lightbulb going on and deciding what is the thing to do and the bloody hard work of actually bringing it about</p> <p>Creative with the use of resources (sometimes in response to a need to be frugal)</p>
Connected and Collaborative	
	<p>Collaborating with and engaging experts</p> <p>Being attentive and responsive to grass roots; allowing things to bubble up</p> <p>Actively seeking out others to help with the goal; encouraging others to do the same</p> <p>Identifying the constituency-of-interest that will be responsive and supportive</p>
Coordinating/Organizing/Facilitating	
	<p>The management of people; organizing and getting things done; coordinating the actions of others</p> <p>Organizing for success (structures and processes)</p> <p>The structural place of NGOs in the system; a role that facilitates and makes things happen; getting a group of people engaged in the charge</p> <p>Gathering resources</p>

Concept	Descriptions
	<p>In NGO-land it is often about hiring decisions and who gives you money (and for what purposes).</p> <p>Motivating and mobilizing</p> <p>Mobilizing people to take action; seeking out others to help with the goal</p> <p>Making the coalition an effective vehicle for what the individual, members and organizations want to do</p> <p>Being nimble (related to being frugal and being under resourced)</p> <p>Modeling good relationships (i.e. between CEO and Chair)</p> <p>Having good facilitation and group process skills (knowing group dynamics)</p> <p>Encouraging everyone to talk and participate. Bringing all voices to the table</p> <p>Letting others lead. identifying gaps (in leadership) and needs (for leadership) and identifying where and how those can be addressed</p>
Persistent	
	<p>The creativity to have the lightbulb going on and deciding what is the thing to do and the bloody hard work of actually bringing it about</p> <p>Stepping up to the plate</p> <p>Championing something in spite of priority setting and where things fall</p> <p>The dedication to spend the time off the side of your desk (commitment)</p> <p>Being single-minded (focused)</p> <p>Moves an agenda forward</p>
Leadership is...	
	<p>About doing the right thing (management is about executing a plan)</p> <p>Supportive of others' leadership</p> <p>Transparent and accountable</p> <p>Credible, trusted</p> <p>Enhanced by trust, neutrality, credibility, accountability</p> <p>An often intangible thing that leads to success</p> <p>Navigating conflicts of interest transparently</p>

5.2.6.1 Leadership, Management and Positional Authority

Participants highlighted the importance of the individual to be inspired and inspiring, their ability to wear many hats, and to have comfort with uncertainty and risk. Participants also described leadership as coming from many different places in an organization, coalition or system. In exploring various tasks of leadership, some tasks were more akin to management: e.g. attracting talent, making decisions, brokering positions or running an effective meeting, while other tasks used more of a strategic lens and were not position specific e.g. the processes of creating a vision, gathering and using evidence, creating identity, learning and collaborating.

In exploring the coalition environment, a number of tasks were discussed that normally are the domain of positional authority in a traditional organizational view. The leader (i.e. the manager or the person with positional authority) is responsible for managing people, making the decisions, clearing obstacles that are blocking the goal, etc. However, in a coalition, often with no identified positional authority, it is less clear with whom these tasks vest. Participants identified a number of examples where leadership emerged and was not always from where it was expected.

Leadership was therefore described as distinct from positional authority. If an individual within the coalition did not hold positional authority, they still took responsibility to act. They accepted a mantle of leadership and chose to lead. They recognized something in the environment and looked at what they could bring and acted.

At an individual level, leadership is not necessarily positional or authority based (i.e. the CEO or Board Chair). While those individuals can be leaders, participants provided examples where people in leadership positions did not demonstrate (or exercise) leadership. These instances where a CEO or Chair did not engage (and therefore did not demonstrate leadership), demonstrated the transient and episodic nature of leadership. It was not so much that these individuals weren't leaders, as they didn't engage as leaders; they didn't demonstrate leadership in those situations. Like a sparkplug, leadership didn't "fire" when they chose not to engage. Using this same analogy, one participant discussed how sparkplugs need a specific set of conditions in order to fire, and explored the conditions for political will as both previous political success and a government that wants to act (further expounding on the three-legged-stool metaphor).

These examples suggest that leadership is independent of position. In this system, leadership emerges. While leadership can involve the management of people, it is much more than this.

5.2.7 Interconnections between the Six Perspectives

The preceding sections explored six perspectives of NGO engagement in national HPP for CDP in Canada as discussed by participants:

- i. Advocacy as the Domain of NGO Leadership in National HPP for CDP in Canada,
- ii. Policy Advocacy Inputs: Aims, Objects, Ideas & Options for HPP for CDP in Canada,
- iii. The Policy Process for National HPP for CDP in Canada,
- iv. The NGO role in the HPP process,
- v. The HPP for CDP eco-system in Canada (from the NGO perspective), and
- vi. NGO Leadership.

However, these perspectives are interconnected as different views of the same phenomenon. Similar to the Medicine Wheel or the fable of the Blind Men and the Elephant (Saxe, 1872) each section described different aspects of the same phenomenon: NGO leadership.

The example of the CEO and the rabble-rouser used at the beginning of the explorations of NGO leadership demonstrated the connections between these various perspectives and throughout the various sections linkages were highlighted as dynamics could be viewed or experienced from different perspectives and positions within the system.

NGO leadership lets differences percolate. An annoying, unfiltered, but "on-mission, on-purpose" voice, when given space to penetrate an organization and get an issue on the radar can have significant impact. Leadership accepts the challenge and embraces agitation. It allows these dynamics to change the organization - making room for conflict and supporting its development. More voices and different voices come to bear on an issue with the deciding body, and the process improves the organization (and its response), inspires others to join in and informs policy changes. It further creates relationships within the structure for future actions.

The social learning process requires the creation of a culture of being truly open and transparent so the collective may arrive at the optimal policy option for the current context despite competing ideas, personalities and other challenges. A culture that encourages **engagement with authenticity** for the achievement of **the goal** (i.e. "doing the right thing") was seen as a place where leadership in this process was demonstrated. This culture then requires specific conditions for the emergence of leadership.

5.2.8 Essential Conditions for Effective NGO Engagement in HPP for CDP

In the "three-legged stool" metaphor there were basic assumptions about capacity for each of the three legs (i.e. human, physical, financial and intellectual capacity) for this scenario to work. Although participants arguably represented a vested and/or biased view of the importance of NGOs in the policy process, they were able to cite examples from jurisdictions where, and/or times when, NGOs did not exist. Arguing that in those circumstances, effective HPP for CDP did not happen. Participants expressed an existential requirement for some form of individual or non-state actor in a civil society to effectively advocate for policy (especially in complex environments with opposition) to be developed.

Two views of the essential conditions for NGO influence in HPP for CDP are existential conditions (i.e. those that allow and foster an engaged and effective civil society structure) and facilitative conditions for NGO influence (i.e. those that allow NGOs to be effective in influencing political decision-makers). Both of these views align to create the conditions for self-organization and leadership emergence.

Existentially, the legal framing and rule of law must be in place for civil society organizing that is independent from government. Given this, NGOs must then be resourced (i.e. have sufficient capacities) in order to achieve their mandates with human, physical, financial and intellectual capacities. As NGOs appear to be perpetually under-resourced, NGOs must be nimble and creative. Their ability to be nimble affects their effectiveness, connections and their ability to fulfill their mission (as functional expressions of public interest). Participants expressed the need for fortitude to survive (let alone be effective) given the precarious nature and insufficiency of funding. An NGO's networks and purpose add value as these can attract additional resources when the organization's mission resonates with peoples' passion. To best use these networks, participants spoke of the requirement for ease of access to information, resources and people.

The three overarching conditions related to credibility and trust (i.e. existence of NGOs for public benefit, connection and effectiveness) are interconnected. NGOs are seen as being a conduit to the grass roots, so their accessibility, transparency, and voice are important in demonstrating that connection. Those organizations with large member bases and connection to grass roots also represent a large political constituency (i.e. voters). The ability to access people and information fosters connection and builds organizational knowledge.

While participants conveyed a process that was guided by their curiosity, for the social learning process to be effective, participants needed an organizational and collective culture that was open and helpful: one that valued collaboration, transparency and open access.

Figure 6: Necessary Conditions for NGO Leadership in HPP for CDP in Canada

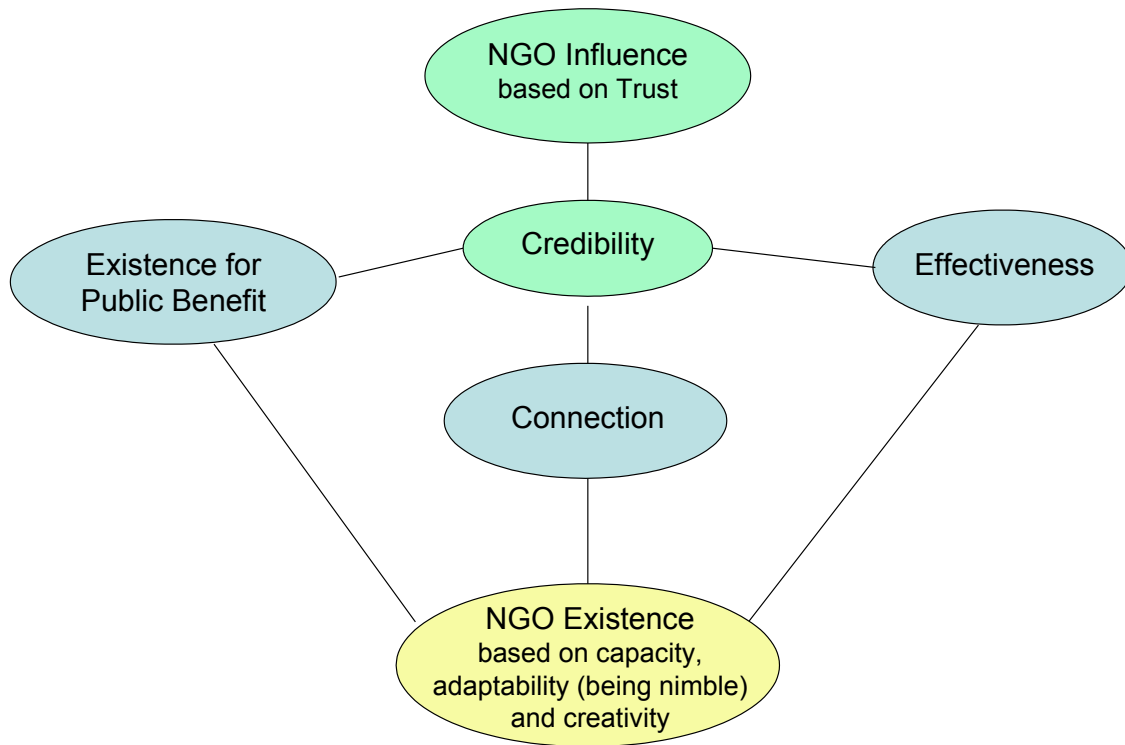


Figure 6 provides a high-level view of essential conditions for NGO leadership in HPP for CDP in Canada

Improving, inspiring and informing connection, effectiveness and vision requires recognition of the **importance of risk, uncertainty, feedback and conflict in the process**. Valuing diversity, risk, conflict and feedback and **consciously giving these room** within the organization to create a culture that values learning and improvement **requires leadership** to ensure that the processes are not just an amoral expression of knowledge conversion, but are an active process to allow "the right thing" to emerge. Such a culture is also required to **allow the required leadership to also emerge**. In this way, **diversity, risk, conflict and feedback create the conditions for inspiring, improving and informing connection, effectiveness and vision**. These then create the essential conditions for self-organization and the emergence of leadership.

5.2.8.1 Trust

Trust was reported to mediate credibility, position, access, and uptake of communicated messages. Being trusted is critical. The most common view of trust conveyed it as an asset or currency: something that helped in making decisions (consistent with the definition in the sensitizing concepts) as well as in the achievement of goals by encouraging and attracting resources and facilitating relationships.

the groups that were involved, and there were many, really made a lot of progress in building trust and **being more open and having open and frank discussions** about what areas we play in and how our goals can be mutually beneficial without being overly competitive. (P6)

Trust was discussed at an organizational level, a coalition/collective level, sectoral and even system level, but it came down to the individual level - the people around a table and the informant's judgement and where they experience a safe space. Trust requires relationship. It requires people believing others to be open, honest and transparent. It requires time to develop. It can't be forced - it's earned. While trust takes time to build, it has fragility. Trust is one of the system properties that emerge as people work together and forge relationships.

Participants spoke of trust as being related to their credibility and persuasiveness with decision-makers and as key aspect of NGO leadership. Government's (and the public's) trust in NGOs is partly based on their legal requirement as registered, not-for-profit corporations to serve a public benefit. Trust was also related to their connections (with health professionals, researchers, academics, people with lived experience and Canadians writ-large) and their effectiveness (i.e. perceived power, influence and impact). NGO credibility was related to how NGOs formed connections and how they used evidence to advance their mission. Participants expressed the alignment of vision, goal, issue and structure as important to fulfilling their promise of public interest - this further enhanced (or eroded) credibility and trust. Table 21 highlights the critical role that trust plays in the NGO leadership process.

Table 21: Trust - Illustrative Quotes

Description	Illustrative Quote
Perceptions of the coalition as a trusted partner interpreted as sign of success.	If there's continued general interest in joining our coalition. For me the real sign that we're effective is, are we a trusted partner to external coalitions. So how often are we being invited to really important national stakeholder consultations (P15)
Being trustworthy is important. Keeping confidence and maintaining respect for privacy.	You have to be very clear up front about the fact that what's being said in this room stays in this room... We said, "You know, this is a private meeting. There's gonna be no attribution here. What is said in this room, we all commit to keeping in this room" ... You have to create a place of trust . (P4)
Exposing vulnerabilities can build and reflect trust.	When they reveal something that potentially could be used against them, that demonstrates trust so when they demonstrate vulnerability , that's also a sign of trust , I think. (P5)
Intentionally creating trust is important, but the process must be authentic.	All of those trust building workshops ... were all very, very interesting but when I had... the same people sitting in the room going around and trying to convince the government not to move an agreed-upon-at-the-table public health matter , my ability to actually trust through the building-trust workshops was limited because it's one thing to say, "We're all in this room to build trust with each other," but when you're outside the room and you're acting in ways that actually are breaking that trust , it makes it really challenging. (P4)
Trust is easy to break.	It's easy to break it's not easy to get but it's critical to doing any of this kind of work. You really have to trust your partners . (P4)
The relationship between trust and power.	With regard to trust and power , I think that they're sort of a universal challenge for coalitions and they are really tricky because the truth is, one can have terms of reference and policies and procedures that spell out the voting process and equal voice but when you've got some organisations that are vastly larger, vastly better resourced than the others, it's pretty tough for that to go away. So, we can make it all sound pretty nice and say oh no, no we're all equal at the table , it doesn't play out that way... power has a way of undermining trust . (P15)

5.2.8.2 Credibility

Participants' explorations of credibility were related to trust and were seen as a requirement for NGO success.

[NGOs] have **credibility with the public**. I mean, Heart, Lung and Cancer - I mean, you know that's **motherhood and apple pie**, right? (P7)

Similar to trust, credibility is a currency that NGOs want to maintain. Participants spoke about NGOs having credibility partly because of their use of evidence and how they communicate it.

The best NGO's have **evidence behind all their pokes and prods**. And then they really are seen as credible and in some cases, formidable, right? Like you want to make sure that they're on-side... (P9)

As such, an NGO's reputation plays a big part in their ability to attract the resources to accomplish their mission.

I hope that they would think of us as **effective and independent**. I guess those are the two big things. And, forceful you know, like those are the big things... it's part and parcel of the independence thing but just that we get information that's reliable and it's not pandering to a certain constituency or missing words so that we don't offend a funder or something like that. (P8)

For NGOs their experiential knowledge is a large part of their credibility with the public and with government based on the strong connections they have with those who experience chronic diseases and those who work with and study chronic diseases.

An organization's credibility is related to their perceived effectiveness, connections (or network) and their purpose. In exploring how NGO leadership is shaped by their structure, operating environment and purpose (RQ4), participants described being effective with limited resources through their ability to tap into networks and inspire based on a compelling vision provides diverse examples of creating the conditions for leadership emergence.

5.2.8.2.a) Effectiveness with limited resources

Effectiveness appeared to be related to a NGOs perceived influence and impact and their ability to attract and use resources (i.e. human, financial, physical or intellectual). However, it was the perception of effectiveness that most participants discussed. When reflecting on the sector, participants talked about effectiveness being related to the ability of organizations to accomplishing their mission by being creative and adaptable to changing circumstances.

We were **set up to be a nimble organisation** and have survived for thirty years. That nimbleness has had to be exercised many times. Our budget has varied from zero to a million a year during that time but we've **maintained flexibility**. (P10)

Beyond being existential issues for organizations, both funding and human resource management were seen as indicative of organizational effectiveness. While both issues influence organizational behaviour, participants spoke much more of the influence and constraints that funding has on organizational engagement and leadership. All participants discussed organizational funding and its impact on capacity, effectiveness and credibility.

A lot of it was because I had a **budget** and so I'd invite [X] and [Y] and all these others out to lunch a lot. A lot of our stuff was done over lunches in restaurants and I always picked up the bill because nobody else had money for that. (P2)

Organizations have many stakeholders: boards, volunteers, funders, staff, members, etc. and they must navigate and manage these relationships (as well as the perceptions of these stakeholders) in order to **survive as a going concern**. Organizations therefore make strategic choices partly in light of the potential impact that actions will have on their ability to attract the resources required to continue to survive. In this way, **credibility and effectiveness are related to sustainability**.

The way that an organization is funded (who funds it and through what mechanisms) and the degree of transparency to which organizations communicate and acknowledge the sources and uses of funds was a significant part of participant narratives. They explored the **constraints and obligations of funding** and the impact this has on credibility. Participants spoke about organizations that have navigated these dynamics well, and times when organizations have not. One organization was singled out in a few interviews for not participating in particular collective campaigns, and even lobbying a coalition to not take particular action in cases where the organization had concerns about alienating their donors.

for some organizations they have to demonstrate that the funding that they got from source X, they're **accountable to that funding**, they've got to demonstrate that they've been effective so that needs to be clear with the partners. For others, you know, their funders are donors and then, in that case that organization has to **be clear to the others** that, "Hey. I need to get some 'PR' because my donors need to know that I'm active in this area and so are you okay with that?" It's **not about me taking credit** over you but I need that public exposure and whereas you need to **demonstrate to government** because that's who funds you maybe, then your objective is more to demonstrate to them. (P5)

Perceptions of effectiveness and independence are the main things that are threatened by how (and from whom) funding is received. However, there did not appear to be agreement on an optimal situation. Government funding had implications for the perception of an

organization to lobby effectively. In some cases, organizations acknowledged the risks of advocating the government but did it anyway.

This organisation has been built on government funding and... That really would have been **cutting off the hand that fed us**, you know but by this point, there wasn't a lot to lose but we certainly did lose... you do take a risk with this stuff but if not us, then who, right? If not now, when? but ... we knew that that was a risk. (P9)

Not all bravery and risk-taking was overt. There were situations where participants provided different accounts of the same incident and attributed different motivations for specific organizational actions. However, participants linked risk-taking with integrity: sometimes it is about having the courage to participate and engage.

It takes one person – you need that knowledge of the issue, that there's something that can be done and awareness that the other organization will do it and then you have to have **at least one person in each organization that's willing – brave enough – to reach out**. Some people are just very afraid of representing their organization. You see them come to meetings where they'll say well I'm here from such-and-such, and they just sit and don't speak and they don't say a word. (P3)

Comparing interviews, if an NGO acted in ways where observers inferred that the organization had a higher value for perpetuating its own existence, or fundraising (instead of advancing its mission) then the perception persisted that these organizations were ineffective in HPP and systems change. Some organizations took funding from corporations and navigated it well; others took funding from corporations and appeared to be "tainted". Even individual donor funding (crowd-sourcing campaigns) affected organizational behaviour as management could try to interpret how donors might respond to various actions.

[Organization x has] now become really huge and so they've got like 400 million dollars a year in revenue and raising more money has become the key thing that they can do so given the **choice between doing something to be really effective for [their issue] and something that would be really effective for fundraising**, you know, they go for fundraising. (P12)

A number of participants cited the historic creation of a particular organization to address tobacco control at a time when smoking prevalence was high in the population. These founding organizations did not want to alienate donors who smoked, and the new organization provided a "brand" the organizations could hide behind.

Participants also described how large differences in organizational capacities around a coalition table can cause issues - both perceived and real. A few participants spoke about the need to have a systems view with organizational resources (organizations sharing resources to achieve the common goal), but this was seen as challenging and more of a historic

phenomenon. Participants provided a few examples where coalition participation was either "pay to play" or the largest organization called the shots.

Participants discussed resource struggles through different lenses. Some participants described NGOs and other purpose-built structures (i.e. coalitions) as being a disposable vehicle to achieve a purpose. Others placed a greater emphasis on the importance of sustainability and operating as "a going concern" which is a duty of Boards of Directors in executing their duties. The latter perspective was discussed within a context of **learning from business** to demonstrate impact and accountability. What was common within these competing perspectives was a picture of NGOs as having scarce resources, especially when considered in the context of their large (grand) mandates and the often wealthy position of industries who oppose HPP for CDP.

NGO's like [X] which was set up for [a specific disease] then **kind of collapsed** after [the disease] was no longer sexy, right? Then you struggled to try and maintain the institution so whether the **structure pushes the mandate or the mandate pushes the structure** is one of those dynamics. (P11)

The view of a disposable structure and the view of an NGO as a going concern supported the need for organizations to be able to adapt to an ever changing environment and if they cannot then they cease to exist or cease to be effective. There were different views on what minimum capacity could or should be, but generally participants shared a sense that "some is good, but more is better". Participants addressed sustainability issues in a variety of ways, some talked about creating a project-focus or pursuing grants in order to sustain the organization (reactions to these strategies ranged from pragmatic acceptance to the summarily dismissive).

If NGOs demonstrated a value for mission and vision attainment above all else (even existence), used expressive and service functions as mechanisms to inform HPP and social change, communicated their inspiring vision (intention, responsibility and actions) well, transparently used funding (and resources) towards mission, demonstrated responsiveness to feedback and shared their resources and connections then they increased their credibility with their partners, with policy-makers and with the public. These organizations, and by extension the collectives that established a similar culture, created the conditions for the emergence of leadership.

5.2.8.2.b) Connection

Linked to credibility is connection. The connections NGOs have to constituency groups and the public, while not a necessity, represent something unique that (some) NGOs have brought to the policy process. The size, target and scope of NGO networks varied greatly across participant interviews. Some organizations had a large membership and/or donor base and others did not. Some organizations had strong ties to academics or health professional groups. Those that acted more as think tanks had strong ties to other organizations and influencers. These networks informed the organization's purpose and vision and provided credibility through a sense of shared experiential knowledge.

For those organizations that also had service functions related to disease management or other non-CDP related function, those connections with individuals affected by a particular chronic disease provided a different voice. A few participants spoke of the political power of giving voice to those with less political and social resources. Some NGOs with grassroots connections created mechanisms and structures to hear from (and represent) those grassroots. These networks strengthen the advocacy assertion that adopting a particular policy idea reflects the will of the people.

The relationship between self-organization and emergence of leadership is expressed through connection. Participants described the informal and formal mechanisms of building connections and the benefits that emerged from those connections as champions are identified, purpose is honed and people are inspired.

... at a certain point, those voices started to come through the NGO's ... And somehow, having that voice come through the NGO about that same issue, gave it a certain - it elevated it. **It gave it a certain amount of credibility and credence**, right? And again, we were perceived as someone who might have some value to bring to the conversation. It gave us an opportunity then through our own volunteer network to do an **impartial review of the science and the evidence** which again... having that kind of review come through the NGO, again it gives it just more credibility because of that perceived independence (P9)

The network structure of NGOs can take many forms. Having a strong "voice" is linked to connection, credibility and trust. Many participants shared a value for creating an amplified voice and collaboration was seen as a significant way to strengthen voice.

The role of the disparate voice, the rabble-rouser is critical to this process. However, how that voice gets integrated is important. As a learning process, this is not about silencing or rationalizing a voice but augmenting it and giving it space. Providing voice to people who have none has also been a role that NGOs have played. This commitment is an expression of social justice and can be incredibly powerful in NGO advocacy for HPP in CDP.

A few participants spoke about the current value for expertise (i.e. experts) within the policy process. One participant reflected on a change over the last few years where the Government is now turning more to academics than NGOs and explored how the shift has deep impacts that do not seem to be recognized.

being legitimately an expert is one thing, being legitimately a **voice of civil society**, that's a **different** thing and in terms of governance and accountability that those are in public health, not valued or as important as they might be in other spheres. (P10)

A coalition or organization that establishes a culture of reaching out and connecting with others and works to remove barriers to connection builds a culture where leadership can emerge. Table 22 explores aspects of connection and voice from participants' experience.

Table 22: Connection and Voice - Illustrative Quotes

Concept	Description	Illustrative Quote
Connection	Local connections provide a mechanism for issues to bubble up	Across our organization for instance a lot of the issues have some up from the local, the provincial level so a pressing concern that would come through across the country... that would bubble to the surface and then we would discuss an action plan to deal with it. (P6)
	Grassroots has currency in HPP. Where that is coupled with the credibility of access to expertise and evidence it is even more powerful.	Grass roots was very important, it had probably more of a currency in influence than some of the smaller organizations which were more kitchen table. Organizations that actually had the expertise and evidence but also the credibility - you've got to have influencers with credibility in the areas that you're working in... Researchers, physicians... (P6)
	NGO connections and ability to mobilize are about being effective.	People are knowledge experts. [Academics are] not necessarily movement experts or mobilizing experts and they think it is important for them to be right, not to be effective... It's a little bit different. (P11)
Voice	With the connection, comes the ability to access and channel voice.	I think that the role of NGOs is really to be the voice of public interest and to identify specific alternatives or specific policy changes that they want to bring about and to find a way to make that happen; whatever it takes to make that happen. (P1)
	Connection with other organizations was important to augment voice	in tobacco policy work and our experience there is that being in collaborative work was more powerful than speaking alone , though often it's useful to have a lone voice come out and the rest agree, but that's part of the overall strategy. (P3)
	There is also responsibility in amplifying voices instead of usurping them.	So you start dissecting it and recognizing that all stakeholders have a valid voice in some element... and often and this is a really empowering to use with patients because often they have no power. They have no authority or no perceived authority. But then when you talk about what they actually have, they have the tacit of knowledge in terms of the real world data that's needed. (P13)

5.2.8.2.c) Purpose-Built Structures

NGOs in Canada are legally constituted through Industry Canada's authorization and acceptance of the objects as laid-out in the organization's Letters Patent. Many NGOs form strategic plans that articulate a mission, vision and values in support of these objects. This "corporate identity" serves to both inform and inspire through its articulation of a vision.

The organizations are **really not self-interested**; they're advocating in the **public interest** and they're **very credible**, in that regard – even though they might draw some opposition from, let's say, the tobacco companies, or the food industry, or beverage/alcohol manufacturers and things like that. (P1)

As a sector, NGOs have credibility with the public based on their obligation to serve a public good. Participants were well aware of this, but also did not take it for granted describing various activities intended to both garner and nurture public trust. This includes ensuring that their advocacy efforts are both evidence based, but also reflective of their constituency's desires.

Table 23 explores implications of being purpose-built for public benefit. Through purpose and connection, conditions are set for leadership to emerge. Being purpose-built by design (and legislation) is a key part of organizational and sectoral credibility.

Table 23: Purpose-built / Public Benefit - Illustrative Quotes

Description	Illustrative Quote
NGOs bring an authoritative voice that does not have a vested interest	[NGOs] often or at least they're perceived to bring to [the policy process] and I hope they try to bring to it is a voice that's authoritative but doesn't necessarily have a vested interest in the outcome other than the public good (P9)
The requirement of public benefit lends credibility to NGOs for government	The advantage of being an NGO is that the government understands your objectives and will treat you in a different way from the polluter and will treat your advice in a unique way versus the other. (P5)
The mission of the organization also attracts talent, inspires people and improves connection	You know, the Board membership is always changing for lots of reasons. Sometimes we just have very ambitious people on our Board of Directors that are really glad to roll up their sleeves and come in and bring their skills. So it's all down simply to the chair and the ED . We have great fortune to have a wealth of experience and knowledge, progressive attitudes across our Board. I think that always helps in a coalition to have people that are willing to actually roll up their sleeves and do work and create the common vision and a common action . (P15)
Linked to effectiveness, providing an authoritative and expert voice to HPP for CDP	I see the NGO role often as being independent, the authoritative voice, the honest broker , helping to not only initiate discourse but to continue the momentum around that discourse. (P9)
To achieve purpose, the organizational structures and processes have needed to be flexible.	We were set up to be a nimble organisation and survive for thirty years. That nimbleness has had to be exercised many times . Our budget has varied from zero to a million dollars a year during that time but we've maintained flexibility, though it's been a lot of work. (P10)

5.2.9 NGO Leadership in National HPP for CDP in Canada

Participants stated that NGO leadership requires effort and that it does not "just happen". NGO leadership requires people to choose to engage, and it requires an environment conducive to such engagement. The leadership process is shaped by people and the skills, knowledge, resources and values that they bring to the organization or collective. The leadership they enact contributes to the shaping of an environment that either supports leadership emergence, or not. Engagement in the process and engagement in collective action is a choice. So too, leadership in this process is a choice.

NGO leadership has been described from many perspectives and levels within the system. It has been described as the NGO role in advocacy (and therefore as a phenomenon rooted in that domain). It has been described as a relational process that creates the structures, processes, purpose and momentum to improve, inform and inspire political action for HPP for CDP in Canada. It has been described as **the structure and structural place of NGOs within the system**. This description of the structural position of NGOs was then explored at the individual, organizational and collective level to ascertain the conditions needed for the emergence of NGO leadership.

The descriptions that participants shared on leadership are easily mapped directly onto the current competency focus of PHL: persuasive, influential, inspiring, persistent, passionate, goal-oriented, knowledgeable, experienced, adept at learning, adaptive, open to change, having good management skills and group facilitation skills, collaborative and connected. However, participants also explored these as organizational- and coalition-level leadership capacities, conditions and attributes - describing environments where these were demonstrated and valued.

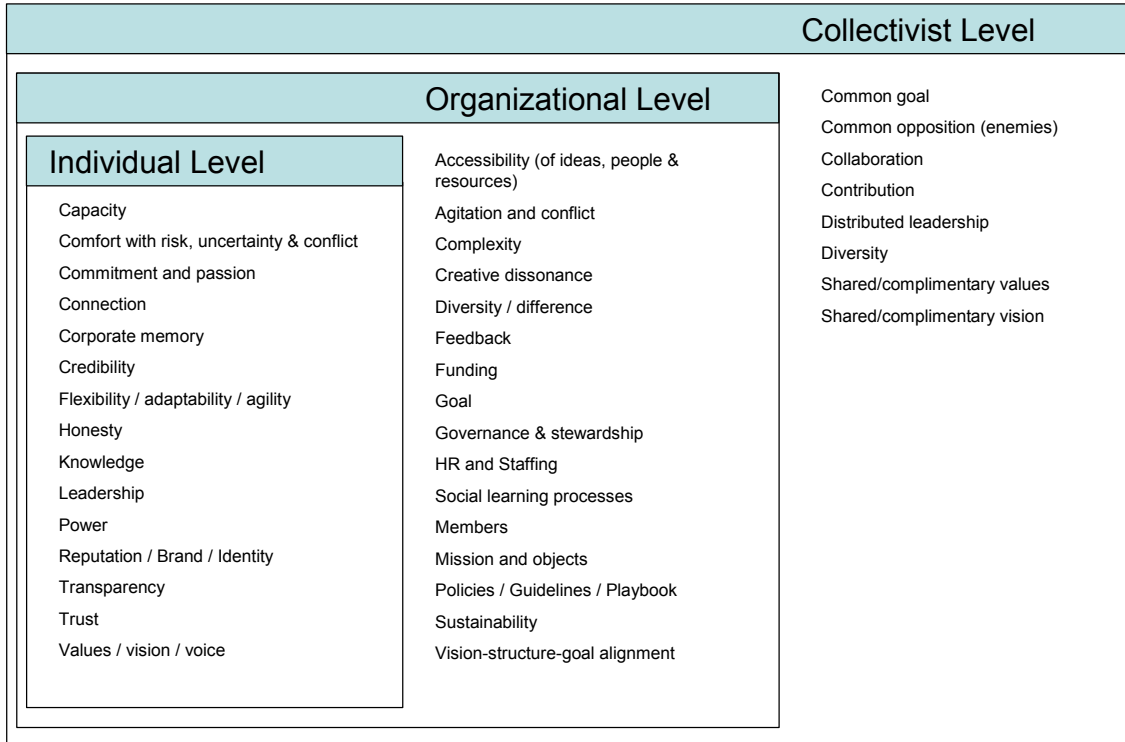
Participants made a distinction between leadership and positional authority, especially when exploring coalitions and collaborative spaces. They provided examples where people with positional authority did not exercise leadership and other examples where people with no positional authority exercised leadership. Beyond individual agency, participants also talked about leadership as a system dynamic.

[Leadership] emerges. You know, leadership and followership and collegial respect and support for each other – like **'we're in this together'**. **Empowerment is something that's seized**; it's not something that's delegated or given. It's something that has to come from individuals and evolve. I think that the situations allow that to be expressed. (P1)

Figure 7 (below) organizes the thematic codes from Appendix L across the individual, organizational and collective levels to demonstrate that many of these elements were common to each level, but there were characteristics that emerged as each higher level was explored. New elements emerged at the organizational level that dealt with complexity,

conflict, creative dissonance, funding, management, governance and stewardship. At the collectivist level, these same characteristics were present and important, but the introduction of commonalities and diversity becomes more central. The need for distributed and shared leadership emerges as an important characteristic.

Figure 7: Characteristics of NGO Leadership at Different Levels in the System



Adding this lens to the processes previously explored adds a complexity that participants described as the "messiness" or "creativity" of the system. Participants made assessments of how collectives and organizations worked together. They assessed the processes and the outcomes. They inquired about the constraints. These meso-level factors appeared to influence their decision to engage more than the individual factors of the members.

Generally speaking, we avoid the [x] alliances because we see them as an impediment to [our issue], generally speaking. So it's easier to stay away than to **fight a losing battle** within them. [How do you make that assessment?] You listen to them. So, if they say we can't do anything about [x] because we get money from the [these] companies, you say ok, well like clearly you have policy that's not gonna work or if you work for the [y] alliance and you say **we're not gonna speak against the role of corporations as civil society members** in this international conference, then

you say well, **that's not gonna work for us** either. So, you do it basically on operating values. Values have to match. **The ideology doesn't have to match, the values have to match.** (P10)

Other participants came to different conclusions about this same group, but they still used group-level factors and relational behaviours to assess alignment between what the group intended to do, how the group actually behaved and how that matched with their (and their organization's) values and operating parameters.

At the relational levels within and across organizations, collectives and sectors, participants looked for elements that were indicative of the levels of trust, credibility and connection (social capital) in the system (and the part or element of the system with which they are to engage - or are engaging). Each of these elements exists at an individual, interpersonal, organization and collective level. Participants shared different ways that they assured themselves of the presence of these elements, but they appeared to be essential conditions for the self-organizing and learning required in the process that then created the conditions for the emergence of NGO leadership in HPP for CDP.

Participants spoke of the requirement of a culture that values collaboration and provides open and transparent access to information, resources and people: facilitating connections to the resources, ideas and people needed (self-organization) for effective advocacy. They stressed the importance of alignment of vision, goal and structure as well as the importance of transparency and honesty around organizational gifts, requirements and constraints.

Participants described organizing around these initial conditions: particularly shared vision. They would then influence their organizations and their coalitions and other places that people connect for a common purpose, bringing about the required conditions (or being shut down), encountering trust, experiencing openness to risk and diversity and encountering an openness to change. In some instances where these qualities were assumed but resistance was encountered - or where the conditions weren't present, a sub-group (i.e. a coalition of the willing) would form - again demonstrating that self-organization would occur to create the conditions for the emergence of leadership. These conditions create the conditions for inspiring, improving and informing connection, effectiveness and vision.

Given these conditions, various people will don the mantle of leadership and advance the cause. Participant narratives explored the conditions that support the various perspectives of NGO leadership and given these conditions, participant experience suggests that independent of the individuals present in a collective or the system, leadership emerges.

6.0 DISCUSSION

6.1 Overview

The purpose of this research was to develop theory grounded in empirical instances that describe the phenomenon of leadership as operationalized by non-government organizations (NGOs) in the complex adaptive system (CAS) of national healthy public policy (HPP) for chronic disease prevention (CDP) in Canada.

This purpose (explored in Chapter 3) provided a specific framing on leadership as a process, its application (i.e. how it is operationalized) and the domain and timeframe of interest. These elements have been previously explored in the introduction (Chapter 1), a literature review, sensitizing concepts and boundary conditions (Chapter 2) and the Findings (Chapter 5). Chapter 5 explored various descriptions of NGO engagement and leadership in national HPP for CDP in Canada through the experiences and conceptualizations conveyed in the semi-structured interviews and "member checks" with NGO actors within the system.

Chapter 5 (Findings) explored the data through six perspectives, culminating in an articulation of NGO leadership as a systems' phenomenon that emerges, given particular conditions, at various levels "outside of Government" in the public policy system.

This Chapter begins by elaborating the theory of NGO leadership in national HPP for CDP in Canada. It then addresses the research questions and explores the sensitizing concepts, similarities and differences in the data and the implications of these for the particular question and the overarching theory. This chapter then discusses the strengths and limitations of this study and ends with an exploration of the implications for theory, practice and research.

6.2 A Theory of NGO Leadership in National HPP for CDP in Canada

Based on the findings, the author asserts that NGO leadership in national HPP for CDP in Canada is a relational process comprising three distinct, yet inter-related, aspects:

- i. **NGO leadership as advocacy.** NGO leadership is expressed through the advocacy employed in national HPP for CDP in Canada. NGO advocacy aims to influence political will for policy action to the achievement of HPP for CDP aims within the national HPP for CDP eco-system (as discussed in sections 5.2.1-5.2.3).
- ii. **The social learning process of NGO leadership** creates structures and processes (to support emergent self-organization) as well as purpose and momentum to improve, inform and inspire the "optimal" policy ideas to achieve political will for policy action (explored in section 5.2.4), and

- iii. **NGO leadership as an emergent systems' dynamic** related to the NGO's structure (as networks or communities), their structural position (as an outsider in the process) within the ecosystem for national HPP for CDP in Canada, and the culture they create that nurtures the social learning process of NGO leadership ensuring that the "optimal" policy ideas are identified, developed, articulated and acted upon in the process (see sections 5.2.5- 5.2.9).

For NGO leadership to emerge, specific conditions must be present in an ever-changing environment that facilitates NGOs and coalitions ability to be nimble. The environment must support emergence and self-organization. Such an environment requires trust and credibility built on NGO effectiveness, connection and public-benefit imperative.

Common vision, strong voice, and connection to evidence and influencers lay the foundation for successful advocacy. Establishing a culture that creates access to people, ideas and resources and seeks and utilizes diversity, feedback, risk and conflict in transparent ways sets the conditions for emergent self-organization which allows NGO leadership to emerge.

Although probably self-evident, as a social phenomenon, NGO leadership cannot exist without people or a social, relational structure. However, independent of the particular individuals involved, given these conditions, NGO leadership emerges in those moments. Create the environment, and leadership will emerge.

NGO leadership exists at this nexus among the actors (their structural forms and relationships), the policy ideas and the social learning process that communicates those ideas into the political process. Within this CAS, NGO leadership is multi-level, temporal, emergent and complex. By necessity and circumstance, it is distributed and shared.

6.2.1 Advocacy as NGO leadership

Considering the unique position NGOs have within the system, participants discussed advocacy as the major contribution NGOs bring to the policy process and by extension, it was seen as their leadership role in the system. Some participants directly equated NGO leadership with advocacy during the interviews. In these instances, participants' conceptualizations of leadership were of the "out-in-front" and "championing" forms of leadership consistent with both scholarly and popular culture notions of leadership (Dinh et al., 2014).

To the extent that behavioural theories of leadership focus on task oriented behaviours and initiating structures and processes (Stogdill & Coons, 1957), advocacy for HPP in CDP represents a domain or setting where leadership can be demonstrated and observed. Behavioural and competency framings of leadership focus on what leaders do, allowing leadership theory to be applied to almost any domain (e.g. PHL, political leadership, healthcare leadership, etc.) (Koh, 2009; Currie et al., 2011; Dickson & Tholl, 2014).

The desired outcome of advocacy and the desired outcome of NGO leadership is the attainment of sustained political will to fulfill a CDP policy aim through the influence on political decision-makers. The NGO role attempts to influence policy by informing, inspiring and improving the policy options and the policy process using persuasive communication.

Ultimately, NGOs want the "optimal" policy ideas that will be instrumental in some aspect of CDP to be adopted by the Government. An optimal policy idea can be thought of as a problem/solution combination where the problem definition is compelling, clear and solvable and there is a strong, efficacious and understandable logic between the solutions and the problem. An optimal policy idea can inspire sufficient determination and effort from various players to advance it. Political will is influenced when there is a strong link between the policy idea (i.e. the problem / solution combination) and the desired outcomes of the Government of Canada (GoC). An optimal policy idea clearly falls within the GoC's Constitutional purview and mandate. If it can be clearly and authentically demonstrated that the policy idea is something that the people of Canada want, and it can be communicated to political decision-makers that implementing the policy idea is giving "the people" what they want and need - this optimal policy idea has a better likelihood of being advanced.

To influence political decision-making, NGOs assess an evidence base, frame the evidence within particular arguments or logic, and develop key messages to convey the evidence. The evidence required for each aspect of these calculations must "build a convincing case" for the political decision-makers to not just favour the policy idea, but to act and implement the idea and sustain its momentum until the policy outcomes are realized. As such, various forms of evidence are required and considered within a logic and narrative to create key messages. The choice of messages, their construction, form, packaging and the vehicles and channels used to convey the message are important considerations in advocacy.

NGO leadership encompasses the ideas and effort of identifying, honing and championing these policy ideas and the influence on the political outcomes. In national HPP for CDP in Canada, NGO leadership creates the conditions for this process and champions these activities for the improvement of the health of Canadians.

6.2.2 The Social Learning Process of NGO leadership

Participants described a social learning process in NGO advocacy that uses ideas, hopes, issues and problems and explores them in robust environments that explore differences, solutions, and opportunities. This process gathers many forms of evidence and uses that evidence (and the process) to create purpose and momentum.

From the interviews, it was evident that leadership was required for this process to be effective in creating the conditions for emergent self-organization as well as purpose and momentum. However, in exploring the structures, processes and relationships that then build and nurture a specific culture, it was evident that this process in and of itself was a

form of leadership. This process is consistent with the various forms of leadership described in complexity leadership (Hazy & Uhl-Bien, 2015) including generative (emergence of structures and processes to support the aims), administrative (self-organizing of informal interactions that support the emergent structures and processes), community building (forming a shared identity), information gathering (the integration and synthesis of distributed information) and information using leadership (embedding successful organizing approaches to embed information in accessible forms).

Participants described NGO leadership within the requirements and content of being evidence-based and collaborative. Many articulated strong links between the function of gathering multiple forms of evidence (describing information gathering and using functions of leadership) and their NGO's collaborative and connected nature (describing the community building functions of complexity leadership).

NGO leadership for HPP in CDP is a creative process that collaboratively gathers and uses evidence to create structures and processes to build momentum and purpose, which in turn informs the actions that inspire, inform and improve the process (honing purpose, structures, process and momentum) and the outcomes (advocating to achieve sustained political will to achieve policy aims), these then align with the generative and administrative functions of complexity leadership that support the emergence of structures and processes and then helps maintain the adapted elements that best suit the system's needs.

These elements also feedback on themselves in an iterative process to improve, inform and inspire new structures, processes, purpose and momentum (i.e. administrative and information using leadership). The descriptions that participants provided were examples of the emergent self-organization within the system that was required for both leadership emergence and advocacy to be effective.

Participants described a process of learning that is largely driven by individuals within an organization and/or a collective, but that can also be driven by organizations. In defining their aims in the policy realm, NGOs actively hone their purpose and engage their networks in defining the problem and solutions they want governments to pursue.

Participants described processes of gathering and using evidence that mirrored the SECI process of knowledge creation (Nonaka & Takeuchi, 1995). They talked about both explicit knowledge (i.e. codified knowledge expressed in documents, or that can be otherwise recorded) and tacit knowledge (i.e. the kind of know-how that people gain through experience and working with various information and knowledge in a variety of circumstances over time, and that can be difficult to explain). Within the collaboration and learning cycle, participants described various processes of socialization. Examples included "tacit-to-tacit" knowledge conversion where people connected at a conference and heard a lecture together and then explored their learning and experience. They provided examples of

externalization, the tacit-to-explicit knowledge conversion process exemplified in the creation of briefing documents and position papers, visions and missions through group processes. They discussed many forms of combination: taking explicit knowledge from research and reports and recombining that into new forms of explicit knowledge for specific purposes. They also provided examples of internalization: reflecting on explicit forms of knowledge and coming up with new insights and learning - i.e. augmenting ones' own (and the group's) tacit knowledge.

As they collaborated with more people and organizations, they encountered difference (in approaches, goals and evidence). As difference emerged, NGO leadership allowed it to agitate and create tension in the collective. The explicit and tacit outputs (such as information and resources, and know-how and competitive intelligence) were used and interpreted differently by different members and audiences. The continued SECI processes were again shared within organizations and across organizations informing, improving and inspiring purpose, structure and momentum in the process. These informed new connections between ideas, organizations and people, demonstrating the self-organization within the system.

This process engaged some inputs and discarded others (or cycled them out for a period of time). This process strengthened the NGO and collective voice and improved priority policy ideas to (hopefully) create optimal policy ideas (i.e. advocacy options). The process occurred at many levels: interpersonal, organizational, and inter-organizational (collective, same-sector and inter-sectoral). While the author described these (from the participants' experiences) as cyclic and iterative, they were not sequential or distinct. They occurred at many levels simultaneously and had inter-related impact.

For the creative social learning process of NGO leadership to be effective, the environment must have few barriers (and low barriers) to accessing resources and evidence for the development and sharing of tacit and explicit knowledge. Leadership facilitates the creation and recreation of structures and processes to connect people with the people and resources they need to follow their curiosity and achieve mission-based aims. Leadership further provides the latitude and autonomy in allowing the actors involved to decide what is needed and pursue it. Leadership then requires accountability for these decisions and actions. Participants spoke of leadership facilitating the creation (and re-creation) of structures and processes that allow space for new solutions (and knowledge) to bubble-up (i.e. self-organization and emergence).

Participants spoke about an orientation and culture that valued different forms of evidence, facilitated the exploration of evidentiary strength (and utility) as well as the exploration of how that evidence can be used, interpreted and communicated by actors with similar, different or counter world views and aims.

Participants spoke of the need for an appreciation of complexity and "the messy". The matching and framing of problems and solutions and their connection to political will requires skill, creativity and open-mindedness to help delineate the base of arguments (moral? health? pragmatics? aspiration?) and create the persuasive messages that will influence decision-makers.

When elements are "spun out" of the NGO leadership process described above, a leadership task is to demand accountability (i.e. leadership asks for the rationale why is this "out", in this context, at this time?). Leadership acts as a steward of these ideas and organizational history, so previous ideas can be accessed, identified and reassessed in different circumstances. For the elements that continue in the cycle, leadership facilitates continued organizational and collective learning. Leadership facilitates agitation, creating the environment for creative dissonance and facilitating the separation of argument from personality. The responsibility for these forms of leadership in collectives vests with the group and not with an individual or positional authority.

NGO leadership maintains focus on the goals and objectives (validating these and the solutions being proposed). Leadership ensures the exploration of alignment between aims and outcomes of policy ideas. It facilitates the exploration and interpretation of the "world view" of the collective. This strengthens purpose, energizes and inspires people and improves the use of evidence and the product.

Leadership ensures the establishment of structures and processes to support NGO leadership emergence. It ensures that purpose is honed and aligned. Leadership inspires and builds momentum. It ensures this process is used to inform, inspire and improve the processes, structures, purpose and momentum within the organization or collective. Leadership then ensures that the policy objects are advocated. To accomplish this, leadership takes (and encourages) risks to advocate for the optimal policy ideas. It establishes an environment for courage: recognizing that risk is to be taken not avoided. Successful or not - leadership then learns from advocacy activities. It is reflective and encourages reflection and learning. In these instances leadership is the domain of any actor or entity in the system. NGO advocacy is rooted in (and dependent on) this social learning process.

These first two perspectives are consistent but different views of NGO leadership. The process described above does not "just happen". It requires a culture that facilitates and nurtures the process and that culture also requires effort to be maintained. When the ecosystem is considered as a stratified (i.e. multileveled) environment and the distribution of entities, relationships, events and processes across levels is considered, a third view of NGO leadership is revealed.

6.2.3 NGO leadership as an emergent system dynamic

The emergent theory roots NGO leadership in HPP for CDP in Canada in the outsider, advocate role that NGOs have in the public policy process. NGO's purposes uniquely mirror the GoC's as both are established for "public benefit" and must be accountable to the public (and arguably, to each other) in their actions and intentions to those aims. This organizational purpose is unique in the system when compared to academe (existing for the pursuit knowledge), HPAs (whose primary aim is to serve their members), the media (aiming to inform) and industry (the pursuit of profit).

For NGOs the organizing principle as community-based (or networked) organizations makes them unique in comparison to hierarchy-based governments and market-based corporations. If NGOs consciously nurture this structural form and its consequent social mechanisms (trust), functional expressions (interdependent tasks) and focus of control (inputs) (Adler et al., 2008) they can create the conditions for emergence and self-organization.

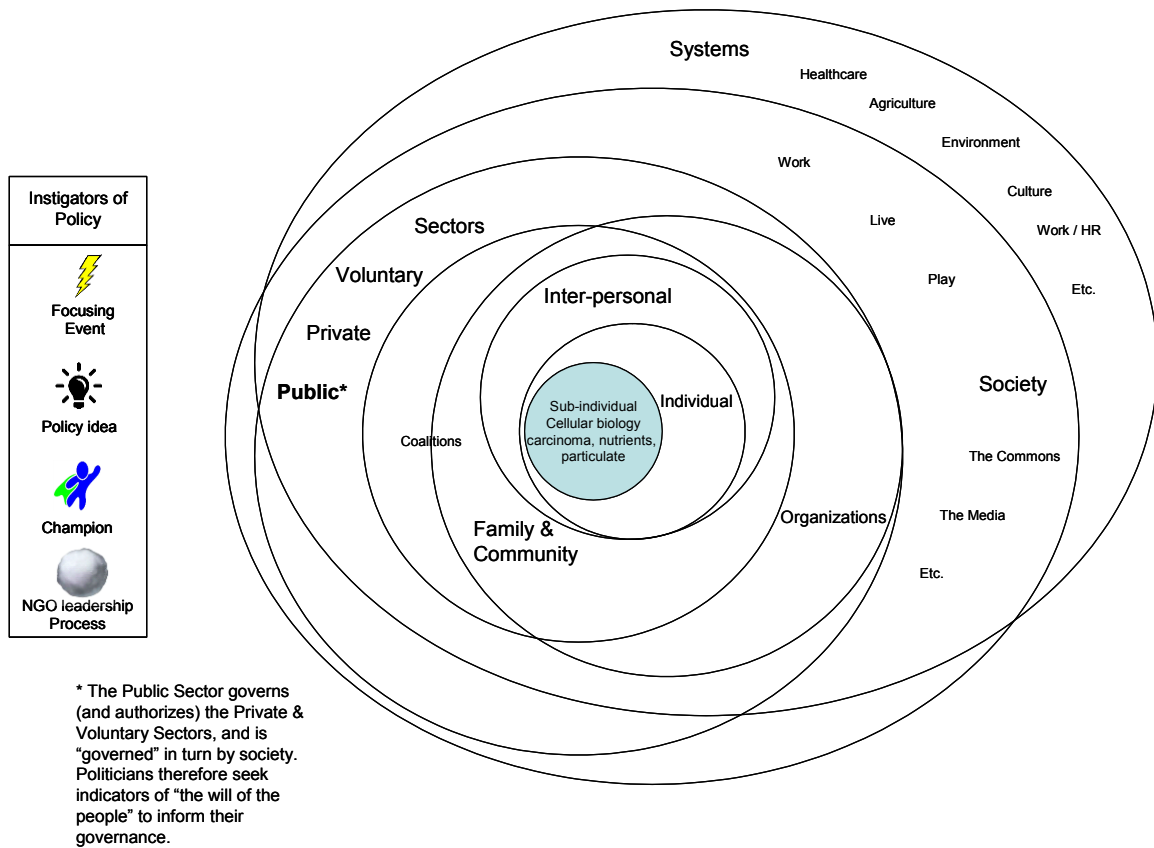
Their position as "outsiders" in a Constitutional structure that vests legislative authority within a closed and intentionally adversarial system also creates unique opportunities for leadership and advocacy. NGOs are not bound by the many rules and procedures that govern actors within the Government system and are not subject to the same type or intensity of political accountability. This affords flexibility for NGOs to gather intelligence and act on it in unique ways. It further enhances self-organization and emergence in the CAS of national HPP for CDP in Canada. NGOs' ability to create a compelling vision and mobilize people and resources to achieve that vision is a function of the trust inured through their structure (public benefit) and position (connected and outside government).

The NGO leadership that emerges in this CAS has many individual, organizational and collective dimensions that are expressed and experienced at each level. These inter-related dimensions of credibility, effectiveness, connection, public benefit, and common vision then form the conditions that allow for the emergence of leadership.

The National Cancer Institute's (2007) monograph that explores systems thinking in tobacco control provides a causal map view of a systems diagram. However, when addressing leadership, the closest the monograph gets to describing leadership as a system dynamic is a recommendation for "subtle leadership that focuses on providing centralized direction and coordination while recognizing the value of increased discretion on the part of agents." The breadth of HPP for CDP explored in this study would render causal map more confusing than within a single area of CDP (and potentially less useful). However, reflecting on the expression and emergence of leadership within existing system causal maps (such as NCI's) suggests future implications of this study for research and practice.

Figure 8 provides a different view of the ecosystem. Where Figure 3 (pp. 128) focused on the entities and relationships in the system (Latour, 1999), Figure 8 illustrates the different levels within the system in line with Bronfenbrenner (1994). From this perspective, all aspects of the system that address the national HPP for CDP in Canada can be viewed. Chronic disease itself can be illustrated within the individual and environmental elements of this diagram as can the interventions of HPP for CDP (including their targets and intended outcomes). In this way, Figure 8 represents a more complete eco-system diagram than Figure 3.

Figure 8: A Systems Diagram of HPP for CDP in Canada



A Systems view of national HPP for CDP in Canada. The instigators of policy can come from various levels in the system and can provide leadership to HPP in CDP.

Figure 8 focuses the attention on the levels within the system as opposed to the actors, organizations and relationships. The various "instigators of policy" previously described could be mapped onto this diagram (to illustrate specific examples and circumstances), but the requirement for successful policy implementation described by participants (i.e. effective advocacy, competent public service and engaged political actors) are more easily understood in terms of "where" they emerge and to where their efforts are directed.

At the individual level, leadership comes down to a choice - to personally "don the mantle" of leadership or not (i.e. to lead, to be a leader or not). At the interpersonal level, there are signals in the interactions that show the presence (or lack) of leadership in the relationship. Here the choice is to lead, co-lead or to support the leadership of others. These appear to be related to mutual trust, respect, honesty, vulnerability and courage. They are also related to the presence of someone else who is willing to lead.

At the organizational level, the decision to organizationally engage personal leadership (or support the leadership of others) takes into account organizational dimensions of brand and value (participants speaking in terms of strengths, weaknesses, threats and opportunities). While these are present at an individual level, the organizational actor now has to navigate these additional dimensions from their personal (who they are) and organizational (their job or position in the organization) perspectives. These decisions have introspective and interpersonal elements. As participants stated, the decisions are not about harmony and everyone getting along. There is often vigorous disagreement, and there can be the requirement to "drag people across the finish line". A participant may disagree with their organization or the coalition and must make choices accordingly. The process is messy, it is uncomfortable, but it is seen to be necessary.

The view provided in Figure 8 gives a different perspective on the 3-legged-stool metaphor (i.e. the ideal circumstance for policy adoption that described the combination of a competent public service, an engaged and active civil society and the political will of politicians to enact HPP for CDP to the attainment of the policy goals). Within the meso-levels of the system, the advocacy environments that involve an ever-changing combination of organizations, coalitions and individual actors, apparently, the requirements are much more complex than the concept of a simple 3-legged stool would suggest.

If part of advocates' political calculation (i.e. assessing political feasibility of various policy options) was the assessment of the policy idea to reflect the will of the people (i.e. society) and therefore provide a compelling argument to those who decide the will of the state, then NGO advocacy efforts need to bridge these levels. Historically, NGOs' connections provided strength of collective voice for NGOs to assert that this was the case: large memberships and strong fundraising support could show a quantifiable amount of support across the country (representing political constituents or voters) for the aims of various organizations (especially the large health charities).

NGOs play a role in creating an environment where specific HPPs for CDP become sufficiently understood and desired in organizations, sectors and society so that the pressure for political action grows. NGOs gather stories and other forms of evidence to then advocate political decision-makers with the evidence, logic and backing.

When considered at the meso-level of NGO coalitions and organizations, activities are coordinated and orchestrated to create focussing events that then inspire action among the public to demand action from their MPs and Government, or in government settings to directly support the policy option. These activities support the emergence of champions from these various levels in the eco-system and equip those champions with information on the purpose and desired outcomes. Instead of directing or controlling these efforts, NGOs seed the soil so these can emerge and thrive.

As a systems' phenomenon NGO leadership is emergent, temporal, complex, multi-level and shared. It is context dependent. It is purpose-oriented, and aligned with vision, values and purpose. It is congruent and authentic. It is inspiring (persuasive and motivating). It is creative, adaptive and creates learning. NGO leadership is action-oriented, transformative, committed, persistent, inclusive, democratic, relational, caring, reflective and principle-oriented toward socially just society (Furman, 2012). It requires courage. It requires commitment, perseverance and dedication because it's difficult. Stakes can be large and outcomes can require long-term commitments to achieve success.

6.2.4 The Required Conditions for NGO Leadership

Environmentally, leadership facilitates the identification and use of focussing events to the achievement of organizational aims. In circumstances where focusing events occur (by design or happenstance) a key leadership message is to "try". Leadership therefore shifts a culture from blame to one that rewards risk-taking and learning.

In the eco-system, leadership helps individuals, organizations and coalitions to look for and pursue opportunities (i.e. champions, focusing events, and policy ideas). It encourages and facilitates self-organization and the social learning process of NGO leadership. Within new and existing relationships, leadership mitigates risk by building trust through the open and honest articulation and negotiation of individual and organizational desires, needs and constraints.

NGO leadership recognizes that leadership is required because of the inability of any one actor or organization to fully understand the system in all its complexity. Therefore leadership is required from multiple levels in the system and multiple organizations and individuals. As such, leadership creates an environment conducive to different expressions of leadership: reinforcing the conditions for NGO leadership to function at individual, organizational and collective levels.

NGO Leadership appears to be influenced by the interactions within and between each level in the system, and their history. One of the characteristics of CASs is that interactions primarily occur between neighbours (Cilliers, 1998). Building identity through a common purpose creates "neighbours" based on purpose (and not geography) - neighbours have proximity to a common world view or principle through the shared vision. This can then have expressions at each level: the individual, the interpersonal, organizational, inter-organizational, collective, inter-sectoral and societal levels.

Separate from the organization's existential factors of adaptability and resource attraction or acquisition, the necessary factors for NGO leadership appear to include common vision, diversity, feedback, risk, transparency, communication, voice and access. At the relational levels trust, credibility and connection appear to be necessary. These conditions shape how people encounter change, learning, feedback, transparency, voice and public benefit. Questions then arise such as: Is this the place to lead? Is this the time to lead? Can I? Will I? Can we? Will we?

6.3 Research Questions

Section 6.2 addresses the primary research question of how is leadership operationalized by NGOs in the CAS of national HPP for CDP in Canada? This question sought to understand the phenomenon of leadership in as broad a perspective as possible within the context. The intention of such a broad framing was to not exclude potentially important elements from the investigation from the outset and allow participants' narratives to inform the exploration of NGO leadership in national HPP for CDP in Canada.

To help focus the research on the phenomenon of interest, sub-research questions were developed to explore the sensitizing concepts that had been identified within the literature review with the hope that these would reveal descriptions and characteristics of the phenomenon of NGO leadership in national HPP for population-based CDP in Canada, and lead to a theory of NGO leadership in this context to inform future research and NGO practice in public policy.

6.3.1 Research Question 1

The first research question provided an initial orientation to the study and the data analysis that applied grounded theory method (GTM). The key elements of the research context and background were re-asserted and the research question was framed within the study's sensitizing concepts and boundary conditions.

RQ1: How do NGO actors engaged in national HPP for CDP describe leadership when it is framed as a relational, system dynamic in the Complex Adaptive System addressing the wicked problem of chronic disease in Canada?

The question did not delimit a specific timeframe recognizing that understanding policy requires a long-term perspective (Sabatier, 1988; Kingdon, 2003). Participant accounts provided rich data on the subject of leadership and public policy from a variety of perspectives (individual capacities, styles, etc.) over an almost 60 year timeframe and explored international and sub-national examples as well.

Analogy and Metaphor

Public administration scholarship highlights the importance of metaphor, symbol and analogy in discourse and communication in public policy (Campbell, 2002). The enactment of policy is the representation of an idea, value or construct. For example, other than the ability to point to a piece of legislation in Canada Gazette or LegisInfo (i.e. Canadian Government sources for documentation of Parliamentary Policy), it is difficult to look out your front window and say "there's that Act". Even in the case of a bridge, the myriad policies and Acts that came together to facilitate the bridge being built are quite different from the physical manifestation of that idea itself: the bridge. As obvious as this may seem, it has far reaching implications for public policy because of the variety of ways that a policy idea can be interpreted and the values that it can invoke.

Given the difficulties of codifying tacit knowledge, the Socialization and Externalization processes of SECI stress the importance of metaphor in converting tacit knowledge to tacit and explicit knowledge (Nonaka & Takeuchi, 1995). Further, metaphor, analogy and symbol have also been described as the currency of advocacy (Chapman, 2007). There are tensions that exist in public health between those who prefer the evidence to "speak for itself" and the advocates who use the currency of metaphor in persuasive communication. Participants used various analogies and metaphors in describing policy, policy ideas or the policy process which inspired further analogy in the research process.

Some participants spoke of physical objects like building blocks (e.g. Lego™) speaking to how structure may be added or taken away, the same blocks can be used to construct multiple forms, alluding to the mutability of the forms, interpretations and purposes of policy. However, in the end, such blocks construct something physical - instead of an abstraction, leaving the analogy wanting.

A war analogy and battle framings were also used by participants (most often in speaking of tobacco). While the aspects of struggle, strategy and tactics were apt, such a violent metaphor invoked elements beyond these useful themes that are the antithesis of public health. Further, it is impossible for tobacco or obesity (for example) to ever "surrender" adding an element of futility to the use of a war analogy in the realm of healthy public policy.

Sports analogies (e.g. a soccer game and other team sports) were used with the field and various positions described. Players were assigned to one team or the other team or as referees or spectators (and even as "the ball"). This analogy also incorporated elements of

strategy and game theory. It incorporated opposition (or counter forces) and spoke to an ultimate aim or ability to win.

In the diagrams, the author chose a light bulb as the symbol for a policy idea as it arose *in vivo* in participant interviews. Beyond the generally accepted use of the light bulb to represent an idea, there was an appeal to using this symbol because of its variation in function and form that suggests something more ethereal. There is amperage and brightness. There are requirements for energy. There are shades and there can be direction. The metaphor for policy is both the light bulb and the light itself. Other symbols have been explained for their utility (e.g. the snowball to represent the social learning process). However, these analogies used within the thesis are wanting, but still represent utility in their application.

Stories and Fables

Participants told many stories. In making a point, or responding to a question, it was more the exception that their point was not illustrated with an analogy or story. In some cases, the same story was shared by different participants and the researcher was able to hear about that event from different perspectives. This allowed the researcher to compare the interpretation of these events and explore the similarities and differences (and what these might suggest).

One story, common across many interviews, was the oft-used public health fable that describes moving "upstream" to get at the causes of particular public health issues and to not be constantly dealing with the fallout "downstream" (Ardell, 1979). Participants referenced this fable as a common understanding of primary prevention when addressing upstream and downstream aspects of CDP.

Perspectives from sociological dramaturgy (Edgley, 2013) provided reference points for the researcher to analyse participant narratives from different levels in the system and the different roles they play (Archer, 2003), leading to the use of the commonly represented Canadian indigenous peoples' use of the medicine wheel to explore different perspectives of an issue or phenomenon, or "the Blind Men and the Elephant" (Saxe, 1872) analogy.

In reference to such constructs and devices, participants spoke of leadership at various levels in the ecosystem: from individual level to society. They discussed temporal influences and explored leadership from structural and process perspectives.

They disaggregated leadership from management and from positional authority, describing examples where people in positional authority did not demonstrate leadership (or good management) and examples where people with no positional authority demonstrated leadership.

They described leadership as coming from anywhere within the system and emerging at different levels. They described leadership as shared (and distributed). They described leadership in terms of a timeframe, process or event: providing examples of places and times where leadership was present. Often their explorations were rooted in individual behaviour or interpersonal dynamics, but leadership was also attributed to organizations, sectors and movements. Advocacy was central to NGO leadership for national HPP in CDP in Canada.

6.3.2 Research Question 2

The second research question was intended to not pre-suppose the important aspects/dimensions of context, but allow informants to describe what it meant to them in as broad and generous a framing as they desired.

RQ2: What is the relationship between context and leadership?

The researcher imagined this could include components or elements of context such as the temporal environments, the macro environments, the micro environments, the networks, cultures, philosophies, values, as well as elements described in the boundary conditions and sensitizing concepts. As a GTM study, the aim was to have informants' insights and views form the foundation for the emergent theory. Their descriptions of context as related herein, are then the basis for the remaining research questions.

Exploring Complexity in the Study's Context

Context was explored in terms of the issue and the ecosystem (from both an entity/relationship perspective as well as a system-levels perspective). It was further explored from temporal contexts of history, future hopes and expectations.

The complexity in this system was well explored. While complication existed, there was complexity in that elements and relationships described processes and events that interacted dynamically and were not reducible to a set of key elements (or variables) that, when present, could not predictably result in outcomes – elements of uncertainty, possibility and likelihood were often expressed.

The descriptions and figures used to explore the ecosystem of NGO leadership in HPP for CDP represented snapshots at a particular point in time. Demonstrating the dynamism (or changeability) in the system went beyond simply examining multiple, sequential snapshots, but would need to include the fact that there is an impact, at the time of a snap shot, of dynamic elements. Considering the dynamism of relationships as one example of complexity, there is an impact at the time of the snapshot of broken relationships, past relationships and desired relationships that would need to be represented - as they all inform the present moment and the choices and actions being taken at that time.

It is worth noting that Figures 3 (pp. 128) and 8 (pp. 176) would still be missing the notions of cause and effect, and the many levels of grey in that relational dynamic (direct, indirect,

thresholds, tipping-points, amperage, torque, etc.) where the relationship between actors and the social system of which they are a part has a dynamism where one is affected by, but not fully determined by, the other.

The Organizational Level

The organization's structure and purpose shape its strategic and operating environment and therefore its leadership. Governance processes in organizations shape purpose, goals and identity. Many NGOs are governed by Boards of Directors who represent an (often) evolving cast of individuals. Therefore the process of NGO leadership finds expression at the governance table.

Membership & public engagement is both a source of and an audience for the articulation of purpose and the mobilization around it. Engagement occurs through a variety of activities and organizational service and expressive functions.

The organizational brand (i.e. identity) also influences organizational behaviour in terms of the balance of policy and program initiatives as well as whether the organizational preference is to work alone or in collaboration.

Resources were discussed as one of the most significant contextual constraints on leadership: particularly funding and staffing. Participants explored the implications of sources and uses of funding as well as the mechanisms through which funding are received. While these did not necessarily impact the ideas and knowledge within an organization, they did appear to impact how those organizations acted on ideas and knowledge. Funding was discussed in its scarcity: no single organization regardless of their relative level of resources in comparison to other organizations expressed being sufficiently resourced to move the social and political environment or achieve their aims. Some participants expressed that this lack of funding highlights the importance of policy interventions as a cheap and effective way to have a population level impact whether the organizations then act on that knowledge or not.

The specific individuals who are in positions of authority (and their relationships with each other, with staff and with stakeholders) are important but insufficient to ensure leadership emergence. Senior management and key Board members set a tone for the organization that can encourage and model courage, confidence and integrity in striving to achieve its mission (which helps make the organization credible and trustworthy). These roles can ensure contributors feel valued and that they are making a difference. Positional leaders demonstrate leadership when they influence how an organization learns (e.g. encouraging diverse perspectives to ensure that creative tension helps improve the organization).

The particular style of leadership appears less important. While a number of informants spoke of "the right leader at the right time", there were clear statements that an organization is probably not better served by one style versus another over the long-term. The

organization needed to be able to adapt to a changing environment, and that could be accomplished through a variety of styles.

The key to responding to the environment seemed to come down to governance decisions of hiring, organizing and funding. Questions about the changing environment caused some informants to be more reflective and introspective: looking at their own "fit" for the organization's needs at this time and moving forward.

Inter-organizational issues

The findings describe an environment in coalitions and collaborations, where NGO leadership is shaped by inequality between partner organizations (power and influence), conflict, identity, public engagement, reputation (credibility, trust and integrity), learning, knowledge and complexity. The data explored in Chapter 5 described a communications environment, collaborative environment, policy environment and evidence environment strongly impacted (positively and negatively) by these influences. Individuals and organizations navigate these spaces through open and frank discussion of desires, needs and constraints.

Although there were many examples of personality conflicts described, most participants did not see these as a real barrier to collaboration and NGO leadership. The larger issues dealt more with the changing environment and the principles and views that organizations held and their ability to take risks and adapt.

Inter-sectoral issues

The socio-political environment shapes NGOs and NGO leadership. This occurs not only through the authority of government to grant NGOs permission to operate in Canada, but also through the legislative and administrative (funding and programmatic) tools that can be used to influence and control NGO behaviour.

Some participants spoke of a chilling effect that Canada Revenue Agency had on the sector particularly following the 2011 election and the Government's treatment of organizations with charitable status. There appeared to be a level of reciprocity in the NGO-Government relationship: NGO leadership in public policy that critiqued government appears to have led to stricter regulation in the operating environment (especially for charitable organizations who vocally opposed government action and inaction).

The media environment has an impact on NGO leadership through its ability to represent the tone of the people and its influence over decision-makers. Massive changes in this industry (particularly print media) in the past two decades were mentioned but not well explored by participants.

The socio-economic environment shapes NGOs. The three major risk factors in Canada (tobacco, alcohol, excessive caloric intake) all have industries that profit from consumption

of their products and have opposed legislation and regulation. This establishes an adversarial dynamic and can put legislators in a referee role. While the three industries implicated affect productivity (and health) in all sectors and all segments of society, other private-sector entities appear to rarely engage in advocacy for HPP for CDP - leaving the communication of this situation largely to NGOs. The effect these opposing views have on government decision-makers appears to invoke an assessment by government of which force will cause the biggest pain or create the biggest opportunity: NGOs or industry?

Macro Level

There were societal level factors concerning chronic disease and CDP that also shaped the relationship between context and leadership. Participants described the issue as not being "sexy" because of the long timelines for disease onset after exposure. They further spoke about the stigma of chronic disease especially around specific causal behaviours (e.g. one common expression was the sentiment that if you know the harms of smoking and still smoke, then you somehow deserve the consequence of cancer or heart disease). These elements then speak to a social justice element of NGO leadership in this context.

Individual Level

The individuals within an NGO arguably have the greatest influence on the form and expression of NGO leadership. It is specific people within that organization who hire, nominate, or appoint the staff and volunteers (board and other) to various positions and roles. However, the people within those roles change in any and every organization over time. Board members are elected through the membership. Officers of the Corporation are elected by the board. The CEO is hired by the board and the staff is engaged by the CEO or designate. Authority in NGOs is delegated from the membership to the board to the CEO to staff. Each NGO has a history that these new people come into and work within; they in return, influence the culture and administration of the organization. Both the individuals and the organization are shaped by, but not determined by, the other.

Participants described the following individual factors as important to NGO leadership:

- i. Knowledge, skills, attitudes and beliefs
- ii. Facility with group process, social learning, change and complexity
- iii. Social capital (and ability to transfer personal social capital to the organization)
- iv. Self-awareness and learning

The reciprocal relationship among the actors within an NGO and the NGO's strategic and operating environment shapes NGO leadership. In smaller NGOs, this is especially true as the actor with positional authority and the NGO itself can become synonymous to outside actors and organizations (i.e. the organization is seen as the actor and the actor is the organization). In larger NGOs the organization will attract specific "types" of staff and volunteers based on its strategic and operating environment. In this way, there is a

reinforcing and perpetuation of culture that exists between the individuals and the organization.

The relationship between context and leadership

Although an assumption would be that the relationship between NGO leadership and the existence of an NGO is direct and unidirectional (i.e. An NGO can exist without NGO leadership, but NGO leadership cannot exist without an NGO) the author acknowledges this is somewhat a teleological fallacy. While the interviews explored the unique qualities of NGO leadership, it is possible that this leadership (as described) could exist in (and emerge from) other parts of the system.

Participants described NGO leadership as often being reactive to changes in the environment (as opposed to pro-active). Some of these reactions appear unplanned or the intentions are not well articulated or understood. As such, an NGO might perceive itself to be in the "passenger seat" in HPP for CDP, but in extending this analogy; they may actually be in the trunk, of the wrong vehicle. Meaning that a complexity lens can add some conceptual clarity to a theory of NGO leadership; however, in practice, complexity can actually obscure the policy process depending on the actor's (and the collectives) position, relationships and perspective. As the political environment is a closed system, it is possible that NGOs may believe they're having an impact, but the actual decision-makers may be engaged on completely different priorities and simply not communicating these to the NGOs.

When asked directly what the environment looks like that fosters leadership participants spoke of trust, being frank and demonstrating vulnerability. They spoke about the quality of the relationships and constantly working to improve relationships ("you can't continue to play if the kid with the ball goes home"). They talked about harnessing individual passions to create a movement and the organizational, individual and political factors that facilitate this. In all of these stories, there was a historical dimension explored: people coming into the field become a part of this storyline: they then contribute to this story and are influenced by it: this history, as well as the desired future, impacts NGO leadership.

The relationship between leadership and context is direct and consequential: Leadership is needed to effect outcomes in advocacy, and the context affects if and how leadership emerges. Leadership is a social phenomenon and as such requires individuals and relationships (actors and society); however, it is not irreducible to either, nor can the elements of both produce predictable outcomes through some form of aggregation or combination. Individual agency and social culture introduce unpredictability into the mix that produces descriptions of the leadership/outcome dynamic which fall into the realm of likelihoods and potentiality.

6.3.3 Research Question 3

RQ3: How do leadership processes create outcomes in national HPP for CDP in Canada?

With an acknowledgement that some NGOs have mandates broader than prevention (i.e. disease management) and many provide service delivery functions, the theory of NGO leadership specifically looks at leadership in HPP functions for CDP in Canada (although explorations are included where participants named the engagement issues with organizations who conduct other chronic disease activities as both helpful and a hindrance).

The NGO leadership process described is not passive: it requires effort and action to be constructed, employed and maintained. Although the description employs linearity, the process, in actuality, is occurring in multiple settings, across multiple levels, with various actors and entities at any given time.

An Orientation to the Process and the Eco-system

The NGO leadership process can be described from anywhere or from anyone's perspective in this system. It can be explored from positions at the individual, organizational, collective or inter-sectoral levels. To orient the exploration of RQ3, actor A1 (from Figure 3 pp. 128) will be used to illustrate NGO leadership. As per the diagram, A1 could be a Director of Policy and Government Relations at organization B1, hired by, and reporting to the CEO.

There is a vast heterogeneity of NGOs in HPP for CDP in Canada. B1 could be a mature organization or a new organization. It could have a broader focus than CDP or a narrow focus and could focus on any of the number of risk factors that cause chronic disease and/or the variety of protective factors that guard against chronic disease onset. A typical organization would have a strategic plan, a base of supporters and various successes as well as lots of examples of things that haven't worked (or maybe haven't worked yet). Organizations have various service and expressive functions.

The organizations and coalitions described by participants also had various industries with products that were shown to be causally implicated in chronic disease. Often these industries use both overt and covert tactics to stall or counter government regulations.

As the NGO Leadership theory is based on an ecological or systems approach, it is important to "start" with the acknowledgement that there is a history into which people come: their own, their organization's as well as a history at, and between, all of the other levels in the system. Even if A1 were the first Director of Policy in this organization or if B1 were newly founded, there would still be a narrative at play within which this new "entity" would emerge. A1 arrives on the scene with a history, an education, some contacts and access to some resources. They actively begin to learn about the issues and the environment. A1 accesses colloquial and academic literature to understand the issue and discover effective

policy measures. They potentially conduct environmental scans, attempting to discover what was going on in other organizations and other jurisdictions. They search for evidence of what has been tried, what has worked and what has failed. Framing these activities within a knowledge creation model, participants described externalization, combination and internalization as they worked with explicit and tacit knowledge to form new understandings. They initiated the learning process articulated in Figure 2 (pp. 80).

Even at this early stage, the gathering and use of evidence started to inform the actors' knowledge of the "policy ideas". A1 starts forming opinions of what works and what doesn't and gathers evidence of a variety of types and quality to inform those opinions.

The organization would be another source of information and would provide further inputs into the process. B1 has a history. Not only do the organization's mission, vision and values provide constraints (i.e. inclusion and exclusion criteria for policy ideas) but the past actions the organization has taken (and what it has not taken) also inform the process and constrain options. This represents another iteration of the social learning process of NGO leadership and another element of knowledge conversion (SECI) is introduced (socialization) (Nonaka & Takeuchi, 1995). As A1 repeats further iterations of the process within B1, the learning process continues: new information is discovered, items are accepted or rejected through some kind of selection or prioritization process, values are (perhaps) challenged, questions arise and new options and assertions emerge. Policy options are assessed in light of the mission, vision and values. A few participants spoke about assessing the strengths and weaknesses of the evidence. Processes were described that applied logic and inference to relate the evidence to aims to create persuasive communications.

The theory recognizes the complexity of the setting. Not only is evidence being assessed, but the alignment between vision, values and ideas is now being assessed by multiple individuals across organizational levels (i.e. many SECI cycles). As a result, both emergence (of ideas, opportunities and constraints) and self-organization (the relationships and structures that start to be built) start to become evident in the system. A1 will be changing, B1 will be changing, and the other actors in B1 will be changing: all will be affecting each other and all will be influenced (but not determined) by each other and by external elements. The smallest of NGOs interviewed still had a Board of Directors, volunteers, funders and members or stakeholders who interacted with the organization and affected its trajectory.

Some of the inputs into the process come from a listening function. Not all connections are direct, some are delivered by proxy and can be filtered or amplified (i.e. twitter or the media) and the listener discerns key messages and tone. A1 and B1 may have connections to members of the public affected by chronic disease (even within the organization). Connecting with these individuals provides a source of information and a social learning opportunity (note: some NGOs having more systematic ways of hearing from constituents and external sources than others). When connections to people are indirect, the learning and

engagement iterations of the process are similar to other examples of working with explicit knowledge in that, unless these sources are shared and discussed, A1 is working with the new information from these sources as an internalization process. For those concerned with the quality of evidence, the potential for bias of those who provide feedback or act as a proxy can be problematic and the delay or synchronous nature of the discourse raises questions of the quality of the inference.

Another set of iterations of the NGO leadership process occurs when A1 starts to reach out to other organizations and connections through their personal or organizational networks. People reach outside their organizations to stretch resources and strengthen voice. In the process, they inform and challenge their current thinking (i.e. to improve and inform) and they gain partners and identify people who can help (i.e. to inform and inspire). Many participants spoke of the externalization processes from SECI at this point. They devised ways of making their current understanding explicit and shared these with others (examples included simple conversations to policy briefings and position papers).

When A1 was actively seeking feedback, the process was one of assessment to see what information "fit" and what could be "discarded". This process would inform structure, process, purpose and momentum (i.e. creating new assertions or arguments, seeing how they fit for the purpose of influencing parliament and then adding them to the inventory of arguments and evidence or filing them or rejecting them). When they were looking for partnership, then all of the knowledge, experience, values and aims of the "entities" involved would be brought into play and there would be an assessment of "fit" between the parties, their missions, operating styles and the policy elements to see if they could work together. Far from being an "event", this assessment of fit is a process that participants recommended should be given ample time and consideration up-front and should be revisited as the collective moves along.

As collaborations grow, differences emerge. Leadership in these circumstances creates the environment for conflict to emerge and not be avoided. It encourages members to use the creative dissonance to come to new forms of understanding. This involves a number of leadership skills including brokering positions, helping members feel valued and heard, seeking, encouraging and allowing space for different points of views and beliefs. There are individual qualities (e.g. being creative, patient and curious) and interpersonal elements of trust and respect that are required and emerge. Participants spoke of the need for both accuracy and transparency in the exploration and use of evidence as the coalition must be credible and honest.

When partnerships included health professional associations or academics members spoke of the perceived differences of organizational "purpose" or "intent" with which these other actors engaged. Other NGOs were assumed to have a public benefit (although there were challenges of how well other NGOs served that function), but with academics (more so than

health professionals) there was some question about whether their aim was for the public benefit or for the pursuit of knowledge. In this sense, those who worked with academics regularly (as well as with health professionals) tended to engage them "within" their organizational structure with its purpose-built constructions of identity. Those who worked with them more at coalition tables held a bit more "reserve" for their contributions - valuing the evidence, but not always agreeing with how it was communicated and if, indeed, it should be communicated based on the aims of the coalition.

Continuing the process

In Figure 3 (pp. 128), coalitions C1 and C2 provide an opportunity to further public policy. The differences that emerge and the multiple relationships that form in these coalitions all create an intensity to the process that requires a focus to be maintained on the aims and intents of the coalition, as well as a focus on values. Many participants described this as gaining momentum. One participant compared it to inviting people to a party: getting the first person may be difficult, and perhaps the second one needs some convincing, but once you have a critical mass, you have everyone wanting to come to the party.

With increased diversity comes more opportunity for difference to emerge in the coalition. While impasses don't necessarily mean failure, they do indicate that a decision point has arrived and a rejection of some ideas and a privileging of others is required. Some participants were quite pragmatic about this aspect, but for others it caused points of contention and even places of "exit" from the collective. An amoral view of the theory of NGO leadership just has the process "chug along" through this event: elements are spun out; others remain and inform structure, processes, purpose and momentum. However the "values" dimension of the NGO leadership process requires decisions to be made transparently and with accountability in the process. In this respect, there is a collective expression of NGO leadership as "doing the right thing" and "walking the talk". This introduced elements of shared accountability.

The advocacy process must also counter other influences in the political process. There are powerful, vested interests that have a series of counter positions to HPP for CDP for a variety of reasons and these "counter lobbies" have influence on Parliament and the policy process. Therefore, participants not only "shop" their own ideas through the NGO leadership process, they also "shop" their oppositions ideas through the process and ensure their own positions and assertions can address (nullify, expose and/or obliterate) the opposition's influence.

Organizations working on different CDP issues have different ways of engaging with industry in their collectivist work. Organizations who work in tobacco control tend to have little to no contact with the tobacco industry, but those who work in nutrition can have various relationships with the food industry. This can impact the way that organizations are informed of opposing positions but more significantly, it can impact the "authenticity" and

utility of the coalition itself. Members provided examples where industry engagement in a collective setting undermined the trust within the group causing members to approach the coalition from guarded or suspicious perspectives. In these situations, the utility of the social learning process of NGO leadership within that coalition was compromised.

Informants talked about using the outputs of the social learning process of NGO leadership to create a game plan or strategy, to create and re-create structures that govern relationships and access to more evidence, thereby creating the conditions for self-organization and emergence. They talked about flexibility, contingencies and mechanisms to continually scan, learn and adjust. Participants emphasized the importance of mission, vision and values as parts of identity and their role in inspiring people and attracting resources to the cause and building community support. They explored these as dynamic and changing elements that create new opportunities as new information is discovered and new people and interests are engaged as others exit.

Informants spoke of organizations and actors having preference for particular tools or approaches, but they explored many ideas they themselves had pursued, were pursuing or wanted to pursue. The social learning process of NGO leadership as described included the discourse and debate that NGOs employ in sharing and arguing about their idea and its ultimate contribution to the aim. A few members mentioned that the "argument" function among organizations can be improved, expressing envy of the academic processes of debate. These participants conveyed a sense that NGO actors can identify too personally with a position and therefore take the criticisms of the idea as criticisms of themselves. Others spoke of the field being too polite and shying away from conflict and controversy. Based on the testimony of those participants who shared their personal challenges in addressing these aspects of engagement (i.e. navigating their passions when new information is presented that challenges their beliefs), the researcher inferred a requirement of humility and self-reflection to allow for the possibility that people and leadership may be wrong.

NGO leadership therefore needs to ensure a transparency in the SECI processes employed. Transparency involves open communication, an invitation for feedback (and critique), willingness to change and willingness to advance (move on). Such transparency asserts the need to articulate and "own" personal and organizational values so that others can freely choose their level of engagement and support.

Engaging Government: Bringing the policy idea to those who can enact it

The ultimate aim of this process is to improve, inform and inspire political action on policy ideas to the enactment of policy and the achievement of CDP objectives.

There are many actors in the closed system of the GoC where policy is created including: public servants, Ministers, the Prime Minister, MPs, Senators and political staff. These represent the key advocacy targets. While the preferred target was dependent on factors such

as the nature of the policy idea, there appeared to be an order of preference within the hierarchy of government. Participants expressed a clear desire to nurture and maintain connections and build credible, respectful relationships with government actors so that when opportunities arose, there could be some form of access. It is important to note however that respectful relationships can still be challenging and even adversarial.

Deciding when policy ideas were ready for advocacy meant different things to different participants. Many participants spoke of the value of having a variety of arguments and solutions up their sleeve, with multiple framings of these arguments so they can appeal to the various ideologies held by different individuals and communities at political, organizational and societal levels. Participants gave many examples of meeting with government actors and exploring policy solutions on invitation (reactively) and through proactive means. These opportunities informed both NGO stakeholders and governments of each other's priorities representing another iteration of the social learning process of NGO leadership.

Participants walked a line between advocating for specific policies over a long-term and being dismissed as "tilting and windmills". While agitation played an important role, a few participants self-censored actions as best-evidence and arguments had not gotten anywhere with particular administrations. Some participants discussed becoming more irritated (and irritating) which re-affirmed the challenge for NGO leadership to provide a space for these voices to continue to engage and influence the process.

Even the change in government that occurred just prior to the interviews held elements of hope and concern for participants. Many participants expressed a hope for positive change as the Liberal Government was indicating its intent to change some of the policies from the Harper administration that had negatively impacted many NGOs. However, others saw a risk in the government's desire for innovation in that it can privilege "newness" over "effectiveness", making the "tried and true" a tougher sell to a legislative body wanting innovation.

Government opens a window

Participants spoke of various occasions when the GoC announced that a particular policy idea was "in play". These are galvanizing events for the field although there was some disagreement on what should be done in these times. Differences appeared to be influenced by what else the organization was doing, who funded the organization (and for what purposes) and the informant's interpretation of the organization's assessment of risk.

Participants spoke of the importance of knowing what parliamentarians are saying in social media and how the press is reporting things as a factor in assessing opportunity. When participants described these activities they were principally looking for opportunities for catalyzing or creating focussing events.

When windows opened, participants spoke about the assessment their organization made of the decision to "go it alone" or move forward with a coalition. This choice did not appear to be mutually exclusive as participants talked about some strategies that were executed both alone and within a collective. The social learning process of NGO leadership can be used to inform this decision. Informants talked about the many benefits of working together (amplified voice, more resources to bear on the issue, better information, improved game, etc.) but they also talked about risks (the slower decision-making process, watered-down objectives or products, and the potential to be undermined, or have agreement fall apart).

An open window forces a "member check" to see if there is agreement. Participants talked about the decision processes the coalition used to proceed and the negotiations between individuals and organizations: they shared examples of success, struggle and failure. The social learning process of NGO leadership can assess the goal-vision-idea alignment and can help provide clarity for the group and each member. This can inspire the group that remains and improve the policy idea.

When windows open, some coalitions can break-down. Five participants mentioned occasions where the opening of the policy window prompted a "my way or the highway" message from one of the coalition members, however, even in these instance, the process allowed the other members to either buy-in or reject that premise. The difficulty in one instance involved the relative size and wealth of the organization and the impact that such a threat could have should they actually pull out, let alone counter with a competing idea.

Creating a window and Engaging Champions

NGOs also create political opportunity. Given Government's reticence to act, creating opportunity is far more common than waiting for governments to open a policy window. One of the ways NGOs do this is to find influential champions. The engagement aspect of the social learning process of NGO leadership implies the mechanism for this to occur, and the outputs created through externalization that refine and communicate purpose are used to create momentum by inspiring individuals to bring their "gifts and energy" to the process.

Informants spoke about reaching out through their network and their organization's network. This involved informal processes of meeting and connecting at conferences and events, as well as more structured communications that articulate the aims, potential outcomes, and opportunities for people to support these (communicated through websites, newsletters, media releases, etc.). Participants also described a process of paying attention to media and sources to uncover personal connections that MPs (or influential individuals) may have to a particular issue (or connections they may have to industry and opposition) so as to create connections with those people to influence action. With the crowded legislative agenda learning of a personal connection a decision-maker has to the issue is a prized opportunity. Not that this guarantees passage of any specific policy objective, but it provides a focus for testing ideas and the associated messages, opportunities to seed the ground, and

even targets for recruiting champions or brokering support for other champions and positions.

Champions can also come from the organization's networks. NGOs, through their communication and engagement channels, have found ordinary Canadians who have powerful stories that provide a personal, compelling account and can have more persuasive influence than a report or data. Often that person is motivated to have a positive impact and sees working with the NGO and sharing their story as a way to achieve their aims: often ensuring that no-one else has to go through what they've endured because of their experience with a disease, a barrier, a policy, etc. Connections with academe and health professionals (individuals and groups) facilitate the emergence and identification of champions. Participants shared examples where powerful champions came from the opposing industry.

The role of NGO leadership in these situations is to ensure a broad reach that engages others in the advocacy process (facilitating self-organizing). NGO leadership requires persistence: even dogged determination. There are no sure things. Any tactic can be successful or fail. Even when a policy is enacted, it can be undermined or repealed, it can be challenged and struck down in court, or it can simply not have the desired impact once implemented. An argument in one situation may not work in another (even with the same person). As such, the engagement and connection process is intended to provide access to a breadth of evidence and forms of evidence. Each "connection" sought requires someone else to choose to engage and to remain engaged. But the intensity of that engagement is variable, as is the value of their contributions. At a base level, each of these interactions has a "What's-In-It-For-Me" (WIIFM) moment or element (whether the "me" is the person, their organization or their cause). As such, the mission, the vision, the goal and even the measure become a negotiation. Further, and by extension, the collective also has a WIIFM element. This can be a more delicate or diplomatic negotiation. However, once at the table, participants spoke of the requirement for active engagement and doing the work while keeping the common vision front of mind.

This requires effort to ensure that processes are accessible, transparent, and open. In this way leadership creates the outcomes of improving, inspiring and informing the policy objective and its own structures, processes, purpose and momentum.

Creating focusing events requires both creativity and opportunism. As an example, during a health committee meeting to consider banning flavours in tobacco, an advocate dumped her purse on the desk and asked members to identify the tobacco product. As they looked in amazement at items that they initially thought were things like a cell phone, lipstick, candy and crayons, the advocate began opening a beautiful package of "super slims" that perfectly complemented her cell phone. She uncapped a flavoured cigarillo that looked like lipstick and another that looked like candy and opened a package of blunts that looked exactly like a

fruit roll up. While Parliament focussed on the products that could have direct appeal to children (and enacted a ban on flavour additives), the clear intention of the Industry that the advocate was also trying to convey was that the industry was also marketing to the fashionable, party-going young woman.

While such tactics may appear obvious to NGO advocates, they don't always work. They're not completely predictable and as such, informants talked about luck and chance in influencing decision-makers. Further, some informants mused that the policy nexus is not necessarily functioning as it has in the past. Some policy instruments may not have their intended effect. The legal status of e-cigarettes is murky, nicotine capsules for e-cigarettes are illegal, yet "vape" shops are quite common in Canadian cities and many of the people who use e-cigarettes use nicotine capsules. The recent introduction of the *Tobacco and Vaping Products Act* notwithstanding, some current policies are undermined by what appears to be the social acceptability of the issue combined with the lack of political will to enforce the current laws.

This also demonstrates the need for NGO leadership to maintain a focus on these issues and provide various framings of the issues to help shape public opinion and inform political discourse. The externalization and communication aspects of the theory that inform, inspire and improve require persistence in targeting policy entrepreneurs and institutions that can influence and enact healthy public policy for chronic disease prevention in Canada and improve the health of Canadians.

NGO Leadership can answer this call by creating structures, processes and products that build purpose and momentum thereby inspiring, informing and improving their own efforts as well as the healthy public policy for chronic disease prevention in Canada.

6.3.4 Research Question 4

In the relational process of leadership, what is NGO leadership? How is the NGOs' leadership shaped by their structures, operating environments and purpose?

RQ4 relates to participants' understanding of the phenomenon of leadership and the sensitizing concept that describes NGOs as non-market-based, non-hierarchical entities.

The three inter-related perspectives of NGO leadership: their advocacy role, the creative process that facilitates advocacy and their structure and structural position in the system, place a focus on the form and function of NGO leadership that facilitates and constrains its expression. The following explores the ways in which NGO leadership is existentially and functionally shaped by structure (organized, private, non-profit-distributing, self-governing and voluntary), their operating environment (outside government, network structures and collaboration) and purpose (identity and promise).

Shaped by structure

Self-governance occurs in many NGOs through the processes employed by Boards of Directors who are selected from the corporate membership. Although many organizations, in response to changes in the Corporations Act, changed their organizational structure so that the corporate members and the Board of Directors are ostensibly the same group of people, the significance of this organizing tenet is that this core organizational network creates the structure that determines the organizational activities, operating environment and engagement of staff.

As private organizations, NGOs are institutionally separate and independent from government. They are able to structure and choose their affairs and can operate or close of their own volition. NGOs self-govern and organize through a process of identity formation (strategic planning) that aligns the organization's activities to the organization's purposes. This structural element conveys a message of independence that can enhance NGO credibility (rightly or wrongly). The public benefit imperative of NGOs (particularly charitable organizations) not only provides a credibility of voice, it also provides a rationale for influencing policy for mission achievement.

Strategic planning has many forms and there are many elements involved, but it is the basic articulation of mission, vision and values that fulfills the directors' obligation to ensure that the organization is directing its resources towards its corporate objects as laid out in Letters Patent. The history, process and timing of strategic plans shape organizational structures, processes and patterns. This identity creates the context in which the value of HPP for CDP is assessed and understood against its ability to achieve the organization's mission and vision: thereby influencing its priority within the organization's operating expressions.

Some NGOs placed a value of mission above all else (even existence), however, others discussed the responsibility of Directors to maintain an organization as a "going concern" and how this could create an environment that avoids risk. With its direct engagement with the GoC, the political dimensions of HPP for CDP can make advocacy a high-risk activity for many Boards of Directors to consider. Participants talked about their own and other organizations' struggles with the interpretation, mitigation and impact of this risk. This dynamic impacted NGO leadership as it created a culture that others interpreted as timid, fearful and blaming.

Although developing a culture of improvement that minimizes (or eliminates) a culture of blame has been used in other aspects of health, its requirement here is linked to informing, improving and inspiring policy ideas and political action. Courage is needed to "do the right thing", and the structural impediments that some organizations create to engaging in the advocacy requires processes that challenge norms and lay the groundwork for organizational change. NGOs structural place within this system (as an outsider) creates a powerful

influence tool through advocacy - however, an organizational culture is required that facilitates the viability of accessing and using this tool to achieve the corporate objects. NGOs who engage this courage and act, improve credibility and trust which can motivate others to engage, garner further resources and strengthen voice.

The connection between the Board (governance) and staff (operations) in terms of delegation, autonomy, accountability, and alignment can vary greatly across organizations. This has a strong influence on the culture of the organization and the people it attracts. There can be a reinforcing of risk avoidance behaviours, corporate thinking and/or other beliefs and values. This not only impacted the quality of the decision, but also the responsiveness which impacts effectiveness. However, size did not appear to be the issue affecting this as some large organizations were able to act very quickly and some smaller organizations appeared more bureaucratic. Role clarification and delegation of authority (the understanding of governance and management roles) appeared to have greater impact on speed and decision-making.

For those organizations with a Board of Directors, the rotation of directors introduced new ideas and motivations allowing more opportunity for difference and innovation (which also provided room for emergence and self-organization) as new people continually cycle through and are impacting and being impacted by the organization. This created a structural element that is well matched to the requirements to operate in CASs.

The engagement and termination of the CEO is also influenced by the Board culture (for many organizations, the Board has one employee and that employee (CEO) then engages and dismisses all other staff). One participant framed the crux of NGO leadership as "It comes down to hiring and firing decisions". Considering the centrality of individual agency in leadership (the individual's decision to engage their leadership, to lead, or not in any given situation or organization) this view is insightful as it recognizes how hiring decisions privilege some positions, values and beliefs, over others.

Participants also discussed a "learning from the corporate sector" that has happened through the engagement of corporate sector actors in governance roles as well as the staffing of senior management roles with people from the corporate sector. While this speaks to the operating environment, the structural impact privileges corporate values and definitions within the sector - values that assess risk differently and respond differently to opportunities and constraints as the underlying operating assumptions can be based on competition, outputs and performance as opposed to collaboration, inputs and mission.

The non-profit-distributing element of structure enhances credibility in the sector. Many participants cited examples from their experience that have led them to believe that without the profit motive, Canadians view NGOs as trustworthy in service to the public good. As such, there is a credibility (reputation value) that NGOs enjoy in the public sphere.

Similarly, the NGO's value proposition is strengthened by the voluntary element of membership: that participation in them is not compulsory or coerced. People choose to engage with NGOs and assert their belief in the value of the organization's stated purpose. As such, an organization's ability to be a going concern provides a form of attestation to Canadians, and governments, that their fellow citizens believe them to be effective and of public benefit.

Through their purpose, NGOs and Governments are well aligned as both serve a public benefit. Participants talked about an awareness of this by both governments and NGOs. Without diminishing other forms of leadership required in the policy process (physician leadership, nursing leadership, academic leadership, etc.) and uncoupling NGO leadership from the "champion/policy entrepreneur" role, there exists a unique role and need for NGO leadership in national HPP for CDP in Canada that relies on the purpose-built, public-benefit, network-, community-based (and engaged) structure of NGOs that is different from the other organizational entities "outside the tent".

Networks and communities

NGOs do not operate in free markets like businesses or in hierarchies like government institutions. Instead their operating environment is commonly understood as "network" or "community". Even NGOs that changed the makeup of their corporate membership have maintained a network of stakeholders (current and former clients, past members, donors, volunteers, staff and "interested individuals"). In general, participants described ways to create the most open flow of information and ideas, exploring access, inputs, process and outcomes through networks. These were described as both formal structures and informal connections. Valuing open connection and engagement helps create the conditions for emergence and self-organization.

The various connections NGOs have to patient voices, provincial and local chapters, the public, the media, health professional associations and academics provided a broad reach and deep penetration into Canadian society. Match this with their public-benefit purpose and a unique vehicle for policy engagement is created.

Competition in the sector was explored but was expressed as being quite different than competition in private sector organizations. "NGOs work together in ways that Walmart and Zellers never do". Competition was seen more as a navigable element, especially if partners were open and transparent in their needs and constraints. The larger form of competition was the conflict and tension between ideas and opportunities.

The NGO network structure, built on collaboration, makes credibility and trust a form of currency (influencing attraction, assets and outcomes) highlighting an analogy with market-based organizations: stakeholders "buy-in" with their hearts, their hands, their feet and their wallets. However, the analogy is tenuous as the transactional elements of market-based

organizations (buying and selling) tend to be direct, two-way exchanges, whereas in NGOs a value provided to a particular audience is often funded by a third-party based on various interests and desired outcomes or outputs.

While the operating environment has an effect on credibility in that organizations who are able to continue as a going concern demonstrate some level of success (or value) to a public, the lack of direct, stable funding and funding sources causes a number of challenges in the sector and for leadership. The requirement for NGOs to demonstrate that funding was directed towards the public benefit of their organizational aims and corporate objects can add credibility to their actions, but it can also create tensions. Funding, how it flows and where it comes from is consequential in NGO leadership.

The inequality in resources was something that potentially caused problems. A few participants spoke of a "pay to play" mentality that can happen in some coalitions when organizations with different resource levels collaborate to accomplish a goal. This was often a perception that participants navigated but was not always overt as larger organizations attempted to negotiate preferences and priorities while also being the principal source of resources that sustained a coalition.

Government's require process and tasks to be outlined in advance (thereby employing a project management approach to funding and requiring outputs that map onto government objectives) this not only limits flexibility (a structural advantage that NGOs hold) but also creates a dynamic that one participant referred to as NGOs becoming "outsourced bureaucracy".

The main issue of funding sources concerns the perception of independence. One participant spoke of not relying on any advertising, sponsorship or government dollars as the only way of assuring independence of the organization. Some organizations intentionally structure as not-for-profit organizations and not as charitable organizations because they did not want the restriction on lobbying that accompanies charitable registration. Although the researcher was curious about the impact of the CRA audits in the sector and the perceived "crackdown" on lobbying and charitable purposes, the participants who did acknowledge this spoke more of the "chill" of the last administration towards NGOs and that administration's affinity for corporate interests as well as the impact on other organizations.

Even the direct cuts in the sector that has closed organizations and crippled others were more "taken in stride". While there were expressions of disappointment in this, there were no participants (save one) who expressed outrage at this (and even the exception was mostly amazed at "the gall"). As such, most participants conveyed a sense of "doing what they can to get by". Whether that was chasing project dollars, applying for grants, crowd sourcing, looking for government opportunities in any jurisdiction, etc. They shared lessons from other organizations who had not navigated the potential conflicts presented by their funding

sources (whether government, corporate or even private donor) and the lessons they learned from this about being open and transparent about needs and constraints.

The amount, source and mechanisms of distribution of funding can be problematic for an NGO and place a requirement on leadership for honesty and transparency. Other than self-generating funding, there were very few ways that an NGO could be funded that did not give a perception of the organization being " beholden " to some stakeholder: governments, corporations or even the amorphous " donor ".

Purpose

The organizational purpose is foundational to NGO leadership. Without a compelling purpose NGOs do not attract the resources required to fulfill their mission. NGO leadership ensures that the messages that convey purpose and intent are tempered (hard or flexible) and the assertions are accurate (defendable). The assessment of the evidence and packaging that leads to influence requires authenticity and accuracy.

An example of the authenticity and honesty required of NGO leadership was explored in the execution of persuasive communication in the policy process. Participants spoke of their reliance (to varying degrees) on their ability to represent specific interests in the political process (participants expressing how governments value the connection NGOs have to the public, academe and health professionals). However, participants spoke of a requirement to not confuse reading and relating the tone of a constituency with representing that constituency. They provided examples from social media and other places where NGOs don't always get the message right and even mused if current advocacy and leadership processes are adapting well enough to the changing (communication) environment.

It appears that in a coalition the agreement on the over-arching, broad goal provided the most flexibility for engagement and a full-consensus process probably afforded the least flexibility. The researcher did not achieve definitional clarity on the distinction between goal, purpose, aim, vision and world view when participants spoke of the importance of coming to agreement on (any one) of these elements in the interviews. However, in their collective assertion it speaks to operating with an element of agreement on some future state as being central to the success of collaboration.

NGO leadership is very much shaped by the organizational structure, operating environment and purpose. Participants spoke of decisions regarding purpose and resources dictating organizational structure and operating environment (and the reciprocal relationship). Such decisions are central as they privilege some sets of options while disadvantaging others. Individual agency and fluidity of movement within the system however means that any such decision could be quickly (explicitly or inexplicitly) revised.

To return to the structural position of NGOs within the system and the snowball analogy, the difference between NGO leadership and political leadership in national HPP for CDP in

Canada is analogous to the difference between throwing and catching (or, implying and inferring): at a national level, NGO leadership and political leadership could be viewed as the sender and the receiver (the one who throws and the one who catches) in the national HPP for CDP in Canada process.

6.3.5 Research Question 5

How does this NGO leadership work as a social, relational process? How does it compare to current process-based, contextually sensitive leadership theory and PHL?

This question explores the emergent theory of NGO leadership in national HPP for CDP in Canada to current process-based, context sensitive leadership theory in public health and CASs as explored in the sensitizing concepts.

NGO leadership exists at the nexus among the actors, their structural forms and relationships, the policy ideas and the social learning process that communicates those ideas into the political process. Within this CAS, NGO leadership is multi-level, temporal, emergent and complex. By necessity, and by circumstance, NGO leadership is distributed and shared.

Public Health Leadership

Participant's stories about leaders were consistent with behavioural approaches, styles and competency-based framings of leadership (as described in brief in Appendix N). Their assertion of advocacy as NGO leadership is consistent with the behaviour-based leadership literature which explores specific behaviours required for specific situations (Stogdill & Coons, 1957).

The "out-in-front" and "champion" leadership role of NGOs in national HPP for CDP and their role in the "policy idea → policy enactment → policy aim achieved" chain are domains where leadership can be exercised and experienced.

Participants shared many examples of leadership competencies that were consistent with the Public Health Core Competencies (PHAC, 2008) and others (Community Health Nurses of Canada, 2015) as participants explored the following elements in the interviews:

- Building capacity, improving performance and enabling organizations and communities to create, communicate and apply shared visions, missions and values.
- Contributing to the development of key values and a shared vision in planning and implementing public health policies.
- Utilizing ethics to manage self, others, information and resources.
- Contributing to team and organizational learning in order to advance goals.
- Building community capacity by sharing knowledge, tools, expertise and experience

Participants described competencies that can be aligned with theories of leadership styles and attributes in the literature. However, participants also moved beyond these individual-focused elements and described organizational and systems' competencies. Further they uncoupled positional authority from leadership expressing that positional authority is different from leadership (CEOs may or may not be leaders, Board chairs may or may not demonstrate leadership).

A framing on competencies was insufficient as individual agency and peoples' ability to choose to engage (lead) or not framed leadership as both situational and transient - being connected with the environment and opportunity.

In light of recent questions as to the ability of a focus on leadership competencies to achieve their purported aims (Reid & Dold, 2017), this study provides support for such a challenge and highlights a new avenue of exploration through its focus on relationships, processes, complexity and context.

Leadership in the Policy Process

The Multiple Streams Framework (MSF) mirrored participant testimony as many themes and terms described within the MSF were employed by participants (problem definitions, solutions and policy streams, political receptivity, policy windows, focusing events and policy entrepreneurs). MSF further provided coherence to the resource constraints, opposing coalitions and the impact and likelihood of swings in national mood (Kingdon, 2003).

Participants shared examples of couplings that worked and those that did not, illustrating the seemingly randomness described in MSF. However, participants described the intentional structures and processes of the policy environment "inside the tent" that create a context of probabilities and likelihood that are not the same as randomness. This highlighted the importance of complexity theory as organizations must learn and adapt, distribute control and leadership (as opposed to centralizing it) to facilitate adaptation and connected, sensing-networks to feed information as there is "a continual Darwinian selection at work in the system" (Kingdon, 2003). The goal of the leadership process therefore is to find pattern and structure in the very fluid, complex and unpredictable environment of public policy.

MSF also speaks to the important influence of history (what happened before has a likelihood of happening again) and suggests that this likelihood is related to the initial conditions (also discussed in CASS) as once a system starts in one direction, it is not likely to reverse itself. While Kingdon speaks of the "trick" in identifying these initial conditions lying in the fact that they may, in fact, be random, the researcher surmised from participant testimony that in terms of history, initial conditions may be forgotten or unknowable.

As a social, relational process, NGO leadership works by using position, structure, trust and credibility to foster learning and the transmission of ideas and the creation of persuasive communication in an evidence-logic-message-vehicle-channel chain towards influence of

political will for national HPP for CDP in Canada. This NGO leadership process is consistent with "policy learning" where relatively enduring alterations of policy ideas and tactical intentions resulting from experience are shaped within a social process in relation to the attainment and revision of policy objectives. This process involves the integration of knowledge with the basic values and causal assumptions comprising core beliefs of actors and organizations (Sabatier, 1988).

Consistent with the Advocacy Coalition Framework (ACF) (Sabatier, 1988), participants described changes on both the stable areas (the attributes of the problem area, the basic distribution of resources, and the fundamental cultural values and social structures) as well as the dynamic areas (changes in socio-economic conditions, technology, the systemic governing coalitions and the policy decisions and impacts of other subsystems).

Participants also spoke of individual learning and attitudinal change, diffusion of new beliefs, turnover of individuals, group dynamics and rules for aggregating preferences which moved the focus of leadership from the individual to the group.

Learning, the active gathering and use of information and evidence was seen as a core function of NGO leadership: something that required action and participation. Learning evolved. It sought and invited different perspectives. Leadership was not described as a "receiver" or target of information (although participants spoke of making sense of information for management), leadership was described as the instigator. As such, learning and learning abilities (both individual and organizational) contribute to the goals and improve the policy and individual, organizational and collaborative performance.

Also similar to ACF, participants described building community capacity as a way of inspiring and informing by engaging people in the process and creating a voice that can influence the political process. The communities discussed included the public, media, health professionals, health professional associations and academics (individuals and institutions).

ACF asserts that as there is a recognition of and value for difference. This requires the ability to allow difference to improve the process and outcome. Learning and accountability are required in the process. This then leads to trust and credibility being augmented. The ACF suggests that trust and credibility reduce complexity in the political decision-making process. Political decision-makers trust the policy idea and all the other requisite evidence and act. Recognizing that this is a process and not an event highlights the ongoing nature of the assessment/action paradigm to achieve CDP aims.

Complexity Leadership

The NGO leadership process also aligns with Complexity Leadership (Hazy & Uhl-Bien, 2015). Participant interviews provided rich descriptions of Complexity Leadership including Information Gathering and Using Leadership, Administrative Leadership, Generative Leadership and Community Building Leadership. Although the author was concerned that

his familiarity with this theory, influenced a forcing of "fit" on the data, he takes comfort in the rigorous application during initial coding of assigning descriptions based on the testimony and not the research questions and the axial coding process of constant comparison that created the initial thematic categories.

Complexity Leadership shifts the focus from the individual to the process and context of leadership, describing the five leadership functions listed above. Participants described a generative function that enables adaptation to changing circumstances. They described their autonomy in exploring connections and building relationships within and external to the organization and breaking down barriers to accessing the resources (intellectual, physical, financial and human) needed to learn and adapt.

Participants also described administrative leadership in their focus on the practices, processes, policies and procedures that help support the informal structures created in generative leadership. This leadership function aims to eliminate confusion by clarifying roles, handoff responsibilities, feedback mechanisms, etc. Participants spoke about the formal and informal expressions of this function in creating organizational norms and policies.

Community-building leadership creates a sense of belonging and shared identity among individuals, thus creating a common vehicle that enables complex organizing. It builds an organizational (or collective) identity that allows a common reference and in some cases, legitimacy for certain types and styles of interactions and outputs. Community building leadership inspires a "we identity" which participants spoke of as particularly powerful when combined with a compelling vision. This leadership function found full expression in the data.

The gathering and using evidence functions of leadership enable individuals to "sense and absorb information" during everyday interactions and more formal structured engagement processes. Leadership helps with the recognition of patterns as a means to identify signals that are relevant to the structures, processes and purposes that currently operate or are emerging within the system. Information gathering leadership practices promote frank information exchanges with regards to the findings of individual and group explorations and data collection. This leadership function was richly described by participants.

The explorations of the social learning process of NGO leadership described are consistent with Complexity Leadership as described above, although community building leadership as described by Hazy and Uhl-Bien (2015) lacked the intentionality of reciprocal learning between the grass roots and the organization that participants explored, and the engagement of champions within the advocacy process.

Ecological and Systems Approaches to Leadership

Participants spoke of various shared elements of leadership. Developing mission and vision was something that was done and redone as new individuals and organizations sign on (and leadership ensures these are revisited and invites peoples' engagement in these). Values were something to be explored, negotiated and clarified - with differences being addressed in ways that improve the end goal or initiative. Applying a CAS framing recognized that leadership can come from anywhere, but, to truly help build adaptive capacity and support emergence, it also must come from multiple places. An ecology of leadership (Allen et al., 1998) states that effective leadership processes are characterized by a sharing of responsibility among all participants. The practical guidelines of Ecological Leadership have particular relevance for the social learning process of NGO leadership for national HPP for CDP in Canada and were well explored in the data:

- i) Connections and communication across sectors have a significant impact on an organization's ability to adapt. Therefore, shared leadership involves creating links and relationships that enhance the flow of information throughout the organization.
- ii) Leadership needs to facilitate an environment that fosters individual growth, trust, and organizational learning.
- iii) Reflecting on the process is a key behaviour in the transition to open leadership processes in order to develop new ways to reflect on and learn from interactions. Participants demonstrated this to varying degrees in the interviews.
- iv) Articulating the core purpose and values of the organization or collective is required. Attaching the form of the organization to its purpose, instead of the purpose to the form.
- v) Tension is a positive force in organizational learning and there is a requirement to reward risk-taking as this can directly impact the introduction of new points of view, speculation on long term impact of decisions and the invitation of new voices to the leadership process (Allen et al., 1998).

Each of these elements was addressed in multiple interviews, through multiple examples. The importance of risk-taking emerged in the data as participants spoke of their experience with barriers and facilitators within their organizations and collectives. While only a few participants named their behaviour as risk taking, the examples given by those who did recognize the importance of risk taking provided credence to other testimony in the interviews.

In the National HPP for CDP ecosystem, organizations and individuals self-organize. They discovered each other in everyday and work-related activities and through the web. They initiated connection and shared information. Together they constructed purpose and

identity. They came to agreements and disagreements, and in collaborating, some people and organizations fell away, and others joined.

Identity, information and relationships are three conditions for self-organizing (Wheatley & Kellner-Rogers, 1996). Participants spoke of the importance of identity through the exploration of intentions and desires of coalition members. Identity is formed in deciding what to do and includes vision, mission and values as well as the historical narrative that led to those elements. Identity is critically important as a system will continually refer back to its sense of self.

Complex systems thrive on information and the meaning that the system ascribes to data. Information from outside perturbs a system. Information from inside can function as instructions. The two extremes of the system (from an information perspective) are atrophy (when the system has too much order) and chaos (where too much information too fast sacrifices the system's memory). It is information that creates the conditions for the emergence of fast, well-integrated, effective responses (i.e. information is related to adaptability). These requirements of self-organizing were also well explored in the data.

Through relationships, information is created and transformed, more stakeholders get included, the identity expands and the enterprise becomes wiser. The more access people had to one another, the more possibilities occur. These domains operate in a dynamic cycle. New relationships connect more people and information is created and transformed. Identity is reformed and new relationships are sought: when problems occur, the system looks at these three domains (relationships, identity and information) to see what's going on.

Wheatley & Kellner-Rogers (1996) argue that leadership needs a strong "intention" and commitment to systems thinking and this is true of NGO leadership. Participant experiences of working in coalition fit well with this systems view. Their descriptions of the social and collaborative work of coalitions shared the importance of identity, information and relationships. Participants suggested a greater variety of reasons for collaboration including: a lack of resources, commonality of underlying factors in CD progression and prevention, geography and Canadian culture and values, and/or funding environments that tend to favour collaboration.

There is value in looking at collaboration for its ability to keep those involved in a dynamic cycle where new relationships connect more people and information is created and transformed. Such a framing provides intentionality to the social learning process of leadership that requires engagement and vigilance, but can also match the shared nature of leadership in this domain (these tasks becoming everyone's responsibility).

Collaborative partnerships require systems thinking, vision-based leadership (i.e. the creation of frameworks for action), power sharing, and process-based leadership (i.e. the translation to action of the substantive and structural aspects of leadership) (Alexander, Comfort, Weiner and Bogue, 2001). The dynamics that arise in collaborative leadership between continuity and change, power and participation, equity and neutrality and leadership development were all explored in detail in the interviews.

Connelly (2007) explores the role of trust in inter-organizational collaborative domains stating that "trust is an essential element, if not the defining condition, of cooperative endeavors". Building trust can occur through four techniques: risk taking, equity preservation, communication and inter-member adaptation. These align with much of participant's testimony in relation to trust and group dynamics. The explorations of the role of participative systems, knowledge, goal-setting, power and authority are also aligned.

These themes of ecological approaches, systems thinking and complexity that are so central to public health and CDP are becoming better explored in the leadership literature. Participants' experience provided evidence that they are also evident in, and proposed as central to, NGO leadership for national HPP for CDP in Canada.

Public Health Leadership Revisited

The interviews and analysis demonstrated that complexity and ecological framings, so extensive in public health and CDP, and also applied to the phenomenon of leadership, are central to the experience of NGO leadership in national HPP for CDP in Canada.

As a discipline, public health is predicated upon evidence-based decision-making. With this in mind, the inability to appropriately conceptualize and model leadership in the context of healthy public policy is an important constraint to an effective public health response to chronic disease.

This research not only addressed the questions raised about the "how" of gaining political will for CDP (Puska, 2014) but it also suggested a potential reframing of Koh's (2009) imperatives from a focus on the individual (the leader) to the organizational, collective and sectoral levels, to create cultures that: embrace the ambiguous interdisciplinary world; cultivate a sense of interdependence among stakeholders; communicate effectively to motivate for a higher purpose; renew messages to convey a sense of community; embrace a broad vision; and use the SDOH approach to affect change. This places responsibility on the collective to start with evidence, employ innovative social strategies, affect political will, and use superior interpersonal skills (Koh, 2009).

As a part of public health not well explored in scholarship, the NGO sector plays an important role in HPP for CDP in Canada and studying leadership in this context provides new insights into the leadership experienced and required in this setting. The emergent theory complements and extends current PHL scholarship and practice and provides new avenues for exploration by addressing how national HPP for CDP in Canada can be influenced.

6.4 Strengths & Limitations

This study's exploratory purpose (to describe and characterize the phenomenon of NGO leadership) is intended to inform NGO public policy practice. Lack of prior research in this

area was substantiated through engagement of UW librarians and was further demonstrated as a dearth of scholarship in three related areas:

- i) The NGO public policy role in public health is not well explored in scholarship.
- ii) The PHL literature is largely based on individual competencies with little attention given to complexity, systems-based or ecological approaches to leadership.
- iii) Leadership research that has employed methods that explore the phenomenon in its context (instead of stripping away context) are nascent in the leadership literature.

As such, this study employed qualitative methodologies to explore (as opposed to explain) the phenomenon of interest. The use of GTM informed through a critical realist approach to science represented a strength of this study as inductively driven research can appropriately address exploratory research aims (Creswell, 2003; Charmaz, 2014; Kempster & Parry, 2011; Parry, 1998). Further applying various forms of inference (induction, abduction, deduction and retroduction) in line with a critical realist stance provided a methodological framing for analysis within GTM (Danermark et al., 2002).

Limitations in sociological research concern the characteristics of the research design and methodology that impact the interpretation of the research findings. These include constraints on generalizability (i.e. the applicability to practice and utility of findings beyond the current context) related to the chosen design of the study and the methods used to establish validity (Price & Murnan, 2004).

Consistent with GTM (Charmaz, 2014; Bryant & Charmaz, 2007) the researcher acknowledges that no researcher approaches the research setting *tabula rasa*. Having said this, the researcher attempted to approach the study with no fixed *a priori* assumptions as to how leadership functioned in this context. The researcher acknowledged his historical influences and approaches (sections 4.3, 4.5.2 and Appendix C) and described the methods as a mechanism to articulate (not mitigate) these biases through the use of GTM with its intention to explore social phenomenon without pre-theorized or pre-formed assertions (Engward, 2013; Kempster & Parry, 2011). Different from *a priori* assumptions, the researcher used sensitizing concepts (van den Hoonaard, 1997) that provided initial points of reference for potentially important concepts in studying NGO leadership in HPP for CDP in Canada. The researcher also maintained the use of sensitizing concepts in the final version of this thesis (following analysis) to help orient the reader to the phenomenon of leadership and the context of the study.

The sampling methods, interview design (i.e. questions, format and content) as well as the role of the researcher and his relationship with the interviewees all affected the content, quality and amount of data collected. This study is based on data collected from semi-structured, qualitative interviews of NGO actors who have held expert roles in national HPP

for CDP in Canada over the last forty years, as well as from the memos created by the researcher when reflecting on interviews, the research process, sensitizing concepts and the research questions.

By design and intent, sampling was not random. Instead participants were selected based on their ability to inform the research aims and their expertise and intimate knowledge of NGO engagement in the policy process in Canada. The researcher constructed a pool of candidates through publicly accessible documents on CDP activity at a national level including strategies, organizational websites and coalition and committee membership lists in CDP and NCD organizations (see Appendix D). Although the pool of potential candidates who could expertly address the research aims from a long-term perspective is quite limited, the data collected was rich.

The researcher had considerable experience in NGO advocacy in national HPP for CDP in Canada before this study was started and was known to each participant in the sample. This history and professional connection with the field may have provided privileged access to the sample of interest. His knowledge of the field may also have created an environment for deeper conversations as language, terminology and context could be commonly understood and easily clarified between researcher and participant.

It is possible that the researcher's pre-existing relationship with interviewees created demand characteristics. During the interviews, there were times when participants asked "is this the kind of thing you're looking for?" In these instances, the interviewer reiterated that the purpose of the interview was to get at "what came up for them". The interviewer also stated that some of the questions were intentionally designed to be interpreted different ways as the researcher was conscious of not wanting to bias responses by framing questions too narrowly which could preclude the sharing of important information. The interviewer took special care to ensure when participants assumed a shared understanding that he probed deeper to allow details to emerge that were potentially being glossed over.

The interview employed semi-structured interviewing with open-ended questions. The interview process allowed the interviewee to lead the conversation. While the researcher's influence through the construction of the interview guide could potentially have hindered participant explorations, the use of a graphic representation of potential areas of interest (see Appendix I) allowed more flexibility and breadth in how various areas of interest could be explored (i.e. instead of maintaining strict adherence to the interview questions).

Each interview transcript was validated against the audio recording. This process added missing information, corrected errors and added notations on tone and tempo of the interview. Each interview was reviewed in their entirety a minimum of five times.

There could be a number of limitations based on self-reported data: selective memory, telescoping, attribution, exaggeration (Rubin & Badea, 2010). Applying Critical Realism

acknowledges that participants' recollection of the empirical instances is fallible, but that their interpretations of the actual and real are still important constructions in understanding social phenomenon (Danermark et al., 2002). The degree of convergence of ideas from participants and subsequent validation through member checks is nonetheless reassuring about the validity of the findings and interpretations.

With the thesis committee, the researcher conducted a review of the first three interviews to review the descriptive codes created and the nesting of various codes as analysis developed. The set of codes related to trust were reviewed with a committee member and the concurrence between the assignments of descriptive codes was explored. Validation through a second coder was not employed after consultation with the dissertation supervisor.

The researcher acknowledges his considerable agency in the construction and interpretation of the data to arrive at the theory (Bryant & Charmaz, 2007). Initial coding characterized data with no regard for emerging themes: letting each phrase, sentence and/or paragraph "speak for itself". Axial coding then grouped these through constant comparison (principally assigning like with like). The selective coding process then explored these categories (individually and in groups) in relation to the research questions and the assertions and further questions that were arising through analysis. As these related categories that focussed on social processes, relationships and levels within the system grew richer the replication of instances that demonstrated the key concepts provided coherence to the theory and confidence in the completeness of assertions and connections (Charmaz, 2014; Morse et al., in Bowen, 2006 pp 140). In consultation with the supervision committee, it was decided that no additional interviews were required as saturation was becoming increasingly evident.

The quality, detail, diversity, range, congruence and depth of data on each of the elements described in the emergent theory supported the researcher's assertion that if not complete saturation, there was sufficient saturation of the categories and sufficient data for rich descriptions. The researcher assumed primary responsibility for the qualitative analysis. His decision that saturation was achieved was supported through member checks and meetings with the supervision committee that reviewed the emergent theory and supporting data.

The iterative process used in theory building that deductively sought examples in the data that both supported and challenged the various aspects of the emergent theory as well as the use of retrodution to consider what must be present for these assertions to remain valid helped in providing confidence in the theory building process. The researcher inductively reviewed data to create categories and data groupings. The researcher then followed an iterative process of abduction to create assertions from these inductively derived themes to propose what "may be going on". He then returned to the data to deductively seek examples that both supported and challenged the various aspects of these propositions. Retrodution was then used to assess what must be present for these assertions to remain valid.

Throughout this process, memos and diagrams were created to reflect on the process, create

and refine assertions and explore additional questions that arose: thereby informing theoretical sampling and analytic progression. This use of critical realism within GTM framed the theory building process and the choices the researcher's agency afforded.

Techniques for trustworthiness for qualitative research and GTM were employed to assess process (data gathering and analysis) and results. These included member checks, negative instance analysis, thick description and audit trail (Bowen, 2006). Member checks and thesis committee reviews explored credibility, originality, resonance and usefulness of the results (Charmaz, 2014). In member checks, there were no aspects of the diagrams that the three participants did not understand. In fact; they grappled with similar questions of representing the dynamism, the forces at work in the system and the impact of changes over time. This indicated that the emergent theory had both resonance and utility for the participants as two members expressed exactly those sentiments. Further, the discussion during member checks that explored the assertion of leadership as a systems' phenomenon beyond the actions of individuals, demonstrated the originality of the proposition. The exploration at the participant's instigation in the final member check of ways of sharing this with practitioners also indicated a level of utility.

The theory of NGO Leadership in this study is bounded to the following elements of context:

- i) The phenomenon of interest. Leadership is a subject with broad appeal in scholarship and popular cultural. The academic literature on leadership principally comes from business, military and government contexts from the domains of psychology and organizational behaviour. Appendix N demonstrates the wide variety of leadership theories, from many domains, studied under different methodologies that focus analysis at various levels. This study is focused on leadership as a relational, system dynamic "the leadership that exists beyond the characteristics of individuals" (Marion & Uhl-Bien, 2001). Such a framing highlights the importance of culture (norms, values, attitudes and identity) and knowledge.
- ii) The phenomenon within a complex adaptive system. The study narrows in on national level HPP for CDP in Canada. Figure 3 (pp. 128) attempts to describe an eco-system with two principal components: an inside-government, closed system that creates supports or ignores policy, and an open system that aims to influence the decisions "inside the tent". This suggests a focus on socio-political and cultural dimensions.
- iii) The issue on which leadership is focussed is chronic disease and the national HPP for CDP in Canada. This represents a complex socio-behavioural-environmental public health and political issue.

- iv) The data has provided rich information from the last forty years and related information from forty to sixty years ago. Further, there are other temporal dimensions of duration, history, present continuing and desired future states that affect the current understandings at the individual, organizational, sectoral and societal levels that are explored.
- v) The perspective of interest described in the research questions, sensitizing concepts and boundary conditions is that of the NGO actor, looking at the NGO role (and leadership role) within HPP for CDP in Canada. To further refine these boundary conditions the study focused on NGO's involved in HPP for CDP at a national level in Canada that are organized, private, non-profit-distributing, self-governing, voluntary and serve a primary purpose of public benefit (whether charitable, as defined by CRA, or not).
- vi) The complex adaptive system described suggests the application of ecological approaches and complexity lenses to investigate context (from the individual to the macro levels, as per Bronfenbrenner, 1994) that include abstract (shaped by beliefs, assumptions and values) and material dimensions (structures and processes).

During analysis it was seen that the Board role in the NGO was absent in the interview sample. As such, future research could incorporate this perspective in the exploration of leadership in this setting to ascertain if it adds additional insights or other elements to the process or findings.

The research also occurred during a transition in the field (from one majority government to another). As the interview window (from November 2015 to May 2016) represented a brief time-frame from a policy perspective (Sabatier, 1988; Kingdon, 2003) and considering issues related to self-reported data (as explored above) further research could explore the significance of such a change by revisiting the field at a later time to assess the impact of expectations following such a critical event.

The researcher was deliberately transparent in working with the thesis committee. An audit trail was created from the documentation of the research process to highlight the decisions made and the process followed from conception to theoretical proposals (See Appendix O).

This study was exploratory. In using GTM, it was guided by concepts from Classic Grounded Theory (Glaser, 1978), Qualitative Data Analysis (Corbin & Strauss, 2008) and Constructivist Grounded Theory (Charmaz, 2014). Any study has strengths and limitations and further research might replicate, elaborate or extend this study to other contexts.

6.5 Implications

This research explores many dimensions of the phenomenon of leadership in this specific context. Leadership is described from various levels in the CAS. This study represents a new framing on NGO leadership within the public health context of national HPP for CDP in Canada.

This study did not aim to provide a generalizable, explanatory theory of leadership but instead explored leadership as a relational phenomenon in a specific public health context to inform research, practice and theory of the phenomenon in that setting (i.e. NGOs in CASs for national HPP development in Canada). As such, the theory is idiographic and particular to this context.

By taking context into account in the research process, Constructivist Grounded Theory allows an abstract understanding of specific situations to move from the local world to more general conception level by qualifying temporal, social and situational conditions (Charmaz, 2014). As such, given the specific conditions of national NGOs engaged in HPP in Canada, there may be applicability of this theory to other similar contexts. However, the reader would need to assess the contextual factors and the applicability of the findings to their situation.

As such, a need for reflexivity and caution would be recommended in transferring this research to other contexts.

6.5.1 Implications for Research and Theory

Beyond the dominant leadership theories that focus on individual characteristics, this study suggests elements of individual agency in applying leadership in specific situations in CASs. This provides a framing for leadership to be explored at different levels in CASs: from interpersonal dynamics to organizational, collective and sectoral dimensions of leadership. This suggests a view of leadership as a temporal, emergent systems' phenomenon.

Each dimension explored suggests the need for further exploration within NGO settings, public health and public policy. Beyond the NGO boundaries imposed in this study, further research can assess if this description has resonance for other public health and public policy settings.

Ecological approaches, complexity and systems thinking are foundational to public health, and are also explored in leadership literature. Yet their application to PHL contexts was not discovered in the literature. This research suggests the applicability of complexity leadership and an ecological approach to PHL in this context. This opens up new dimensions for PHL research and practice that potentially complement the current focus on leadership competencies and individual (leader) development. Such foci could address the issues raised by Koh (2009) of the relevance of leadership theory developed in hierarchical and market-based organizations to the CAS in which public health operates.

From the perspective of research methods, this study articulates the process of using inductive, abductive, deductive and retroductive inference with memo writing and theoretical sampling as the analytic technique of GTM to develop theory grounded in the empirical instances of NGO actors engaged in national HPP for CDP in Canada. This articulation can be further explored (and critiqued) to inform future GTM research (and critique the current study).

This study provided methodological and theoretical contributions to qualitative research in the social phenomenon of leadership. Many questions arose in the analysis process that speak to further research in the specific setting studied.

6.5.2 Implications for NGO Practice in Public Policy

This study explored the phenomenon of leadership through a lens that considered the environment and how leadership functioned within that environment from multiple perspectives, multiple levels and among various actors. The study considered leadership as a relational, social process and asserted that it is also a temporal, systems' phenomenon that emerges in CASs given the right conditions. Therefore, implications for practice involve identifying, exploring, assessing, creating and nurturing those conditions in organizations and collectives.

For organizations

The research suggests the importance of paying attention to structure. In the public policy realm, there is great advantage in the NGO structure as purpose-built, vision-based organizations designed to serve the public good. The organizing principles of community and networks provide an advantage that is different from corporate (market-based) or government (hierarchy-based) organizations. The findings suggest that these differences may have limitations to the applicability of lessons from the corporate sector on NGO structures and processes (NGOs who engage corporate thinking in Boards and senior management, may want to explore the limits of transferability as underlying structures differ and ignoring these differences can cause problems). A strength of NGOs is their ability to articulate a compelling vision and attract resources and people to that vision.

The research suggests the importance of paying attention to the operating environment and the structural place in the system as an "outsider" in the policy process. NGOs operate in communities and networks (not markets) and as such work to build relationships and collaborations within and across organizations. NGOs have flexibility that "inside" (government) actors do not have in the policy process. They can meet with anyone within that closed system and work to influence individuals and the system as a whole. Their position is unique in that their purpose (for the public good) mirrors that of governments and as such, there can be a privileging of that alignment in terms of access and influence. Their connection to evidence, people and ideas (bolstered by a motive that is not about profit or self-interest) is a strength to be protected.

It is important to understand the other influences in the policy process (aligned and counter) and how NGO's legally constituted structure and obligations create conditions that influence credibility. As such, the research suggests that NGOs consider things that potentially threaten credibility (independence, efficiency or public good) such as funding/revenue sources and the mechanisms that donors use to fund (even donor dollars can influence collaboration and have decisions made for "brand protection").

As organizations in collectives

The research confirms the importance of articulating a vision and promoting and sharing an open, honest and accountable organizational and inter-organizational culture. NGOs use of evidence and connection is powerful in influencing political decision-makers. The culture they create allows people to access other people, information, resources and ideas. This creates a collaborative engine that seeks out others to help hone and advance a vision which inspires people to bring and apply their "gifts" to that vision.

The research suggests the importance of openly and transparently inviting difference and engaging in conflict when working with policy ideas. It further suggests the importance of creating a culture where constraints and desires of each party can be acknowledged. Such an environment would be open to perceived constraints and motivations of others being explored as the collective engages in the giving and receiving of honest feedback. The research suggests the importance of creating a culture that seeks and invites difference: framing conflict as expressions of difference. As conflict "heats up" such a culture views this as creative tension - a necessary part in the policy process to improve ideas, hone vision and inspire others. Consciously creating a culture that encourages and rewards risk taking and bravery is essential as well as encouraging the conversion and diffusion of knowledge and ideas and encouraging learning.

The research suggests that these elements create the conditions for emergent self-organization: people will reach out and engage others, honing vision, working with ideas, improving their relationships and their ideas and inspiring further collaboration and action. As new people get involved, the research suggests the importance of allowing these new voices to be heard. The culture needs to give breadth and space for those voices to influence the process. Even if these voices don't find space within the collective, such a culture will allow self-organization so that other groups may form and pursue those other visions. These new expressions of collective voice then further inspire. This speaks to the need to build a culture of openness, honesty, access and accountability to build trust and credibility.

The research suggests that individuals approaching collective action should look for leadership and then build and nurture leadership within and outside their organization: encouraging its development by encouraging its expression.

Leadership is temporal and comes from many places in the system. When it is present, take advantage of it to advance the mission. Learn from its success and its failures. Creating these conditions that use NGO structure and position to full advantage takes effort, persistence, creativity, flexibility and courage. Articulating, honing and championing a vision and nurturing a network require bravery, honesty, risk taking and learning. Creating an environment that encourages self-organization, collaboration, risk taking and learning will allow leadership to emerge for a period of time.

The study can inform the future development of tools and methods to work with NGOs and coalitions to help foster the emergence of leadership.

6.6 Conclusion

This research provides a framework and structure for NGOs and coalitions to reflect on their structures, aims and processes and create the conditions for leadership emergence within this CAS.

The dominant conceptualization of leadership as the capacity of an individual or as a dyadic relationship involving a leader and a follower does not address the possibility that as a complex system dynamic there could be elements of leadership that emerge as groups of people gather (or that the leadership within groups is not then reducible to the behaviour of individuals or dyadic interpersonal relationships) - the sum can be more than the parts.

By using foundational public health concepts of complexity, systems thinking and ecological approaches within the study of leadership in this context, the author hoped to demonstrate that there are other ways of looking at leadership in CASs that may inform future work and help address the calls for leadership to improve public health practice.

John Godfrey Saxe's poem *The Blind Men and the Elephant* provided a framing for considering leadership (as the elephant) from different perspectives, however; perhaps the medicine wheel from indigenous tradition provides more utility. The medicine wheel is inherently community driven and actively seeks out different perspectives to understand phenomenon. It does not rely on a single constraint or gift (lack of sight in Saxe's fable) but employs the gifts and limitations of each contributor and acknowledges their perspective.

This study suggests that people engaged in national HPP for CDP in Canada consider leadership as a complex system's phenomenon that can come from anywhere in the system. NGO leadership will be inherently distributed and shared as no single actor or organization can fully understand the system in all its complexity. NGO leadership therefore needs to create the environment conducive to different expressions of leadership from diverse perspectives.

NGO leadership encourages and facilitates self-organization and social learning through connection and collaboration focusing on improvement, informing and inspiring action. NGO leadership embraces diversity, feedback and risk-taking as these enhance credibility and facilitate connections when the environment encourages and demonstrates accountability in striving towards a goal. Leadership builds identity through this common purpose and shared vision. It mitigates risk by building trust through the transparent and honest articulation and negotiation of individual and organizational desires, needs and constraints. These create reinforcing conditions for NGO leadership to function at individual, organizational and collective levels. This research suggests that with such a focus in this system, independent of the individuals involved, leadership will emerge.

REFERENCES

- Acheson, N., and Laforest, R. (2013). The Expendables: Community organizations and governance dynamics in the Canadian settlement sector. *Canadian Journal of Political Science*, 46(3), 597-616.
- Ackoff, R. (1989). "From Data to Wisdom". *Journal of Applied Systems Analysis*, 16, 3–9.
- Adler, P., Kwon, S-W. and Heckscher, C. (2008). Professional Work: The Emergence of Collaborative Community. *Organization Science*, Mar/Apr 19(2), 359.
- Alexander, J., Comfort, M., Weiner, B. and Bogue, R. (2001). Leadership in collaborative community health partnerships. *Non-profit Management and Leadership*, 12(21), 59-175.
- Allen, K., Stelzner, R. and Wielkiewicz, R. (1998). The Ecology of Leadership: Adapting to the Challenges of a Changing World. *The Journal of Leadership Studies*, 5(2), 62-82.
- Allen, P, Sequeira, S., Best, L., Jones, E., Baker, E. and Brownson, R. (2014). Perceived benefits and challenges of coordinated approaches to chronic disease prevention in state health departments. *Preventing Chronic Disease Public Health Research, Practice and Policy*. CDC, 11.
- Alvesson, M. (1996). Leadership Studies: From procedure and abstraction to reflexivity and situation. *Leadership Quarterly*, 7(4), 455-485.
- Antonakis, J., Schriesheim, C., Donovan, J., Gopalakrishna-Pillai, K., Pellegrini, E. and Rossomme, J. (2004). Methods for Studying Leadership. *The Nature of Leadership*, 48-70.
- Archer, M. (2003). *Structure, Agency and Internal Conversation*. Cambridge University Press. Cambridge. UK.
- Ardell, D. (1979). *Upstream/Downstream: A Fable for our Time*. Published in *An Alternative to Doctors, Drugs and Disease*. Bantam Books.
- Ashman, D. and Sugawara, C. (2013). Civil Society Networks: Options for Network Design. *Non-profit Management & Leadership*, 23(3) Spring.
- Bah, S. and Rajulton, F. (1991). Has Canadian Mortality Entered the Fourth Stage of the Epidemiologic Transition? *Canadian Studies in Population*, 18(2), 18-41.
- Bender, K., Hawley, S. and Baker, E. (2009). *Now More Than Ever: The Case for Public Health Leadership Programs*. Submission to the CDC. Accessed on September 14, 2014

from http://nnphi.org/uploads/media_items/now-more-than-ever-the-case-for-public-health-leadership-programs.original.pdf

- Bentele, G. and Seidenglanz, R. (2008). Trust and Credibility - Prerequisites for Communication Management. Chapter in Public Relations Research: European and International Perspective and Innovations. Springer VS, 49-62.
- Best, A. and Holmes, B. (2010). Systems thinking, knowledge and action: towards better models and methods. *The policy Press*, 6(2), 145-159.
- Bhaskar, R. (2008). *A Realist Theory of Science*. Routledge. New York.
- Biglan, A. (2004). Contextualism and the development of effective prevention practices. *Prevention Science*, 5(1), 15-21.
- Bligh, M., Kohles, J. and Pillai, R. (2011). Romancing leadership: Past, present, and future. *The Leadership Quarterly*, 22, 1058 - 1077.
- Blumer, H. (1954). What is wrong with social theory? *Official Journal of the American Sociological Society*. Feb, 19(1), 3-10.
- Boote, D. and Beile, P. (2005). Scholars Before Researchers: On the Centrality of the Dissertation Literature Review in Research Preparation. *Educational Researcher*. August, 34(6), 3-15.
- Bowen, G. (2006). Grounded Theory and Sensitizing Concepts. *International Journal of Qualitative Methods*, 5(3) September.
- The Broadbent Institute (2014). Stephen Harper's CRA: Selective Audits, "Political" Activity, and Right-learning Charities. Accessed on December 12, 2014 from http://www.broadbentinstitute.ca/sites/default/files/documents/harpers-cra-final_0.pdf
- Bronfenbrenner, U. (1994). *Ecological Models of Human Development*. Int'l Encyclopaedia of Education, 3, 2nd Ed. Oxford: Elsevier.
- Brownson, R., Fielding, J. and Maylahn, C. (2009). Evidence-Based Public Health: A Fundamental Concept for Public Health Practice. *Annu. Rev. Public Health.*, 30, 175-201.
- Brownson, R., Haire-Joshu, D. and Luke, D. (2006). Shaping the Context of Health: A Review of Environmental and Policy Approaches in the Prevention of Chronic Disease. *Annu. Rev. Public Health.*, 27, 341-70.

- Bryant, A. and Charmaz, K. (2007). *The Sage Handbook of Grounded Theory*. Sage. Washington D.C.
- Bryman, A. (2004). Qualitative research on leadership: A critical but appreciative review. *The Leadership Quarterly*, 15, 729–769.
- Bryman, A., Stephen, M. and Campo, C. (1996). The Importance of Context: Qualitative Research and the Study of Leadership. *Leadership Quarterly*, 7(3), 353-370.
- Campbell, D. (1932). May 23, 1932 Debates. Canada. Parliament. House of Commons. Hansard. 17th Parliament. 3rd Session Vol. 3.
- Campbell, J. (2002). Ideas, Politics and Public Policy. *Annual Review of Sociology*, 28, 21–38.
- Canadian Broadcasting Corporation (2014). Preventing poverty not a charitable tax goal, CRA tells Oxfam. Accessed on December 12, 2014 from <http://www.cbc.ca/asithappens/features/2014/07/25/preventing-poverty-not-a-charitable-tax-goal-cra-tells-oxfam/>
- Chapman, S. (2007). *Public Health Advocacy and Tobacco Control: Making Smoking History*. Blackwell Publishing. Oxford. UK
- Charity Village (2016). Professional Associations. Accessed on January 15, 2017 from <https://charityvillage.com/directories/organizations-i-z/professional-associations.aspx>
- Charmaz, K. (2014). *Constructing Grounded Theory*. Sage Publications. London.
- Chen, D-N., Liang T-P. and Lin B. (2010). An Ecological model for organizational knowledge management. *The Journal of Computer Information Systems*, Spring 50,3.
- Cilliers, P. (1998). *Complexity and Postmodernism*. Routledge. London.
- Community Health Nurses of Canada, (2015). Leadership competencies for public health practice in Canada. St. John's NL. Accessed from www.chnc.ca on March 1, 2017
- Conger, J. (1998). Qualitative Research as the cornerstone methodology for understanding leadership. *Leadership Quarterly*, 9(1), 107-121.
- Connelly, D. (2007). Leadership in the collaborative interorganizational domain. *Intl Journal of Public Administration*, 30, 1231-1262.
- Corbin, J. and Strauss, A. (2008). *Basics of Qualitative Research*. Sage Publications. Thousand Oaks.

- CPHA (2013). Analysis: The 2013 Federal Budget from the Public Health perspective
<http://www.cpha.ca/en/about/media/budget20130321.aspx> Accessed April 5, 2015
- CPHA (2009). Canada's leadership in addressing the social determinants of health
<http://www.cpha.ca/en/programs/history/achievements/01-sdh/leadership.aspx>
 Accessed April 5, 2015
- CPHA (2009b). Leadership in Public Health: A guide to advocacy for public health associations. Accessed December 5, 2016 from
http://www.cpha.ca/uploads/progs/_/sopha/advocacy-booklet-colour-en-final.pdf
- Creswell, J. (2003). *Research Design: Qualitative, Quantitative and Mixed Methods Approaches* (2nd Edition). Sage Publications. Thousand Oaks.
- Crossman, A. (2016). Understanding Purposive Sampling: An overview of the method and its applications. *About Education: Sociology*. Retrieved on 12/28/2016 from
<http://sociology.about.com/od/Types-of-Samples/a/Purposive-Sample.htm>
- Currie, G., Grubnic, S. and Hodges, R. (2011). Leadership in public services networks: Antecedents, process and outcome. *Public Administration*, 89(2), 242-264.
- Danermark, B., Ekstrom, M., Jakobson, L. and Karlsson, J. (2002). *Explaining Society: An Introduction to Critical Realism in the Social Sciences*. Routledge. London.
- Davies, L. (2011). Leadership and Public Health. *The Lancet*, 378, 1776.
- Day, D. (2001). Leadership development: A review in context. *Leadership Quarterly*, 11(4), 581-613.
- Day, M., Shickle, D., Kevin, S., Zakariasen, K., Moskol, J. and Oliver, T. (2014). Training Public Health superheroes: five talents for Public Health Leadership. *Journal of Public Health*, 36(4), 552-61
- Day, M., Shickle, D., Kevin, S., Zakariasen, K., Moskol, J. and Oliver, T. (2012). Time for heroes: Public Health Leadership in the 21st century. *The Lancet*, 380, 1205-1206.
- deLeon, P. and Varda, D. (2009). Toward a theory of collaborative policy networks: Identifying structural tendencies. *The Policy Studies journal*, 37(1).
- Dickson, G. and Tholl, B. (2014). *Bringing Leadership to Life in Health: LEADS in a Caring Environment A New Perspective*. Springer. London.
- Diez Roux, A. (2011). Complex systems thinking and current impasses in health disparity research. *American Journal of Public Health*, 101(9), 1627-1634.

- Dinh, J., Lord, G., Gardner, W., Liden, R. and Hu, J. (2014). Leadership theory and research in the new millennium: Current theoretical trends and changing perspectives. *The Leadership Quarterly*, 25, 36–62.
- Dunne, C. (2011) The place of the literature review in grounded theory research. *International Journal of Social Research Methodology*. 14(2), 111-124.
- Edgley, C. ed. (2013). *The Drama of Social Life: A Dramaturgical Handbook*. UK: Ashgate Publishing Co.
- Eglene, O., Dawes, S. and Schneider, C. (2007). Authority and leadership patterns in public sector knowledge networks. *The American Review of Public Administration*, 37(1), 91-113.
- Elmslie, K. (2014). *Against the Growing Burden of Disease*. Public Health Agency of Canada. From Canadian Conference for Global Health. Accessed March, 12, 2015 at <http://www.ccggh-csih.ca/assets/Elmslie.pdf>
- Emmett, B. and Emmett, G. (2015). *Charities in Canada as an Economic Sector: Discussion Paper*. Imagine Canada. Toronto.
- Engward, H. (2013). Understanding grounded theory. *Nursing Standard*, 28(7), 37-41.
- EuroHealthNet (2013). Fact Sheet: Making the Link - Chronic Disease and Health Equity. <http://eurohealthnet.eu/sites/eurohealthnet.eu/files/publications/Fact-Sheet-Chronic%20diseases%20and%20health%20equity-V2%5B2%5D.pdf> Accessed March 12, 2015
- Forget, G. (2001). An Ecosystem Approach to Human Health. *Int. J. of Occup Environ Health*, 7(2), Supplement S3-S38.
- Fowler, A. and Biekart, K. (2013). Relocating Civil Society in a Politics of Civic-Driven Change. *Development Policy Review*, 31(4), 463-483.
- Furman, G. (2012). Social Justice Leadership as Praxis: Developing Capacities Through Preparation Programs. *Educational Administration Quarterly*, 48(2),191-229.
- Garcia, G. and Riley, B. (2008). *Primary Prevention of Chronic Diseases in Canada: A Framework for Action*. Chronic Disease Prevention Alliance of Canada. Ottawa.
- Gergin, M. (2011). *Silencing Dissent: The Conservative Record*. Canadian Centre for Policy Alternatives. <https://www.policyalternatives.ca/publications/commentary/silencing-dissent-conservative-record>

- Gilgun, J. F. (2002). Some notes on the analysis of qualitative data. Retrieved Dec. 14, 2014 from http://ssw.che.umn.edu/img/as_sets/5661/Data%20analysis%202010-02.pdf
- Glanz, K., Rimer, B. and Viswanath, K. (2008). *Health Behaviour and Health Education: Theory, Research, and Practice*. Jossey-Bass. San Francisco.
- Glaser, B.G. (1978). *Theoretical Sensitivity: Advances in the Methodology of Grounded Theory*. Mill Valley, CA: The Sociology Press.
- Glouberman, S. (2001). *Towards a New Perspective on Health and Health Policy: A Synthesis Document of the Health Network, Canadian Policy Research Networks*. Accessed on March 15, 2015 at <http://www.mcgill.ca/files/imhl/Towards-NewPerspective.pdf>
- Green, L. (2006). Public Health Asks of Systems Science: To Advance Our Evidence-Based Practice, Can You Help Us Get More Practice-Based Evidence? *American Journal of Public Health*, 96(3), 406-409.
- Hall, P. (1995). The Consequences of Qualitative Analysis for Sociological Theory: Beyond the Microlevel, *Sociological Quarterly*, 36:2, 397.
- Hall, M., Barr, C., Easwaramoorthy, M., Wojciech Sokolowski, S. and Salamon L. (2005). *The Canadian Non-profit and Voluntary Sector in Comparative Perspective*. Imagine Canada. Toronto.
- Hammer, D. and Wildavsky, A. (1989). *The open-Ended, Semi-structured Interview: An (Almost) Operational Guide, Craftways: On the Organisation of Scholarly Work*. Transaction Publishers. New Brunswick.
- Hanlon, N., Skinner, M., Joseph, A., Ryser, L. and Halseth, G. (2014). Place integration through efforts to support healthy aging in resource frontier communities: The role of voluntary sector leadership. *Health and Place*, 29, 132-139.
- Hazy, J. and Uhl-Bien, M. (2015). Towards operationalizing complexity leadership: How generative, administrative and community-building leadership practices enact organizational outcomes. *Leadership*, 11(1), 79-104.
- Helms, L. (2014). Global political leadership in the twenty-first century: problems and prospects. *Contemporary Politics*, 20(3), 261-277.
- Hertzman, C. (2001). *Health and Human Society*. *American Scientist*. Nov-Dec, 2001
- Huxham, C. and Vangen, S. (2000). Leadership in the shaping and implementation of collaboration agendas: How things happen in a (not quite) joined-up world. *Academy of Management Journal*, 43(6), 1159-1175.

- Imagine Canada (2012). Revitalizing Charitable Giving for Today and Tomorrow: Submission by Imagine Canada to the House of Commons Standing Committee on Finance. Accessed on December 13, 2014 from http://www.imaginecanada.ca/sites/default/files/www/en/publicpolicy/braid_submission_scof_eng_01162012.pdf (pp. 3)
- IOM (2012). For the public's health: Investing in a healthier future. Committee on Public Health Strategies to Improve Health; Board on Population Health and Public Health Practices; Institute of Medicine. National Academy of Sciences.
- Jackson, S., Perkins, F., Khandor, E., Cordwell, L., Hamann, S. and Buasa, S. (2007). Integrated health promotion strategies: a contribution to tackling current and future health challenges. *Health Promotion International*, 21(S1), 75-83.
- Jayasinghe S. (2011). Conceptualising population health: from mechanistic thinking to complexity science. *Emerg Themes Epidemiol*, 8(2), .1-7.
- Kempster, S. and Parry, K. (2011). Grounded theory and leadership research: A critical realist perspective. *The Leadership Quarterly*, 22, 106-120.
- Kesler, J. (2000). Healthy communities and civil discourse: A leadership opportunity for Public Health professionals. *Public Health Reports*, 115(2-3), 238-242.
- Key, S., Popkin, S., Munchus, G., Wech, B., Hill, V. and Tanner, J. (2012). An exploration of leadership experiences among white women and women of color. *Journal of Organizational Change Management*, 25(3), 392-404.
- Kingdon, J. (2003). *Agendas, alternatives and public policy*. 2nd Edition. Longman Classics Edition.
- Kirby, M. (2002). *The Health of Canadians - The Federal Role. Final Report. Vol. 6 Recommendations for Reform. Part VI: Health Promotion and Disease Prevention*. The standing committee on social affairs, science and technology. Accessed at <http://www.parl.gc.ca/Content/SEN/Committee/372/soci/rep/repoct02vol6part5-e.htm>
- Koh, H. and Jacobson, M. (2009). Fostering Public Health Leadership. *Journal of Public Health*, 31(2), 199-201.
- Koh, H. (2009). Leadership in public health. *J. of Cancer Education*, 24, S11-S18.
- Kreuter, M.W., De Rose, C., Howze, E.H. and Galdwin, G.T. (2004). Understanding Wicked Problems: A Key to Advancing Environmental Health Promotion. *Health Education Behaviour* August 2004, 31(4), 441-454.

- Laforest, R. (2012). Rerouting political representation: Is Canada's social infrastructure in crisis? *British Journal of Canadian Studies*, 25(2), 181-197.
- Lalonde, M. (1974). *A New Perspective on the Health of Canadians*. Minister of Supply and Services Canada. Ottawa.
- Lasby, D. and Barr, C. (2013). *Talking about Charities 2013: Canadians' Opinions on Charities and Issues Affecting Charities*. The Muttart Foundation. Edmonton.
- Last J. (1983). *A Dictionary of Epidemiology*. Oxford University Press. Oxford.
- Latour, B. (1999). On Recalling ANT. *The Editorial Board of the Sociological Review*. Oxford, 15-25.
- Lavasseur, K. (2012). In the name of charity: Institutional support for and resistance to redefining the meaning of charity in Canada. *Cdn Public Admin*, 55(2), 181-202.
- Leischow, S. (2006). Systems thinking and modelling for Public Health practice. *American Journal of Public Health*, 96(3), 403-404.
- Liden, R. and Antonakis, J. (2009). Considering Context in Psychological Leadership Research. *Human Relations*. *Human Relations*, 62(11), 1587-1605.
- Lowe, K. and Gardner, W. (2001). Ten years of *The leadership quarterly*: Contributions and challenges for the future, *The Leadership Quarterly*, 11(4), 459-514.
- Marion, R. and Uhl-Bien, M. (2001). Leadership in complex organizations. *The Leadership Quarterly*, 12, 389-418.
- McLeroy, K., Bibeau, D., Steckler, A. and Glanz, K. (1988). An Ecological Perspective on Health Promotion Programs. *Health Education Behaviour*, 15,351.
- Meyer, S. and Lunnay, B. (2013). The Application of Abductive and Retroductive Inference in the Design and Analysis of Theory-Driven Sociological Research. *Sociological Research Online*, 18(1), 12.
- Mintzberg, H. (2006). The leadership debate with Henry Mintzberg: Community-ship is the answer. *Financial Times*. Accessed on March 15, 2015 from www.ft.com/intl/cms/s/2/c917c904-6041-11db-a716-0000779e2340,dwp_uuid=8d70957c-6228-11db-8faa-0000779e2340.html#axzz7nL67BT00
- Mintzberg, H. (1993). *Structure in Fives: Designing effective organizations*. Prentice Hall. NJ.

- Morse, R. (2010). Integrative public leadership: Catalyzing collaboration to create public value. *The Leadership Quarterly*, 21, 231-245.
- National Cancer Institute. (2007). *Greater Than the Sum: Systems Thinking in Tobacco Control*. Tobacco Control Monograph No. 18. Bethesda, MD: U.S. Department of Health and Human Services, National Institutes of Health, National Cancer Institute. NIH Pub. No. 06-6085.
- National Collaborating Centre on Healthy Public Policy (2015). *Structural Profile of Public Health in Canada*. Accessed on January 15, 2017 from <http://ncchpp.ca/en/structuralprofile.aspx>
- Nonaka, I. and Takeuchi, H. (1995). *The knowledge creating company: how Japanese companies create the dynamics of innovation*. New York: Oxford University Press.
- Northouse, P. (2010). *Leadership: Theory and practice*. 5th Ed. Sage Publications. Thousand Oaks CA.
- Oliver, C. (2012). Critical Realist Grounded Theory: A New Approach for Social Work Research. *British Journal of Social Work*, 42, 371–387.
- Osborn, R., Hunt, J. and Jauch, L. (2002). Toward a contextual theory of leadership. *The Leadership Quarterly*, 13, 797-837.
- Oser, J. (2010). Between Atomistic and Participatory Democracy Leverage, Leadership, and Legitimacy in Israeli Civil Society. *Non-profit and Voluntary Sector Quarterly*, 39(3), 429-459.
- Ottoson, J. M. (2009). Knowledge-for-action theories in evaluation: Knowledge utilization, diffusion, implementation, transfer, and translation. In J. M. Ottoson & P. Hawe (Eds.), *Knowledge utilization, diffusion, implementation, transfer, and translation: Implications for evaluation*. *New Directions for Evaluation*, 124, 7–20.
- Pal, L. (1992). *Public Policy Analysis: An introduction*. 2nd Ed. Nelson Canada. Scarborough, On.
- Parry, K., Mumford, M., Bower, I. and Watts L. (2014). Qualitative and historiometric methods in leadership research: A review of the first 25 years of *The Leadership Quarterly*. *The Leadership Quarterly*, 25, 132-151.
- Parry, K. (1998). Grounded Theory and Social Process: A New Direction for Leadership Research. *Leadership Quarterly*, 9(1), 87-105.
- Pawson, R. (2006). *Evidence-Based Policy: A Realist Perspective*. Sage Publications. London.

- Pearce, C., Conger, J. and Locke, E. (2007). Theoretical and Practitioner Letters: Shared Leadership Theory. *The Leadership Quarterly*, 18, 281-288.
- Pettigrew, A. (1987). Context and action in the transformation of the firm. *Journal of Management Studies*, 24(6), 649-670.
- Pettigrew T.F. (1996). *How to Think Like a Social Scientist*. New York: Harper-Collins.
- Poland, B., Frohlich, K. and Cargo, M. (2008). Context as a fundamental dimension of health promotion program evaluation. In *Health Promotion Evaluation Practices in the Americas*. Springer Science, Chapter 17, 299-317.
- Pollard, A. and Court, J. (2005). How civil society organizations use evidence to influence policy processes: A literature review. London: Overseas Development Institute
- Powell, W. (1990). Neither Market nor Hierarchy: Network forms of organizations. *Research in Organization Behaviour*, 12, 295-336.
- Price, J. H. and Murnan, J. (2004). Research limitations and the necessity of reporting them. *American journal of Health Education*, 35(2), 66-67.
- Public Health Agency of Canada (PHAC) & Naylor, C. (2003). *Learning from SARS: Renewal of public health in Canada : a report of the National Advisory Committee on SARS and Public Health*. Ottawa: National Advisory Committee on SARS and Public Health.
- PHAC (2008). *Core Competencies in Public Health*. Her Majesty the Queen in Right of Canada, represented by the Minister of Health.
- PHAC (2010). *About the Agency: Public Health Agency of Canada*. Accessed April 15, 2015 from http://www.phac-aspc.gc.ca/about_apropos/index-eng.php
- PHAC (2013). *Chronic Disease Risk Factor Atlas*. Government of Canada. Accessed April 15, 2015 from <http://www.phac-aspc.gc.ca/cd-mc/atlas/index-eng.php>
- PHAC (2014). *Economic Burden of Illness in Canada 2005 - 2008*. Accessed April 15, 2015 from <http://www.phac-aspc.gc.ca/publicat/ebic-femc/2005-2008/assets/pdf/ebic-femc-2005-2008-eng.pdf> on December 12, 2014 pp. 5-7 and pp. 11-13.
- Puska, P. (2002). Successful prevention of non-communicable diseases: 25 year experiences with North Karelia Project in Finland. *Public Health Medicine* 2002, 4(1), 5-7.
- Puska, P. (2014). Health in all policies-from what to how. *European Journal of Public Health*, 24(1), 1.

- Rashman, L., Withers, E. and Hartley, J. (2009). Organizational learning and knowledge in public service organizations: A systematic review of the literature. *International Journal of Management Reviews*, 11(4), 463-494.
- Reid, W.M. and Dold, C.J. (2017). Leadership Training and the Problems of Competency Development. *The Journal of Public Health Management and Practice*, Jan/Feb, 23(1), 73-80
- Richard, L., Gauvin, L., and Raine, K. (2011). Ecological models revisited: Their uses and evolution in health promotion over two decades. *Annual Review of Public Health*, 32, 307-326.
- Rocan, C. (2011). The voluntary sector in public health. *Optimum Online*, Dec, 41(4).
- Rogers, E. (2003). *Diffusion of Innovations*. Free Press. New York.
- Rowitz, L. (2014). *Public Health Leadership: Putting principles into practice*. Jones and Bartlett Learning. Burlington, MA.
- Rubin, M. and Badaea, C. (2010). The central tendency of a social group can affect ratings of its intragroup variability in the absence of social identity concerns. *Journal of Experimental Social Psychology*, 46, 410–415.
- Sabatier, P. (1988). An advocacy coalition framework of policy change and the role of policy-oriented learning therein. *Policy Sciences*, 21, 129-168.
- Sabatier, P. (2007). *Theories of the Policy Process*. Westview Press.
- Sargeant, J. (2012). Qualitative Research Part II: Participants, Analysis, and Quality Assurance. *J Grad Med Educ*. 2012 Mar; 4(1): 1–3. doi: 10.4300/JGME-D-11-00307.1
- Sargious, P. (2007). *Chronic Disease Prevention and Management: Synthesis Series on Sharing Insights*. Minister of Health. Primary Health Care Transition Fund. Health Canada. Government of Canada.
- Saxe, J.G. (1872). *The Blind Men and The Elephant*. *The Poems of John Godfrey Saxe*.
- Schwartz, N. and Oyserman, D. (2001). Asking Questions about Behaviour: Cognition, Communication, and Questionnaire Construction. *American Journal of Evaluation*, 22(2), 127-160.
- Scott, K. (2006). *Funding Matters: Non Profit and Voluntary Organizations Under Stress*. Canadian Council on Social Development. Access April 15, 2015 from http://www.ccsd.ca/images/research/FundingMatters/PDF/FM_Chapter7.pdf

- Seed, B., Lang, T., Caraher, M. and Ostry, A. (2014). Exploring Public Health's roles and limitations in advancing food security in British Columbia. *Canadian Journal of Public Health*, 105(5), 324-329.
- Shier, M. and Handy, F. (2014). Research trends in non-profit graduate studies: A growing interdisciplinary field. *Non-profit and Voluntary Sector Quarterly*, 43(5), 812–831.
- Smith, J. (2012). Chronic diseases related to aging and health promotion and disease prevention: Report of the Standing Committee on Health. 41st Parliament, 1st Session. House of Commons. Ottawa. Accessed at: <http://www.parl.gc.ca/content/hoc/Committee/411/HESA/Reports/RP5600467/hesarp08/hesarp08-e.pdf>
- Smoke-Free Ontario - Scientific Advisory Committee (2010). Evidence to Guide Action: Comprehensive Tobacco Control in Ontario. Toronto, ON: Ontario Agency for Health Protection and Promotion. pp. 31 - 36. <http://www.publichealthontario.ca/en/eRepository/Evidence%20to%20Guide%20Action%20-20CTC%20in%20Ontario%20SFO-SAC%202010E.PDF> Accessed March 15, 2015
- Spillane, J. (2005). Distributed Leadership. *The Educational Forum*., 69 Winter, 143-150.
- Statistics Canada (2012). Leading Causes of Death, 2009. Accessed on Dec. 7, 2014 from <http://www.statcan.gc.ca/daily-quotidien/120725/dq120725b-eng.htm>.
- Stephens, T., Pederson, L., Koval, J. and Macnab, J. (2001). Comprehensive tobacco control policies and the smoking behaviour of Canadian adults. *Tobacco Control*., 10, 317–322.
- Stogdill, R. and Coons, A. (1957). *Leader behavior: Its description and measurement*. Columbus, OH: Bureau of Business Research, The Ohio State University.
- Szreter, S. & Woolcock, M. (2004). Health by association? Social capital, social theory, and the political economy of public health. *International Journal of Epidemiology*, 33, 650–667.
- Thacker, S., Stroup, D., Carande-Kulis, V., Marks, J., Roy, K. and Gerberding, J. (2006). Measuring the public's health. *Public Health Reports*, Jan-Feb, 121(1), 14–22.
- Thompson, L., Conradie, I. and De Wet, P. (2014). Participatory Politics: Understanding Civil Society Organisations in Governance Networks in Khayelitsha. *Politikon*, 41(3), 387-402.
- Toegel, G. and Conger, J. (2002). A story of missed opportunities: qualitative methods for leadership research and practice. In: Parry, Ken and Meindl, James, (eds.) *Grounding Leadership Theory and Research: Issues, Perspectives and Methods*. Leadership horizons. Information Age Publishing, Greenwich, 175-198.

- Uhl-Bien, M., Marion, R. and McKelvey, B. (2007). Complexity Leadership Theory: Shifting leadership from the industrial age to the knowledge era. *The Leadership Quarterly*, 18, 298-318.
- Umble, K., Baker, E. and Woltring, C. (2011). An Evaluation of the National Public Health Leadership Institute—1991-2006: Part I. Developing Individual Leaders *Journal of Public Health Management and Practice*, 17(3), May/June, 202–213.
- van den Hoonaard, W. (1997). *Working with Sensitizing Concepts: Analytical Field Research*. Qualitative Research Methods Series no. 41. Sage Publications. California
- VanLeeuwen, J., Waltner-Toews, D., Abernathy, T. and Smitt, B. (1999). Evolving Models of Human Health Toward and Ecosystem Context. *Ecosystem Health*, 5(3), 204-219.
- VSI (2001). *An Accord Between the Government of Canada and the Voluntary Sector. Voluntary Sector Initiative*. Ottawa.
- Weber S.J. and Cook T.D. (1972). Subject effects in laboratory research: An examination of subject roles, demand characteristics, and valid inference. *Psychological Bulletin*, 77, 273–295.
- Weibler, J. and Rohn-Endres, S. (2010). Learning conversation and shared network leadership: development, gestalt and consequences. *Journal of Personnel Psychology*, 9(4), 181-194.
- Weiss, R. (1994). *Learning From Strangers The Art and Method of Qualitative Interview Studies*. The Free Press. New York.
- Wheatley, M. and Kellner-Rogers, M. (1996). Self-organization: The irresistible future of organizing. *Strategy & Leadership*, Jul/Aug, 24(4), 18.
- Wise M. (2001). The role of advocacy in promoting health. *IUHPE Promotion and Education*, 2001,8, 69-74.
- WHO (1986). *The Ottawa Charter for Health Promotion*. World Health Organization. Accessed at: <http://www.who.int/healthpromotion/conferences/previous/ottawa/en/>
- WHO (2001). *Strategic Alliances: The role of civil society in health*. Civil Society Initiative. External Relations and Governing Bodies.
- WHO (2014). *Health In All Policies: Helsinki Statement Framework for Country Action*. http://apps.who.int/iris/bitstream/10665/112636/1/9789241506908_eng.pdf?ua=1 Accessed April 15, 2015.

- WHO (2015). Public Health: Trade, foreign policy, diplomacy and health.
<http://www.who.int/trade/glossary/story076/en/> Accessed April 15, 2015.
- Winslow, C.E.A. (1920). The untilled field of public health. *Modern Medicine*, 2, 183
- Wright, K., Rowitz, L., Merkle, A., Reid, W.M., Robinson, G., Herzog, B., Weber, D., Carmichael, D., Balderson, T. and Baker, E. (2000). Competency Development in Public Health Leadership: *The American Journal of Public Health*, Aug., 90(8), 1202-1207.
- Yang, T-M. and Maxwell, T. (2011). Information-sharing in public organizations: A literature review of interpersonal, intra-organizational and inter-organizational success factors. *Government Information Quarterly*, 28, 164-175.
- Yukl, G. (2013). *Leadership in Organizations: 7th Ed.* Pearson. Upper Saddle River, NJ.

Appendix A: Literature Review Search Strategy

The literature referenced in Chapter 2 was selected using five methods: 1) articles already familiar to the researcher based on past literature reviews, 2) a general search strategy in SCOPUS, Web of Science and Primo, 3) a targeted search strategy of leadership journals and NGO/NPO journals, and 4) article nomination from peers and contacts in practice and academe, and 5) citation tracing (forward and backward) of articles selected.

A simple search string (NGO leadership AND Health AND public policy AND chronic disease prevention) provided the starting point. Further iterative searches both dropped a key term per iteration (e.g. NGO leadership AND health AND public policy) and substituted alternate terms (e.g. "civil society" or "voluntary sector" for NGO), narrower terms (e.g. health promotion or primary prevention) and broader terms (e.g. NGO AND leadership AND Complex adaptive systems).

As so little literature was identified, a reference librarian was consulted to devise a search strategy to better inform this research. Initial results were used to develop a list of concepts (i.e. where three or more articles converged on specific topics relevant to contextually-sensitive explorations of leadership or leadership as a relational process).

Chronic disease	Shared Leadership
Chronic disease prevention	Context
Complex Adaptive Systems	Leadership theory
Complexity	Policy
Systems thinking	Public Sector (Public Administration)
Ecological approaches	Public health leadership
Environment	Social Capital
Collaboration	Voluntary Sector
Community AND Network	Learning
Inter-organizational	Change
Distributed leadership	

Broader and narrower terms were created from this list of concepts, and these were then used to search specific leadership and non-government (not for profit) journals (selected based on Scientific Journal Rankings' top 20). Citation tracing (forward and backward) was then employed on these articles.

Leadership Journals

Academy of Strategic and Organizational Leadership journal
The British journal of leadership in public services
Business & Leadership
Corporate environmental strategy
Emerging leadership journeys
Integral leadership review

The international journal Public Leadership
Journal of business and educational leadership online
Journal of Healthcare Leadership
Journal of Leadership, Accountability and Ethics
Journal of leadership & organizational studies
The Journal of leadership studies
Journal of leadership studies
Journal of virtues and leadership
Leadership
Leadership & organization development journal
The leadership quarterly
Nonprofit management & leadership
Strategy & leadership

Non-Profit Journals

Nonprofit and Voluntary Sector Quarterly (1989 -)
Voluntas: International Journal of Voluntary and Nonprofit Organizations
International Journal of Nonprofit and Voluntary Sector Marketing
Nonprofit Management & Leadership
Journal of Nonprofit & Public Sector Marketing
Third Sector Review
Nonprofit Policy Forum
Chronicle of Philanthropy
Board Leadership
Nonprofit World
Nonprofit Times
Stanford Social Innovation Review
Leading Nonprofit Organizations
Nonprofit Quarterly
Nonprofit Business Advisor
Assoc. for Research on Nonprofit Organizations and Voluntary Action (ARNOVA)*
International Society for Third-Sector Research (ISTR)*
Johns Hopkins Center for Civil Society Studies*
Case Western Reserve University - Leading Nonprofit Organizations*
The Third Sector Research Centre*

* Research Centres

Appendix B: Legislation and Regulation in Canada

In Canada, the legislative and legal framework (the governance structure) is articulated in the Constitution originally charted in 1867, it was amended and patriated from England in 1982. The Constitution defines three branches of Government, federalism and has a number of schedules defining its powers and including the Charter of Rights and Freedoms.

The Constitutional Environment (i.e. governing structure)

The Constitution

Branches of Government

The Executive Branch

The Queen as exercised by the Prime Minister and Cabinet

Departments (serve at the pleasure of the Executive)

The Legislative Branch

Head of State - The Queen (represented by the Governor General)

Senate

House of Commons

The Judiciary

Federalism

Federal Jurisdiction

Provincial Jurisdiction

Municipal jurisdiction

Bi-juralism (civil law in Quebec, common law elsewhere)

Legislative tools

Acts and Regulations

Legal and Policy frameworks for Acts and Regulations

It should be noted, that in Canada, the Constitution affords considerable latitude and flexibility in how the Executive Branch can choose to function (its approach, form, function and style). In the past twenty years, we have had examples that have been described as closed, controlled and centralized to those that have been decentralized and consultative. Even within these two extremes there have been variations in style (both PM Harper and PM Martin operated a highly controlled Executive Branch, but wielded that authority differently). The executive branch (particularly the Office of the Prime Minister) can be prescriptive or consultative.

How Legislation is Made

The structure above creates law through the enactment of statute and regulations. A statute is a formal expression of the "will of the State". It is a "form of written law that is made by Parliament through a process referred to as enactment"(Kehoe, 2007). The most common form of statute in Canada is "enabling legislation". These are Acts that provide authority to a person (position) and/or a body (e.g. agency/department) to create regulations under the

statute. Regulations are a form of law that are therefore referred to as subordinate or delegated legislation. Regulations are made by the persons/bodies as defined in the Enabling Act. Regulations also specify how the legislation will apply and be implemented.

A Statute (or Act) starts as a bill. For a bill to be enacted it must be approved by the Crown, and both Houses of Parliament (the Senate and the House of Commons). A bill is introduced into Parliament in either the Senate or the House of Commons through specific processes laid out in regulation (under the authority of the Constitution).

Bills must go through three readings in the House where they are introduced. The first reading is not debated. After the bill is read it is printed and disseminated (in Canada Gazette Part I). It is then placed on the Order Papers for the same House (a list of items to be placed on the House's agenda). Occasionally, a bill never makes it to second reading and is eventually dropped from the order papers (referred to as "dying on the order papers").

The second reading of a bill represents its first formal debate, which is recorded in Hansard (the transcripts of Parliament). At the end of debate, a vote is taken. If a simple majority of members present are in favour (quorum being required to vote), the bill proceeds to committee stage. Otherwise it dies.

After second reading, a legislative committee is established with members from both Houses (Senators and Members of Parliament) to study the bill in detail. Through a report, the committee can recommend if a bill should be adopted as-is, amended, or dropped. Their report to the House in which the bill originated includes this recommendation (and any proposed amendments if appropriate) which the house then debates and either accepts or rejects through a vote (then published in Canada Gazette Part II).

At the third reading of the bill, the House votes on the Bill with any proposed amendments. If it passes, it's printed and sent to the second House for voting (depending on where it originated, this could be either the Senate or the House of Commons).

If the bill passes the second House (and therefore has been approved by both the House of Commons and the Senate), it is presented to the Governor General for assent in the Queen's name. The Governor General may assent, withhold assent or reserve assent. A bill that is granted assent comes into force and becomes law. The bill is published in Canada Gazette Part III and later in the Statutes of Canada.

Implications of the process of enactment

Time and timing are a significant constraint in creating legislation. A Parliament has a start date and an end date and represents the time between general elections (from Summoning of Parliament to Dissolution). A Parliament can have a number of sessions has a start date and an end date (from Throne Speech to Prorogation). Session length is highly variable (from 5

days to 1325 days - not including the 6th session of the 18th Parliament of 1940 where the Opening of the Session and the Dissolution of Parliament were the same day). There have been 42 Parliaments in Canada with 142 sessions. Further, the Houses tend to "sit" (convene) Monday to Thursday, between September and December and late January to mid-June.

If a Parliament is dissolved, all bills "die" where they are. If a Parliament is prorogued, bills may be brought back in where they were through a motion adopted by the House at the beginning of the next session, otherwise, they die.

As every bill introduced in a house must go through three readings and a committee stage before being sent to the other House on route to Royal Assent, and given the scheduling constraints of a Parliament, a session and the sittings of the House, there is a finite opportunity for any potential parliamentary business to be debated and approved, let alone to receive Royal Assent.

Further there are a wide variety of subject areas and domains that are governed by Parliament (let alone over 140 Departments and Agencies of the Crown) - as well as "gray areas" where there is shared jurisdiction with the provinces, or where there is debate on which jurisdiction would cover a particular issue.

Considering this crowded legislative agenda, many Acts in Canada are structured as "Enabling Acts" giving authority to the Governor in Council or a Minister to create regulations (a form of law, sometimes referred to as subordinate legislation, which define the application and enforcement of the legislation).

Although the path of enactment for regulations is "easier" than full legislation, it still must go through Privy Council (passing specific tests of its constitutionality and compliance with the enabling legislation's authority) and engages the Minister of Justice and the Governor in Council (and often the full cabinet). Regulations are then published in Canada Gazette Part 2 within 23 days of registration by the Clerk of Privy Council. On a quarterly basis the REGS Committee (with members from both the Commons and Senate) conduct a review of the statutory instruments and publishes their report and index of regulations.

Legislation and Regulations represent the most common forms of policy within the Government of Canada, but there are other administrative measures, standing committees, special reports, cross-jurisdictional committees and judicial procedures that make up the policy opportunities at a national level within government.

These also describe a crowded policy agenda where any potential legislation or regulation in the health portfolio must compete with all other priorities for the attention of the Privy Council, Ministers, the Commons and the Senate.

Example from the 40th and 41st Parliaments

The 41st Parliament of Canada consisted of two sessions and lasted 1522 days (from June 2, 2011 to August 2, 2015). During this four year period, there were 507 sittings of the House of Commons (approx. 126 per year) and 343 sittings of the Senate (approx. 86 per year).

With one party holding a majority of the seats in the Commons, the 41st Parliament of Canada saw 5 Budgets enacted within the 386 Bills addressed. Of the 386 Bills before the Commons and the Senate, 169 received Royal Assent by the dissolution of Parliament (approx. 42/yr.).

In contrast, the 40th Parliament of Canada (a minority government) consisted of three sessions that lasted 742 days (from November 18, 2008 to March 26, 2011) and had 290 sitting of the House of Commons (128/yr.) and 190 of the Senate (84/yr.). This parliament saw 335 bills before both houses, but only 73 received Royal Assent (approx. 32/yr.).

Example from Tobacco Control

Not counting excise duties (since have been applied to tobacco since before confederation), the first Legislation in tobacco passed in 1908 (the Tobacco Restraint Act) after years of lobbying (particularly by the Women's Christian Temperance Union) and a failed bill (bill 128) in 1904 that died on the order papers. The Act remained on the books for decades. Parliament studied the smoking issue in the 1960's and report was issued to Parliament (The Isabelle Report) in 1969) however, no bills created from this Report or subsequent reports from the Department of Health or the Senate passed until the Tobacco Products Control Act and the Non Smokers Health Act were passed in 1988.

The Tobacco Products Control Act did not survive a court challenge from the Tobacco industry and was replaced by the Tobacco Act which received Royal Assent in April of 1997. The tobacco industry also challenged this Act, but the Supreme Court ruled in 2007 in the Governments favour.

The Governor in Council has made seven regulations under the Tobacco Act since it became law. The Government of Canada convened a strategic planning process at the outset of the Tobacco Act that resulted in a National Strategy for Tobacco Control (1999) and the GoC has had a Federal Tobacco Control Strategy in effect since 2001. The Strategy has been structured in five-year "windows" (often with one-year extensions at the end) with varied funding levels over the life-course of the Strategy.

The Government of Canada ratified the WHO's Framework Convention on Tobacco Control in November 2004, the first international public health treaty. As well the Government of Canada has raised tobacco duties five times since the Tobacco Act came into law and has granted administrative permissions and authorities to several departments

for tobacco control measures (PHAC, Indigenous and Northern affairs, CBSA, RCMP, CRA, Stats Can, etc.).

Since taking office in 2015, the Minister of Health announced or introduced various regulations and amendments and a bill to changes the Tobacco Act (the bill proposes Tobacco and Vaping Legislation) was introduced in the Senate in November 2016.

Canada Revenue Act - Charitable Status

(Excerpt from www.cra-arc.gc.ca)

An organization's governing document must contain a clear statement of each of its purposes. If the wording is broad or vague, a purpose is not likely to meet the legal requirements for registration as a charity. To be eligible for registration under the Income Tax Act, a purpose should generally identify three elements either expressly or implicitly through its context:

- The charitable purpose category (relief of poverty, advancement of education, advancement of religion, or certain other purposes beneficial to the community in a way the law regards as charitable);
- The means of providing the charitable benefit; and
- The eligible beneficiary group.

As a general rule, CRA considers a charity that devotes no more than 10% of its total resources a year to political activities to be operating within the substantially all provision (requiring a charity to use substantially all of its resources towards its charitable purposes).

Sources

<http://www.lop.parl.gc.ca/ParlInfo/compilations/parliament/Sessions.aspx>

<http://hc-sc.gc.ca/ahc-asc/legislation/index-eng.php>

<http://www.parl.gc.ca/Committees/en/REGS/StudyActivity?studyActivityId=8130075>

<http://laws-lois.justice.gc.ca/eng/acts/S-22/page-1.html>

<http://laws-lois.justice.gc.ca/eng/acts/T-11.5/page-5.html#h-14>

http://www.parl.gc.ca/About/House/compendium/web-content/c_g_parliamentarycycle-e.htm

<http://www.lop.parl.gc.ca/ParlInfo/compilations/parliament/Sessions.aspx>

<http://www.justice.gc.ca/eng/csj-sjc/just/05.html>

<http://www.cra-arc.gc.ca/chrts-gvng/chrts/pplyng/mdl/menu-eng.html>

<http://www.cra-arc.gc.ca/chrts-gvng/chrts/plcy/cps/cps-022-eng.html#1-0>

Appendix C: About the Author

Robert (Bob) Walsh has twenty years of experience as the Chief Executive Officer of national NGOs in addiction and mental health and three decades of engagement in the NGO sector. His interest in leadership and governance was peaked early in his career and his first role as CEO was at the age of 32; however he had managed a collaborative addiction-related project in Toronto (reporting to an inter-agency advisory board). He has been CEO for Alcohol and Drug Concerns, the Canadian Council for Tobacco Control, Chronic Disease Prevention Alliance of Canada and Canadian Society for International Health.

Bob has extensive governance experience having served as the Chair of the Board of Directors of Breakaway (a youth treatment centre) and Sandy Hill Community Health Centre, as well as a director at the Association of Ontario Health Centres and The Ontario Public Health Association. He is currently a trustee with the Centre for Addiction and Mental Health, Canada's largest mental health and addictions academic health science centre. Bob has also had experience on a public board through a municipal appointment.

Bob has participated in many NGO related policy initiatives in tobacco control, drug and alcohol policy, mental health, chronic disease prevention, SDOH, community health and primary health care. Bob has focused on knowledge creation, evidence uptake to improve practice and organizational development.

Bob brings a breadth of skills in management and governance and has a passion for the social creation of knowledge to help organizations and systems learn and focus on their mission. Bob has a strong capacity for rooting operations in the theoretical frameworks of the organization's environment.

Bob has a Bachelor of Arts from York University, a Master of Business Administration from The University of Western Ontario's Richard Ivey School of Business, and a Master of Public Health from the University of Waterloo.

Bob's MBA focused on management, leadership (from the discipline of organizational behaviour) and governance. During his MPH, PHAC started developing competency frameworks for public health professionals - including leadership competencies (targeting the individual - the leader). With his history of assuming leadership roles at a young age and the academic focus on leadership, this study represented an opportunity to bring both masters degrees together into an academic pursuit.

Appendix D: CDP Strategy and Coalition Membership Lists

Interview candidates were identified through listings of their participation in national CDP related strategy documents and through their membership on various CDP coalitions.

National Chronic Disease Prevention Strategic Documents

Canadian Diabetes Strategy
Canadian Heart Health Strategy and Action plan
Canadian Strategy for Cancer control
Canadian Stroke Strategy
Framework for Action on Mental Illness and Mental Health
Integrated Pan Canadian Healthy Living Strategy
Mental Health Framework for Action
National Lung Health Framework
New Directions: National Strategy for Tobacco Control
Nutrition for Health: Strategy or framework
Pan-Canadian Physical Activity Strategy

Canadian Coalition for Action on Tobacco

Canadian Cancer Society
Canadian Council for Tobacco Control
Canadian Dental Hygienists Association
Canadian Dentists Association
Canadian Lung Association
Canadian Medical Association
Canadian Public Health Association
Heart and Stroke Foundation of Canada
Non-Smokers Right's Association
Physicians for a Smoke Free Canada
Alberta Healthy Living Network
BC Healthy Living Alliance*
The Arthritis Society

Canadian Partnership Against Cancer

Canadian Partnership for Women's and Children's Health

Chronic Disease Prevention Alliance of Canada

Active Healthy Kids Canada
Alberta Healthy Living Network
BC Healthy Living Alliance*
The Arthritis Society
Canadian Alliance on Mental Illness and Mental Health
Canadian Cancer Society

Canadian Diabetes Association
Canadian Medical Association
Canadian Mental Health Association
Canadian Nurses Association
Canadian Public Health Association
Coalition for Active Living
Dietitians of Canada
Heart and Stroke Foundation of Canada
The Kidney Foundation of Canada
Wellness Advisory Council, Newfoundland and Labrador*
YMCA Canada

Health Charities Coalition of Canada

The ALS Society of Canada
Alzheimer Society of Canada
The Arthritis Society
The Asthma Society of Canada
Canadian Breast Cancer Foundation
Canadian Cancer Society
Canadian Diabetes Association
Canadian Hospice Palliative Care Association
Canadian Liver Foundation
Canadian Orthopaedic Foundation
Cardiac Health Foundation of Canada
Crohn's and Colitis Foundation of Canada
Cystic Fibrosis Canada
The Foundation Fighting Blindness Canada
Heart and Stroke Foundation of Canada
Hope Air
Huntington Society of Canada
Hypertension Canada
Kidney Cancer Canada
The Kidney Foundation of Canada
The Lung Association
Multiple Sclerosis Society of Canada
Muscular Dystrophy Canada
Osteoporosis Canada
Ovarian Cancer Canada
Parkinson Canada
Prostate Cancer Canada
The Canadian Continence Foundation
The Canadian Foundation for Animal Assisted Support Services
Sickle Cell Disease Association of Canada

Appendix E: Participant Invitation email

Re: A study of NGO leadership processes in healthy public policy for chronic disease prevention in Canada

Date

Dear [Name],

I hope you're doing well.

This email is an invitation requesting your participation in a one-on-one interview, for a study I am conducting as part of my Ph.D. in the School of Public Health and Health Systems at the University of Waterloo under the supervision of Dr. John Garcia. I would like to provide you with more information about this project and what your involvement would entail if you decide to take part.

The vast majority of public health scholarship has focused on the aspects of public health that are arguably "within" government (health units, health authorities, government departments). Yet, Non-Government Organizations (NGOs) have played a significant role in public health for over a century. With the variety of roles, mission focus, and the requirement to serve a public benefit, NGOs offer something unique to public health in general, and chronic disease prevention and the policy process in particular.

The aim of this research is to describe and characterize NGO engagement in the public policy process developed in inter-organizational chronic disease prevention activities. Of particular interest are processes that help inter-organizational networks decide on goals (what to do) and then organize around how to achieve those goals. This can include how they interpret and use information as well as the relationships they develop to achieve their goals.

In our interview, we will explore various "events" in chronic disease prevention over the past 15 years. Hopefully we can discuss some that were successful, some not, and some with benefits still to be realized.

Participation in this study is voluntary. It will involve an interview of approximately 60 minutes in length to take place in a mutually agreed upon time over the phone. Prior to the interview, I will be asking for your formal consent to participate. Even if you decide to participate, you may decline to answer any of the interview questions for any reason. Further, you may decide to withdraw from this study at any time (without any negative consequences whatsoever) by advising the researcher. With your permission, the interview will be tape-recorded to facilitate collection of information, and later transcribed for analysis. After the interview has been completed, I will send you a copy of the transcript to give you an opportunity to confirm the accuracy of our conversation and to add or clarify any points as you wish. All information you provide is considered completely confidential. While data will be aggregated to inform categories and themes, individual level data will be used in the thesis to describe and expound on themes. Your name will not appear in any thesis or report

resulting from this study; however, with your permission anonymous quotations may be used and attributed based on your general "position" in prevention activities. Data collected during this study will be retained for seven years on a secure, password protected server. Only researchers associated with this project will have access to the data. There are no known or anticipated risks to you as a participant in this study.

Please note that while I have some professional experience in this area, I am interested in learning from your experience and perspective. As such, I do not hold a particular position and there are no "correct answers" in any of the areas we'll be exploring.

If you have any questions regarding this study, or would like additional information to assist you in reaching a decision about participation, please contact me at 613.762.2406 or by email at r4walsh@uwaterloo.ca. You can also contact either of my co-supervisors, Dr. John Garcia at (519) 888-4567, ext. 35516 (john.garcia@uwaterloo.ca) or Dr. Barb Riley at (519) 888-4567, ext. 37562 (briley@uwaterloo.ca).

I would like to assure you that this study has been reviewed and received ethics clearance through a University of Waterloo Research Ethics Committee. However, the final decision about participation is yours. If you have any comments or concerns resulting from your participation in this study, please contact Dr. Maureen Nummelin, Office of Research Ethics at 519-888-4567 Ext. 36005.

This study will result in a thesis as part of my requirements in fulfilment of Doctor of Philosophy Degree. I hope that the results of this study will be of benefit to individuals and organizations directly involved in the study, as well as those that work in public policy for chronic disease prevention.

I very much look forward to speaking with you and thank you in advance for your assistance in this project. Please reply to this email if you would be interested in participating and we will book an interview at a time and location that is convenient for you. If I do not hear from you within two weeks, I will call to follow-up and determine your interest in participation.

Yours Sincerely,

Robert (Bob) Walsh
PhD, Candidate

Appendix F: Consent protocol

By signing this consent form, you are not waiving your legal rights or releasing the investigator(s) or involved institution(s) from their legal and professional responsibilities.

I have read the information presented in the information letter about a study being conducted by Bob Walsh of the Department of Public Health and Health Systems at the University of Waterloo. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions, and any additional details I wanted.

I am aware that I have the option of allowing my interview to be audio recorded to ensure an accurate recording of my responses.

I am also aware that excerpts from the interview may be included in the thesis and/or publications to come from this research, with the understanding that the quotations will be anonymous. I was informed that I may withdraw my consent at any time without penalty by advising the researcher.

This project has been reviewed by, and received ethics clearance through a University of Waterloo Research Ethics Committee. I was informed that if I have any comments or concerns resulting from my participation in this study, I may contact the Director, Office of Research Ethics at 519-888-4567 ext. 36005.

With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.

YES NO

I agree to have my interview audio recorded.

YES NO

I agree to the use of anonymous quotations in any thesis or publication that comes of this research.

YES NO

Participant Name: _____ (Please print)

Participant Signature: _____

Witness Name: _____ (Please print)

Witness Signature: _____

Date: _____

Appendix G: Interview Guide

Introduction

Hello, thank you for agreeing to speak with me about NGO engagement in public policy for chronic disease prevention in Canada.

You have been asked to participate because of your role in a national NGO engaged in

During the interview, I would like to discuss the following issues at a national level in Canada: public policy for chronic disease prevention (i.e. tobacco control, heart health, cancer control, Social Determinants of Health or Health in All Policies as appropriate for the interviewee), the role of NGOs in these processes, the "coalition" of organizations and sectors that come together to form policy in these areas, and how these coalitions deal with change, learning and goals. With these topics in mind...

Main Interview Guide

Main Questions	Additional Questions	Clarifying Prompts
Can you tell me about your organization's involvement in inter-sectoral activities for public policy in (tobacco control, heart health, cancer control, Social Determinants of Health or Health in all Policies)?	<p>What does your organization hope to achieve?</p> <p>How does it choose which policies are priorities?</p> <p>Can you tell me how engagement in the policy process starts?</p> <p>What strengths does your org (and you) bring to the process?</p>	<p>Why does your organization get involved in the policy process? Why do you?</p> <p>What roles does your organization play? Whom does it seek out for involvement?</p>
Can you tell me about the policy process?	<p>How are opportunities (and threats) identified?</p> <p>What were some of the successes, challenges and failures?</p> <p>Can you describe the policy process in "good" or "challenging" times?</p>	<p>What is policy? How is it formed?</p> <p>What's the role of innovation? Where does it come from?</p> <p>What are good or challenging times?</p>

<p>With whom does your organization engage in the policy process? Can you tell me about the inter-organizational "group" (or "coalition") that comes together to influence policy?</p>	<p>How does this "group" organize? How does it operate? How did work progress?</p> <p>Tell me about the norms and structure of the group.</p> <p>How would you describe the culture of the group?</p> <p>How did the coalition connect with the more formal "public health" system or "political" actors? (What other sectors were involved or excluded?)</p>	<p>Prompt for relationships between actors, organizations and sectors.</p> <p>How does this change over time?</p> <p>How does this change over time?</p> <p>Prompt for political, economic, social and technological implications in context.</p>
<p>How does this coalition come to a common understanding of the problem? (Or do they?)</p>	<p>How does the coalition decide what to do?</p> <p>How are solutions arrived at? (And what are they?)</p> <p>How is the "political climate" assessed? And influenced?</p> <p>How has this changed over the life of the coalition?</p>	<p>Focus on individual and group learning. Focus on bonding, bridging and linking.</p> <p>Focus on the three streams (problem, solution and political) and how they line up over time?</p> <p>Focus on tensions and treatment of differences.</p>
<p>How do members share beliefs about what is going on and what solutions are most viable?</p>	<p>How does the group gather information (where does info come from) and what do they do with it?</p> <p>How does learning unfold?</p> <p>Can you think of new knowledge that emerged from this group? How did that happen? (And what happened with it?)</p>	<p>Clarify processes that shape shared mental models, vision and goals.</p> <p>Explore feedback loops, perceptions of external dynamics.</p>

<p>Change is an enduring theme in policy, can we explore both internally and externally driven change?</p> <p>a) Can you tell me about a time that an external event (external to the coalition) changed the group?</p> <p>b) Can you tell me about a time that something within the group caused change?</p>	<p>How did the event unfold?</p> <p>What impact did this have on members? On relationships? On goals?</p>	<p>Explore adaptations in the nature, behaviour or structure of the coalition.</p> <p>Focus on motivation, engagement and empowerment.</p>
<p>How does the group deal with competing interests, tensions or conflicts?</p>	<p>How do conflicts get expressed? How are they dealt with?</p> <p>How do actors' organizations influence the group?</p> <p>Tell me about trust in the group & how it changed over time?</p> <p>Tell me about cooperation and collaboration.</p>	<p>Focus on "inside" and "outside" actors and how groups find themselves in these places over time. How does this happen?</p> <p>What really motivates a coalition to try to affect change?</p>
<p>If we were to focus on the relationships among actors (individuals and organizations and even sectors) how do relationships influence the policy process?</p>	<p>How do the organizational cultures of member's organizations influence a coalition?</p> <p>How does the coalition collaborate in good times and in challenging times?</p> <p>Does trust play any role? If so, how?</p> <p>Tell me about power within the coalition?</p>	<p>How does power shift in a coalition?</p>

<p>How do other groups affect the policy process and the workings of the group?</p>	<p>Can you give me an example of these impacts?</p>	<p>Prompt for societal influences, provincial bodies, municipalities or other domains. Explore patterns and structure, feedback loops and reciprocity.</p>
<p>What surprised you about working in this policy arena?</p> <p>What arose that was unexpected?</p>	<p>How did things come together, or fall apart with various change processes that you've been involved with?</p> <p>What were the critical drivers and how did they work?</p>	<p>Focus on interactions, nonlinearities, influence of the system's history as well as self-organization and emergence.</p>
<p>What factors influence NGO engagement in the policy process?</p>	<p>What is unique about the NGO role in these processes?</p> <p>What would be lost of NGOs weren't engaged?</p>	<p>We've talked about change, learning, goals all within the policy process to shape CDP</p>
<p>What does NGO leadership mean in this arena?</p>	<p>What does it look like?</p> <p>What does it contribute?</p> <p>How is it nurtured? And how is it thwarted? What gets in the way (barriers) of affecting change?</p>	<p>Prompt for clarity in the definition. Distinguish between individual and environmental elements.</p>
<p>Is there a question that I should have been asking but did not? A question you were expecting?</p>		

Is there anyone else I should be speaking to in order to shed light on NGOs in policy development for CDP?		Or any other resource you'd recommend that would inform?
If you were to give advice to NGOs now about their engagement in CDP policy development in Canada, what would it be?		

Conclusion

Thanks for taking the time to talk with me today. I will be having this interview transcribed to aid in data analysis. I can send you a copy of the transcription for you to check what you've shared and see if there is anything you'd like changed or to clarify.

Later in the research process, I will be creating a summary of my findings that I can send you.

If questions arise for me, or if I find I need to clarify aspects of what we discussed or follow-up on issues that others have brought up, might I re-contact you?

Thank you again for your time.

Appendix H: Interview and Transcription Overview

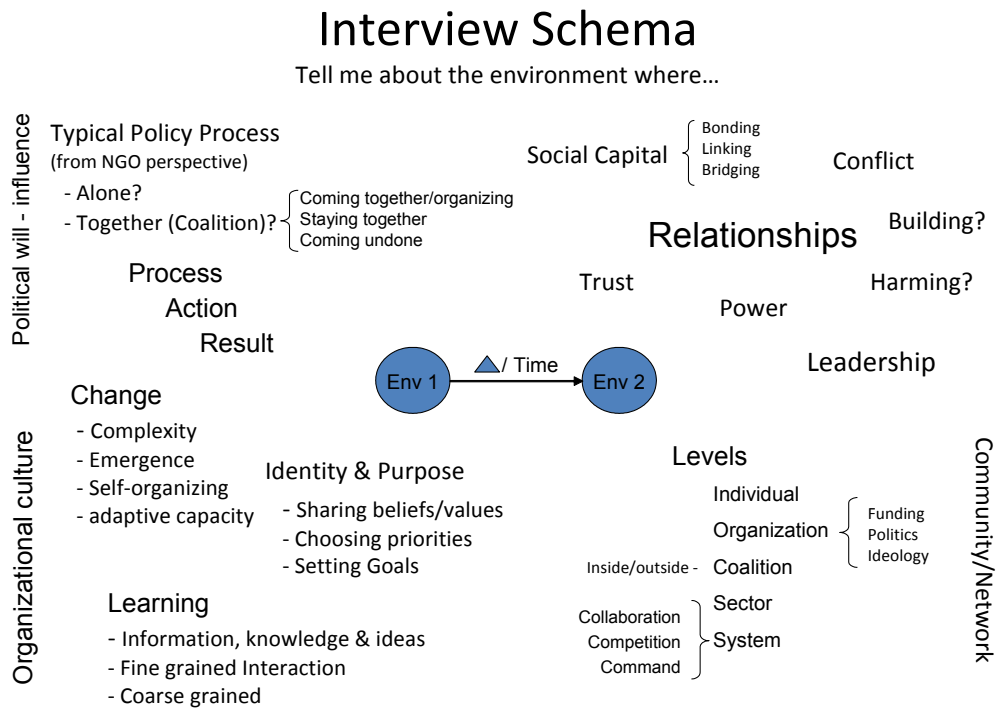
The table below provides a description of the timing of the participant interviews, the interview length and the volume of transcripts from the interviews.

<u>Participant ID</u>	<u>Invitation Sent</u>	<u>Interview Date</u>	<u>Transcript Received</u>	<u>Interview Length (minutes)</u>	<u>Transcript Word Count</u>	<u>Transcript Page Count</u>
T	03-Jul-15	15-Jul-15	30-Nov-15	93	11,436	25
1	11-Nov-15	13-Nov-15	24-Nov-15	58	8,234	16
2	11-Nov-15	25-Nov-15	30-Nov-15	63	9,587	23
3	22-Nov-15	03-Dec-15	10-Dec-15	32	4,747	10
4	05-Jan-16	06-Jan-16	21-Jan-16	79	10,872	25
5	06-Jan-16	12-Jan-16	21-Jan-16	57	8,251	19
6	05-Jan-16	15-Jan-16	05-Feb-16	86	11,809	26
7	05-Jan-16	03-Feb-16	08-Feb-16	110	15,958	28
8	05-Jan-16	11-Feb-16	15-Feb-16	56	8,648	22
9	25-Apr-16 *	29-Apr-16	09-May-16	79	11,255	25
10	25-Apr-16 *	29-Apr-16				
11	27-Apr-16	04-May-16	13-May-16	85	15,814	24
12	27-Apr-16	05-May-16	20-May-16	78	12,010	36
13	25-Apr-16	05-May-16	20-May-16	103	17,765	32
14	25-Apr-16	11-May-16	24-May-16	103	15,984	29
				<u>18h 02m</u>	<u>162,370</u>	<u>340</u>

* Interviewed simultaneously at interviewees' request

Appendix I: Interview Schema

The following diagrams were used during telephone interviews to track discussion topics (referred to prior to in-person interviews, so as to not be viewed by participants).



Process of Leadership

- Description of leadership
- Relationship to system
- Relationship to complexity
- Relationship to context
- Relationship to outcomes
- Influence of NGO sector/structure/environment
- Social / relational processes

Appendix J: Glaser's Coding Families

Families	Examples [GLASER, 1978, pp. 73 - 82]
The Six C's	Causes (sources, reasons, explanations, accountings or anticipated consequences), Context or Ambiance, Contingencies, Consequences (outcomes, efforts, functions, predictions, anticipated/ unanticipated), Covariances, Conditions or Qualifiers.
Process	Stage, Staging, Phases, Phasing, Progressions, Passages, Gradation, Transitions, Steps, Ranks, Careers, Ordering, Trajectories, Chains, Sequencing, Temporising, Shaping, Cycling.
Degree	Limit, Range, Intensity, Extent, Amount, Polarity, Extreme, Boundary, Rank, Grades, Continuum, Probability, Possibility, Level, Cutting Points, Critical Juncture, Statistical Average (mean, medium, mode), Deviation, Exemplar, Modicum, Full, Partial, Almost, Half.
Dimension	Dimensions, Elements, Divisions, Piece of, Properties of, Facet, Slice, Sector, Portion, Segment, Part, Aspect, Section.
Type	Type, Form, Kinds, Styles, Classes, Genre.
Strategy	Strategies, Tactics, Mechanisms, Managed, Way, Manipulation, Maneuvering, Dealing with, Handling, Techniques, Ploys, Means, Goal, Arrangements, Dominating, Positioning.
Interactive	Mutual Effects, Reciprocity, Mutual Trajectory, Mutual Dependency, Interdependence, Interaction of effects, Covariance, Face to Face Interactions, Self-indications, Delayed-interaction, Symbolic Interaction.
Identity-Self	Self-image, Self-concept, Self-worth, Self-evaluation, Identity, Social worth, Self-realization, Transformation of self, Conversions of identity.
Cutting Point	Boundary, Critical juncture, Cutting point, Turning point, Benchmark, Division,

	Cleavage, Scales, In-out, Intra-extra, Tolerance levels, Dichotomy, Trichotomy, Polychotomy, Deviance, Point of no return.
Means-goal	End, Purpose, Goal, Anticipated consequences, Products.
Cultural	Social norms, Social values, Social belief, Social Sentiments.
Consensus	Clusters, Agreements, Contracts, Definitions of Situation, Uniformities, Opinions, Conflict, Discensus, Differential perception, Cooperation, Homogeneity-heterogeneity, Conformity, Non conformity, Mutual expectation.
Mainline	Social control, Recruitment, Socialization, Stratification, Status passage, Social organization, Social order, Social interaction, Social mobility.
Theoretical	Parsimony, Scope, Integration, Density, Conceptual level, Relationship to data, Relationship to other theory, Clarity, Fit, Relevance, Modifiability, Utility, Condensability, Inductive-Deductive balance and interfeeding, degree of, Multivariate structure, Use of theoretical codes, Interpretive, Explanatory, Predictive Power.
Ordering or Elaboration	Structural Ordering (unit size of: organization, division...), Temporal Ordering (A-->B-->C), Conceptual Ordering (Achievement Orientation, Institutional Goal, Organizational value, Personal Motivation).
Unit	Collective, Group, Nation, Organization, Aggregate, Situation, Context, Arena, Social world, Behavior pattern, Territorial Units, Society, Family.
Reading	Concepts, Problems, Hypotheses.
Models	Linear model, Property Space.

Appendix K: Code and Reference Counts by Interview

Interview	Thematic Codes	# of References
Test	179	229
1	163	224
2	215	310
3	83	129
4	138	161
5	83	91
6	109	142
7	187	233
8	107	135
9	256	276
10	180	195
11	160	191
12	202	236
13	259	299

This table lists the number of codes and references assigned to each interview transcript.

Appendix L: Axial Coding Thematic Categories

The following table displays the principal set of thematic codes used to describe the interview data relevant to the research questions and sensitizing concepts.

Thematic code (and sub-codes)	Description	# of Codes	# of Interviews	# of
			(n=14)	References
A. Advocating and advocacy	Exploration of intentions, styles, targets, types, examples, instances, outcomes and consequences of advocacy.	41	12	63
B. Policy Processes		40	14	45
B.1 Problem stream	Examples and activities to focus on the problem aspects of CDP to influence policy development	24	8	33
B.2 Policy or Solution stream	Influencing (principally) bureaucratic processes (inside government) that focus on policy opportunities	33	10	48
B.3 Political stream	Examples and activities to focus on the political system (politicians) interest and ability to move HPP for CDP	27	9	41
B.4 Focussing Events	Examples of focusing events in the political process of CDP. Many examples of NCD issues were discussed by participants	100	14	125
B.5 Policy Entrepreneur	Finding that inside person who can influence the policy process	22	10	32
B.6 Policy Communities	Mechanisms by which policy communities become part of the process	18	8	18
B.7 Coupling the streams	Both active and reactive examples and strategies of opening policy windows when streams align	19	11	20
C. Evidence, gathering and using	This category explored the identification, assessment, collection and use of information by individuals, organizations and groups. It includes strategies, sources, expectations and outputs.	166	14	243
C.1 Feedback	Feedback mechanisms in the policy process	7	4	7
C.2 Change	A variety of perspectives on change (social, systems, and behaviour) both reactive and proactive strategies and beliefs are explored	32	11	38
C.3 Political Feasibility	Assessments of the technical and values feasibility of options to assess political will and anticipate constraints	55	14	85
D. Collaborating / Working together	This category explored aspects of working together (collaborating) including reasons to collaborate and conditions for collaboration	111	14	150
D.1 Building strong relationships	This category explored factors and processes (including trust) in building strong relationships	62	14	104
D.2 Motivation and Member Relations	Considerations in federated structures and issues experienced by coalition members and coalition managers (concerning members)	95	11	106

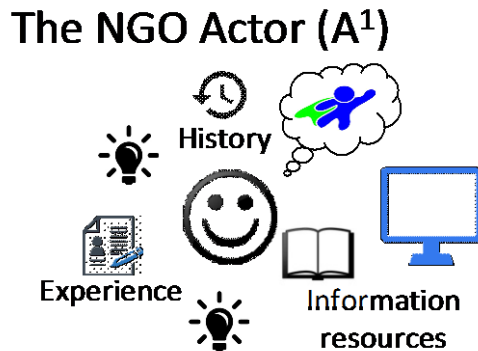
Thematic code (and sub-codes)	Description	# of Codes	# of Interviews	# of
			(n=14)	References
E. Agitating	Described as stirring the pot, being a rabble rouser or an insurgent. This quality was explored as a necessary part of the policy and advocacy process (making our own and our sister organizations and as well as our targets (MPs) uncomfortable with the status quo or inaction)	70	9	90
E.1 Conflict and creative dissonance	Conflict in its broadest sense: from diversity of opinion, to tensions, arguments, disagreements and competition. This section explored causes, processes, resolutions and outcomes	114	14	148
F. Organizing and Structuring	The creation of formal structures and processes and informal relationships, linkages and interactions. The mechanisms people use to work together and learn.	73	11	127
F.1 Resource issues	This category included both human and fiscal resources. Funding sources (government, industry, self-generated) and mechanisms (grants, fee for service) are further explored for their impact.	108	14	132
F.2 Coordinating & Meeting Management	Specific tactics, issues, structures, processes and outcomes are explored in working with others (including brokering and making decisions)	115	14	146
G. Building Identity and Mobilizing	The creation of a shared vision and identity and the communication of that identity to garner support and engagement.			
G.1 Identity: Goals, Mission and Vision	The importance of setting common goals and objectives and having a shared visions (values were also explored in this area)	62	13	86
G.2 Mobilizing communities	Mobilizing the public and building a movement	22	8	27
G.3 Media, Message and Communication	Principally dealt with messaging and persuasive communications, but also communication products. But included aspects of mass media and public persuasion	89	14	113
H. Leadership	Explorations of what leadership means to them, examples of leadership as well as outcomes	90	13	107
I. System Levels	Explores thematic areas from the perspective of various levels within the system			
I.1 Individual Approaches	This category grouped a number of actions attributes and actions that occur at an individual level	67	10	104
I.2 Individual Actors in the system	Looked at individual actors operate within organizations, coalitions and the system	22	11	30
I.3 Interpersonal relationships	Explored dimensions of and importance of the CEO/Chair (Staff and Board) relationships	25	6	27
I.4 Organizational Characteristics	explored organizational characteristics of orgs in the policy process and NGOs "purpose-built" status in Canada	72	12	103

Thematic code (and sub-codes)	Description	# of Codes	# of Interviews	# of
			(n=14)	References
I.5 Interorganizational Issues	Explored issues between organizations (government-NGO, NGO-NGO)	71		78
J. Complexity	Complexity is explored as a way of thinking, building adaptive capacity, looking at the complexity of the issues and using a systems framing on the system are explored	8	7	15
K. Success	Examples of and learning from success. Some exploration of what defines success	22	13	29
L. Challenges and Setbacks	This broad category included many examples of challenges NGOs experience in the policy process with Industry opposition, governments, other sectors, other organizations and within their organization.	139	14	189

Appendix M: Levels in the Ecosystem

The following descriptions are provided as supplemental information to the Eco-system diagram presented in Section 5.2.5.1 as this research focuses on the relationships between entities within the system.

Individual Level



The NGO actor depicted above is excerpted from the eco-system in Figure 3 (pp. 128). The various elements surrounding the actor are associated with (and unique to) every actor in the ecosystem regardless of which organization they would appear to be associated with in Figure 3. This illustrates that NGO actors come into the role with a history, experience, knowledge, goals, ideas and values. Relevant to this study, they each have policy opinions (if not full-fledged ideas), as well as conceptions of leadership and champions.

Where some participants had completed graduate work, they talked about how their academic discipline shaped their approach to HPP for CDP (and their role in general). Many participants talked about their experience in HPP for CDP being shaped by a number of roles they've had in their lives. The sample represented people with professional experience in almost every entity illustrated in Figure 3 of the eco-system.

An example of a possible professional history for actor "A¹" from the interviews could include various jobs in any part of the diagram (corporate, NGO, government, academe) as well as any education they have received. While such a list implies a linear sequence, it should be noted that when voluntarism and organizational memberships are added to the mix, as well as considering those who engage in multiple roles (2 jobs or simultaneous work & study), a fuller picture is implied of the individuals' connections across the ecosystem.

Narrative histories (not shown here) were constructed for each participant from the detail they provided. This was intended to inform historical connections they have within the ecosystem. This exercise illustrated the complex set of roles and relationships that individual

actors form through their lifetime (complex as opposed to complicated because connections facilitated emergence and self-organization).

Participants spoke about many types of actors or "roles" involved in the policy process including advocates, academics, managers, front-line workers, physicians, nurses, health promoters, public health actors, government employees (bureaucrats or department staff), political staffers, politicians (including MPs, Ministers, the Prime Minister and Senators), journalists, editors, industry actors. They included specific professions including lawyers, physicians, nurses, dentists, as well as various functions (communications, HR, fundraisers, executives, CEO, Board Chair, Directors, and members).

Participants also discussed that it is the people, as actors, their history, experiences, skills and abilities that are at the heart of the process. The organizations and coalitions represented are social structures that exist because there are people who take up the various causes and play the various roles.

For NGO actors engaged in HPP for CDP in Canada, participants expressed a number of qualities/characteristics that individual actors require in this role including: **creative (8), persistent (4), frank (4), open to change (4), honest (4), brave (3), powerful (3), accountable, respectful, committed, pragmatic, passionate, astute, congruent, determined, human, optimistic, bold, well-informed and patient.**

Organizational Level

There are many types of organizational entities depicted (or implied) in the eco-system diagram. Everything within the dotted line around the government institutions would be considered "inside the tent", everything else is outside. Outside the tent, there were a number of organizations involved in HPP for CDP in Canada including NGOs, academic institutions and Health Professional Associations (HPA) (and other health related entities like hospitals, family health teams, etc.), corporations (industry) and the media.

Considering the research purposes, the principal entity (and perspective) explored was the NGO. Similar to the descriptions of individual actors, participants spoke about the organization's history and culture, and the importance these played in shaping the organizations' engagement in the policy process.

Organizational Level: Inside the Tent - the Government of Canada

Participants named organizational structures within the Constitutional environment such as Parliament (the Senate and the House of Commons), the Executive Branch, Privy Council, Government departments and agencies, Crown corporations and the judiciary. They further explored entities that exist through the elements of the Constitution related to federalism: principally, Provincial/Territorial governments and their environment (municipalities, health authorities and public health units).

Most participants assumed the researcher had a working knowledge of how legislation and administrative policy is created at a national level and therefore focussed their testimony describing the relationships and strategies involved in getting inside the tent or otherwise influencing political decisions.

Appendix B describes the political process involved in enacting legislation and regulations as well as the process involved in administrative policy (mainly through the articulation of budgets through ways and means and other acts in establishing structures and authorities within Government). Although participants described both Houses of Parliament (the Senate and the House of Commons), Figure 3 (pp. 128) only illustrates this as Parliament. Further, Figure 3 intentionally omits the Crown (and Her representative the Governor General) as these were not discussed in the interviews. The elements of the Executive Branch of which the participants spoke were the Privy Council (PCO), the Prime Minister (PMO) and cabinet.

There was a fair amount of exploration of the public service and the relationships that are fostered with them. However, participants made a clear distinction between political actors and public servants. For the most part, participants spoke of the Department of Health and the Public Health Agency of Canada (although Finance and Treasury Board Secretariat were discussed).

Federalism was discussed within the context of its construction (what falls under federal and provincial jurisdiction) and form (participants spoke about provincial and municipal policy examples). Other jurisdictions that are a product of Federalism within the Constitution were discussed for their relevance to national policy. Six participants described (or alluded to) the "ground up" or "domino effect" of smoke-free spaces as an example where local (municipal) bylaws broke new ground in protecting the health of the public, followed by the provinces "raising the floor" when a sufficient number of municipalities had demonstrated the policy's effectiveness and articulated an inequality that x% of the provinces population were now protected from second hand smoke while the remained were not. Then, once a few provinces and territories had passed similar laws, the Federal Government came in with smoke-free workplace legislation.

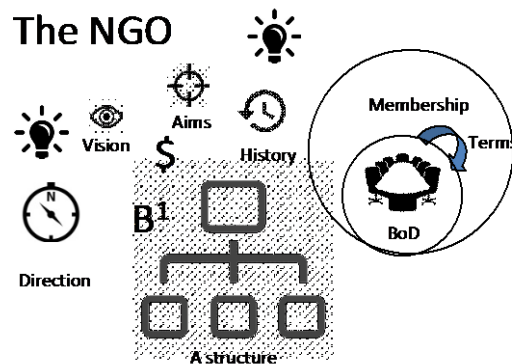
The judiciary and crown agencies were also mentioned. Three Supreme Court cases were explored where NGOs participated as expert witnesses and within the proceedings. While this was discussed as a way that policy is made, the role NGOs play is significantly different than their role within other parts of the Government (i.e. a witness and legal counsel as opposed to lobbyist). In one case, the participant's professional training (as a lawyer) and their organizational affiliation afforded them a role that perhaps may not have been available to the organizations or actors individually.

Agencies and organizations of the crown (i.e. Canadian Centre for Substance Abuse) were discussed in relation to partnership/collaboration and their status and utility straddling the inside/outside boundary.

Organizational Level: Outside Government - The NGO

Considering the study's aims, most of the data shared by participants related to NGOs. Participants' organizations fit the definition of an NGO established in the sensitizing concepts: organized, private, non-profit-distributing, self-governing and voluntary with public benefit as its primary object. However, even among this small sample, a vast array of structural and processual differences among the NGOs was discussed.

Interviews spanned many types of NGOs (health charities, not-for-profits, think tanks, councils and umbrella organizations). These organizations covered a mix of service functions



(e.g. health promotion, disease management, secondary and tertiary prevention and care) and/or expressive functions (e.g. advocacy, health communication and knowledge exchange). Through-out the course of the interviews, participants described close to 90 organizations in relation to the policy process (both in Canada and internationally) from a variety of movements (not just health or chronic disease prevention).

There are over 170,000 non-profit organizations in Canada: 85,000 of which are registered as charities with Canada Revenue Agency (Hall et al., 2005). Although this shows an organizational structure, there is not necessarily a "typical NGO structure". This particular example taken from Figure 3 (the ecosystem diagram) describes the elements from many participants' stories. Each organization had a history, a vision, targets (or aims) and direction. Even in the case where a participant spoke about starting a brand new organization to deal with HPP for CDP in Canada, there was a history that was shaping this emerging organization as well as hopes and purpose of what it wanted to accomplish that shaped the organization's identity. Participants referred to these as brand, purpose, strategy and mission.

Most participants spoke about their Board of Directors and the importance of these volunteers in establishing organizational identity. While many of the participants had Boards that rotated (i.e. had specific terms) directors and officers/executive positions (i.e. the Board

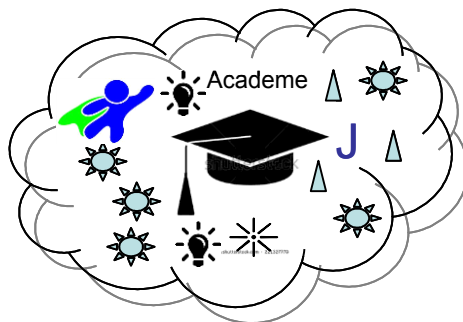
chair) this was not universal: two organizations had long standing Boards and there was a range of influence from titular in nature to formative at an operational level.

The organizational structures described also varied greatly. Many of the organizations that participants spoke of had gone through structural changes in the last decade - some going from large membership-based, organizations that included thousands of Canadians to creating a closed membership (i.e. the Board of Directors becoming the Corporate members of the organization). Participants spoke about the impact of this change in terms of who the organization represented and how they connect with "grass roots". Some participants worked in organizations whose operating structure was a network (coalition) of organizations. In these instances, descriptions explored members navigating the various roles: representing the coalition as well as representing their individual organizational interests at the coalition table (and their own beliefs, constraints and desires).

Participants' organizations varied in terms of human resources (i.e. number of paid staff and volunteers engaged). The sample represented the gamut from a one-person "shop" to one of the largest NGOs in Canada (with thousands of employees). Even considering this variation, all members spoke about the resource challenges that NGOs face in accomplishing their mission, and many spoke of the challenges created by resource inequality among NGOs.

Participants spoke about the importance of culture and learning in their organization's story. The processes they described for learning not only included their own goals, orientation and gaps in knowledge, but the responsibility they bore for their organization's learning as well. There was a reciprocal relationship described of being impacted by the organization's culture and identity and also helping to shape it.

Organizational Level: Outside Government - Academic Institutions



Universities Canada lists 98 Universities across the country (Universities Canada, 2016). Academia and health professional associations can provide valuable contributions to the creation and promotion of evidence to inform policy and as such have a valuable role to play in the political process (either as allies with NGOs, or in their own right). Most participants who spoke about academics and health professionals spoke about them as part of the

movement, informing and contributing (and not as competition). Participants acknowledged their credibility and voice and what individual academics and health professionals can bring as policy entrepreneurs.

In relation to academic institutions, this figure is intended to illustrate that participants made some distinction between institutional forms. While they did not necessarily define these, there was recognition that "academic organizations" like the Ontario Tobacco Research Unit (OTRU) and Propel were different than the Dalla Lana School of Public Health or the University of Waterloo (respectively). The figure therefore uses a few different shapes (stars and triangles) to depict various forms. There was no exploration of the governance or organizing structures of academic institutions, but one participant did make a distinction that although a university could technically be called an NGO, their purpose is quite different from the NGOs we had been discussing. While the informant specifically related this to "authenticity of voice", they also described it as a difference in the aims of the institutions (the pursuit of knowledge for academe, as opposed to public benefit for NGOs).

Within the context of describing collaboration (and reasons for it) one participant mused that the Constitutional division of power places educational institutions within provincial jurisdiction, which may impact their process and aims when engaging in national circles.

While academics were seen as potential policy entrepreneurs, some challenges were explored:

I don't know if I can tar them all with the same brush but [academics] feel like if they say anything about public policy that it's gonna reflect very poorly on them ... It seems like a lot of people who really do understand the science are reluctant to do what they regard as getting involved in the political fray... sometimes there are professors who ... think that the policy part of it is so simple that it's almost like sending something to a secretarial pool to convert science to policy and they don't get it at all and they make these kinds of disastrously bad recommendations (P8)

One of the things that I find that academics don't understand is the legitimacy of the voice. Being legitimately an expert is one thing, being legitimately a voice of civil society, that's a different thing and in terms of governance and accountability, that those are in public health, not valued or as important as they might be in other spheres. If you're doing social justice, you don't have experts speaking, you have people represent victims, or something like that, so I think there's kind of a - people have never had to think about it very much so they don't (P9)

For an academic, your human capital is your name, right? Your brand is your name. You have something to lose if someone else speaks. It's a little bit different. I would think there'd be a structural impact if we transfer all the responsibility to universities. You see it already. The Bloomberg Centre for Global Health has to have something where people put their brand out or you know, MPOWER was the first thing I noticed where the people were really pushing for brand presence (P10)

There appeared to be a link between the current favour afforded to academics in government circles and the policy process from a bygone era that used "elite accommodation" to inform policy.

Organizational Level: Outside Government - Health Professional Associations



There are over 130 Health Professional Associations in Canada (Charity Village, 2016). A few HPA's were discussed often in interviews (e.g. Canadian Medical Association, Canadian Public Health Association, Canadian Dental Association, or Dieticians Canada) for their role in HPP for CDP in Canada, but similar to academic institutions they were not well defined (also reflected in the lack of definitional clarity in the diagram).

Although HPAs were described as NGOs, some participants pointed out that their primary purpose is the service of their membership: while acknowledging that their membership holds the obligation and duties for public good.

Participants acknowledged the importance of academic institutions and HPAs in the creation (and promotion) of evidence and as sources of champions with credibility and voice. Both were seen as important (albeit distinct) forms of NGOs that can have a role in the political process (either as allies with NGOs, or in their own right).

Many NGOs have ties to both of these types of organizations that were either happenstance (i.e. members of their Board of Directors at one time or another are university professors or an HPA member) or more formally constructed through (present or historical) connections with specific universities or professional bodies. Most participants who spoke about academic and professional associations spoke about them as part of the movement: informing and contributing (and not as competition).

Although not depicted in Figure 3 (pp. 128), each organization would have a number of actors who could be mapped onto each organization (from chancellor to undergrad student to alumnus in a university or CEO, various staff, Boards and membership in an HPA): each of these representing a potential actor (and potential champion) in this system and a potential connection to another organization or actor.

Organizational level: Outside Government - Industry

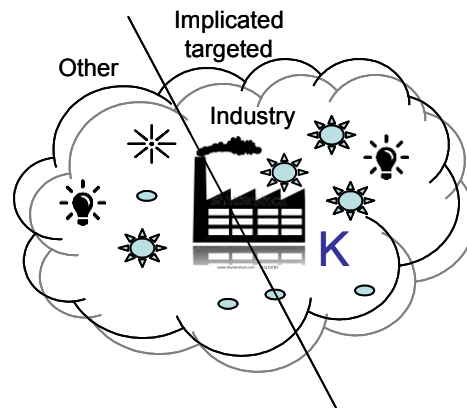


Figure 3 also introduces industry or the corporate sector. As a sector (within this study's purposes), the primary distinction from other organizational types is this sector's profit motive. These organizations are by definition "for profit". The corporate sector is by no means homogenous. This except uses various shapes to imply that there are different types of organizations. In 2012, there were 1,107,540 registered businesses in Canada³, with small businesses accounting for 98.2% of this number (1 to 99 employees). By comparison, as previously mentioned, there are roughly 170,000 charitable and not-for-profit organizations in Canada⁴. As such, the scale of this sector in relation to the others is by no means accurately depicted in Figure 3 (pp. 128). Although participants did not get into the structural differences (and the implications) between sole ownerships, partnerships or public companies there were examples given that described both ends and the spectrum (the independent business owner, "mom and pop shop" and the Multinational Corporation).

There was some exploration of the differences between for-profit and not-for-profit (e.g. the implications of competition on collaboration), but very limited examples of their similarities were identified in participants' testimony.

³ Industry Canada: <http://www.ic.gc.ca/eic/site/061.nsf/eng/02804.html>

⁴ Imagine Canada <http://sectorsource.ca/research-and-impact/sector-impact>

When it comes to things like [CDP], our organizations don't see each other as competitors but they're saying 'you know what we really want is for people to be healthy'. Health charities work together all the time when you would never see, for example a Walmart and a Zellers working together, and I think that's some of the uniqueness about the health charities sector where we work together where other competitors would never share the same space and the same table ever, ever. (P13)

Participants provided many examples of assessing the alignment between corporate interests and NGO interests, with most participants providing examples of direct conflict between these aims (e.g. industries like tobacco where the company's product is a major contributor to chronic disease in Canada). However, there were instances where participants spoke of partnering with corporations as a setting for health promotion activities, or as funders of various initiatives.

Within the context of HPP for CDP in Canada, another segmentation that participants highlighted was the distinction between those corporations (described by some as "polluters") who are directly impacted by HPP (e.g. tobacco control, if successful, reduces industry profitability). Polluters externalize the cost of their products (i.e. lost productivity and death as direct burden from use of the product) to all segments of society and assert a business model that counters any regulation that has any hint of a "polluter pay" principle. Few for-profit organizations appear to get involved in HPP, let alone HPP for CDP at a national level; however there has been public health focus on "the workplace" as a health promotion setting and some participants spoke of success in these areas.

It's unfair really for - like three industries alcohol, tobacco and food to basically make workers sick in every industry. And that's the kind of argument that other industries - while they might recognize it to be true on some level, it's like issue number 17 at the head of meeting with the Prime Minister or the Minister of Health. Like it's just never their number one priority (P8)

There is a distinction that emerges between these three industries and the "non-polluter" industries that are silent on the issues while the "polluters" work at cross purposes with public health to protect profits. This was seen as part of the corporate culture in Canada.

The government's, obviously, it's under a lot of pressure from business, and you know, the corporate producers – the corporate determinants of health – as John Millar labelled them and we need NGOs as a counter to this. (P1)

Some participants used "morally-based" language around corporate opponents, some used a "war" analogy and others used game-related analogies (opponents, strategy, outsmarting). In all cases, there was a sentiment of going up against a well-resourced, multinational presence that was opposed to your success (but also had to influence politicians to NOT enact measures, or ensuring any measures were as weak as possible or delayed as long as possible).

Health Canada did a business impact test in which they had to survey industry representatives and 10 percent of the respondents, like 10 percent of the companies responding told Health Canada that if they had to stop using class names and actually use the names of - the common names of the ingredients in their products, 10 percent of those companies said we're gonna go out of business. That's what they told them. It was just shameless. (P8)

Coalitions: Inter-organizational and Collectivist Spaces



The sensitizing concepts explored the community (i.e. network) structure of NGOs and this concept was strongly validated in the interviews. Participants spoke about both the value of their networks, but also the importance of reaching out, building and nurturing networks. Collaboration and working together were strong themes in the interviews.

In working to achieve their organizational mission and their policy objectives, participants talked about "looking around, to see who else this is an issue for" and from there seeing what approaches were being used by others and if there were ways to work together.

Participants shared a number of reasons for working together. The collectivist space provides great opportunity for organizations to share resources, learn from each other and spread innovation. Some participants talked about the synergy created between organizations when they have common underlying issues (i.e. cancer, heart and lung disease having common risk factors in tobacco and nutrition). As these groups move more "upstream" into prevention, working together can unite them in a common purpose and create a more powerful voice for advocacy.

In other cases, participants talked about the ability to take risk within a coalition that organizations may not be willing to take on their own. Some participants spoke quite pragmatically about collaborating as a way to share scarce resources and spread the effort over many organizations; "many hands make light work". Along these lines, five participants talked about asking for help as an intentional engagement strategy expressing that working together (i.e. having existing relationships) makes working together in the future easier.

Collaborating takes many forms, and many examples of collaborating with other organizations were explored: from informal relationships and one-off projects, to the establishment of Memoranda of Understanding. Participants even provided examples of coalitions that started off as organizations around a table, eventually hiring staff and then registering as Corporations with Industry Canada. While the structures explored by participants varied, the relationships seemed to start quite informally and grow as participants discovered a shared vision or purpose beyond the sharing of information. They started to realize benefits they could achieve together that they could not achieve alone.

While there are strengths in coalition (greater voice, better use of resources, able to accomplish more than one organization can), there is also draw backs in that a coalition can be as fast as its slowest member or as strong as its weakest link. Participants discussed the trade-offs between consensus and agility. While the coalition was able to advance advocacy efforts, they were not a coalition that could react quickly to opportunity in the environment and therefore needed to plod along at a much slower pace and try to create the opportunities for policy advocacy (and be ready with their case if, and when, policy windows opened up).

Coalitions don't end up working the way that many people think they do. So, a coalition if not directed at the end goal and without a lot of politicking, is **a convoy**. **It moves as fast as its slowest ship** so you have to do things to say, let's focus on the end goal and figure out how do we build a coalition around this? So, it becomes more of a coalition of the willing, to say if there are twelve NGO's out there with an interest in whatever the NCD at stake is, but only five of them are **willing to actually do something that takes a risk** because the others ... say "We really support what you're trying to do and so what we need to do is we're gonna put together something to run it past the committee we have that oversees this, they'll be meeting in June and then that can go to our AGM in October... but there's no real guarantee of that. Those groups are **left on the sidelines** or you get the image that they're supporting you because they put their name on a document or they agreed to send somebody to a meeting but they're **not participating as a key player**. (P12)

Although sometimes all that is desired from some partners is their **brand and presence**, thereby arguing that the "who" is dependent on the opportunity.

Sometimes it's just their brand, their organization endorsement and that's fine sometimes. In other times, you know, you really need their resources and if you can't bring that then sometimes it's okay to go on your own to make that decision. (P5)

Part of the importance of **articulating a shared vision** or purpose was around the creation of a value proposition to create identity and momentum, as well as maintain engagement.

It's great to have goals and objections and priorities and targets for the coalition... [but] What's the value add? I think that especially in these increasingly fiscally

challenging times, each member organization needs to be closely looking at why am I part of this alliance. (P15)

Participants explored a number of coalition activities including meeting management, coordinating activities, brokering positions, mobilizing expertise and motivating other.

Brokering positions was a large part of the coalition work. Participants spoke about **back-scratching, cajoling partners, using dialogue to achieve clarity, networking behind the scenes, polling, negotiating, selling, and creating straw dogs and trial balloons.**

Motivating others and keeping them engaged was another task discussed by participants. This was described in a number of ways including **catching their imagination**, engaging their passions, **influencing their heart and mind**, and recognizing their efforts and contributions.

I think it's particularly important for all participants to feel valued. I think we need to make sure that everybody feels that their **thoughts and experiences and insights are valued** because without really **good leadership skills for group processes**, it's easy enough sometimes to - there's always some people who like to be the talkers and some that are kind of content to sit back and listen but for the best value for everybody, everybody needs to be not only **allowed to talk but** in some instances, **encouraged to talk.** (P15)

Success factors appeared to be around transparency, honesty, being frank and creating a space where members feel valued, and people actually doing the work that is required.

be frank because if you're not frank during that change process it could be problematic and another way is to kind of, when there is change that need to happen and you revisit and I think you have to document it and you need to go back to things like terms of reference, goals, objectives and have that change reflected in those documents. I think that's important. (P5)

One participant, who was both self-described and described by others as a rabble-rouser spoke of the challenges of working in coalition. This person expressed not having a lot of faith in the other groups' integrity. They got frustrated with what they termed "ass kissing". There can sometimes be a tension between those who choose to support or stroke government and those "purists" who are championing good public policy. The rabble-rouser can feel undermined by the actions of the other organizations.

Sometimes organisations say 'will the current government accept what we're gonna do? And if they won't, then we will advocate something that they will accept' which in my mind isn't really advocacy... I mean, I don't want to tilt at wind mills here, I wouldn't advocate something that is clearly in contravention of World Trade

Organisation Rules... [Or] the *Charter of Rights and Freedoms*... we don't advocate something to the federal government that it clearly doesn't have the constitutional authority to do. I mean, that's -- that's kind of ridiculous advocacy but we do try to avoid the kind of pandering (P8)

However, another interviewee, referring to this same individual emphasized the important role they've had in shaping other entities.

One thing for you to consider Bob is the way in which NGO's influence each other. So, [X] has been seen is an irritant in the system. But without [them] there, would [org Y] be where it is today? (P10)

Participants also talked about coalitions being meant for a specific purpose. Once that purpose is achieved, then they disband.

I think that's really important to always be assessing, do we need to have this coalition? I'm gonna use the [org x] as an example [who] had a ten year mandate. They had funding that was designed to sort of run down that by the end of ten years, their mandate was done because that's how [their CEO] pitched the concept to [the funder] and so, [they] said I will know that [org x] has been a success if in ten years from start-up, we will not need to exist. (P15)

Structuring with a timeline and deadlines can add focus to a coalition and create motivation and momentum.

If you want to have an effective coalition have a short term shared objective with a deadline and it's like lots... you still have lots of personality conflicts. You still have people that hate each other. You'll still work together. (P14)

This in-between, inter-organizational level of the system is amorphous and changing. Its history shapes its current structure and processes and is also rooted in members' expectations of its utility for success.

Sectoral Level

There is a difference between the collectivist/coalition level and the broader health sector. While the study's narrower lens on the sector (organizations involved in HPP for CDP) creates a smaller view, the larger public health, health and voluntary sectors also impact NGO engagement in HPP for CDP.

Some of the participants worked at organizations that were involved in healthcare and service delivery (disease management) as well as delivering prevention and health promotion functions. These various functions add a diversity of perspective that an organization brings to the HPP for CDP work. Service delivery tended to provide more opportunity for an

organizational niche, but shared risk factors then tended to provide more commonality among organizations in the sector.

When it comes to acute care issues and rehab related issues, well more acute care than drug policy, there are more kind of established niches for organizations. So, working on drug policy related to statins, that's certainly something [org] will take the lead. That is much more clear cut. There's a lot more shared responsibility in prevention as compared to acute care issues amongst different conditions. (P5)

Participants spoke of a "professionalization" in the voluntary sector over the last thirty years and an increased value for learning from corporate experience. While some argued that there was utility in this perspective (arguing that the entrepreneurial spirit of the "start-up" is beneficial to social enterprise, fundraising and health promotion) there was also exploration of corporate framings having a different assessment of risk and the governance culture focussing on the organization (i.e. sustainability) and not the mission.

Participants also explored the challenges of federated structures in the voluntary sector and how various organizations' federated model of board governance can create institutional conflicts that affect national efforts.

The governance structures of organizations hasn't morphed and changed to keep up with the environment. So typically, volunteer organizations are driven by volunteers not surprisingly. However, the volunteers that come to the table, some organizations have done this quite well, but I think most are struggling and especially when you come to large national organizations... when you're trying to develop national organizations and develop national policies it's really challenging to be able to select and recruit individuals who can come to a national board table and leave their own bias, their own personal provincial hat behind and really look at things in terms of the scope of this is what's best for Canadians... Because often when you're developing those types of policies there's give and take. (P13)

Differences in perspectives from other sectors provided a point of reflection on the organizational structures used in HPP.

There's a lot of other instances where civil society groups unnecessarily step on each other's turf because they don't communicate and there's nothing forcing them whereas a political system, a political caucus has to... figure out a compromise. A political system has in some sense a discipline that's very functional at achieving something that's good for all whereas NGO's can just afford to be outstanding in our own field, right? (P9)

Only a few participants shared comments about the larger health system context and the larger health sector, but these comments explored similar issues of broader sectoral level influences on operations, governance and stewardship.

Participants spoke about changes (and pressures) on the sector related to funding, governance, government regulations, charitable status and lobbying.

With the government actually taking organizations to task for their charitable status and warning them not to be involved with the policy and political process and de-funding of many NGOs. (P1)

In many ways, the challenge for organizations to be "brave" in their actions toward mission fulfillment were many as structural impediments create more organizational risk for advocating HPP for CDP.

I think we're losing ground and we're having a weakening – a weakened NGO sector, at least in the tobacco control area and probably in other areas as well. (P1)

System Level

The word "system" (and systems) was used differently between participant interviews: even within the same interview. One member spoke about the system as the administrative functioning of an organization or government; but then also used the term later in the interview in a more Orwellian sense "have I been co-opted by *the system*?" Other participants shared this broader conception speaking of the need to change *the system*: "you need to make sure that there's a structure in place and it's a fair and equitable system."

These two notions were reinforced by other participants with reference to the UN system, the Canadian system, the political system, the legislative system, government system and the Bloomberg system. As participants explored discrete (whether open or closed) systems, they used this framings to make comparisons, draw analogy and try to learn through reflection.

As a movement, we use a certain logic of evidence base, etc. We don't engage the strengths that other issues adopt: a client-focus, values-based or rights-based, there's a whole bunch of things we just don't do. We have hidden assumptions - there's a logic that frames what we do. So, most of the stuff that happens is within that logic. I think there's probably not enough discussion about other ways of doing things or other things to accomplish. So, when it comes like things like maybe where you have a special population, equity approach or whether you do it on the basis of biggest bang for the buck, I think everyone kind of say ok, well we have to have something for everybody, make it comprehensive. (P9)

Six interviewees spoke of complex systems and open systems: both in relation to the complex system where policy occurs as well as in a more generic or theoretical application to

coalitions, HPP and CDP - as creating systems change.

It's actually creating a movement, creating political pressure or creating enough energy around an issue that there's political will to make system changes. (P9)

A systems lens highlighted the need for a variety of roles and relationships. Complexity within the system suggested that no one person or organization will be able to solve the issue as no single organization or individual has a complete understanding of the problem, solution or goals. The system requires responsibility, accountability and action from individuals and groups.

The dynamic described between individual agency and collective effort in terms of persuasion got confusing. Advocacy, while directed at the government institutions is ultimately directed at individual people. Further the advocacy efforts, while attributed to groups are also performed by people. While this adds "messiness" to the dynamic, it is important to recognize (as stated by Kingdon, 2003) that this messiness is not randomness: advocacy efforts are planned and intentional, as are the decisions and actions of those who are targeted by advocacy efforts. While the outcomes then are unpredictable (leading to participants using the language of odds and likelihoods) they are not random.

Public health policy and chronic disease prevention policy is inherently political, and without political actors actually engaging and leading the change, and creating the context, the environment for the Minister to do the right thing, the right thing is not likely to happen. (P1)

The issues of chronic disease and CDP also play a role in the complexity within the system. Participants spoke of CDP being a tough sell. Onset can take years to manifest, there is stigma at play in terms of risk factors, and the financial burden is both perpetuated by government (excise taxes going into consolidated revenue) and distributed across many levels of government. Part of the effort to influence that unpredictability within the system is to provide convincing logic of the burden and impact of chronic disease on Canadians, so that politicians understand that HPP for CDP is "the right thing to do".

It's the lives that [policy] impacts. And so it comes back to, the system is important but it's the people in the system that matter. (P13)

Participants spoke of different approaches and influences on their approaches to HPP for CDP: Rules for Radicals, Six Box Model, the Structure of Scientific Revolutions, Ecological Approach, Stages of Change, Media Advocacy, Grass roots campaigns. These provided both theoretical and practical guidance on how they approached the complexity of the system.

So we always have unofficially sort of used that ecological approach, systems thinking, etc. where we need to have had common messages across the lifespan, targeting different age groups and different settings, etc.(P15)

Conversations and analysis became increasingly abstract as it moved away from the individual to system, societal and global influences.

As a cross-section (and simplification) of the eco-system for public policy that participants described, Figure 3 (pp. 128) fails to represent the chrono-dimensions of the system. The impacts of constraints such as time, attention and jurisdiction are not illustrated. Even a series of such snapshots would struggle to represent the impact that past and future events, processes and relationships (failures, expectations, hopes and fears) have in the current moment.

Societal Level

Participants spoke about the role **society** and **societal values** play in the policy process. Politicians do not lead policy change; they only act when they believe that the public strongly supports the policy initiative (others framing this more strongly as only acting when not acting carries more pain or risk)

The NGOs have been the conduit to the grassroots for the government. They say, "What do people want?" They can't do opinion polls all the time. (P3)

This then spoke to both the role of persuasive communication strategies employed by organizations and coalitions as well as the networks and the linkages they build with Canadians to demonstrate to government that HPP is the "will of the people".

We're here tonight to tell you about **your neighbours** – the people around you who are your neighbours, your sisters, your brothers, your aunts, your nieces, your nephews, your uncles, your parents, your... She just framed it as this is – **we are people** in this society who have families, who are part of families... we're here to talk about why **we need you to make this change**. (P4)

Some actors were referred to in the collective (the public, the media) and were discussed as such, or through a representative voice or proxy mechanism (e.g. using twitter as a proxy for public opinion). In this way, many NGOs employed proxies to understand and communicate the societal narrative.

Global Influences

Some participants also mentioned the importance of global influences in this system. Whether through the "inside the tent" connections that governments have to other countries and international bodies (e.g. UN, PAHO and WHO) or the obligations created through international treaties (e.g. FCTC). There is also a phenomenon of "aspiration" where the

government wishes for Canada to be seen as a leader in a particular domain or the "place" and reputation it wishes to attain (or maintain) in relation to various issues.

Participants also spoke about the international connections NGOs have globally and how these influence the advocacy process and strengthen their credibility. With Canada's international commitments and obligations, global connections and influences become another pressure point that NGOs can access.

We were really pushing for implementation for the structural parts of the FCTC, funding, global collaboration, not so much for the - what should a health warning look like... [but] on social capital. It's important to social capital. (P10)

Further, in NCDs the big industries that negatively impact health and have successfully externalized costs of their products are principally multi-national corporations which creates an augmented importance for global partnerships.

As such, almost any element previously discussed, whether it is the historical, current or future aspects of individuals, organizations or collectives, there is a possibility to add a global context to these characteristics.

Appendix N: Overview of Current Theories of Leadership

There are many explorations of leadership in colloquial and scientific literature. The literature review provides a hint of the breadth and variety of definitions of leadership that are commonly held. The following information provides an overview of the broad categories that have been used in leadership scholarship, providing a taxonomy or structure of descriptions of the phenomenon.

Adapted From: Dionne, S., Gupta, A., Sotak, K., Hao, C., Kim, D., and Yammarino, F. (2014) A 25-year perspective on levels of analysis in leadership research

Authentic leadership - Although there is no consensus on a definition, authentic leadership concerns being genuine, transparent to others, self-aware, and possessing moral standards and values. It is different from transformational leadership in that authentic leaders do not have to be transformational or charismatic - inspiring others to go “above and beyond expectations”. Authentic leadership is similar to spiritual, servant, and ethical leadership (but differs from ethical leadership in that authentic leaders are not necessarily moral or fair).

Behavioural theories are concerned with what leaders do, how they act, and the characteristics and behaviours that can be learned to make leaders better. Behavioural approaches, Ohio State Studies, and leadership skills are topics included in this category.

Charismatic leadership focuses on leaders’ influence over followers. The effects of charismatic leadership are follower motivation, commitment, trust, respect and loyalty. Charismatic leaders are able to connect followers’ self-concepts to a collective and they arouse follower motivation. Charismatic behaviours include articulating an optimistic vision, taking personal risk, engaging in unconventional behaviours, being sensitive to follower and environmental needs, image building, and empowering followers.

Charismatic–ideological–pragmatic model (CIP) Model of leadership proposes three possible pathways to leadership: charismatic, ideological, and pragmatic leadership. Each pathway differs in regard to leaders’ mental models and behaviours. Charismatic leaders use positive emotion and focus on the future, ideologues use negative emotion and focus on the past, and pragmatic leaders are rational, focusing on the present.

Cognitive theories - include implicit leadership theory, information processing, leader prototypes, and leader cognition.

Collectivistic theories - look at leadership at a higher level of analysis than traditional approaches (beyond the individual, dyad, or small group levels of analysis) to larger organizational collectives, alliances and network levels. They acknowledge that leadership can involve more than one individual and that the leadership role can change over time. Topics include shared leadership, team leadership, distributed leadership, participative leadership,

network leadership, complexity leadership, collective leadership, entrepreneurial leadership, complex leadership, self-leadership, and empowering leadership. Self-leadership and empowering are also included as they give followers independence, autonomy and power to make decisions and lead themselves or the group.

Contingency theories - In the 1960s and 1970s, some researchers were disappointed in trait and behavioural theories, arguing that these theories failed to sufficiently explain variance. Thus, researchers proposed leader performance and effectiveness dependent on the situation and other contingencies. This category includes the contingency model, situational leadership, multiple linkage model, and operant leadership.

Creativity and innovation - Included in this category is research examining how leaders can creatively solve problems, lead creative people, increase creativity among employees, and create an environment that is conducive for creativity.

Culture and diversity addresses culture, diversity, and leadership from a cross-cultural perspective by comparing leaders from different countries and cultures.

Emotions and affect in leadership include emotional intelligence, affect, emotion, emotional labour, empathy, and emotional contagion.

Ethical leadership concerns doing what is right, being fair, having integrity, sharing power, caring about the environment, and guiding others ethically by communicating about ethics, explaining ethical rules, and rewarding ethical behaviour among subordinates. Ethical leadership differs from transformational leadership in that transformational leaders need not be ethical.

Executive leadership includes topics such as top management teams, strategic leadership, leader succession and issues relating to CEOs and Board of Directors.

Follower-centric theories focus on followers, and include topics such as followership, romance of leadership, and servant leadership. Romance of leadership theory states it is the followers who attribute leadership to good outcomes. Servant leadership concerns serving the followers and placing followers' interests first.

Leader-follower relations focus on leader and follower interactions, relational leadership, as well models of congruence and fit between leaders and followers.

Leader-member exchange - Traditional research assumed that leaders treated their subordinates similarly (Average Leadership Style Approach). LMX theory emerged from vertical dyad linkage theory as an exchange or transaction-based relationship theory, where leaders initiate a relationship with a subordinate by requesting something to be done, to which the subordinate responds. This exchange relationship can then develop through stages characterized by support, respect, trust and obligation. Those with better relationships are

part of the “in-group” and those with a relationship that is characterized by only economic (and not social) exchange are part of the “out-group”.

Leadership development - Understanding where leaders come from, how they develop, and how they can be developed is important for building the next generation of leaders. This category addresses how life events, parenting, and environment influence leader development as well as how leaders can be coached and trained to be more effective.

Leadership emergence is interested in how and when leaders emerge as well as the role of intelligence, personality, and emotion in leadership emergence.

Leadership in teams and groups focuses on leaders of teams - different from leadership emergence, this area focuses on leaders who are appointed.

Motivational theories in leadership include path-goal theory, intrinsic and extrinsic motivation, the Pygmalion effect, the Thematic Apperception Test and McClelland, and the motivational roots of leadership.

Politics and public leadership - Related to presidents, governors, senators, kings, military, or international politics are included in this category. These studies explore leadership styles between countries, voters’ perceptions, case studies of specific leaders, and physical characteristics of such leaders.

Power and influence tactics that influence others, leaders can use power as a source of influence or they can use influence tactics, such as rational persuasion, inspirational appeal, consultation, ingratiation, personal appeal, exchange, coalition tactics, pressure, legitimacy tactics, collaboration, and apprising.

Spiritual leadership involves creating a vision that gives meaning and purpose to work. It also encompasses developing a culture of mutual care and concern between a leader and followers. These aspects result in close membership and a sense of identity and appreciation, which ultimately leads to organizational commitment and productivity.

Substitutes for leadership - Subordinate, task, and organizational variables can substitute for, or neutralize, leadership. Substitutes replace behaviour and neutralizers block behaviour, explaining when leaders could and could not be influential.

Trait theories refer to stable characteristics of individuals or inherent characteristics that define a leader such as dispositions, gender, personality, attributes, intelligence, and dark side and destructive leadership such as narcissism and Machiavellianism.

Transformational leadership is the most widely studied leadership theory to date. The theory has received criticism that its conceptualization is not clear. It is often defined in terms of leader behaviours and effects on followers, and is composed of four main

dimensions: idealized influence (charisma), inspirational motivation, intellectual stimulation, and individualized consideration. Ultimately, transformational leadership results in trust and respect for a leader that motivates followers to exceed expectations.

Vertical dyad linkage and individualized leadership theory was the first theory that proposed leaders treated subordinates differently. VDL was conceptualized as dyads within groups; individualized leadership proposes that leaders form relationships with subordinates, independent of all other subordinates. Thus the proposed level of analysis for individualized leadership was between dyads. VDL focuses on negotiating latitude whereas individualized leadership focuses on support for self-worth as important constructs in the relationships.

Appendix O: Audit Trail / Decision Tree

The following information has been explored in various parts of the text, but is summarized here in table form to provide a quick reference of measures used to improve the credibility and trustworthiness of this study.

Step / Method	Description	Decision Point & Rationale
1. Study design	The study aimed to describe and characterize NGO leadership in HPP for CDP in Canada to inform NGO and public policy practice.	Exploratory aims indicated qualitative research design. Practical aims indicated critical realism approach. Social process exploration indicated grounded theory.
2. Research questions and interview guide	Based on exploratory nature of study, an interview guide framed through sensitizing concepts that could be dropped (or added to) as participant narratives informed theory development.	Developed interview guide (Appendix G) to inform semi structured interviews of expert informants on NGO leadership in national HPP for CDP in Canada
3. Test of interview format and questions	Questions were tested to validate responses against expected or desired responses as well as provide interview practice for the researcher.	Test interview conducted prior to data gathering informed interview process illustrating potential participant responses and provided opportunity to reflect on demand characteristics. The guide was altered in light of this test, and interview schema graphic was developed (Appendix I).
4. Sampling frame: Participant Identification	The study relied on expert, purposive sampling to provide insights into NGO leadership in national HPP for CDP in Canada	The researcher chose the most senior member of an organization (i.e. CEO) or individuals responsible for advocacy and public policy within their organization. All organizations fit articulated definition of NGO (see Appendix D for candidate sources).

Step / Method	Description	Decision Point & Rationale
5. Initial Contact	Requested participation and reviewed consent protocols	Protocol was followed as approved by the ORE. Consent information was pre-distributed (with invitation) and consent was sought and received at the start of each interview.
6. Conduct of Interviews	Gather data to inform research aims	The interviews proceeded in three waves. With the exception of one interview that included two participants (at their request) all were conducted according to plan.
7. Sampling	Application of sampling frame	Of the 25 names identified, 20 were contacted and 14 were interviewed. A response was not received from the six who were contacted and not interviewed.
8. Transcripts and memos	Conduct quality checks on transcriptions and reflect on interviews and learning through the writing of memos.	Natural language transcription was used on majority of interviews (first four used "Intelligent verbatim" transcripts. Memos were created on a regular basis to explore thoughts and connections inspired by the data
9. Analysis	Conduct of analysis: Initial coding Axial coding Selective coding Theoretical sampling Diagramming and modeling Inference (inductive, abductive, deductive and retroductive cycle) Validation - Member checks Final interpretation of validity, usefulness and future directions	The analysis proceeded as described in the methodology. The concurrent process of initiating analysis while continuing with interviews provided opportunity for theoretical sampling to inform both theme identification within the data and the areas of focus in the subsequent interviews.