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Scottish Nonprofit Mental Health Organizational Strategies to Commercialize Innovative Products and Services

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This is to certify that the doctoral study by

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has been found to be complete and satisfactory in all respects,
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Walden University
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Abstract

Scottish Nonprofit Mental Health Organizational Strategies to Commercialize Innovative

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by

Adrienne Adkins-Provost

MSL, Walden University, 2017

BSN, Wilmington College, 2002

Consulting Capstone Study Submitted in Partial Fulfillment

of the Requirements for the Degree of

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Abstract

Many nonprofit organization (NPO) leaders lack strategies to commercialize innovative products and services to secure funding and ensure financial stability. NPO leaders who do not overcome financial challenges could face organizational failure and the inability to attain their mission. Grounded in stakeholder theory, the purpose of this qualitative, single case study was to explore strategies that Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. The study participants were 4 leaders at a single mental health organization in Scotland. Semistructured interviews, organizational documents, government data, public data, and information from the participant organization's website comprised the data collected for this study. Identification of themes occurred using Yin's 5-step thematic analysis process, whereas data assessment and organization scoring occurred using the Baldrige Performance Excellence Program criteria. Key themes that emerged from the analysis included effective strategic planning, effective financial management, ineffective commercialization strategy, positive work environment, and partially effective workforce development. A key recommendation for NPO leaders is to incorporate robust marketing as part of their strategy to commercialize products and services. Commercialization of mental health services and tools could result in positive social change by expanding available resources within Scotland's mental health community and creating a revenue source that will allow the NPO to continue providing vital services to the community.

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Dedication

I dedicate this doctoral study first to my parents John Douglas Adkins Jr. and

Bertha Beatrice Ferguson Adkins, RN, who instilled in me values regarding education as

the path to success and self-actualization. Second, I dedicate my work to my adult

children, Jordan, Aarin, and Avery. All that I strive to do in my life is to be a guiding

light leading you to individual paths to success. Lastly, I dedicate this work to my

husband, Michael Provost, my brother Michael Adkins, and all my siblings, nieces, and

nephews. I hope you will help me keep this legacy alive well into future generations.

Through this work, I am maintaining the family culture of continuous learning and

personal improvement started by the parents, grandparents, aunts, uncles, Dr. James

Adkins that came before us.

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Section 1: Foundation of the Study

Background of the Problem

When the population around the world and in the United Kingdom ages, it places unique demands on organization leaders to provide special programs such as mental health services (Scottish Government, 2018). Government leaders in Scotland reported that mental health is a significant issue on their agenda because mental illness affects one out of three people in Scotland (Scottish Government, 2018). The Scottish government included five objectives in its mental health platform to support the mental health of its citizenry. The five objectives were (a) promote good mental health and improve mental health services, (b) improve services for people living with dementia, (c) reduce suicide and self-harm, (d) develop mental health laws and keep them current, and (e) maintain the Scottish Minister's role regarding restricted patients (Scottish Government, 2018).

Funding from the Scottish government is inadequate to sustain and expand mental health services, such that nonprofit organizations (NPOs) providing mental health services must seek funding from multiple sources (Hmieleski & Powell, 2018). Client A organization was a nonprofit mental health organization working to gain additional funding through the commercialization of innovative products and services that it has developed internally. Scotland's research and development expenditures are not as robust as other countries in the United Kingdom (Freimane & Bāliņa, 2016). Government expenditures for research and development are higher in Austria, Belgium, Denmark, Finland, France, Germany, and Sweden in comparison with Scotland (Freimane & Bāliņa, 2016). Some universities, corporations, and NPOs attempt to gain additional

funding through commercialization; however, successful innovation and commercial success remain low for nonprofits (Hmieleski & Powell, 2018). The data collected from this study might provide information about how to successfully commercialize innovative products and services, which may help other NPOs to secure additional funding to sustain and expand their services.

Problem Statement

The production of innovative products and services created by universities, corporations, and NPOs has increased, yet the commercialization of these innovations remains relatively low (Hmieleski & Powell, 2018). Scotland's nonprofit research and development expenditure in 2016 was 0.02% of the Scottish gross domestic product (Scottish Government, 2018), compared with the nonprofit research and development expenditures for Austria, Belgium, Denmark, Finland, France, Germany, and Sweden, which all came in more than 2% in 2016 (Freimane & Bāliņa, 2016). The general business problem that I addressed in this study is that NPO leaders in Scotland have limited ability to expand services and revenue because of inadequate government funding. The specific business problem that I addressed in this study is that some Scottish nonprofit mental health organization leaders lack strategies to commercialize innovative products and services to secure funding and ensure financial stability.

Purpose Statement

The purpose of this qualitative single case study was to explore strategies that Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. The target

population consisted of four leaders in one mental health organization in Scotland.

Chosen leaders had experience using strategies to commercialize innovative products and

services created within their organization. Implications for positive social change might

include the identification of strategies to commercialize innovative products and services,

which may help to both expand services to a wider range of recipients and change the

mental health delivery model. Additionally, a review of the information contained in this

study might encourage other nonprofit business leaders to consider commercialization as

a revenue-building strategy that could increase the likelihood of organizational

sustainability and the provision of additional mental health services to local communities.

Nature of the Study

There are three types of research methodologies that researchers can use:

qualitative, quantitative, and mixed methods (Yin, 2018). Researchers use qualitative

research methodologies in many fields through an exploration of the research questions

(Bansal, Smith, & Vaara, 2018). Researchers find that using a qualitative methodology

can help researchers to collect and analyze data supplied by a study's participants by

providing a comprehensive accounting of a phenomenon (Yin, 2018). Researchers use

the quantitative research method to examine relationships between independent and

dependent variables through statistical manipulation (Yin, 2018); the quantitative method

was not appropriate for this study because an examination of variables and statistical

assessment does not include the human element necessary for deep understanding.

Researchers may also choose a mixed methods approach for research (Mohajan, 2018). I

recognized that a quantitative or mixed method study was inappropriate for this study

because I could answer my research question using a qualitative methodology, and there was no need to examine relationships between independent and dependent variables by collecting statistical data. The qualitative methodology was appropriate to deeply explore the strategies leaders of NPOs in Scotland's mental health field use to commercialize innovative products and services, which may help other mental health organizations secure funding and maintain financial stability.

Three designs that researchers use in qualitative studies are phenomenology, ethnography, and case study (Yin, 2018). Phenomenological researchers attempt to learn about the personal feelings and experiences of a study's participants (De Felice & Janesick, 2015). The plan for this study did not include collecting data regarding the participant's personal feelings and experiences; therefore, a phenomenology design was not an appropriate choice. Ethnographic researchers study the social structures and customs of a society as a participant within the study (Dresch, Lacerda, & Cauchick Miguel, 2015; Mac Giollabhuí, Goold, & Loftus, 2016). I chose not to use the ethnographic design because it involves observing participants in real-life settings, which the requirements of the Walden University Consulting Capstone Program prohibit. Researchers conduct case study research in a variety of disciplines because they can use the case study design to explore different types of research questions depending upon the phenomenon under study (Yin, 2018). Researchers might choose to use either a multiple case study design, which requires the observation of multiple variants for the same phenomenon, or a single case study design, which focuses all observation on one organization (Yin, 2018). I used a single case study design for this qualitative study

because I gained the most knowledge about strategies to commercialize innovative

products and services by interviewing multiple leaders in one mental health organization

in Scotland.

Research Question

The research question for this study was as follows: What strategies do Scottish

nonprofit mental health organization leaders use to commercialize innovative products

and services to secure funding and ensure financial stability?

Interview Questions

1. What strategies do you use to commercialize innovative products and
   services to secure funding to ensure financial stability?

2. How did you determine the effectiveness of your strategies?

3. What challenges did you experience during the implementation of
   strategies to ensure financial stability?

4. How did you overcome the challenges to commercialize innovative
   products and services to ensure financial stability?

5. What additional information can you provide regarding strategies you
   used to commercialize innovative products and services to secure funding
   and ensure financial stability?

Conceptual Framework

I used stakeholder theory as the conceptual framework for this study. In 1984,

Freeman introduced the stakeholder theory as an alternative to shareholder theory, which

is used to understand the maximization of shareholder wealth (Freeman, 1984). One of

the primary constructs of stakeholder theory is that organizational leaders must act in a manner that benefits both the company and the stakeholders, rather than focusing only on benefiting stakeholders (Freeman, 1984). Organizational leaders who are well versed in stakeholder theory demonstrate knowledge that sustainability in business is not only dependent upon maximizing profits for shareholders, but it is also reliant on meeting the needs of stakeholders (Harrison, Freeman, & Cavalcanti Sá de Abreu, 2015). I used stakeholder theory to understand the strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability.

Within stakeholder theory, nonprofit leaders can find alternative strategies to maximize financial performance by meeting the needs of key stakeholders (Freeman, 1984). The broad definition of *stakeholder theory* includes individuals, groups, and other organizations that have an interest in the products offered by an organization (Freeman, 1984). Primary stakeholders include (a) employees, (b) managers, (c) suppliers, and (d) customers (Harrison et al., 2015). Organizations that meet the needs of their customers receive the benefit of profitability and business sustainability (Baumfield, 2016; Magill, Quinzii, & Rochet, 2015). Stakeholder theory was appropriate for this study because the focus of the stakeholder theory constructs is on organization leaders working synergistically to meet the needs of both the community and the organization with the intent to generate income that will help secure funding and ensure financial stability.

Operational Definitions

Commercialization: The process of generating revenue by capitalizing on products and services brought to the market (Vacekova, Valentinov, & Nemec, 2017).

Nonprofit: Nonprofit charitable organizations exist for purposes such as to (a) provide poverty relief or prevention; (b) advance education; (c) advance religion; (d) advance health; (e) save lives; (f) advance citizenship or community development; (f) advance arts, heritage, culture or science; (g) advance sports participation; and (h) provide for recreational activities (Office of the Scottish Charity Regulator, 2005).

Stakeholders: Stakeholders, as defined by Freeman (1984) and Harrison et al. (2015), are individuals or groups affected by organizational objectives.

Sustainability: Sustainability is based on the continued delivery of programs and services necessary for a business to remain profitable (Moore, Mascarenhas, Bain, & Straus, 2017).

Assumptions, Limitations, and Delimitations

Assumptions

Assumptions are a part of qualitative research not always clearly identified in an academic study as they are elements that may affect the study and are not within the researcher's control (Saunders, Lewis, & Thornhill, 2016). Assumptions consist of information assumed by the researcher that are not testable (Hager & Brudney, 2015). Identifying the researcher's assumptions is an essential element for qualitative researchers to establish themselves as credible researchers (Aguinis, Ramani, & Alabduljader, 2018). I made three key assumptions. The first assumption was that Client

A organization's senior leaders provide honest answers to the research questions. The second assumption was that the senior leaders' responses might differ because of their backgrounds, experiences, and positions within the organization. The third assumption was that the senior leaders would not purposefully omit relevant information that could influence the results of the study.

Limitations

Limitations in academic research are the parts of a study beyond the control of the researcher (Antwi & Hamza, 2015). Clearly stating limitations in the research manuscript helps to provide context for the research and to establish credibility (Aguinis et al., 2018). One limitation of this research was that the semistructured interviews and data gathering sessions occurred with senior leaders from one NPO located in Edinburg, Scotland. Per the requirements outlined by Walden University's Institutional Review Board (IRB) study approval, semistructured interviews occurred at an offsite location. However, the overall data gathering sessions occurred via Go-To-Meeting, which limited the ability to read body language, other nonverbal cues, and the ability to spend as much time during the interviews to gather deep information as may have taken place in face-to-face interviews. The information provided by Client A organization's senior leaders only offered one perspective of the strategies NPOs use to commercialize innovative products and services. Expanding the scope of this research to include the commercialization strategies used by other senior leaders from NPOs in Scotland, as well as in other countries, could have offered a broader perspective.

Delimitations

Delimitations are within the control of the researcher and are established so that researchers achieve the goals set within the study (Hancock & Algozzine, 2017). Delimitations also serve as boundaries within a study to limit the scope of the work conducted (Saunders et al., 2016). Only senior leaders of one Scottish nonprofit mental health organization who work with commercializing products and services were chosen to participate. The rules and requirements of Walden University's Consulting Capstone Program prohibited choosing middle or front-line leaders (Walden University, 2019a). The sample did not include other senior leaders who did not have job responsibilities related to product and services commercialization, and the sample did not include senior leaders from any other NPO in Scotland, potentially limiting transferability.

Significance of the Study

Study findings might be of value to businesses because of the possible identification of strategies nonprofit businesses can use to commercialize innovative products and services, which may help to both sustain their organization and expand services to a wider range of recipients. The results of the study might offer nonprofit business leaders' options for increasing the sustainability of their organizations. Additionally, the study results might also contribute to the mental health field by providing an effective mental health delivery model.

Contribution to Business Practice

Study results might contribute to business practice by providing nonprofit leaders in the mental health field with information for designing and implementing strategies to

commercialize their innovative products and services that will help generate income for their NPO. The contributions to professional practice may be relevant to not only NPOs in Scotland, but also nonprofit and for-profit organizations throughout the world with a desire to commercialize their innovations. Results of this study might also lead to sustainability and growth for NPOs providing mental health services.

Implications for Social Change

The implications for social change resulting from this study could include the potential to offer leaders of NPOs in Scotland's mental health field strategies to commercialize their innovative products and services. Commercialization of mental health services could expand and improve what is available to the mental health community in Scotland. Further implications for social change may include the provision of more comprehensive mental health services to local communities, which could decrease both suicide rates and the number of individuals negatively affected by mental health issues, as well as decrease the gap in services resulting from social inequalities.

A Review of the Professional and Academic Literature

A literature review is an integral part of the research process because it provides an overview of the existing scholarship published on the subject, and conducting a literature review adds to the researcher's credibility. Another important aspect of a literature review is that when researchers perform a comprehensive review of the current literature, they can formulate new thoughts and opinions about the subject matter (Torraco, 2016). A literature review not only helps demonstrate the researcher understands the topic but may also illuminate differing opinions on the subject and

expose information gaps that researchers could use to guide future research (Okoli, 2015). The purpose of this literature review was to provide a body of evidence to support the research question that guided this study: What strategies do Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability?

To support this literature review, I used the following databases: ABI /Business Source Complete, EBSCOhost, Emerald Insight, Google Scholar, ProQuest, Sage Journals, Science Direct, and Thoreau. The search words included *commercialization strategies, innovation, innovation strategies, intellectual property monetization, nonprofits, nonprofit funding,* and *nonprofit sustainability.* Using the search words yielded information related to the topic of commercialization strategies for NPOs. The Walden University library served as the primary search engine, and Google Scholar served as a secondary search engine to collect articles used for this study. I also gathered information from GuideStar, books, public reports, the Scottish government websites, as well as the client's website and organizational documents. The final study includes 249 sources. The breakdown of the references was as follows: 193 peer-reviewed scholarly sources and 56 non-peer-reviewed sources, which included seminal works, seminal books, and government sources that helped to add history and context to the study. To ensure the inclusion of the most current information, the publication of 85% of the sources occurred within 5 years of my graduation date.

The purpose of this qualitative single case study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products

and services to secure funding and ensure financial stability. Using stakeholder theory as the lens to view the business problem, the problem statement, and the research question, I performed a comprehensive review of the academic literature. Conducting this review helped develop an understanding of previous applications of stakeholder theory in business operations, to learn about the characteristics of NPOs both in the United States and in the United Kingdom, as well as what other businesses, including nonprofits, have done to commercialize products and services. To gain an understanding of the essential elements, with a focus on how nonprofit mental health leaders can use commercialization as a means to secure funding and financial stability, I arranged the literature review into the following sections: alternative theories, stakeholder theory, U.S. NPOs, NPOs in Scotland, nonprofit funding strategies, commercialization process, and nonprofit commercialization.

Theories Considered

Before choosing stakeholder theory as the conceptual framework and foundational lens through which to view study data relevant to nonprofit commercialization strategies, I reviewed several other business-related theories. The theories reviewed included: the resource-based view (RBV), five competitive forces, marketing theory, and social marketing theory. These theories appeared in the business literature as deserving consideration when attempting to improve sustainability and increase revenue, because they are indirectly related to commercialization. Doctoral studies represent the highest level of scholarship, the completion of which requires the student scholar to think critically, analyze articles for utility, and make connections to the

information to create original ideas, a process largely completed while writing the literature review, which must include the conceptual framework as the lens through which the topic was viewed (Berman, 2013). This literature review includes an explanation of each theory considered and why each was not appropriate as the conceptual framework for this study.

Resource-based view. The resource-based view (RBV) became a prevailing business theory in the early 1990s, and Barney (1991) identified the major ideas present in the RBV, which were designed to help organizations gain a competitive advantage. The RBV differs from other competitive advantage theories because rather than a focus on the external market, RBV's focus is on the internal resources within an organization and how the strategic use of these resources helps organizations achieve a competitive advantage (Barney, 1991; Galbreath, 2019).

According to Barney (1991), a firm's resources include the assets, knowledge, processes, technologies, and its ability to perform their core business functions, which Barney further classified into physical capital resources, human capital resources, and organizational capital resources. Included in the RBV are four assumptions about a firm's resources, in that they (a) are valuable, (b) are rare, (c) are inimitable, and (d) cannot be substituted (Barney, 1991; Peteraf, 1993). When trying to gain a competitive advantage, managers must consider sustainability and revenue generation centered on diversification (Wernerfelt, 1984). The focus of the RBV is on honing internal resources to gain a competitive advantage. The RBV was not the best framework choice for this study because Client A organization's leadership had organizational goals that did not align

with the goal of gaining a competitive market advantage. Client A organization's goal was to increase revenue by commercializing their innovative mental health tool, which they designed to improve the mental health recovery and maintenance experienced by people in the community. Client A organization's leaders focused on community mental health, and the stakeholders were the people in the community; thus, RBV theory did not align as the conceptual framework for this study.

Five competitive forces. Market competition, according to Porter (1979), depends upon five forces: (a) new companies entering into the market, (b) the customers' ability to bargain for goods and services, (c) the suppliers' ability to bargain for pricing, (d) substitute products entering into the market, and (e) competitors' movement within the market. Organization leaders who want to gain and sustain market advantage, and thereby increase the prospect of sustaining business operations and increasing revenue, must understand the five forces of marketing competition and use them to their advantage (Snider & Davies, 2018). To be competitive in the market, organizations must create their niche and be different from the competition (Snider & Davies, 2018). According to Porter's five forces model, organization leaders should choose cost leadership, differentiation, or focus strategy to help maintain profitability and increase revenue (Snider & Davies, 2018).

Organization leaders must evaluate the three strategies to determine which will elicit the most profitability and revenue. Those who use the cost leadership strategy as their means to achieve a competitive advantage position themselves in a low-cost position when compared with other organizations in the same market (Geng & Chen, 2017). Cost

leadership strategy can help create superior performance in the market and drive revenue

through reducing productivity and labor costs, which can help the organization set lower

pricing to achieve market advantage (Geng & Chen, 2017; Wada, 2018). Although the

cost leadership strategy is effective at achieving a competitive advantage, Geng and Chen

(2017) found that integrating both a cost leadership strategy and using market

differentiation can offer a better chance at gaining and sustaining competitive advantage.

The differentiation strategy is the second of the three strategies that Porter (1979)

recommended organization leaders use to maintain profitability and drive revenue.

Organization leaders who focus on using the differentiation strategy to achieve a

competitive advantage as means to sustainability and revenue generation must find ways

to supply goods and services to consumers that are different from their competitors and

ensure that consumers recognize the differences (Salazar-Ordóñez, Rodríguez-Entrena,

Cabrera, & Henseler, 2018). The research and development facets of an organization

offer a means for differentiation by providing unique products that bring value to the

customers, which researchers consider one of the most crucial components for sustaining

market advantage (Bustinza, Gomes, Vendrell-Herrero, & Baines, 2019). Additionally,

product and service differentiation is a driving force in most markets and keeps the

industry focused on innovation. Flooding the market with unique, inimitable products

provides value for the consumer; however, there was no discussion regarding how the

products affect the consumer or the community where the firm conducts business

(Bustinza et al., 2019).

Focus strategy, which is also known as market segmentation, is the last of the three generic business strategies that Porter (1979) recommended organizations adopt in the quest to achieve or maintain a competitive advantage, sustain business operations, and increase revenue. Through narrowing market focus and becoming the most sought-after provider of a product or service within that market, organizations can obtain an in-depth knowledge of the market (Du, Yang, Liang, & Yang, 2014). Viewing markets from a market segmentation perspective means that organization leadership examines a diverse market and breaks it down into distinct subsets and then caters to the market by providing goods and services to each designated market segment (Meehee, Bonn, & Brymer, 2017). Some organizations use sociodemographic data, such as age, gender, income, and educational level, along with psychographic data, such as lifestyle choices, interests, and activities to help identify the market segment on which to focus their efforts (Du et al., 2014; Meehee et al., 2017). Once an organization determines the best market segment on which to focus its efforts, it can begin striving to maintain its competitive advantage.

Previous research regarding the potential of a focused strategy to increase market advantage has occurred. For example, Du et al. (2014) used an optimization model to describe a market division strategy after working with third parties in the hotel industry and determined that market segmentation is an effective strategy for creating a market advantage and the use of third parties for reservations can decrease profits. Using a focused strategy is a viable option for creating a market advantage, there is no evidence that the underlying focus of the strategy takes into consideration the best interests of the consumer, which was a tenet of this qualitative single case study.

Cost leadership, differentiation, and focus strategy are accompanying business strategies that work symbiotically with Porter's (1979) five competitive forces theory. Organization leaders can use these strategies to achieve a market advantage, thereby leading to sustainability and profitability. Organizations that adopt one of these strategies and focus on managing market forces can become market leaders and generate large-scale profits without necessarily considering stakeholder benefits. Stakeholder benefits were not the focus of Porter's five forces theory, which was incongruent to Client A organization's purpose for commercializing their product. Therefore, I did not choose this theory as the conceptual framework for this study.

Marketing theory. The basic premise of marketing theory is that organization leaders who want to maximize sales and profits must create value for the consumers and make them believe they benefit from a product or service (Drucker, 1958). Drucker (1958) wrote that marketing is responsible for identifying new customers, understanding their needs and wants, and developing ways to provide goods and services to meet customer needs while generating a profit. Since 1958, marketing theory has evolved to encompass data analytics, which theorists designed to help organizations gain a better understanding of consumer behaviors to achieve market advantage and increase revenue (Drucker, 1958). Business leaders use marketing decisions to guide their organizations' activities and choices within the market and have a direct effect on the sustainability of the organization (Varadarajan, 2018). The use of marketing strategies may provide answers to questions related to where to conduct business, how to enter the market, when to enter the market, and what products and services to offer (Varadarajan, 2018).

Organization leaders in major companies often view marketing as a set of competencies essential to their sustainability (Chen, 2019). As such, some organizations that fail to generate profit can trace their failures back to a lack of marketing competencies (Chen, 2019). When implementing marketing strategies in an organization, business leaders must always consider the welfare of the consumer and should act on their behalf (Mason, Chakrabarti, & Singh, 2017). Since their inception, marketing strategies and theories have evolved to include how understanding markets can promote and positively affect social change (Mason et al., 2017). The focus of a market strategy is on the consumer and addressing their needs, not on future stakeholders, and how to determine sustainability and responsibility from an ethical perspective. In contrast, stakeholder theory encompasses constructs embedded with concern for fairness and the protection of stakeholders' welfare (Alcaniz, Aguado, & Retolaza, 2020). The marketing theory does not contain an ethical focus and does not align with Client A organization's purpose for commercializing their product; therefore, this theory was not appropriate for this study.

Social marketing theory. Marketing theory does not only apply to organizations desiring an increase in sales and profits. Researchers use the marketing principles of social marketing theory to influence consumers to change their attitudes and behaviors and to argue that people engage in behaviors after weighing the cost versus the benefit (Rocancio et al., 2019). What differentiates social marketing theory from general marketing theory is that the aim of the influence marketing has on consumers is at benefitting society and not the marketing organization (Rocancio et al., 2019). One

objective of organization leaders using social marketing is to encourage people to adopt

healthier behaviors and make healthier lifestyle choices. Social marketing is based on

marketing and sociological principles to generate campaigns that address social issues,

such as smoking and physical inactivity (Bhat, Darzi, & Hakim, 2019). Andreasen (2002)

defined *social marketing* as the implementation of programs aimed at increasing the

acceptance of a social practice by a targeted group. Success in social marketing is then

based on whether the targeted group adopts the social practice.

Social marketing theory closely resembles stakeholder theory in that both theories

target the best interests of consumers. A significant difference between the two theories is

that achievements in social marketing can occur using marketing campaigns that may or

may not involve one specific organization. Social marketing theory does not align with

Client A organization's efforts, which aimed to not only change mental health attitudes

and behaviors but also increase revenue generation, thereby increasing their

organization's sustainability. For this reason, I did not choose social marketing theory as

the conceptual framework for this study.

Change management. Change management theory became popular after Kotter

(1995) published his seminal article "Leading Change: Why Transformation Efforts Fail"

in the *Harvard Business Review*. In the late 20th century, corporate leaders attempted to

implement significant changes in their business operations as a response to market

activity that often delivered unsuccessful outcomes. Kotter attributed the change failures

to eight common mistakes, which later became Kotter's eight-step model for change. The

eight failures Kotter recognized in corporate leadership's change efforts included the following:

1. Not establishing a sense of urgency.

2. Not establishing a powerful guiding coalition.

3. Not creating a change vision.

4. Not overcommunicating the vision by a factor of ten.

5. Not removing obstacles in the way of the new vision.

6. Not planning for small wins.

7. Announcing victory too early.

8. Not incorporating change into organizational culture

In the remaining paragraphs, I provide a brief description of each of the eight failures included in Kotter's model.

Not establishing a sense of urgency. The first mistake leaders must avoid when implementing change within their organizations is not establishing a sense of urgency. Kotter (1995) estimated that 50% of change efforts fail in the early phases of launch because leaders did not create enough motivation to drive the change forward. Kotter postulated that this occurs because senior managers lack some of the leadership skills necessary to motivate staff out of their comfort zones. Baloh, Zhu, and Ward (2018) found in their study of change management in rural hospitals that some hospital leaders were better at establishing a sense of urgency than others. In four of the eight hospitals studied, Baloh et al. discovered that creating a sense of urgency early in the change initiative led to better outcomes. When leading change initiatives, leaders must first

establish a force for the change or a sense of urgency. One mistake that Client A organizational leaders made when implementing the commercialization strategy for their innovative tool was failing to create a sense of urgency. The senior leaders were able to convince the board that commercializing the tool was important but not enough to drive the process forward.

   Not establishing a powerful guiding coalition. The second mistake leaders must avoid is failing to form a powerful guiding coalition. To successfully implement change, the head of the organization must openly support the necessary change (Kotter, 1995). Not only does the head of the organization need to support the change, but also garner support from at least five powerful people within the organization (Kotter, 1995). Wentworth, Behson, and Kelley (2020), discovered in their study of a mid-sized U.S. university that the involvement of the university's provost in the implementation of a new student evaluation system helped drive successful outcomes. Additionally, the inclusion of faculty and chair support helped increase the success of the new system (Wentworth et al., 2020). Baloh et al. (2018) found that comprising focused teams of hospital leaders helped the hospital leaders to successfully implement staff huddles in four of the eight hospitals studied. Haas et al. (2019) had similar results when they adhered to Kotter's change management principles during the implementation of changes within the residency didactic curriculum in a four-year emergency residency program. To create a powerful guiding coalition, the leaders of the initiative created a didactic revolution committee and recruited influential educators to join the committee (Haas et al., 2019). To successfully lead change, leaders must ensure they create a powerful guiding

coalition. Client A organization successfully created a guiding coalition that existed to

support its commercialization strategy, which included members of the BOD, CEO,

Director of Innovation, and the Director of Market Development.

Not creating vision. The third mistake leaders must avoid is failing to create a

change vision. Successful change efforts depend upon the ability of an organization's

leadership to help employees visualize the desired outcome for the organization (Haas et

al., 2019; Kotter, 1995; Wentworth et al., 2020). Sometimes the change vision is not

completely clear during the early phases of implementation; however, leaders must

continue to talk about and describe the change vision for the organization (Kotter, 1995).

Members of organizational leadership must have the competencies necessary to lead

large scale change initiatives and must be able to articulate and describe their change

vision in detail (Ossiannilsson, 2018). Wentworth et al. (2020) and Baloh et al. (2018)

found that successfully implemented changes occurred when leaders created the vision

for change and could describe what they were working to achieve. Leaders must establish

a change vision to increase success. Client A organization clearly articulated within the

organization their vision for the commercialization strategy; however, they ran into

difficulties communicating their vision to outside entities. The inability of some mental

health agencies in Scotland to understand the vision of Client A organization may have

driven their decision not to purchase the innovative tool.

Not overcommunicating and removing obstacles. The fourth mistake leaders

should strive to avoid is not overcommunicating their vision, and the fifth is removing

obstacles that may prohibit the achievement of the vision. To achieve organizational

change, leaders must communicate the vision to every person responsible for its

execution, and they must remove obstacles that get in the way of vision execution

(Kotter, 1995). Leaders must avoid these mistakes if they want to achieve success.

According to Kotter (1995), change is not possible unless people are willing to make

change happen, which requires an understanding regarding details about the change.

Leaders must overcommunicate by a factor of 10 to ensure the transmission of

information to all organizational levels (Kotter, 1995). Additionally, for successful

change implementation, leaders must recognize and remove barriers.

Baloh et al. (2018) found that hospital success for change implementation resulted

only when the leadership removed barriers inhibiting the implementation of team

huddles. Baloh et al. also found that overcommunication was essential to the successful

implementation of team huddles. Client A organization leaders had some difficulties

overcoming obstacles in their commercialization path. One such obstacle involved the

information technology company hired to work on enhancements to the tool. The Client

A organization leaders had difficulty articulating the tool enhancements they desired,

which inhibited progress on enhancement completion.

***Not planning for small wins, not incorporating change into culture, and

announcing victory too soon.*** The final three mistakes leaders make include failing to

plan for small wins, failing to incorporate change into organizational culture, and

announcing victory too soon. Making any one of these three mistakes can cause change

initiatives to fail (Kotter, 1995). To create small wins, one hospital in Baloh et al.'s

(2018) study started implementing team huddles only in their emergency department.

Once the emergency department culture shifted to include the team huddles, the leaders

then began implementing team huddles in other departments leading up to nursing (Baloh

et al., 2018). Once all departments implemented the team huddles, then the leadership

announced the success of the project. The hospital leaders understood that change takes

time, which can frustrate staff involved in the change initiative, and creating small wins

helps increase staff engagement until the change becomes embedded into the team's

culture (Baloh et al., 2018). Client A organization leaders avoided these three mistakes

quite well. They celebrated with the staff when the tool launched, embedded the tool into

daily practice, and only announced incremental progress. Unfortunately, Client A

organization never reached full commercialization of its creative project prior to the

completion of this case study.

      Shareholder theory. Friedman (1970) stated that the responsibility of business

leaders is to generate the maximum profit for their shareholders. In shareholder theory,

corporate executives have a responsibility to act as an agent for the shareholders, thereby

acting in their best interests (Friedman, 1970). Therefore, under the premise of

shareholder theory, organizational leaders must make decisions geared toward increasing

profits for shareholders, and when they do not behave in this way, they are violating

shareholder ethical principles (How, Lee, & Brown, 2019).

      Shareholder theory is in direct opposition to stakeholder theory and has been the

subject of scholarly debate spanning more than three decades (Zhang, 2015). The concept

of corporate social responsibility (CSR) emerged from the debate and the demand that

business leaders develop strategies that not only benefit shareholders but also take into

consideration the interests of other stakeholders (Zhang, 2015). Stakeholder theory

constructs include references to organizational leaders and their obligation to act in the

interest of shareholders and stakeholders (Freeman, 1994). Client A organization is not

seeking to increase revenue to benefit shareholders, but rather to increase sustainability

and revenue to expand services that benefit the stakeholders in the community, therefore,

I did not choose shareholder theory as the framework for this study.

Stakeholder Theory

The goal of all business leaders is to maintain an effective organization. Business

leaders measure organizational effectiveness by the ability to make a profit and sustain

operations for an extended period (van der Linden & Freeman, 2017). Stakeholder theory

is a business theory based on the underlying principle that for an organization to both

make and sustain profits, it must operate in the interest of the stakeholders (Freeman,

1994). Stakeholders include anyone directly or indirectly affected by the organization

(Freeman, 1994). Expanding upon the stakeholder view, Freeman (1984) categorized

primary stakeholders as employees, managers, suppliers, and customers. Using the

Baldrige Performance Excellence Program (2019) and stakeholder theory to view

commercialization and to assess Client A organization's overall health, I defined

customers as individuals using the organization's products and services, including

present, future, and competitors' customers in the definition. The Baldrige Performance

Excellence Program's broader definition of customers fits well within Freeman's

definition of primary stakeholders used throughout this study.

To assuage shareholder theorists' angst regarding whom organizations are beholden to and for whom managers should make decisions with their best interests in mind, stakeholder theorists have also included shareholders in their definition of primary stakeholders (van der Linden & Freeman, 2017). However, the tenets of stakeholder theory counter the preexisting mindset of shareholder theory in which theorists view corporations as belonging to the owners and that all business transactions should be for owners' benefit, regardless of the effect business operations have on the community in which they operate and on society as a whole (Freeman, Harrison, Wicks, Parmar, & de Colle, 2010).

The tenets of stakeholder theory include organizational leaders developing answers to two fundamental questions. The first question concerns management's definition regarding the purpose of the organization and to determine what value they will create for their stakeholders (Freeman, Wicks, & Parmar, 2004). Whereas the second question relates to management defining how they will demonstrate their responsibilities toward the stakeholders (Freeman et al., 2004). At the core of the stakeholder theory are the relationships between internal and external stakeholders. As such, the goal is for managers to develop cooperative relationships that drive positive business results while being mindful of the effect on individuals, communities, and society (Schaltegger, Hörisch, & Freeman, 2019). Under stakeholder theory, there is a connection between business sustainability and the relationships managers build with key stakeholders.

Stakeholder theory as an appropriate conceptual lens. Stakeholder theory is an appropriate conceptual lens through which to view nonprofit commercialization

strategies. Client A organization's goal was to commercialize an innovative mental health delivery tool designed to measure the mental health recovery process of the people who use their mental health services. Freeman (1994) defined stakeholders as anyone who directly affects an organization's operations or who an organization's operations directly affect. Based on Freeman's definition of stakeholders, the primary stakeholders for Client A organization were the people in the mental health community using the tool in their mental health recovery process. Another key stakeholder group Client A organization should consider are the existing mental health agencies who previously purchased the tool and are using it in their mental health delivery services. Stakeholder theory is a practical and effective conceptual lens because all organizations must manage stakeholder needs and expectations (Harrison et al., 2015). The stakeholder theory tenets align with the purpose of this study, which was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability.

Developing commercialization strategies to expand the footprint of the mental health tool is also congruent with the basic premise of stakeholder theory that the purpose of an organization is to act in the best interest of its stakeholders. The interests of all stakeholders should be important to the organizations that serve them (Donaldson & Preston, 1995). Client A organization designed their commercialization strategies to help meet the needs of the people in the mental health community, as well as other mental health agencies, by supplying them with an innovative tool to help them manage the mental health recovery process. The people and mental health agencies using Client A

organization's services by both Baldrige's definition and Freeman's definition would be considered customers and stakeholders (see Baldrige Performance Excellence Program, 2019; see Freeman, 1994). Stakeholder identification is fundamental to the success of an organization for understanding stakeholder needs and developing organizational processes to meet these needs (Buch & Buch, 2019). The leaders who created the tool took added measures to make sure to validate it, so they could be confident that people using the tool would receive the desired benefits. Instrument validation helps to ensure the tool measures the intended data, thereby indicating the tool's validity and reliability (Mayadevi et al., 2019). Ensuring the validity and reliability of the tool also demonstrated the organizational leader's commitment to their primary stakeholders by providing a quality product that satisfies one of the major requirements of stakeholder theory, which is that businesses must consider the needs of their stakeholders.

Leaders using stakeholder theory as a management theory can interpret the tenets as prescriptive advice on managerial behaviors necessary to consider the legitimate needs of all stakeholders (Donaldson & Preston, 1995). Leaders using stakeholder management techniques can develop positive relationships with stakeholders, which can then lead to organizational sustainability and profitability (Donaldson & Preston, 1995). Pedrini and Ferri (2019) conducted a systematic review of five databases, retrieving 2,457 articles published from 1985-2015 on stakeholder management and found that embedding stakeholder management in corporate practices is of paramount importance for both sustainability and profitability because without stakeholders an organization would not exist. Stakeholder theory is a broad range theory that includes the relationships between

an organization's purpose and their activities as it relates to their stakeholders; therefore, the use of stakeholder theory was appropriate as the conceptual lens through which to view the strategies Client A organization used to commercialize their innovative mental health tool within both the local and international markets.

Stakeholder Theory and Business Practice

A review of the literature indicated that stakeholder theory had been associated with both positive and negative business practices. The practices organization leaders adopt largely depends upon which stakeholder group's needs the leaders are trying to satisfy. Understanding positive and negative business practices associated with stakeholder theory helped to provide a background understanding of practices that Client A organization may be using, which could help the success of their commercialization strategy or may potentially cause it to fail. A review of the academic literature concerning positive business practices stemming from stakeholder theory included stakeholder reporting and corporate governance (Setiawanta & Purwanto, 2019), promotion of fairness (Phillips, 1997; Wood, Mitchell, Agle, & Bryan, 2018), and the development of NPOs (Abzug & Webb, 1999). Whereas, the negative business practice found in a review of the literature included paying senior leaders' higher compensation when they act on behalf of external stakeholders (McGuire, Oehmichen, Wolff, & Hilgers, 2019). The next few elements of this manuscript go into detail about each of these practices.

Stakeholder Related Business Practices

Stakeholder reporting and corporate governance. The adoption of stakeholder theory into business practices have been responsible for paradigmatic shifts in business

operations, such as the shift from a disregard for environmental resources to more conscious efforts to avoid the depletion of environmental resources. Corporate governance involves the development of a framework at the corporate level to guide managers as they make decisions and act (Müller, 2016). To ensure appropriate corporate governance, some company leaders around the world provide reports directly to their stakeholders, which outline their production activities to ensure that business operations align with stakeholder needs and interests (Setiawanta & Purwanto, 2019). Additionally, Rodriguez-Fernandez (2016) asserted in a study of 121 Spanish companies listed on the Madrid Stock Exchange in 2009, that company leaders must consider both society and stakeholders to ensure appropriate corporate governance. Therefore, stakeholder related approaches lend well to adopting corporate governance policies and practices, which strengthen community relationships and increase the company's perceived value (Setiawanta & Purwanto, 2019). Corporate governance relates to the present study because Client A organization's goal is to commercialize a mental health tool that will benefit individuals in the community, thereby potentially strengthening their relationship with the local community.

Senior leader compensation. Senior leader compensation can negatively affect corporate social responsibility, which is a business practice that originated from stakeholder theory adoption in business operations. Business theorist Robert Phillips (1997) believed that stakeholder theory advocated for leaders to act in the best interests of the companies they serve, while McGuire et al. (2019) found in their study of 84 nonfinancial firms that were a part of Standard & Poor's 100 in 2006 that senior leaders

who had high salaries tend to develop strong CSR programs. The CEOs who had salaries

that were lower on the compensation scale tended to have weak CSR programs and take

more risks, which may not always elicit positive social outcomes (McGuire et al., 2019).

Further research conducted by Zhichuan and Thibodeau (2019) about CEO compensation

indicated an emerging trend, which linked CEO compensation contracts with CSR

ratings, placing a high value on external stakeholder interests. Zhichuan and Thibodeau

studied CSR contingent contracts based on CEO characteristics, such as age and gender,

and whether the CSR contract reduced earnings management. The findings indicated that

CSR-related compensation is effective at mitigating earnings management and

encourages the CEOs to improve social performance, which ultimately has a positive

effect on external stakeholders (Zhichuan & Thibodeau, 2019). There are conclusions

drawn about CEO compensation as a business practice that can lead to negative social

outcomes (Zhichuan & Thibodeau, 2019); however, Client A organization's CEO has

been in a leadership position for 30 years, continuously ensuring the inclusion of

stakeholder needs in decisions to expand mental health services in Scotland.

Promotion of fairness. The original intent of the stakeholder theory was to

promote business ethics and to strengthen the relationship between businesses and society

(Freeman, 1994). Phillips (1997) evaluated stakeholder theory against the original intent

and illuminated several problems inherent with the underlying principles that governed

stakeholder theory and identified the issues that leaders have with using stakeholder

theory as their guiding business principle. The first issue Phillips discovered was that

leaders have difficulty with stakeholder identification. However, Wood et al. (2018)

asserted that stakeholder theory is inclusive and requires that organization leaders

consider societal relationships and stakeholders beyond those in contract with the

organization. The second issue Phillips discovered was that leaders have difficulty acting

on behalf of multiple stakeholders with different or competing interests. Last, Phillips

identified a lack of development in the framework and claimed it was not as easy to

understand as other business theories. Wood et al. agreed with Phillips and asserted that it

is difficult to both identify stakeholders and ascertain their salience within the structure of

an organization. Both Phillips and Wood et al. promoted the importance of fairness as

one of the foundational pillars of the theory that leaders could use as a guiding principle

upon which to make their decisions.

Nonprofit formation. Like for-profit organizations, widespread adoption of

stakeholder-based operational strategies has affected NPOs. Ritvo, Hessekiel, and Bavitz

(2017) asserted that some NPOs form to benefit from nonprofit status. One particular

benefit that arises from the attainment of nonprofit status is an organization's ability to

use the 501(c)(3) tax-exempt status, because potential donors may be more likely donate

if the said donation is tax-deductible, as outlined under the 501(c)(3) tax laws (Ritvo et

al., 2017). In addition, the founders of NPOs may obtain nonprofit status to provide

services mandated by government agencies, to fill gaps in services not provided by the

government or private organizations, or to provide influence on policies that surround

services provided by the government (Ben-Ner & Van Hoomissen, 1991). Ben-Ner and

Van Hoomissen (1991) asserted that NPOs operate from the perspective of demand-side

stakeholders, which sometimes conflicts with the supply-side stakeholders, who provide

goods and services. In the context of this study, Scottish nonprofit mental health organization leaders use strategies to commercialize innovative products and services to secure funding and ensure financial stability; it is important to understand how NPOs function.

Organization leaders who operate their nonprofit from a stakeholder perspective are not only considering external stakeholders when they setup operations; they are also considering the interests and needs of their internal stakeholders by recruiting leaders whose personal objectives align with the NPO's purpose. Stakeholder-focused organizations often develop mechanisms and processes that ensure stakeholder interests are at the forefront of operations. Afterward, the organizations identify the external stakeholders who benefit from the services and deliver those services (Ben-Ner & Van Hoomissen, 1991; Ramus & Vaccaro, 2017). The identification and delivery of services apply to the present study because the goal of the study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability and provide support to external stakeholders.

U.S. NPOs

Nonprofit characteristics. Client A organization is a Scotland-based NPO; as such, the information contained below is to aid in understanding nonprofit characteristics in the United States to use as a basis for comparison to Scottish nonprofits. NPOs in the United States must operate for charitable purposes, which includes purposes related to religious, educational, scientific, public safety, fostering national and international

amateur sports, and preventing cruelty to children or animals ("Exempt Purposes-Internal

Revenue Code section 501(c)(3)," 2019). Determining a single definition for NPOs is

difficult because they vary in size, scope, and purpose. Some NPOs are small grassroots

organizations with little or no money, founded by people passionate about a cause. In

contrast, other nonprofits are large organizations with a significant financial portfolio, as

well as thousands of employees and members (Hall, 2016). Client A organization

operates to promote mental health recovery, thus meeting the United States' charitable

purpose criteria.

Differences between nonprofit and for-profit organizations. One of the

primary differences between NPOs and for-profit organizations involves the purpose of

each type of organization. The foundation of for-profit organizations is to generate

revenue to create wealth for the owners and shareholders of the organization (Zietlow,

O'Brien, Seidner, & Hankin, 2018). In contrast, NPOs strive to provide services to the

public and to benefit the greater good without regard for shareholder profit (Zietlow et

al., 2018).

Another significant difference between nonprofit and for-profit organizations is

organizational design. An organization's design can potentially affect their ability to meet

their self-designated performance objectives (Burton & Obel, 2018; Wagner, 2015).

Although the U.S. Internal Revenue Service (U.S. IRS; "Governance and Related Topics

– 501(c)(3)," 2008) does not mandate a nonprofit's organizational design, the IRS does

recommend that organizations establish governance practices. Recommendations from

the IRS for charitable organizations include creating a governing board of directors

(BOD) comprised of people who are (a) well informed regarding the operations of the organization; (b) will provide oversight of operations and finance; and (c) will ensure the organization adheres to laws, safeguards their assets, and supports the organization's charitable purposes ("Exempt Purposes-Internal Revenue Code section 501(c)(3)," 2019). If the charitable organization establishes a BOD, the governing board should be comprised of independent members and should not include employees or other members that are not independent ("Exempt Purposes-Internal Revenue Code section 501(c)(3)," 2019). Last, the IRS expects the charitable organization's BOD to review executive compensation to ensure it is reasonable, monitor leadership behaviors to guarantee organizational leaders act in the organization's best interest, and monitor fundraising activities to ensure compliance with federal and state laws ("Exempt Purposes-Internal Revenue Code section 501(c)(3)," 2019). There is also the expectation that the BOD will document their actions in governing body minutes, maintain documents according to their internal established document retention and destruction policies, and guarantee that the organizational leaders behave ethically and conduct business abiding by a code of ethics ("Exempt Purposes-Internal Revenue Code section 501(c)(3)," 2019). The structure of for-profit organizations may or may not include a BOD, because this is only a requirement of for-profit companies if they are publicly traded (Garrity, 2015).

A BOD functions differently in a for-profit organization than a NPO. The BOD of for-profit organizations acts as an agent for the shareholders who own the organization and is responsible for governance and managerial oversight (Garrity, 2015). The BOD in many for-profit organizations is responsible for making strategic decisions (Garrity,

2015). Another function of a for-profit BOD is to oversee the company's CEO and to connect the company with outside resources if needed (Garrity, 2015). In contrast, nonprofit BODs oversee the mission of the organization and ensure overall effectiveness (LeRoux & Langer, 2016). Ideally, nonprofit BODs are intimately involved with a wide range of activities, such as strategic planning and budgeting, but primarily, nonprofit BODs establish the mission and monitor the effectivity of the organization (LeRoux & Langer, 2016; Zhu, Wang, & Bart, 2016)

The funding of nonprofit and for-profit organizations does not occur in the same manner. For-profit organizations have options to fund business ventures from a variety of sources, such as bank loans, crowdfunding, investors, and venture capitalists (Boylan, Nesson, & Phillips, 2018). Investors in for-profit organizations expect a profitable return on their investment, whereas funders of NPOs do not expect a monetary return on investments. According to a National Center for Charitable Statistics report, nonprofits must have several sources of income to sustain operations (McKeever, 2018). Funding sources for nonprofits vary from those used by for-profit organizations. Common sources of income and subsequent funding for NPOs include fees for services, private donations, bequests, corporate contributions, government grants and contracts, loans, program-related investments, and membership dues (McKeever, 2018; Shon, Hamidullah, & McDougle, 2019). Charitable donations are the largest source of income for NPOs. In 2017, NPOs received an estimated $4 billion in donations (McKeever, 2018). Client A organization depends upon both government funding and charitable donations as sources of income; however, because of public sector budget cuts, Client A organization is

financially challenged and must include other revenue sources, which is why the leaders

considered adding commercialization as a funding strategy.

NPOs in Scotland

During the early 2010s, Scotland's government recognized the need for

improvements in public sector services and started implementing legislation to drive

improvements (Scottish Government, 2011). According to a 2011 report issued by the

Scottish Government's (2011) Commission on the Future Delivery of Public Services,

commissioners advocated reforms to improve public service delivery and overall

outcomes. The proposed reforms included focusing on preventive measures and

improved collaboration between the government and the community (Scottish

Government, 2011). Strengthening the third sector is part of Scotland's government

program for 2019 and 2020. Part of the strategic plan for the third sector is to invest

money in grants for community projects and charitable organizations geared toward

youth involvement (Scotland Constitution and Cabinet Directorate, 2019). A report from

the Scotland Constitution and Cabinet Directorate stated that they planned to invest £24.9

million in charities and social enterprises to help combat multi-generational poverty and

other social issues existing in Scotland.

Scotland's government ranks charity as high on the priority scale and sees their

investment in charitable organizations and social enterprise as a benefit to the overall

well-being of Scottish citizens (Scotland Constitution and Cabinet Directorate, 2019).

The Scottish government's approach to charitable organizations and social businesses

aligns with the mission of Client A organization, which aims to commercialize innovative

products to assist those in the community with their mental health needs. Improving the

mental health of the community and increasing revenue while maintaining alignment

with government initiatives are drivers for Client A organization leaders to include

commercializing their innovative tool in their revenue and sustainability strategy.

Social Enterprise and Social Support in Scotland

The Scottish Government established a 10-year plan to support social businesses

because they believed that social businesses and social help provide solutions that

improve the world (Scotland Local Government and Communities Directorate, 2016).

The Scottish government's social business program is one of a finite number of programs

leading the world toward social responsibility (Scotland Local Government and

Communities Directorate, 2016). A goal of the program is to change the quality of life for

all communities in Scotland by alleviating poverty, fostering community development,

and improving health and wellness (Scotland Local Government and Communities

Directorate, 2016).

The Scottish Government (2013) developed laws to lend government backing to

self-directed support because of their strong beliefs in social care and support and the

belief that people should have control of their lives. According to the Scottish

Government (2013), the purpose of the *Social Care (Self-directed Support) (Scotland)*

Act 2013 (Scottish Government, 2013) is to enable people to choose how they receive

support from a variety of social care programs. To implement the system, the Scottish

government developed a four-part plan centered on involvement, workforce, leaders,

systems, and people to implement their strategy to overhaul their social support system.

Publishing such detailed strategies indicates the importance the Scottish Government

places on social systems and demonstrates their commitment to improving the quality of

life of Scotland's citizens from several angles, such as investment in charities, social

businesses, and social support. The Scottish government's stance on social support and

the expansion of public sector services helps to create a climate for change regarding

financial sustainability practices. Client A organization's leadership decision to add

commercialization as a means of diversifying their funding strategies to sustain and

expand business operations is an appropriate strategy in their quest to attain financial

stability.

Nonprofit Funding Strategies

NPOs need capital resources to start and maintain operations. A BOD uses the

funds available in the nonprofit financial purse to guide decisions regarding the size of

the organization and the size and capacity of its network. For sustainability purposes,

nonprofits must have multiple funding sources, which typically include private donors,

foundation grants, and government funding (Fernando et al., 2017). Charitable donations,

government funding, and hosting fundraising events are a few of the nonprofit funding

strategies available to ensure sustainability.

Charitable donations. Some nonprofits in the U.S. and Scotland generate income

through private donors. While some NPOs, such as religious institutions, are 100%

funded by charitable donations (GuideStar, 2015). According to Giving USA (2019),

U.S. citizens donated $427 billion to charities in 2018, which represented a 0.7% increase

in charitable donations compared to the prior year. Whereas, Scottish citizens donated

£1.2 billion to charities, which represented a 15% increase from the prior year (Charities Aid Foundation, 2018). In both the United States and Scotland, fundraising activities generate a sizeable portion of income and contribute to donation increases from year to year.

Nonprofit donors. Nonprofit donation statistics include demographic information about people who donate to charities. Charitable giving is a characteristic of all generations, including Millennials. According to statistics compiled by Nonprofit Tech for Good (2018), 84% of Millennials give to charity compared to 72% of Baby Boomers and 88% of the Greatest Generation. However, members of Generation X have different donation habits and are more likely to give donations and actively fundraise to support their specific causes (Nonprofit Tech for Good, 2018). The commercialization of Client A organization's products may function to increase donations through the identification of a need to improve mental health services to individuals within the community.

Methods of donation. Organizations receive charitable donations in a variety of ways. Cash donations continue to be the number one method that charities receive donated funds. Advances in electronic methods to donate money to charities have made donating easier for the donors, as well as the recipients, and donors may now use applications on their phones to donate to charities and use social media sites such as Facebook to donate (Nonprofit Tech for Good, 2018). Crowdfunding campaigns have become increasingly popular among Millennials. The *2018 Trends in Giving Report* (Nonprofit Tech for Good, 2018) indicated that 46% of Millennial donors contributed money to a social media crowdfunding campaign. Marketing regarding the

commercialization of innovative products and services developed by Client A

organization may provide an opportunity for increasing knowledge regarding donation

methods.

Motivations for donating. While the motivations behind donations may differ, the

results are the same. Researchers have studied charitable donations from different

perspectives and discovered that different reasons motivate people to give (Best &

Costello, 2018; Liu, Suh, & Wagner, 2018). Best and Costello (2018) examined

charitable giving motivations by sending out a web-based survey to 54 United Kingdom-

based Facebook groups, 19 of which focused on assisting refugees and 11 of which

focused on assisting dogs. The researchers sought to answer whether public service

motivation (PSM) led to charitable giving (Best & Costello, 2018). The results of the

study indicated that people high in PSM are more likely to donate large sums of money

(Best & Costello, 2018). Such research is relevant to this doctoral study because

appropriate knowledge regarding public service motivation may help Scottish nonprofit

mental organization leaders develop strategies to commercialize innovative products and

services, thereby securing funds to sustain the organization. Furthermore, research

regarding crowdfunding may provide a potential strategy for doing so. Social media is

responsible for crowdfunding becoming increasingly popular as a method of giving. Liu

et al. (2018) studied crowdfunding, and although their findings were contradictory to

previous studies on the subject, the authors found that people are more motivated by the

quality of an organization's website and ease of giving than by empathy or the credibility

of the organization.

Corporate donations. Besides philanthropic donations from individual donors, corporate giving is another type of charitable donation discussed in the literature. Charitable donations are an important source of nonprofit funding. Research indicated that individual donations account for a large percentage of charitable donations; however, corporate donations also generate large amounts of money for NPOs (Bassi, Huck, & Rasul, 2017). Bassi et al. examined the donation behaviors of different types of donors, including individuals, corporations, and aristocrats, and stated that corporations donate large amounts of money, which represents about 25-35% of the income large U.S. charities generate. The findings of the study indicated that compared to nontitled individuals, aristocrats are more likely to respond to fundraising drives (Bassi et al., 2017). Results of the study further indicated that corporations give larger amounts of money than individuals but do not want fundraisers to force them to match other corporate donations (Bassi et al., 2017).

Corporations may not always view their corporate philanthropy as an act of charity; instead, corporations may view philanthropy as a business strategy. Seo (2019) stated that some corporations give to NPOs to satisfy stakeholders. Additionally, corporations may choose to donate money to service-oriented NPOs as well as advocacy-oriented NPOs (Seo, 2019). Seo studied the affiliation of U.S. Fortune 1000 companies with foundations and found that 63% gave to at least one advocacy NPO, with each donation representing about 7% of their total donation dollars (Seo, 2019). A significant finding in Seo's study was that corporations donate to charities to enhance the company's public image, to gain political influence, and to appease stakeholders.

Fundraising events. Some NPOs use fundraising events to entice potential donors to give sizeable contributions. NPOs host different types of special events, such as black-tie galas, dinners, fun runs, 5K runs, and other sports-related events to raise money (Pascual-Ferrá, 2019; Sargeant & Shang, 2017). Fundraising events have four purposes: to raise money, to connect with potential donors, to raise awareness about the nonprofit's cause, and to recognize donors and volunteers with awards ceremonies (Sargeant & Shang, 2017). An added benefit of fundraising events is that they help strengthen community relations for the NPO through the planning, preparation, and execution of the event (Pascual-Ferrá, 2019). There is a rise in fundraising events hosted online in virtual environments. However, according to Nonprofit Tech for Good (2018), 58% of Generation X members attend fundraising events to support charities.

Some large NPOs use charity sports events to raise money. These charity sporting events promote charitable giving and advocate healthy living (Filo, Fechner, & Inoue, 2019). Charity sporting events raise money in two distinct ways. First, the participant must register for the event and pay associated registration and event fees (Filo et al., 2019). Second, after registering for the event, the participants may pledge to raise money and donate raised funds to the charitable organization (Filo et al., 2019). While charity sporting events help generate revenue for charitable organizations, these events are not always successful fundraising endeavors (Filo et al., 2019). Filo et al. (2019) found in their study of Triathlon Pink, an Australian fundraising event that raises funds for the National Breast Cancer Foundation, that four constraints exist that inhibit donors from giving. The four constraints are donor unreceptiveness, lack of money, uneasiness with

asking friends and family to donate, and limited time for fundraising activities (Filo et al., 2019). Therefore, NPOs must be aware of the pros and cons associated with large-scale fundraising events before deciding if the event will help them meet their fundraising goals.

Government Funding and Grants

NPOs operate in an uncertain environment in which locating funding is a critical part of supporting the mission of the organization. NPOs often turn to foundation grants and government funding as part of a diversified funding strategy (Albritton, Hartsfield, Holmes, & Kappmeyer, 2018). Government funding can help NPOs expand and improve the quality of the services they provide (Smith & Herman, 2016). However, government funding can be a hindrance to nonprofit leaders because of government restrictions concerning the services offered by the nonprofit (Smith & Herman, 2016).

For many NPOs, government funding is a large part of their financial portfolio, which makes it extremely important to secure and maintain government contracts (Lu, 2015). Data collected and analyzed from 3,416 501(c)(3) organizations in Maryland indicated that human services-oriented NPOs receive more government funding than other types of NPOs (Lu, 2015). The findings of Lu's (2015) study disputed the notion that NPOs that diversify their financial portfolios will lose their government funding, finding that a diversified financial portfolio does not always decrease access to government funding. Furthermore, Lu determined that securing and maintaining government funding required nonprofit leaders to build relationships with government officials to foster trust and encourage resource sharing.

Some NPOs in Scotland, like their U.S. counterparts, are largely dependent upon both private donations and government support (Lu & Zhao, 2019). Government grants in Scotland are available for organizations that benefit the country socioeconomically (Scottish Government, 2019), while other grants relate to the development of technology and research, such as the Scottish Enterprise and Innovate U.K. grant, which provides funding for development-focused technology and research organizations (Research and Development Grants, n.d.). Scotland's government also allocated federal funding for agencies that provide services for women, children, and mental health and budgeted £50 million for counseling and women's support nonprofit agencies (Scotland Financial Management Directorate, 2018). Additionally, the Scottish government planned to distribute £4 million for adolescent mental health services agencies (Scotland Financial Management Directorate, 2018). NPOs have challenges with securing and retaining government funding both in the United States and in Scotland, and the funds they receive can provide financial security for the organization (Lu & Zhao, 2019). Nonprofit funding strategies reviewed previously include charitable donations, fundraising events, corporate donations, and government funding. Another income-generating method for a NPO is commercializing intellectual property, products, and services.

Commercializing Intellectual Property, Products, and Services

When organization leaders commercialize intellectual property, products, or services, they may be intending to generate income to sustain their mission. Researchers conducted studies on commercialization strategies related to technology-based new ventures (Symeonidou, Bruneel, & Autio, 2017), open-source hardware manufacturing

(Kauttu, 2018), three-dimensional-bioprinting technology (Thakur, Cabrera, DeCarolis, & Boni, 2018), universities (Bengtsson, 2016), and corporate science (Zahra, Kaul, & Bolivar-Ramos, 2018). Based on the results of the studies, both the business community and researchers agree that bringing a product to market is a lengthy process that may or may not result in profit (Symeonidou et al., 2017). However, there is significant debate regarding the best way to make a profit via commercializing a product or intellectual property. The results of these studies may lead to an increase in the strategies NPOs can use to obtain successful commercialization.

Innovation and commercialization process. The ability to invent new products or create intellectual property is not a guarantee that an organization will benefit financially from the innovation developed within their organization (Ceccagnoli & Rothaermel, 2008). To capitalize on innovation, organizations must consider appropriability regimes and the specialized complementary assets necessary to innovate a profitable product or idea (Ceccagnoli & Rothaermel, 2008). The development of innovations is simply the first part of the process, and the protection of such innovations must occur.

Organization leaders must protect new products or intellectual property from imitators if they expect to reap the financial benefits of creations. Using an appropriability regime is how an organization protects its innovation from appropriation and subsequent imitation (Aloini, Lazzarotti, Manzini, & Pellegrini, 2017). Securing a patent for new inventions and intellectual property is a critical piece of the appropriability regime (Aloini et al., 2017). When an organization does not institute an appropriability

regime, the organization suffers, as noted in the telecommunications industry's experience of severe losses in the 1980s because of industry leaders' lack of foresight in obtaining patents for mobile technologies (Aloini et al., 2017).

Securing a patent is an important part of being able to own and distribute new products or intellectual property. There are seven steps to procuring a patent in the United States; first, the organization must determine whether a patent is necessary (United States Patent and Trademark Office, n.d.). Second, they must determine whether a patent already exists, as this would eliminate the organization leader's ability to obtain a patent for their invention (United States Patent and Trademark Office, n.d.). The third step the organization must follow in the process is to determine what kind of patent is necessary, as types of U.S. patents include utility patents, design patents, and plant patents (United States Patent and Trademark Office, n.d.). Within the United States, the most widely issued patents are utility patents (United States Patent and Trademark Office, n.d.). Fourth the organization must acquire resources to support the application process, which includes filing, search, and examination fees, as well as potential legal fees (United States Patent and Trademark Office, n.d.). The fifth step in the process involves the organization filling out, reviewing, and submitting the patent application, which applicants can do online (United States Patent and Trademark Office, n.d.). Sixth the organization begins working with the assigned patent examiner to answer any questions about the patent (United States Patent and Trademark Office, n.d.), which then leads to patent approval or rejection. The seventh and final step in the process is the organization receiving approval for the patent if the innovation meets the requirements (United States Patent and

Trademark Office, n.d.). There are only seven steps to the patent process, yet obtaining a

patent is difficult, costly, and time-consuming. Obtaining a patent is a time-consuming

process, but it is necessary for the commercialization process. A review of the

commercialization strategy implemented by Client A organization leaders indicated that

organization leaders had gone through the proper steps to patent their innovative tool to

secure it as proprietary to their organization. Section 3 of this doctoral study includes

more details about Client A organization's commercialization process.

Besides determining the appropriability regime and obtaining a patent for the

product or intellectual property, another part of the innovation/commercialization process

is to determine what complementary assets the organization needs to support the

innovation (Ceccagnoli & Rothaermel, 2008). Some organization leaders fail to profit

from innovation because they do not consider the specialized complementary assets

necessary, which may include marketing, competitive manufacturing, and after-sales

support (Ceccagnoli & Rothaermel, 2008). The Teece framework, developed by David

Teece (1998), was a tool used to demonstrate the importance of an organization's

appropriability regime and complementary assets. Teece determined that the development

of a strong appropriability regime with complementary assets, either generalized or

specialized, will ensure the innovator reaps the financial rewards of the invention. When

an appropriability regime with complementary assets is too generalized or specialized,

the organization may not reap the financial rewards of the invention because product

imitation is too easy, as is the manufacturing of complementary assets (Teece, 1998).

Organizations must strive to ensure that they obtain appropriate patents and develop

strong appropriability regimes. Client A organization's leaders have also considered the need for complementary assets for their innovative tool. The leaders understand that product support and training are complementary assets essential for both existing users and new clients purchasing the tool. Client A organization's leaders also recognize the need for periodic updates to keep the tool relevant and current with mental health practice standards, which Client A organization's leaders could consider as another type of complementary asset critical to maintaining users.

Open innovation. One of the ways that organizations develop their products or intellectual property is through open innovation. Open innovation is one of two methods that organizations can use to conduct research and development [R&D] to create new products or intellectual property to bring to the market (Chesbrough, Vanhaverbeke, & West, 2006). The use of open innovation product development allows an organization to use internal ideas and external partners to help bring new ideas to the market (Chesbrough et al., 2006). The term *open innovation* implies that ideas can flow from many directions and that products can go to market in a variety of ways, including but not limited to partnerships with external companies (Chesbrough et al., 2006). Open innovation gained in popularity after Chesbrough's 2003 article, *The Era of Open Innovation,* published in the Sloan Management Review journal. In the article, Chesbrough (2003) illuminated how start-up companies were beating large established firms to market without conducting in-house R&D through the new paradigm of open innovation.

Organization leaders in the open innovation paradigm believe that they must go

out into the industry and find new ideas, that they can use internal R&D to augment their

findings, that they do not have to be the originator of an idea to profit from it, and that

intellectual property can be shared or sold to others and remain profitable (Chesbrough,

2003). Another method for R&D is vertical integration product development, also known

as *closed innovation*. Chesbrough clearly outlined the contrasting principle of closed

innovation and within the closed innovation paradigm, found that when organizations

believe that they have the best idea generators working for them, they have a competitive

advantage and that intellectual property should remain heavily guarded and within an

organization's control (Chesbrough, 2003). Client A organization's leaders may consider

using open innovation as a method to developing complementary assets for their

innovative tool as well as using open innovation to update the tool as needed to keep the

tool current with mental health practices. Keeping the tool current and useful will

continuously support mental health delivery and provide services to their stakeholders.

> ***Vertical integration and closed innovation.*** Researchers, scholars, and business

professionals use the term vertical integration R&D synonymously with closed

innovation R&D. Vertical integration R&D and closed innovation R&D are models

organizations use to incorporate internal research and developers to create new products

and intellectual property to bring to the market (Liu, 2016). According to Liu (2016),

some organizations may opt to innovate in a closed system to protect their product from

competitors. Felin and Zenger (2014) postulated that an organization's choice to use

closed versus open innovation depends upon the complexity of the problem the invention

will solve. Problems with low complexity may prompt an organization to use a closed

innovation strategy: whereas, for high complexity problems, the organization may opt to

use an open innovation strategy (Felin & Zenger, 2014).

Some companies opt to use open innovation rather than to continue to use closed

innovation to develop new products or update existing products. However, in a study

conducted by Manzini, Lazzarotti, and Pellegrini (2017), one company discovered why

some organizations might opt to continue using a closed innovation strategy. Manzini et

al. conducted a single case study using the Lindt and Sprüngli Swiss chocolate company,

more openly known as Lindt because they reject the open innovation concept. The Lindt

company has remained innovative since 1845 and believed that their success was a result

of their expertise and experience, which the organization has passed down through

generations of employees (Manzini et al., 2017). The company has eight R&D designated

sites in the eight countries where their manufacturing occurs (Manzini et al., 2017).

Within the Lindt company, the government of the R&D process occurs at the site level

where strict guidelines on the types of products, raw materials that go into the product, as

well as types of packaging, are handed out to the site leadership (Manzini et al., 2017).

Annually the company leaders decide which products they will take to the market by

sifting through a sea of ideas presented by the eight R&D sites (Manzini et al., 2017).

Lindt organizational leaders discard ideas that do not meet the company's overarching

guidelines and push forward ideas that meet their strict guidelines (Manzini et al., 2017).

Manzini et al.'s study of Lindt's closed innovation process found that the company used

some open innovation practices on smaller processes that did not affect their core

business, but that the collaboration and openness are so low that the company remains categorized as adhering to a closed innovation strategy (Manzini et al., 2017). Findings in the Manzini et al. study directly contradicts other research that suggests that companies can only profit from using open innovation as their R&D strategy. Client A organization's leaders may consider a closed innovation process; however, it is unlikely that it will be more effective than implementing an open innovation process.

Nonprofit Commercialization

While commercialization, through both open and closed innovation strategies, has been a part of the main revenue stream of for-profit organizations for decades, NPOs have not traditionally incorporated commercialization to generate revenue for their organizations. Throughout the following section, I examined the existing literature on commercialization as a funding strategy for nonprofits. Commercialization is among the least popular strategies, yet it is becoming increasingly popular among health care NPOs. Furthermore, commercializing intellectual property may be a successful funding strategy for certain nonprofits, such as public universities (Dees, 1998). Commercialization may contribute benefits to NPOs but may also threaten the integrity of nonprofits. However, it is necessary to conduct more research on the types of commercialization strategies that NPOs employ.

Gregory Dees authored a seminal article in a 1998 *Harvard Business Review* that described the driving forces that were pushing NPOs to seek commercial types of funding. Dees (1998) cited several factors that promoted the funding shift toward commercialization to generate revenue, which included rising operational costs, increased

competition between NPOs, and foundation money drying up. Dees stated that the push

toward commercialization could threaten the ability of NPOs to maintain their dedication

to their social mission. However, Kerlin and Pollak (2018) asserted that NPOs related to

human service had increased their reliance on commercial activities since the 1970s.

Kerlin and Pollak further stated that proponents of nonprofit commercialization practices

provide a method by which the nonprofit can become self-sufficient and less reliant on

government funding. Brown (2018) further highlighted the benefits of nonprofit

commercialization and countered Dee's argument by stating that the trend toward

commercialization does not denigrate a NPO's reputation but does the opposite, asserting

that commercialization helps add value. A discussion regarding past and present views

about nonprofit commercialization are relevant to this doctoral study because Client A

organization is a NPO seeking to commercialize an innovative tool they created.

Understanding differing opinions about whether commercialization hinders or helps

promulgate a NPO's social mission may help organizational leaders identify potential

internal and external barriers that may impede the successful launch of their

commercialization strategy.

Commercialization in nonprofit healthcare organizations. One exception to

commercialization to increase revenue as a trend has occurred in nonprofit health care

organizations and is due to specific policy changes that limited healthcare organizations'

access to government subsidies. Beginning in 2010, nonprofit health care organizations

have sought out commercialization to generate funding (Fox, 2015). Following the

passing of the Affordable Care Act (ACA) into law, increasing numbers of healthcare

tax-exempt organizations use commercialization strategies to generate revenue (Fox, 2015). In Fox's (2015) historical review of nonprofit government subsidies from the 19th century to 2010, Fox indicated that charity hospitals and other charitable healthcare institutions changed from sole funding by philanthropic donations to depending upon government subsidies. The paradox of government funding of nonprofit healthcare hospitals and agencies increased government spending and promoted the expansion of other subsidized healthcare programs such as Medicaid (Fox, 2015). According to Fox, government spending increased until the Reagan administration took measures to contain the costs associated with government healthcare funding. The ACA contributed to the containment of government health care costs, resulting in nonprofit hospitals and other health care organizations to find other funding sources (Fox, 2015). Following this, some NPOs in industries other than healthcare now use similar strategies that for-profit companies use to generate revenue. Client A organization functions to provide mental health services to individuals, thereby resulting in their assignation as a health care provider. Client A organization may find it necessary to use the commercialization of innovative products and services to fulfill their funding requirements.

Gaps in the research on nonprofit commercialization. The primary focus of research on nonprofit commercialization consists of reasons for the shift toward commercialization as a funding strategy for nonprofits (Litrico & Besharov, 2019). Existing literature does not consist of extensive research designed to identify the different ways nonprofits use commercialization to generate revenue. Instead, the literature consists of research regarding retail operations, often referred to as *charity shops*, as one

method of commercialization for NPOs (Pue, 2019). To ascertain how they generated

revenue, Pue (2019) studied retail operations in NPOs. Charity shops, usually staffed by

volunteers, sell donated goods to consumers to produce a profit, and generate revenue

(Pue, 2019). The results of Pue's study indicated that large NPOs, such as the Salvation

Army, Red Cross, and the World Wildlife Fund, engage in retail sales to generate

revenue. Furthermore, the results also indicated that charity shops and retail sales to

generate revenue exists in larger proportions in the United Kingdom than in other

countries (Pue, 2019). The results of Pue's research identified a large gap in the literature

regarding nonprofit commercialization strategies, which suggested that researchers have

lumped commercialization strategies into one overarching category. Researchers need to

differentiate nonprofit commercialization strategies to gain a better understanding of how

NPOs generate revenue.

An additional commercialization method used by some NPOs is the generation of

income from intellectual property (IP). However, literature is sparse about nonprofit IP

commercialization. Rather, the focus of most IP research is either on nonprofit healthcare

organizations or academic institutions' use of IP to generate revenue (Fonteilles-Drabek,

Reddy, & Wells, 2017). Existing literature on the generation of income from IP is not

only sparse but several years old. For example, de Rassenfosse (2012) conducted a study

to illustrate how small- and medium-sized enterprises (SMEs) rely more heavily on IP

monetization than larger organizations. After reviewing data from a 2006 survey

conducted by the European Patent Office (EPO), de Rassenfosse concluded that SME's

experience difficulties finding resources to fund obtaining patents for their intellectual

property, but that once an SME obtains the patent, they generate more income from those patents than larger organizations.

The research question serving as the foundation of this study and the literature review relates to strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. Through the application of stakeholder theory as the lens for this study is the acknowledgment that Client A organization must strive to meet the needs of all stakeholders, both within the organization and throughout the community they serve. The use of stakeholder theory, therefore, supports the commercialization of products and services to secure funding and maintain financial stability in NPOs. Using a qualitative single case study design was appropriate for exploring the strategies used by one NPO because they implemented commercialization to secure funding.

Transition

In Section 1, I provided the details of the literature review, which included a review of the U.S. NPOs, a comparison of nonprofits in the United States and Scotland, social business and nonprofit support in Scotland, nonprofit funding strategies, nonprofit commercialization, and commercialization in nonprofit healthcare organizations. In addition, the literature review included information concerning the purpose of NPOs, some of the funding strategies used by NPOs, and the driving forces behind nonprofit commercialization strategies. Freeman's (1994) stakeholder theory supported understanding the inclusion of commercialization strategies by nonprofit leaders to generate profit. Commercialization strategies can help sustain and expand business

operations in Scotland. NPO leaders who can provide essential services in the community by sustaining and expanding business operations may have a positive effect on the stakeholders who use their services.

The purpose of this qualitative single case study was to explore strategies Scottish nonprofit mental health leaders use to commercialize innovative products and services. For this study, the population included four senior leaders of a Scottish nonprofit mental health organization. The potential business significance is that nonprofit leaders in the mental health field may find the information useful when developing funding strategies for their organizations. Results of this study may guide nonprofit leaders' decisions to include commercialization as an additional funding strategy that could support growth and sustainability. Implications for potential change resulting from this study include offering leaders of NPOs in Scotland's mental health field strategies to commercialize their innovative products and services, which could help expand and improve existing mental health services to communities in Scotland.

Section 2 begins with a restatement of the study's purpose and provides details about my role as a researcher and the criteria used to select the participants. Included in Section 2 are the research method, ethical research, and details on the analysis process for this case study. In Section 3, I discuss the client organization using the 2019-2020 Baldrige Performance Excellence Framework. I present the study's findings and explore how they pertain to business practice. My concluding remarks provide guidance to the client organization and offer recommendations for future research.

Section 2: The Project

Section 2 is the presentation of the project, which includes the purpose statement, the role of the researcher, a description of the participants, and details about the research method and design used for this research study. Section 2 also contains information regarding the process that I used to ensure data reliability and validity while collecting data to answer the following research question: What strategies do Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability?

Purpose Statement

The purpose of this qualitative single case study was to explore strategies that Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. The target population consisted of four leaders in one mental health organization in Scotland. The leaders had experience using strategies to commercialize innovative products and services created within their organization. Implications for positive social change include the identification of strategies to commercialize innovative products and services, which may help to both expand services to a wider range of recipients and change the mental health delivery model. Additionally, a review of the information contained in this study may encourage other nonprofit business leaders to consider commercialization as a revenue-building strategy, which could increase the likelihood of organizational sustainability and the provision of additional mental health services to local communities.

Role of the Researcher

My role as a researcher conducting a qualitative single case study was to generate quality research about commercialization strategies as a scholar-consultant in the Consulting Capstone program. The first step in the research process was to read the existing literature to gain in-depth knowledge about the topic. Competent qualitative researchers must be able to (a) frame questions properly to gather information that can be linked back to the research question, (b) listen attentively, (c) demonstrate an understanding of the subject matter, (d) maintain participant privacy, and (e) abide by ethical standards (Yin, 2018). During the research process, I strove to adhere to Yin's (2018) recommendations regarding qualitative research as much as possible.

In qualitative case study research, the method for collecting information includes using structured interviews, semistructured interviews, organization documents, and collecting archival data. Semistructured interviews with the leaders of Client A organization were the primary data source used for this study. Go-To-Meeting was the technology platform used to conduct the interviews with the client leaders. The participants permitted interview recording, which allowed for transcription and coding to find common themes and patterns in the data. Other methods used for data collection were an examination of emails and organization document data such as the organization's mission and vision statements, strategic plans, and financial performance reports. Qualitative research involves close interaction with participants; however, one part of the researcher's role is to collect data and maintain objectivity by keeping a professional distance from the participants (Belotto, 2018; Karagiozis, 2018). Maintaining a

professional distance to achieve objectivity was a goal I observed while conducting this study.

Doctoral students in the Walden University Consulting Capstone Program act as both researcher and consultant as Walden University enters into an agreement with the client that allows scholar-consultants to interview the organization leaders and collect organization documentation to understand the business problem (Walden University, 2019a). Prior to the first meeting with client leaders, the specific business problem was unknown. This client was in Scotland, and the business was a nonprofit attempting to market a mental health innovation. I had experience working with nonprofits in the United States. However, I did not have experience working with Scottish organizations. The intention was to utilize my nonprofit and business experience in an international context. While working in the capacity of scholar-consultant, it took approximately four meetings with several key organizational leaders, including the chief executive officer (CEO), before a business problem surfaced that the client leaders could work to solve with my assistance. Block (2011) posited that there are three roles a consultant plays when working with clients: as an expert, an extra pair of hands, and as a collaborator. Client A organization required expertise and collaboration.

To gain a general understanding of the types of services Client A organization offered, I reviewed their company website, which supplied information about the mission and values of the organization. The organization was in Scotland; therefore, I reviewed information about the Scottish culture to estimate what I could use as an icebreaker in my discussions to help build rapport with Client A organization's leaders. Initiating a light

conversation at the beginning of an interview can help build rapport and help put the participant at ease, because creating a trusting atmosphere and adapting to participant behavior during the interview is essential to obtain information from client leaders (Kaski, Niemi, & Pullins, 2018; Mohajan, 2018). Being mindful of cultural differences can also help researchers avoid miscommunication (Baker, 2015). Doctoral students conducting interviews from a remote location using technology must be proficient at using the technology to make sure the interview goes smoothly (Nikolaieva & Koval, 2019). I believe that my knowledge of Scottish culture and the use of my rapport-building techniques, coupled with proficiency in communication technology, helped create a comfortable and trusting atmosphere between the client and myself. During the semistructured interview, I asked five scripted, open-ended questions to collect information that would answer my research question. Using a distinct protocol that guided the interview process (see Appendix A), I asked these questions in an interview format. Researchers should use interview protocols to reduce the possibility of researcher bias and to gain all the information needed to conduct the study (Yin, 2018). As recommended by Fusch and Ness (2015), standardizing the protocol across participants simplifies the data collection process for less experienced interviewers. Standardizing the protocol thus aided me in making the interviews uncomplicated and unbiased to the best of my ability.

The design of this qualitative research study followed the requirements of Walden University's guidelines for consulting capstone students (see Walden University, 2019a). I paid close attention to the rules for ethical research as outlined by the Belmont Report

(see National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research [NCPHSBBR], 1979). The primary guidelines in the Belmont Report are that researchers (a) protect the participants, (b) follow a recruitment procedure, (c) take into consideration the privacy of the participants, (d) respect the participants' rights, and (e) adhere to the informed consent process (NCPHSBBR, 1979). One of the rules in the Belmont Report also pertains to participant respect (NCPHSBBR, 1979). Respecting participants involves allowing enough time to answer questions, monitoring participant emotional response to answering the interview questions, making sure to account for a participant's physical needs, and ensuring that they understand and sign the consent form (van Leusen, Ottenbreit-Lefwich, & Brush, 2016). The client leaders gave their informed consent prior to the interviews in accordance with this rule.

Another rule that I adhered to in my interviews pertained to doing no harm (see NCPHSBBR, 1979). Participants may feel stress during interviews; therefore, the researcher must recognize undue stress and stop the interview if it becomes too difficult for the participant to continue (Mohajan, 2018). Another rule in the Belmont Report pertained to fairness (NCPHSBBR, 1979). Being fair to the participant means ensuring that the participant's interview reflects their thoughts and experiences accurately (NCPHSBBR, 1979). Participant confidentiality was also a priority, and the deidentification of information that could link Client A organization to the findings in the study took place by using the pseudonyms Participant 1, Participant 2, and so on. I maintained professional conduct during the interview and data collection process. The research techniques used to gather data aligned with the rules contained in the Belmont

Report as well as Walden University's IRB rules (see NCPHSBBR, 1979; see Walden University, 2019a).

To mitigate researcher bias, I identified feelings and personal beliefs about the business problem before conducting the interviews with the client leaders. Researchers are responsible for stating any biases that might skew their analysis of the collected data (Sonuga, 2017). Research bias always exists, and it is the researcher's job to mitigate preconceptions (Zanin & Piercy, 2019). Biases, if found in the research, threaten the validity and reliability of the study (Roulston & Shelton, 2015). I intended to mitigate bias as much as possible to obtain reliability and validity in the results. Using an interview protocol (see Appendix A), ethical standards for interviewing following Walden University IRB Rules and the Belmont Report, and personal awareness and attempts to mitigate bias, this study process produced valid results to identify and provide recommendations for Client A organization's business problem.

Participants

To maintain research alignment, the researcher must make sure that the participant's characteristics link back to the research question. Aligning all parts of the research study ensures that the data collected is consistent and accurate (Yin, 2018). Gathering data that ties back to the research question involves defining eligibility requirements and selecting only participants who meet the appropriate requirements (Yin, 2018). Walden University's Consulting Capstone Manual (Walden University, 2019a) defined the eligibility criteria for the study participants and defined a senior leader as decision-makers in the organization at the supervisor level, manager level, director level,

or those persons considered business owners. The scholar-consultant does not determine organization eligibility; rather, the Walden University Consulting Capstone Program Coordinator and faculty, who pair the scholar-consultant with a client organization based on a predetermined set of criteria, such as the scholar-consultant's professional background, determine placement (Walden University, 2019a). Per the eligibility requirements determined by the Consulting Capstone program, I interviewed four senior leaders in the NPO who could provide in-depth information about the commercialization strategies of the innovative products and services developed by the organization. The client leaders came from different backgrounds and held different roles within the company, but all of them knew the organization's products and services. The first interview was with the CEO. The second interview was with the director of services and innovation. The third interview was with the research manager, and the final interview was with the head of business development.

A best practice for scholar-consultants is to establish the consulting relationship early in the contract and to determine the client's level of involvement in the consulting process (Block, 2011). Researchers and participants form relationships during the interview process that enable the researcher to collect rich data about the phenomena by building positive relationships and rapport with the participant to reduce both the researcher's and the participant's potential nervousness during the interview (Arsel, 2017; Karagiozis, 2018). The strategies used for developing a working relationship with client leaders included brief introductions, sharing about my professional background, the

Walden University Consulting Capstone program, and the scope of the scholar-consultant work.

Initial contact with the client organization was through email, and I obtained the name of the contact person and the email address from my chair. The CEO provided the names of the other contacts and introduced me to them via email. Email introductions allowed me to schedule subsequent meeting dates and times to begin the consulting relationship. Initially, I emailed a Skype meeting invitation to the first participant, and together, we determined that we would meet weekly for several meetings and use the client's Go-To-Meeting platform instead of Skype. The client leader and I agreed upon a combination of Go-To-Meetings and emails as the process for data gathering. The final semistructured interviews using the interview questions and the interview protocol were live, face-to-face meetings held at an offsite location in Scotland. Despite the technological advancements that allow people to interact in a virtual environment, face-to-face communication is still the most effective form of communication and should be used whenever possible (Morgan, Paucar-Caceres, & Wright, 2014). Through using the Go-To-Meeting platform and the face-to-face interviews, I was able to gather plentiful data regarding the participants' thoughts and experiences.

The main objective of the Consulting Capstone program is to provide the client organization a report containing a detailed analysis of the strengths and weaknesses of the organization using the Baldridge Excellence Framework (Walden University, 2019a). The questions used to obtain information addressed the seven performance criteria of the 2019-2020 Baldrige Performance Excellence Program: (a) leadership, (b) strategy, (c)

customers, (d) measurement, (e) analysis and knowledge, (f) management, (g) workforce, (h) operations, and (i) results (see Baldrige Performance Excellence Program, 2019). The information provided by the participants helped identify the strengths and weaknesses of the organization, which is crucial for organizational growth, development, and success of the organization (Baldrige Performance Excellence Program, 2019).

Research Method and Design

Research Method

Researchers must carefully choose the correct research method because it forms the foundation of their study and serves as one of the criteria reviewers use to determine the method's feasibility and accuracy (Alpi & Evans, 2019). To conduct my consulting capstone research study, I used qualitative methodology as per the guidelines in Walden University's Consulting Capstone Program Manual (Walden University, 2019a). Through an exploration of research questions, researchers use qualitative research methodologies in many fields (Bansal et al., 2018). The use of semistructured interviews, common in qualitative studies, allows for follow-up questions and the ability to gain depth and clarity regarding what the participant chooses to share, and helps to answer the main research question (Yin, 2018). Researchers find that using a qualitative methodology is helpful for collecting and analyzing data supplied by a study's participants by providing a comprehensive accounting of a phenomenon (Mohajan, 2018; Rosenbaum, More, & Steane, 2017).

Researchers use the quantitative research method to examine relationships between independent and dependent variables through statistical manipulation (Yin,

2018). Researchers use questionnaires in quantitative methods to ask specific questions (Janse van Rensburg et al., 2018). Quantitative research methods help researchers to gather a broad range of data in a numerical format, rather than in studies rich with participants' experiences (Roberts, Dowell, & Nie, 2019). The quantitative method was not appropriate for this study because an examination of variables and statistical assessment does not include the human element necessary for deep understanding.

Researchers use mixed methods, which include components of qualitative and quantitative research techniques, for research when a need exists to answer a specific type of research question (Janse van Rensburg et al., 2018). Mixed methods are a combination of qualitative and quantitative methodologies (Harvey, 2017; Mohajan, 2018). Yin (2018) suggested that mixed methods researchers gather a broader array of evidence to answer specific types of inquiry by using both quantitative and qualitative data. A quantitative or mixed method study was inappropriate for this study because answering the research questions could occur using a qualitative methodology and because there was no need to examine relationships between independent and dependent variables.

One advantage the qualitative method has when compared to quantitative or mixed methods is that the researcher can establish a relationship with the participant, which may help them to obtain information (McLachlan & Reece, 2015). Face-to-face communication is the best form of communication for giving and receiving information as body language and other nonverbal forms of communication can reveal more about a participant's thoughts and feelings than words alone (Marshall & Rossman, 2016). Performing semistructured interviewing using Go-To-Meeting and face-to-face meetings,

and reviewing organization documents allowed me to explore the commercialization strategies the leaders used in their organization.

Research Design

The Consulting Capstone Doctoral Study requires a single case study research design (Walden University, 2019a). Yin (2018) stated that case study research is the most widely used research design. Case study researchers collect data from multiple sources, including interviews (Alpi & Evans, 2019). Case study research designs offer the researcher flexibility because there is no one set design, and both single and multiple case study designs are common (Yin, 2018).

In Walden University Consulting Capstone Doctoral Studies, Walden University enters into an agreement with the client, which allows scholar-consultants to interview the organization leaders and collect organization documentation to gather data on the business problem (Walden University, 2019a). The multiple case study design was not appropriate for this study based on the rules of the Consulting Capstone Program because multiple case study designs use more than one case. The Walden University Consulting Capstone Program pairs one scholar-consult with one organization (Walden University, 2019a). In general, single case study research explores one specified case at a point in time (Alpi & Evans, 2019). Single case studies often contribute to the body of knowledge by providing information about an unusual situation, an everyday occurrence, or may track an issue over time (Yin, 2018). The purpose of this research study was to explore the strategies that Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial

stability. During the 40-week consulting capstone timeframe, I identified the strategies the leaders of Client A organization used to commercialize their innovative mental health tool. NPOs attempting to monetize intellectual property are unusual and worthy of further examination through the single case study design.

Additional qualitative designs include narrative, phenomenological, and ethnographic designs (Rosenbaum et al., 2017). Narrative design is one type of design used in qualitative studies (Yin, 2018). The narrative design is advantageous in that it helps construct a broader picture of how individuals create an assemblage history of their experience in narrative form (Mills, Harrison, Franklin, & Birks, 2017). Researchers use a narrative design to capture a historical account of a participant's experiences (Smith, 2018). I did not select a narrative design because the purpose of this study is not to use historical or descriptive accounting of a phenomenon. The purpose of my research was not to study experiences but to study strategies used by a group of organizational leaders

Phenomenological researchers explore participants' lived experiences (Dresch et al., 2015). The goal of phenomenological research is to describe the phenomenon under study (Smith, 2018). The phenomenological researcher interviews various people about the same experience to find a *universal essence* of that experience (Yin, 2018). While some description was necessary for this study, the goal was to solve a problem. The phenomenological method was not appropriate because the intention of this study was not to explore the lived experiences of Client A organization leaders.

Ethnographic research involves exploring entire groups over time (Walford, 2018). Researchers use ethnographic designs to study groups of people as their lives

unfold, rather than to explore a snapshot in time where participants reflect upon events (Smith, 2018). Ethnographic researchers use both observation and interviews in the research process to obtain a full understanding of a culture through immersion in the culture (Yin, 2018). This study did not include all of Client A organization's leaders; it included only senior leaders, not the full client culture, or an immersive experience, and therefore made the ethnographic design unsuitable for this study.

Regardless of design type, qualitative researchers must reach data saturation to ensure content validity (Fusch & Ness, 2015; Lowe, Norris, Farris, & Babbage, 2018). Data saturation occurs when the data collection process elicits no new information (Lowe et al., 2018). The researcher's goal of reaching data saturation is to ensure that the researcher gathers enough information to validate the conclusions drawn from the data (Lowe et al., 2018). To obtain enough data to reach data saturation, I combined semistructured interviewing with organization document review. Data validation is another component of data saturation and achieved through member checking. Member checking involves immediately reviewing the data with the participant after, and sometimes during, the interview, so they have an opportunity to review their information for accuracy (Harvey, 2015). The researcher must ascertain whether their interpretation is correct through member checking the data with the participant to garner clarity (Marshall & Rossman, 2016). During the interview process, some of the leaders made small corrections to the information obtained, but others stated the information was accurate. Ensuring data accuracy is one of the single most important steps researchers take to

produce a credible study, and member checking can help to achieve that end (Naidu &

Prose, 2018).

Population and Sampling

Sampling Method

The population for this study consisted of four senior leaders from one nonprofit

mental health organization in Scotland; all the senior leaders had experience using

strategies to commercialize their organization's innovative products and services. van

Rijnsoever (2017) advised qualitative researchers to decide on meaningful samples to

include in their purposive population sampling methods. Purposive sampling goals

include ensuring that participants provide information that links back to the research

question (van Rijnsoever, 2017). Walden University consulting capstone administrators

selected the client organization after determining the organization met the criteria for

consulting capstone participation.

After completing the initial vetting procedures, Walden University administrators

advised the scholar-consultant about the names and contact information for the CEO of

the organization. Once the CEO and scholar-consultant identified the business problem,

the CEO provided the names of three senior leaders who had the background and

expertise to participate in this single case study. In addition to the CEO, senior leaders

chosen for the study included the director of services and innovation, head of business

development, and research manager. Gentles and Vilches (2017) argued that including

descriptions of the participant's credentials can add to the study's validity. The purposive

sample consisted of the four senior leaders at Client A organization who had experience

working with their commercialization strategies. The purposive sample did not include all senior leaders in the organization; however, researchers generally agree that purposive sampling is not meant to be exhaustive, but should be representative of the case study (see Benoot, Hannes, & Bilsen, 2016). In qualitative research, sample sizes are smaller than in quantitative research, and in case study research, the sample size is often three to eight participants (Yin, 2018). The justification for interviewing only the four selected senior leaders was based upon the composition of Client A organization. These four leaders were the only ones with experience with the commercialization strategies, which meant that other leaders in the organization did not meet the sampling criteria.

Sample Size

Researchers use purposeful sampling in case study research as a valid method for choosing study participants as it is essential for participants to provide information that relates to the research question (Yin, 2018). Researchers should not choose the sample solely based on the number of participants (van Rijnsoever, 2017). Sample size should be large enough to reach data saturation, which may be difficult to achieve with a sample size that is too small or too large (Fusch & Ness, 2015). Yin (2018) reminded researchers that selecting the appropriate sample size is one of many decisions that guide the research process. Choosing an adequate sample size may affect the researcher's ability to reach data saturation and ensure the quality of the research (Fusch & Ness, 2015; Gentles & Vilches, 2017; Serra, Psarra, & O'Brien, 2018). Fusch and Ness (2015) stated that data saturation results not from the number of participants, but rather the quality of the information they can provide. For this study, a small sample size of four participants was

appropriate, as I drew from the population of one Scottish nonprofit mental health organization and specifically those who had experience using strategies to commercialize innovative products and services created within their organization. Drawing on additional participants within the organization may have compromised the integrity of the data as those individuals may not have had experience using strategies to commercialize innovative products and services created within their organization.

Data Saturation

A researcher achieves data saturation when there is no new information to learn. For this consulting capstone study, saturation was at the point when the final interview concluded and the member checking process ended. Determining the number of interviews required to reach data saturation is difficult to assess; however, researchers must understand that sometimes what they can obtain may limit the amount of data (Fusch, Fusch, & Ness, 2017). One strategy to ensure data saturation is to analyze data in searching for themes using thematic coding procedures (Belotto, 2018). Therefore, I reviewed the data to find similar words and sentences and assigned codes, as recommended by Belotto (2018). Assigning codes allows the researcher to find information that relates to the research question (Belotto, 2018; Lehmann, Murakami, & Klempe, 2019). Data saturation emerges in different ways in each research study and may cause the researcher much angst, trying to provide evidence that supports how they achieved it (Roy, Zvonkovic, Goldberg, Sharp, & LaRossa, 2015). After reviewing the data several times to look for new codes and themes and identifying none, the lack of new information signaled the achievement of data saturation.

Interview Setting

Semistructured interviewing was the primary method of data gathering for this study. To maintain comfort and confidentiality, I conducted face-to-face interviews in private and secure places chosen by the participants. Choosing a comfortable setting for the interview is an important research decision because interruptions may delay the information gathering process (Dikko, 2016). Allowing the participants to choose the interview setting was practical, given my lack of knowledge regarding suitable places in Edinburgh, Scotland for conducting interviews. One stipulation for the interview setting to ensure compliance with Walden University's IRB guidelines was that it had to be at a location not on the organization's premises. These guidelines state that the scholar-consultant cannot directly observe participants performing their duties (Walden University, 2019a).

Researchers can effectively conduct interviews using Skype or other internet-based communication platforms (Oates, 2015). However, I chose to travel to Scotland to conduct face-to-face interviews. Many researchers believe face-to-face interviewing to be the preferred method for qualitative interview data gathering because face-to-face interviews yield better data (Oltmann, 2016; Szolnoki & Hoffman, 2013). One reason researchers consider face-to-face interviews as the gold standard in qualitative research is the ability of researchers to take notes on the nonverbal cues presented by the participant during the interview process (Oltmann, 2016). Furthermore, as asserted by Oltmann (2016), research indicated that the security precautions researchers take to ensure the

privacy of their participants is both strong and consistent, and there is no risk of potential interception of the conversation, as may occur during telephone or Skype conversations.

Ethical Research

To ensure compliance with ethical standards of research, Walden University doctoral students cannot conduct any research without receiving IRB approval (Walden University, 2019a). The IRB approval number for this study was 11-08-18-0662494. Researchers must protect participants from harm during the research process by implementing a carefully constructed research plan compliant with all IRB guidelines, through which they consider and mitigate potential risks to the participants (Walden University, 2019a).

Researchers bear the responsibility of conducting research that is mindful of teleological ethical principles governing morality, which includes integrity, justice, beneficence, and respect (National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research [NCPHSBBR], 1979). Throughout the interview process, I followed an IRB approved interview protocol in which I identified the potential risks to the participants and made certain to obtain informed consent before initiating the interview. Obtaining informed consent prior to gathering participant data is critical to conducting ethical research (NCPHSBBR, 1979). Researchers must provide participants the opportunity to opt-out of the research as well as the opportunity to review the informed consent form immediately before initiating the interview (Cugini, 2015).

Besides obtaining informed consent, as described by Stang (2015), I used an interview protocol (see Appendix A), which guided the interview process and served as

documentation that the participants were informed about and provided consent to the interview, thereby demonstrating compliance with researcher protocols. During the interview process, I reminded the participants that their participation was voluntary, and they could withdraw from the study at any time without consequence. Before starting the interviews, I provided participants with an overview of how the study may contribute to the body of information about commercialization strategies, as well as how the findings may contribute to organizational change. Informing participants about the benefits of a study can help retain study participants and eliminate drop-out (Dotolo, Nielsen, Curtis, & Engelberg, 2017). Another benefit of informing participants about a study's potential benefits is that researchers may tap into the participants' sense of altruism, thereby decreasing the risk of violating ethical research principles related to coercion (Dotolo et al., 2017). Participants who consented to be a part of this research study did not receive compensation of any kind.

I performed the interviews and other research activities in this study in compliance with the ethical research principles of respect for persons, beneficence, and justice, as outlined in the Belmont Report (see NCPHSBBR, 1979). Additionally, I followed Walden University's (2019a) guidelines for ethical research by obtaining initial IRB approval to start collecting data and obtained additional IRB approvals to conduct face-to-face semistructured interviews. Throughout the study, I followed the IRB approved interview protocol as well as ensuring the organizational leaders received information from Walden University's Consulting Capstone Coordinator about the purpose of the research and criteria for participation and selection. Before starting

interviews, I reminded participants about the purpose of the interview and reiterated their ability to opt-out of the study at any time.

Allen and Wiles (2016) stated that researchers use pseudonyms to maintain confidentiality. I maintained participant privacy throughout the data collection process by deidentifying information and assigning pseudonyms such as Participant 1 (P1), Participant 2 (P2), Participant 3 (P3), and Participant 4 (P4). Furthermore, the study manuscript does not include any personal information about the participants, per the recommendation of Bromley, Mikesell, Jones, and Khodyakov (2015). Other privacy measures taken included redacting information from the study, such as participant names, organizational logos, or brand information, which could connect this research to the participants' organization. To maintain data security, I kept the data secured and password-protected electronically on my computer hard drive as well as backed-up and password-protected within my cloud storage. To ensure compliance with Walden University's research protocols, I planned to store the data for 5 years, destroying the data after 5 years (Walden University, 2019b).

Data Collection Instruments

Qualitative researchers use data from several sources during the research process (Yin, 2018). Along with sources such as interviews and documentation, Belotto (2018) identified the researcher as the primary data collection instrument. In this study, I acted as the primary data collection instrument and conducted participant interviews. Other methods for gathering data included a review of internal documents, the organization's website, and financial records to obtain information regarding the strategies the senior

leaders of Client A organization used to commercialize their innovations. Lehmann et al. (2019) posited that researchers must aim to gather as much rich data as possible in the data collection process to capture the participant's experience with the subject matter adequately. Conducting semistructured interviews using open-ended questions in the data gathering process is one way that researchers can obtain rich data for their research study (Yin, 2018). In my role as the primary data collection instrument, I interviewed participants using a series of written semistructured interview questions in a face-to-face setting and followed a detailed interview protocol (Appendix A).

The data collection process for this study involved inviting qualified participants to take part in the study. Once they agreed, I conducted face-to-face interviews with each participant, using a list of five open-ended questions designed to collect data about the organization's commercialization strategies. Researchers can use member checking to ensure the validity of their findings (Belotto, 2018; Fusch & Ness, 2015). During the interview process, I was the primary data collection instrument, and I used member checking to validate the accuracy of the data and to improve study reliability and validity.

Semistructured Interviews

Each of the semistructured interviews began with a review of the nature and purpose of the study. Participating senior leaders received assurance that all information would stay confidential and that they were free to terminate the interview at any time. According to Palinkas et al. (2015), researchers use open-ended questions when they may need to ask additional questions to increase the depth of the information provided. The interview questions for this study were open-ended and designed to allow for the use of

prompts to encourage participants and ensure they were providing the most comprehensive responses possible.

Each interview lasted approximately 60 minutes, although they were sometimes shorter or longer depending on the amount of information the participant shared. Each interview occurred in an environment that was private and supported the confidentiality guaranteed to participants in the interview protocol. To enhance the reliability and validity of the data collected in the interview process, I used member checking to check data accuracy by providing a synthesized summary of their answers for each participant to review. Information gathering and review continued until no new information resulted from the interviews (Marshall & Rossman, 2016). Ancker et al. (2015) mentioned that member checking is a process that researchers use to ensure the validity of a study. After each interview, I sent the interview transcription to each of the participants for their review and feedback. Allowing the participants to review the interview transcription helped to reduce or eliminate response bias and inaccuracies resulting from poor memory (Yin, 2018).

Document Analysis

Data collection included several techniques, which included reviewing organizational documents such as the 5 year strategic plan, financial documents, and the tool Client A organization was targeting for commercialization. Each document received an evaluation to determine relevance and appropriateness for the study based on the Baldrige Performance Excellence Program, study research question, and interview question topics. As suggested by Hussein (2009), I used methodological triangulation to

add to the depth of the data gathered and to increase the study's validity. Some researchers mix qualitative methods with quantitative methods for triangulating results (Kaur, 2016). However, quantitative data collection methods were not appropriate for this study, and the use of the previously mentioned methods allowed for study validation.

To assess the strengths and weaknesses of Client A organization's strategy, I reviewed the organization's 5 year plan and verified the information obtained in the semistructured interviews against the data published in the plan. I looked for congruence and whether the senior leaders were knowledgeable about their organization's plans. Understanding how leaders make their strategic decisions and resource allocation is an essential element in understanding how senior leaders execute strategy (Baldrige Performance Excellence Program, 2019). As per Walden University's protocols (see Walden University, 2019b), I will keep all the data collected for this study for 5 years and then destroy it.

Data Collection Technique

Qualitative researchers draw on various resource materials and use various data collection techniques. Data collection techniques for qualitative research include interviews, direct participant observations, review of company documents, such as sales reports, strategic plans, mission vision, and value statements, as well as financial reports, and other documents that may be relevant to the study (Yin, 2018). Yin (2018) also stated that researchers might choose to collect data using other documentation methods such as email, memos, letters, and personal documents. In addition to reviewing important documents related to the organization's mission, values, model, operations, and financial

history, study data included the use of semistructured interviews. The acquired interview data contributed to answering the research question by providing otherwise unattainable information and perspectives.

Guided by the research question, I used semistructured interviews for gathering some of the data. Using interviews as a data collection technique has advantages and disadvantages. Palinkas et al. (2015) indicated that interviewing is an acceptable method to gather data for a qualitative research study. One advantage found in using interviewing as a data collection technique is that the researcher can collect current information about the topic that comes straight from the source (Kaliber, 2019). Another advantage of using interviews as a data collection technique is that the researcher can collect rich data expressing the participants' experiences, feelings, and knowledge about the subject matter under study (Kaliber, 2019; Yin, 2018). Collecting data using interviewing techniques has both advantages and disadvantages.

One disadvantage of conducting qualitative interviews is that some researchers question whether the data obtained in the interview contains biased information that could lead to misleading conclusions and misinformation (Sonuga, 2017). Another disadvantage of conducting interviews is that there may be some information obtained during the interview, which may not be accurate, as well as difficult to validate (Bell, 2014; Kaliber, 2019; Sonuga, 2017). Biased or nonfactual information published in a manuscript threatens the validity and reliability of the study (Yin, 2018). Nevertheless, I attempted to obtain the most accurate information possible by reassuring the participants that I would hold what they shared in the strictest confidence.

Given the central importance of interview data in qualitative studies, researchers need to adhere to strict procedures when interacting with participants. Interviewing is one of the most important data-gathering techniques (Yin, 2018). Each interview followed a specific, previously outlined protocol (see Appendix A) to ensure the rigor of the interview data collection process. Member checking and triangulation are two important strategies researchers use to improve the credibility and rigor of a study (Yin, 2015). Demonstrating that a researcher followed the rigors of research by using member checking and triangulation are important in producing quality research (Belotto, 2018; Varpio, Ajjawi, Monrouxe, O'Brien, & Rees, 2017). Member checking involves discussing the information obtained in the interview with the participants and allowing them to make corrections if needed (Belotto, 2018). The interview protocol followed for this study included member checking by allowing the participants to verify the accuracy of the transcript and to provide feedback. Triangulation refers to the use of data from multiple sources to answer the research question (Fusch & Ness, 2015). For this study, I used methodological triangulation.

To gain knowledge regarding background information about Client A organization and the commercialization of their organization's innovative products and services, I used data collected from organization documents in addition to the semistructured interviews. According to Lewis (2015), researchers can use documentation data to corroborate the information received from participants during the interview process. Clark and Vealé (2018) asserted that the use of company documentation provides researchers with additional background to interpret the data

acquired during the research process. One disadvantage of organizational data collection is that although analyzing documents is a manageable and efficient data collection technique, Yin (2018) argued that documentation does not provide researchers with information regarding the opinions and needs of the study participants. However, researchers can use organizational documents to triangulate the data acquired during the interview process, thereby confirming the credibility of their study.

I did not conduct a pilot study because the case study design and use of semistructured interviews did not necessitate it. Researchers often conduct pilot studies before conducting a large-scale study, which most often occurs in quantitative research, especially studies related to medical research (Arain, Campbell, Cooper, & Lancaster, 2010; Lancaster, 2017). Within the context of qualitative research, data collection through questionnaires and structured interviews sometimes necessitate pilot studies. The semistructured interview data collection used for this study made a pilot study unnecessary.

Data Organization Techniques

Efficient and effective data organization is important for carrying-out thorough and accurate research. Data organization is a precursor to data analysis, which a researcher performs after completing the data collection (Saunders et al., 2016). Researchers use various methods to organize the notes, data, and electronic files that accumulate during the research process (Hahn, 2008). Whatever method a researcher uses, the data must be easily retrievable (Saunders et al., 2016). Moreover, Hahn (2008)

asserted that researchers should maintain quality organization because it helps to ensure the inclusion of all available data in the analysis.

Organization techniques used for this study included holding and recording interviews with participants, taking handwritten notes using a reflective journal during interviews, member checking that the participants shared what they intended to share, and transcribing interviews. The use of a reflective journal provides researchers with a method for examining their assumptions, values, and preconceptions throughout the research process, thereby increasing the reflexivity of their research study (Korstjens & Moser, 2018). Transcriptions occurred within 24 hours of the interview using NVivo 12 transcription software to ensure the accuracy and efficiency of the transcription process. McGrath, Palmgren, and Liljedahl (2019) asserted the importance of transcribing interviews as close to the end of the interview as possible, because this ensures the researcher will remember the nuances observed during the interview and provides the opportunity to identify similarities and differences between the individual interviews.

Furthermore, I kept all data organized and secure during the collection and analysis processes. In addition to facilitating research and analysis, it is important to keep data organized for confidentiality purposes. According to Walden University's research protocol, researchers should store the data for 5 years in a secure location (Walden University, 2019a). As such, documents retrieved from the client organization will remain stored on a password-protected computer for 5 years and deleted once that timeframe has elapsed.

Data Analysis

Methodological triangulation was the approach used to analyze data collected in this case study. According to Korstjens and Moser (2018), methodological triangulation ensures the credibility of the research study. Furthermore, Yin (2015) asserted that the use of multiple sources provides the researcher with evidence they can verify to ensure validation. I conducted methodological triangulation by identifying overlapping themes and multiple dimensions from the data collected for this case study and from the existing literature. More specifically, I used thematic analysis to triangulate the available data. According to Yin (2018), the use of thematic analysis provides researchers a strategy for ascertaining the context of the data and an accurate understanding of the results. The data used in the thematic analysis process included various organizational documents, as well as material from semistructured and informal interviews. The organizational documents included the organization's website, mission and values statement, 5 year strategic plan, and financial records.

Thematic analysis is a foundational technique for completing data analysis that offers the researcher the ability to analyze both large and small data sets and can help in the identification of key themes or patterns found in the data (Swygart-Hobaugh, 2019). The data analysis in this study occurred using Yin's (2018) approach to thematic analysis, along with the help of NVivo, to uncover the underlying themes present within the data. The thematic analysis process suggested by Yin consists of five steps: (a) compile the data, (b) disassemble the data, (c) reassemble the data, (d) interpret the data, and (e) draw conclusions about the data. Novice researchers commonly experience challenges with

qualitative analysis. Therefore, novice researchers can benefit from using computer-assisted qualitative data analysis software to aid in the data analysis process (Saunders et al., 2016; Swygart-Hobaugh, 2019). Researchers use NVivo to identify recurring textual markers, which assists the researcher in sorting information with respect to its relevance to the research question (Swygart-Hobaugh, 2019). Additionally, using data coding throughout the process aids in finding the relevant themes (Saldaña, 2015). However, while NVivo is useful for thematic analysis, researchers need other tools and techniques for rigorous data analysis, which for this study included the use of a journal for notetaking.

The identification of key themes was the result of a multi-step data analysis process. The first step in the process was the use of member checking to determine if the data collected in the interview process was accurate. I used the Baldrige Performance Excellence Program (see Baldrige Performance Excellence Program, 2019) to guide organizational data collection and to help identify information relevant to the participants' commercialization strategies. The final phases involved using NVivo 12 software to code and identify key themes and conclusions. The analysis of the data revealed key themes, which I used to determine the strategies leaders of the client organization employed to commercialize their products and services. Methodological triangulation was then used to consider these findings in relation to the existing literature and the conceptual framework to discuss how the current study compares to other, similar studies.

Reliability and Validity

Researchers choose to use quantitative and qualitative studies to achieve different standards of quality and scientific rigor. According to Marshall and Rossman (2016), a researcher's ability to ensure reliability, validity, objectivity, and generalizability determines the rigor of a quantitative study. However, researchers found that those standards do not apply to qualitative studies (Marshall & Rossman, 2016). Whereas quantitative studies fall firmly within the positivist paradigm, qualitative studies generally exist within an interpretivist epistemological framework (Eriksson & Kovalainen, 2016). Qualitative studies need unique standards of judgment that reflect the methodological limits and epistemological assumptions (Eriksson & Kovalainen, 2016). Instead of using the standards of reliability, validity, objectivity, and generalizability, Bansal et al. (2018) asserted that the judgment of qualitative research should occur by examining credibility, transferability, dependability, and confirmability. Although these criteria are not directly measurable, researchers can establish them through triangulation, data saturation, and member checking (FitzPatrick, 2019).

Reliability

Regardless of a study's methodological approach, a researcher needs to demonstrate that the results attained in a study are scientifically sound (Spiers, Morse, Olson, Mayan, & Barrett, 2018). Qualitative researchers enhance dependability in a variety of ways, such as reviewing the data after collection, coding the data to find common themes, checking for consistency across participants, and assessing the reproducibility of the results (Chowdhury, 2015; Spiers et al., 2018). To address

dependability, I followed a standardized process, performed member checking of the data interpretation, and sent the transcripts to the participants for review. Reaching data saturation through conducting a rigorous process ensured the attainment of all possible information related to answering the research question, thereby increasing the study's dependability. The member checking and transcript review processes are particularly important where dependability is concerned because their use allows participants to verify the accuracy of their responses, thereby preventing manipulation resulting from researcher bias or by the dominant explanations found in existing literature (Clark & Vealé, 2018). For this study, I followed the member checking process delineated by Marshall and Rossman (2016). Member checking occurred after interviewing each of the participants via phone. Additionally, I used a transcript review process to ensure reliability. After each interview, I reviewed the interview transcript and synthesized the participants' responses into a one to three sentence summary for each question. To maintain confidentiality, after synthesizing each interview transcript, the interviewed senior leader received the transcript in a private email. I then followed-up with the participant to discuss my interpretation of the interview data. The participants then verified or corrected the information and had the opportunity to contribute more information to the study at this time.

Validity

Researchers can use several methods to enhance the validity of a study. Along with assuring dependability, member checking is useful for validating the findings of a study (Belotto, 2018; Fusch & Ness, 2015). Member checking was a vital part of the data

collection process used for this study and included (a) reviewing and interpreting the transcripts, (b) sending transcribed summaries of the interview transcript to participants, and (c) reviewing the interview summaries with participants for accuracy and completeness. Additionally, I spoke with participants via phone to review the information for accuracy. In the context of qualitative studies, validity refers to the credibility, confirmability, transferability, and use of data saturation to validate the findings.

Credibility. Credibility relates to the authenticity of the data (Saunders et al., 2016). One way that a researcher can enhance credibility is by preserving the meaning intended by research participants (Ripamonti, Galuppo, Gorli, Scaratti, & Cunliffe, 2016). Data collected from individual participants should reflect the ideas of the participants and not the researcher's interpretation (Bengtsson, 2016). The use of member checking was an important part of this study's data collection process and included reviewing and interpreting the transcripts, sending transcribed summaries of the interview transcript to participants, and reviewing the interview summaries with participants for accuracy and completeness. To further achieve credibility, I used methodological triangulation. Methodological triangulation is the process of using several methods of primary research to gather data, such as interviews, observations, surveys, questionnaires, and documents to guarantee the integrity of the findings (Denzin & Giardina, 2016). In addition to using interviews and documentation, I used the existing literature as a source against which to check my interpretations of the interviews and documentation data.

Transferability. Researchers use transferability in qualitative studies to generalize or apply the results or methods of one study to other studies (Ang, Embi, &

Yunus, 2016; Palinkas et al., 2015). Transferability occurs by following the rigors of

research and by inviting readers to draw their conclusions (Roberts et al., 2019).

Researchers are more likely to draw on studies that include transferable findings, which

influences the potential to provide access to new knowledge (Korstjens & Moser, 2018).

Palinkas et al. (2015) suggested that to ensure transferability, researchers must provide a

detailed description of the target population, procedures, and limitations concerning a

study so that future researchers can achieve similar results using the same procedures. To

aid in transferability, I included a detailed description of the eligibility criteria for the

study participants, research methods used, and data analysis process. Following a

rigorous data collection process carefully detailed for the study, adhering to a specific

interview protocol that included member checking, and reaching and documenting data

saturation, enhanced the transferability of the study's findings.

Confirmability. In qualitative research, researchers use the term confirmability to

describe the extent to which others can substantiate the results of the study. To ensure

confirmability, researchers strive to review the data objectively, rather than from bias

(Abdalla, Oliveira, Azevedo, & Gonzalez, 2018). Additionally, researchers use

methodological triangulation to help establish confirmability by providing multiple

corroborating information sources, which demonstrates the trustworthiness of the data

(Abdalla et al., 2018). Korstjens and Moser (2018) stated that researchers must be

transparent about their research process and keep meticulous records to certify

confirmability. To address confirmability, I collected data from multiple sources, using

methodological triangulation, and allowed participants to review their interview transcripts.

Data saturation. Researchers use data saturation as a mechanism to confirm that they have collected enough data to draw conclusions (Lowe et al., 2018). The process of asking participants the same interview questions is one way to achieve data saturation (Fusch & Ness, 2015). According to Fusch and Ness (2015), researchers who do not achieve data saturation put the validity of their study at risk. Achievement of data saturation occurred in this study by obtaining rich and thick data, by asking the same questions in the interviews, and by employing methodological triangulation activities.

Transition and Summary

The purpose of this qualitative sing case study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services. During this study, I functioned as the data collection instrument, collecting semistructured interview and organization document data, using an interview protocol, and applying reflexive journaling to mitigate potential biases. The selection of the four senior leaders from the one Scottish nonprofit mental health organization who participated in this study occurred via purposeful sampling. The sample size was enough to yield rich data and reach data saturation. Throughout the study, I used the guidelines outlined in the Belmont Report to conduct ethical research.

Data collected for this study included a review of the organization's website, internal documents provided by study participants, and semistructured interviews with four nonprofit mental health organization leaders. Member checking and transcript

review helped to ensure the accuracy and credibility of the data collected. The use of

NVivo 12 software facilitated a thematic analysis of the interview data and organization

documents. In addition, I used member checking, methodological triangulation, and data

saturation to safeguard the study's reliability and validity.

In Section 3, I begin with a description of the client organization. The components

that follow include a presentation of the findings, application to professional practice, and

implications for social change. Finally, I conclude by providing recommendations for

future research, client recommendations, key findings, and my reflections.

Section 3: Organizational Profile

The purpose of this qualitative single case study was to explore strategies that

Scottish nonprofit mental health organization leaders use to commercialize innovative

products and services to secure funding and ensure financial stability. The research

question that guided this study was: What strategies do Scottish nonprofit mental health

organization leaders use to commercialize innovative products and services to secure

funding and ensure financial stability? Data analysis consisted of information obtained

from semistructured interviews with four senior leaders from Client A organization;

website review; and a review of company documents related to the organization's

mission, values, operations, and financial history. I used methodological triangulation,

member checking, and thematic analysis to analyze the data collected. When I reviewed

the interview question answers regarding the organization's commercialization strategies

compiled and coded in NVivo 12, the results indicated that the leaders are using

inconsistent ad hoc processes, an ill-defined marketing strategy, word-of-mouth

promotion, internal tool use, and selling or giving away product licenses as their

commercialization strategy. Other information gathered in the organizational assessment

came from asking questions formulated using the Baldrige Performance Excellence

Framework.

Key Factors Worksheet

The purpose of the organizational profile in the Baldrige Performance Excellence

Framework is to define the organization's environment and organizational situation

(Baldrige Performance Excellence Program, 2019). Completing the organizational profile

is the first step in performing a comprehensive organizational assessment using the seven

Baldrige Excellence Criteria: (a) leadership; (b) strategy; (c) customers; (d) measurement;

analysis, and knowledge management; (e) workforce; (f) operations; and (g) results

(Baldrige Performance Excellence Program, 2019).

   The design of the Baldrige Excellence Framework is such that organization

leaders can use it to help identify opportunities for improvement within an organization

(Baldrige Performance Excellence Program, 2019). Using the Baldrige Excellence

Framework criteria helps scholar consultants gain a holistic perspective of the client

organization by identifying strengths as well as weaknesses (Baldrige Performance

Excellence Program, 2019). Figure 1 illustrates the interweaving and connecting of the

seven criteria by core values and concepts and shows a visual representation of how the

seven categories are dependent upon measurement, analysis, and knowledge

management, which is a key driver for organizational results. Completing the seven

categories of the Baldrige Excellence Framework criteria serves as the foundation for

research findings and recommendations for the client organization.
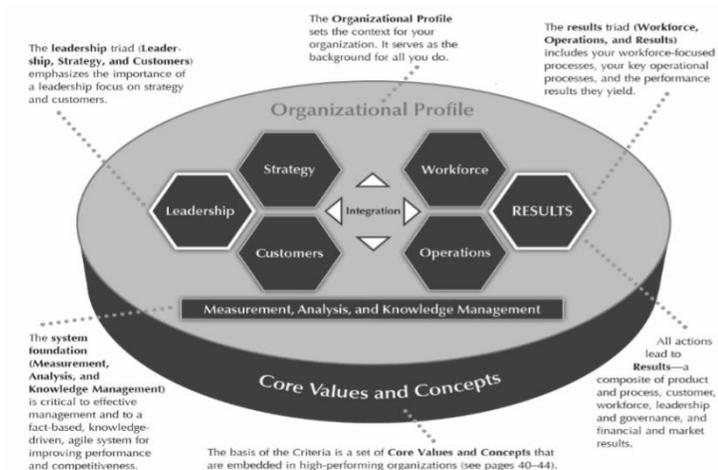
Figure 1. The Baldrige Excellence Framework criteria. This figure illustrates the seven critical areas identified in the Baldrige Excellence Framework's organizational profile. From Baldrige Performance Excellence Program. 2019. *2019-2020 Baldrige Excellence Framework: Proven Leadership and Management Practices for High Performance.* Gaithersburg, MD: U.S. Department of Commerce, National Institute of Standards and Technology.

Organizational Description

Client A organization is a Scottish NPO that has provided community mental health services for more than 30 years. The leaders of Client A organization intended the organization's support to be an alternative to hospital-based mental health care. To address community health needs, Client A organization's leadership began business operations by providing in-home services for mentally ill people within the community. Additionally, the leaders set a goal to connect people with long-term mental illness with mental health support practitioners to help promote independence and help people with mental illness remain in control of their lives. The leaders use a community mental health delivery model based on the right of individuals to choose providers, maintain their dignity, and have an expectation of recovery. Organization service beneficiaries are

children, young adults, older adults, people with disabilities, and people of all

socioeconomic backgrounds who have acute or chronic mental illness.

Client A organization operates in Scotland in an environment with 24,934 other

registered charities, of which 387 provide mental health-related services (Scottish Charity

Regulator, n.d.). The environment for mental health services is competitive, which forces

the leaders of my client organization to differentiate themselves in the market and ensure

that they have services that meet the needs of the community. Organizational

characteristics include the use of peer support workers, crisis intervention, in-home

services, recovery-based care, and self-directed support.

Organizational environment. The organizational environment section of the

Baldrige Performance Excellence program includes descriptions of key organizational

characteristics, such as product offerings, mission, vision and values, workforce profile,

assets, regulatory requirements, organizational relationships, organizational structure,

customers and stakeholders, suppliers, and partners (Baldrige Performance Excellence

Program, 2019). Gathering information regarding each of the Baldrige categories listed

above helps organizational leaders critically analyze their organization to determine

business operations and key business influences. Completing this section also helps

leaders determine the organization's unique value proposition (Baldrige Performance

Excellence Program, 2019). Client A organization is one of 387 mental health charities in

Scotland (Scottish Charity Regulator, n.d.). The CEO thinks the environment for service

delivery is mildly competitive, especially when it is time to negotiate government

contracts and for fundraising initiatives. In the next several components, I included a

review of Client A organization's product offerings, mission, vision, values, and aims, as well as the organization's workforce profile, assets, regulatory requirements, and organizational relationships with key stakeholders, customers, and suppliers, to provide a detailed overview of my client organization, how they operate and an explanation why the organizational leaders decided to commercialize their innovative mental health tool.

Product offerings. In 2018-2019, 4,500 people used Client A organization's mental health services. The primary product offerings that Client A organization provides are services to support people with mental health issues, alcohol-related brain damage, homelessness, people in a mental health crisis, and people who engage in self-harm. The organization provides supported living services, supported accommodation services, crisis and short-term support, social inclusion services, and self-directed support. Additionally, Client A organization uses several innovative tools, which aid in providing direct support to the clients. Alternatively, the client organization commercialized one of their most popular mental health tools. The tool is marketed for use locally and in other countries to help generate revenue for the charity.

The supported living services provided by the organization help meet people's needs by assisting them in their own homes. The goal of the supported living service is to offer emotional support and practical guidance that supports leading a normal life. The client's needs determine the services provided but can include help with budgeting, general life skills, and learning social skills.

Another important service provided by the organization is supported accommodation services. Client A organization operates three care homes to help support

the care of people with long-term mental illness. The goal for the accommodation services is to foster independent living, as much as possible, while providing emotional support and help with activities of daily living. The care homes Client A organization operates are shared houses and independent, self-contained flats (apartments).

Client A organization also provides crisis and short-term support services for the mental health community. The organization operates a 24-hour crisis hotline in addition to providing temporary crisis housing support where people in crisis can live in the center for up to 7 days. Additionally, crisis support includes first response services for people in the community in crisis. First responders who arrive at the scene for people in mental health crisis help connect the person in crisis with appropriate mental health services.

Supplementary programs offered by Client A organization include social inclusion services, which help people experiencing mental health issues integrate back into the community. In this program, mental health workers help people connect to mainstream activities, such as sports, clubs, volunteer work, paid work, and other social activities. The goal for social inclusion services is to help eliminate social isolation and help promote relationships and community involvement for people battling mental illness.

Last, the organization provides self-directed support. Self-directed support offers a menu of services for people to choose from, such as help with reintegration into the community, stress-reducing activities, improving physical fitness, as well as services to support mental health. The self-directed support program allows for individuals to choose

support based on their lifestyle and budget. Figure 2 illustrates the organizational

offerings structure.
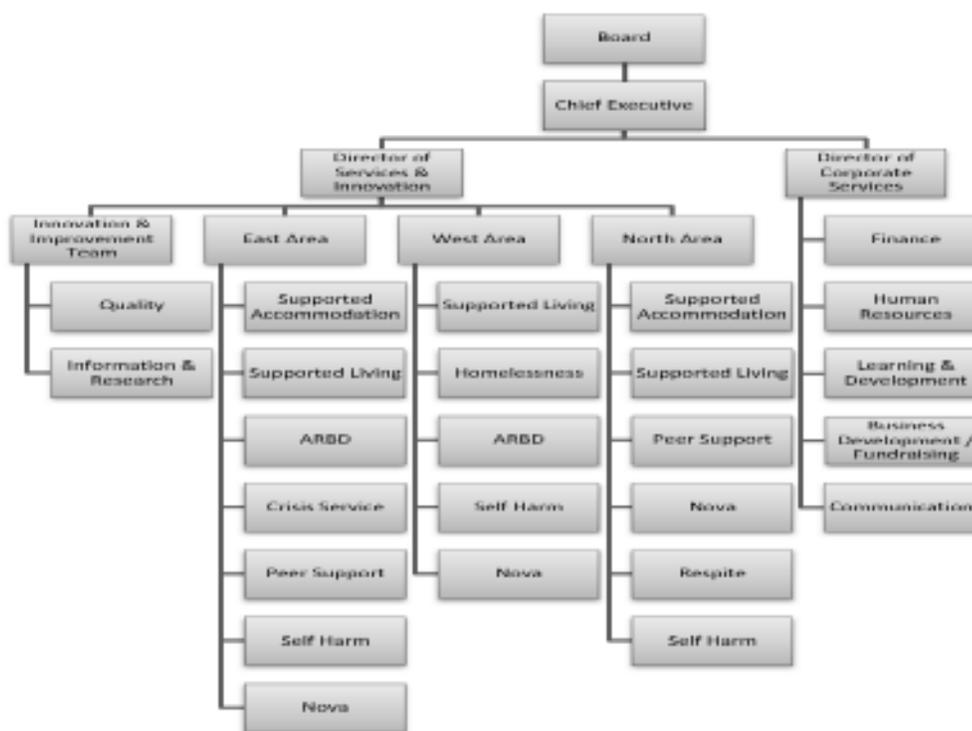
Figure 2. Organizational offerings structure. This figure illustrates an overview of the services and offerings provided by Client A organization. Nonprofit (including government) organizations might refer to product offerings as programs, projects, or services.

   Mission and vision. Client A organization's core business of providing mental

health services for people living in Scottish communities correlates to their mission and

values which are to improve mental health and well-being (see Table 2). The organization

provides a variety of services and products to help support the mental health and overall

well-being of the people they serve. Through the array of services and products they

provide, Client A organization has been able to sustain business operations and maintain

a competitive advantage for 30 years.

The organization has a clearly stated vision, which references a future society in which people with mental health illness recover and live full lives. Client A organization's leaders developed their 5 year strategy goals with their mission and vision at the forefront of their minds and work tirelessly, providing quality services in the community. The leaders participate in local government legislative meetings to influence legislature regarding financial and policy decisions that will help Client A organization sustain business operations well into the future. The organization's leaders promote their core competencies of mental health care in several communities throughout Scotland.

Table 1

Client A Organization's Summarized Mission & Vision

Mission	Client A organization's mission is to provide innovative mental health services that help improve overall well-being.
Vision	Client A organization envisions a future society where people with mental health recover and live productive lives.

Workforce profile. Client A organization engages 400 employees in 15 locations across Scotland. Job titles within the organization include peer recovery workers, recovery workers, recovery practitioners, assistant managers, and managers. In addition to the frontline service providers, the organization employs corporate staff who report to the chief executive. The director of services and innovation, office manager, and the director of corporate services report to the chief executive, and the two directors oversee all other operating arms of the organization. Although some NPOs use volunteers and interns to achieve their mission, Client A organization does not rely on these two groups

to augment their workforce. Figure 3 illustrates the organizational chart and reporting

structure.
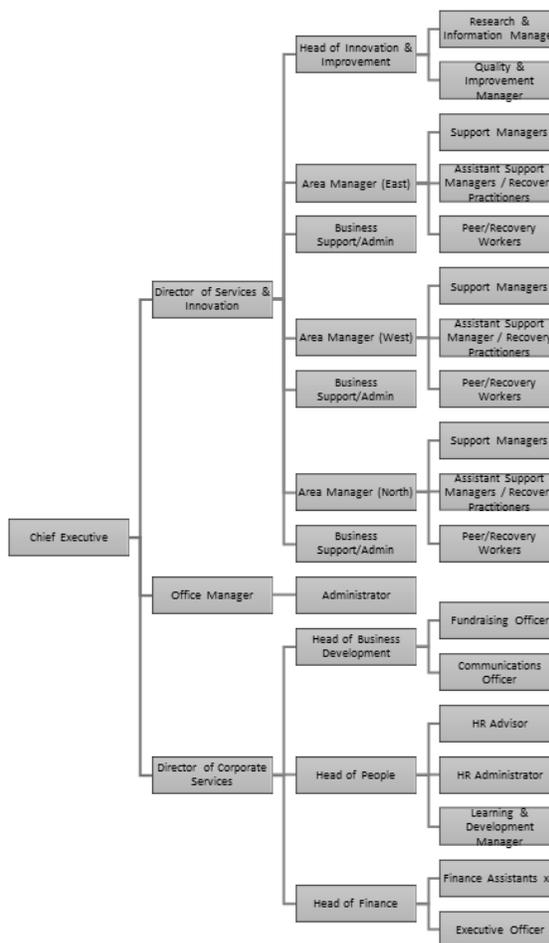
Figure 3. Organizational and reporting structure. This figure illustrates Client A's
organizational chart for staff roles.

   Assets. The chief executive officer reported that the organization's key resources

are their staff, managers, directors, and their board. Physical assets include two properties

in Scotland valued at £250K, as well as other office-related physical assets, such as office

furniture and computers. Client A organization listed their innovative recovery tool as

one of their prized intellectual property assets as well as their various other service

delivery tools. The main office is in Edinburgh, where the organization rents space in an office building, owned and operated by an independent registered Scottish charity whose goal is to house other Scottish charities promoting shared premises, community development, and community engagement. Additional assets include partnerships with other community agencies and a fully developed staff training program that meets all regulatory requirements.

Regulatory requirements. Client A organization is a Company Limited by Guarantee and a Scottish registered charity based in Edinburg, Scotland. The Scottish government commissioned Client A organization in 1985 to provide social care to adults, children, and youth in Scotland. Before 1985, when the Scottish government commissioned Client A organization to provide services, community mental health support was nonexistent in Edinburg. The registration of Client A organization is with the Scottish Charity Regulator under a standard regulatory type for Scottish charities.

Under their charity registration, Client A organization operates for charitable purposes, which include (a) providing care and aftercare for people with mental illness; (b) helping to encourage community development of rehabilitation facilities and group homes for people with mental illness; (c) employing professional workers to care for people with mental illness; (d) managing money, such as grants and charitable donations, to act as a trustee to ensure fund allocation for the care of people with mental illness; and (e) maintaining or acquiring buildings and other holdings for the operations of the charitable organization. As previously mentioned, Client A organization's leadership goal is to help people with mental illness recover and reintegrate into society as productive

members to the extent that it is possible. Client A organization intends to change mental health care delivery in Scotland from illness-focused to recovery-focused.

Organizational relationships.

Organizational structure. Client A organization is a Scottish registered charity equivalent to a 501(c)(3) NPO in the United States. The organization uses Scottish charity regulations to govern corporate operations as well as a volunteer BOD. The BOD operates as a group structure with one wholly owned subsidiary. The BOD members act as trustees for the purposes of charity law, and they meet up to six times a year to make recommendations regarding finances, strategy, and quality. The BOD consists of seven members divided into two committees: People Quality Improvement and Finance Risk Audit. The People Quality Improvement committee is responsible for monitoring current market activities and makes recommendations for future market and industry activities. The Finance Risk Audit committee is responsible for monitoring Client A organization's financial position and helping identify income-generating opportunities. Every 2 years, the BOD meets and sets the priorities for the upcoming 2 year period. However, the BOD outlined the following priorities in their 5 year strategic plan until 2020: acquiring financial resources to support strategy, developing a CEO succession plan, and assessing organizational performance against strategy. Figure 3 illustrates Client A organization's BOD structure and committees.
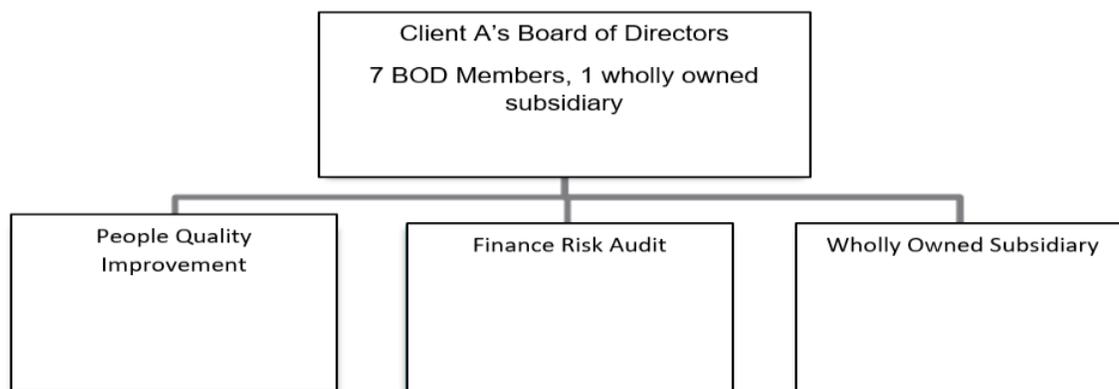
Figure 4. Client A organization's board of directors' structure. This figure illustrates Client A organization's board of directors operates as a group structure with one wholly owned subsidiary supported by two committees.

Customers and stakeholders. Client A organization's key customers are Scottish

citizens who suffer from mental illness, which includes adolescents and adults. The

organization's five strategic aims are recovery, people, innovation, influence, and

improvement. Client A organization has well established relationships with local,

national, and international partners. The organization's leaders are committed to

understanding and meeting stakeholder and customer needs. To elicit feedback from

partners and funders who are considered key stakeholders, Client A organization's

leaders administer in October an annual stakeholder survey. The goal of the survey is to

gain valuable insight into the needs and expectations of their top donors and partners. By

participating in focus groups and strategic planning meetings, such as being a member of

Mental Health Europe, Client A organization leaders stay abreast of the evolving needs of

the mental health community and adjust strategies and mental health delivery

accordingly. Table 3 displays a sample of Client A organization's external stakeholders

and internal document evidence identifying which documents contain information about partnerships and agreements.

Table 2

Client A Organization's External Stakeholders & Document Evidence

Stakeholder	Documents available on-site
National Health Services Lothian	Meetings minutes
City of Edinburgh	Contract reports & operational policy
Edinburgh Crisis Center	Alliance policies and procedures
Edinburgh Consortium	Research agreements
National Health Services Tayside	
Mindspace	

Suppliers and partners. Client A organization has established partnerships in learning and collaboration networks. Client A organization works closely with Quality Scotland, Personal Outcomes Network, Coalition of Care and Support Providers, Scottish Council for Voluntary Organizations, and various other organizations and agencies throughout Scotland and the United Kingdom. The leaders maintain connections and communication channels with the partners by interacting personally via face-to-face meetings, conference calls, emails, surveys, publications, and conference participation.

Organizational Situation

The purpose of this qualitative single case study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. Client A organization is one of many organizations in Scotland providing mental health services, which results in a competitive environment. Participant responses collected during semistructured interviews support the importance of Client A organization's attempts to stay viable in a

competitive environment. The development of a strategic plan is one method Client A organization uses to reach organizational goals. Additionally, Client A organization uses performance tracks to monitor staff and the organization to achieve organizational goals and maintain sustainability.

Competitive environment. In Scotland, several organizations provide mental health services. The Scottish Association for Mental Health is the leading mental health charity in Scotland and is in direct competition with Client A organization and provides a portfolio of mental health services that is comparable to Client A organization's services. Mental Health Foundation is another organization in competition with Client A organization. The mission of Mental Health Foundation is to reduce the suffering caused by mental illness and advocate for the community at large to take care of their mental health and lead a healthier lifestyle. Mental Health Foundation's focus on raising awareness about mental health and advocating for healthy lifestyles is like the mission and vision adopted by Client A organization. Table 4 lists the names of other mental health agencies in Scotland and a brief description of the services they provide. The list of agencies is not meant to be exhaustive but includes a representative sample illustrating Scotland's competitive mental health environment.

Table 3

Mental Health Agencies in Scotland

Agency name	Brief description
Support in Mind	Support for people with serious mental health conditions such as schizophrenia
Depression Alliance	A charity for people with depression
National Self-Harm Network	A UK wide charity supporting people affected by self-harm
Bipolar Fellowship Scotland	Provides support for people with bipolar disorder
Beat	A charity supporting people with eating disorders

Competitive position. Senior leaders of Client A organization believe the

organization to be a strong competitor in Scotland's mental health community. By

operating a diverse portfolio of services within the community and by developing

strategic partnerships locally, nationally, and internationally, Client A organization

gained a competitive position. A common belief amongst the senior leaders is that the

tool they are working to commercialize helps distinguish their organization from other

mental health providers. Participant 4 stressed that commercializing and using a validated

recovery measurement tool is not only about the tool but about changing the mental

health delivery model locally and abroad. All senior leaders who participated in this

study, believe that the tool and the mental health delivery model used in their

organization secures their competitive advantage in the mental health community.

Additionally, Participant 4 stated the organization competes with other agencies

for funding resources from the government and private donors. Besides wanting to

change the focus of mental health from illness-centered care to recovery-based care, the

motivation of Client A organization leaders for commercializing their tool and mental

health delivery model is to help secure funding in a highly competitive funding environment. To stay lucrative, the NPO must secure funding from a variety of sources, which may include commercializing innovative tools and services.

Competitiveness changes. Nonprofit leaders implementing commercialization strategies for innovative products and services must understand the services necessary in the market and stay abreast of competitive changes within the market. Participant 4 stated that there is a market for the organization's tool, but because it is associated with a brand, some mental health providers are reluctant to purchase the tool. To compete against the idea of brand recognition and how it relates to the tool, Client A organization leaders debranded the tool, hoping to adjust to market needs. The lack of an effective and clearly defined marketing strategy negatively affects the organization's competitive position as well as its ability to commercialize the innovative mental health tool.

Participant 2 and Participant 4 mentioned that word of mouth marketing is the primary method the organization uses to pique the interest of potential customers. Participant 2 also stated that selling the tool requires in-depth knowledge from a practitioner standpoint, and without the knowledge and passion about the potential outcomes related to tool use, word of mouth marketing is ineffective. According to Participant 4, word of mouth marketing at conferences and other mental health community events helps them to understand and react to the competitive changes within the community and personalize their sales approach to the customer**.**

Comparative data. Accessing information collected by the Scottish Charity Regulator elicited competitive and comparative data for Client A organization. Another

source for comparable data is Charity register statistics published by the Charity

Commission for England and Wales. The 2018 to 2019 report contains statistics about the

number of charities, annual income bracket, and annual income in pounds (The Charity

Commission for England and Wales, 2019). Another key source for comparative data is

the Scottish Voluntary Sector Statistics, which publishes information on 23,700

registered charities in Scotland. Participant 4 mentioned that the leaders in Client A

organization regularly consult mental health charity statistics to gauge their performance

against other mental health charities in Scotland.

Strategic context. Strategic planning is an integral part of Client A organization.

The mission and vision of the organization guide the strategy adopted by the

organization's BOD. The organization is executing the fifth year of a 5 year strategic plan

that ends in 2020. The organization aimed to be the top performer in mental health

services in Scotland by 2020. Also included in their strategic plan is the

commercialization of their innovative tool, making it available in five languages to

support upwards of 25,000 staff using the tool around the world. The main strategic

barriers that impede Client A organization's strategic execution of their

commercialization goals are a lack of continued board engagement, a lack of investment

capital, product enhancements, information technology product support, and the lack of a

specific marketing strategy. Strategic advantages for Client A organization leaders

include a supportive CEO, internal resources designated to the commercialization of the

product, market interest, and a validated mental health tool.

Table 4

Key Strategic Barriers and Advantages

Strategic barriers	Strategic advantages
Lack of continued board engagement	Executive leadership support
Lack of investment capital	Dedicated internal resources
Product enhancements	Market interest
IT product support	Instrument validation
Lack of marketing specificity	

Performance improvement system. The performance improvement system at

Client A organization follows two distinct tracts. Tract one includes monitoring

organizational performance against the strategic aims and tract two includes monitoring

staff performance. Track one uses key analytics and various reports to monitor

performance. The BOD and the People Quality Improvement and Financial Risk Audit

committees receive results, which they use to monitor the organization's performance.

Additionally, the senior reviews the results every 2 months at area and team meetings

held at the individual site level. To measure organizational performance, the leaders

administer customer and stakeholder satisfaction surveys on an annual basis. The

performance monitoring process also includes administering a questionnaire when a

customer exits support services. The feedback provided in the customer satisfaction

surveys, as well as the exit questionnaire, is incorporated where applicable into

organizational changes.

The focus of track two in the performance improvement system is on monitoring

staff performance. The expectation of leaders at Client A organization is that they act as

role models and champion the organization's mission to develop and support an

outcomes-based recovery model. All staff participates in the annual review process in

which the supervisors assess their performance using the Personal and Development

Review staff appraisal tool. The leadership at Client A organization reinforce a culture of

excellence in all performance appraisals.

The performance improvement system includes using the Registration,

Qualification, and Training map for all staff members. The Registration, Qualification,

and Training map outlines the specific requirements of each staff role, which enables

staff to be aware of requirements and expectations. Senior leaders include staff coaching

as part of the performance appraisal process and recommend learning and development

training as needed to maintain and improve staff skills and performance.

Leadership Triad: Leadership, Strategy, and Customers

Leadership is an essential element for attaining performance excellence (Baldrige

Performance Excellence Program, 2019). Alignment exists between stakeholder theory

and the Baldrige Excellence Framework's leadership triad, in that the focus of both is on

meeting the needs of the customers, whom Freeman (1984) defined as stakeholders. One

of the primary constructs of stakeholder theory is that organizational leaders should act in

a manner that benefits all stakeholders (Freeman, 1984). Stakeholders, according to both

Freeman's definition and the Baldrige Excellence Framework, include any individual

who may be affected by an organization's output. Customers, as defined in the Baldrige

Excellence Framework, are the end-users or recipients of products and services produced

by an organization (Baldrige Performance Excellence Program, 2019). Customer focus is

a core business function that should guide strategic decisions, processes, and results

(Baldrige Performance Excellence Program, 2019; Freeman, 1984). The criteria outlined

in the Baldrige Performance Excellence Program (2019) promotes effective leadership and encourages organizations to set high-performance expectations for leaders and results achievement. In the upcoming segments of this manuscript, I include an overview of the leadership, strategy, and customer components that comprise the leadership triad. Lastly, within the final paragraphs of each subsection, I describe how the tenets of stakeholder theory apply.

Leadership

This doctoral study's leadership component contains information regarding the approach senior leaders in Client A organization use to establish the vision and values and promote legal and ethical behavior. Additionally, I provide information about the approach senior leaders in Client A organization use to communicate with internal and external stakeholders. The final segment of this component contains details about the approach senior leaders in Client A organization use to create an environment for success, create a focus on action, and ensure responsible governance and contributions to societal wellbeing.

Senior leadership. A 7-member Board of Directors (BOD) and a Chief Executive Officer (CEO) oversee Client A organization (Figure 5). Together the BOD and the CEO are responsible for the operations and fiscal accountability of the organization. Supporting the CEO in daily operations are two directors, the Director of Services and Innovation and the Director of Corporate Services. Together the CEO and directors are responsible for maintaining operations and services that support the organization's mission. Established more than 30 years ago, the mission, vision, and values of Client A

organization are to provide support and influence services and activities designed to improve the mental health and wellbeing of all people, but especially those who reside in Scotland. Although the mission, vision, and values have not changed since the organization's inception, what has changed is how the senior leaders establish and execute the strategies used to support the organization's mission.
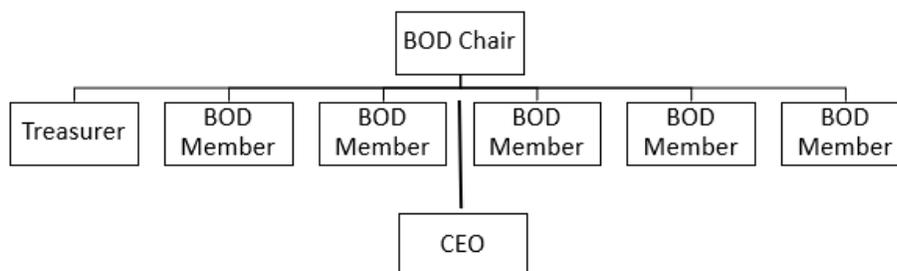
Figure 5. Client A organization oversight structure.

Setting the vision and values. Client A organization's BOD establishes a new vision and supporting values approximately every 2 years; however, in 2016, the BOD decided upon a 5 year strategic plan that ends in 2020. The BOD is responsible for all organization activities and meets several times a year to monitor goal attainment and organizational finances. To establish the strategic goals, the BOD uses a systematic approach, which includes convening in an all-day meeting using a comprehensive strategic planning process to discuss objectives. Once finalized, the BOD publishes the strategic plan in a formal document disseminated to organizational leaders to brief each business sector. Senior leaders deploy the strategy internally by using a communication approach that begins with distributing the strategic plan to directors and mid-level managers.

All directors and managers, regardless of the business sector, use a similar approach to educate their staff about the organization's strategic plan. Directors and managers are responsible for reviewing the strategic plan with their staff in team meetings. Additionally, the senior leaders are responsible for ensuring that each site manager posts the strategic aims visibly in all site locations and is responsible for monitoring performance results. Senior leaders demonstrate their commitment to the values and strategic plan through their leadership approaches, such as scheduling regular team meetings, one-on-one communications, promoting performance excellence, and using data to monitor effectiveness. Leaders examine staff alignment with the organization's mission, vision, and values by conducting annual performance evaluations in which they determine whether the staff met their performance objectives. Individual performance objectives support the overall mission, vision, and strategy of Client A organization. One senior leader stated that there is the expectation that leaders within the organization are role models for front-line staff and lower-level supervisors, especially when promoting legal and ethical behavior.

Promoting legal and ethical behavior. Client A organization's senior leaders promote legal and ethical conduct by using a compliance approach upholding all Scottish laws and regulations, partner and supplier agreements and contracts, and by being compliant with organizational policies, including the ethical policy. The ethical policy indicates the commitment of the organization to ethical business conduct and asserts the organization will operate in compliance with regulations as outlined by the Scottish government, the Care Inspectorate, and the Scottish Social Services Council (SSSC).

Additionally, the ethical policy mandates the applicability of the rules to all

organizational services, staff, and third parties who act in conjunction with the

organization.

Expected staff behaviors include disclosing conflicts of interest, treating everyone

fairly and with respect and dignity, and demonstrating the highest level of integrity and

honesty in all business activities. All staff receives training on the contents of the ethical

policy and evaluation of their commitment to ethics in their annual performance

evaluation. The CEO stated that the organization has a no-tolerance policy that prohibits

illegal and unethical behavior. Staff who violate the policy are subject to disciplinary

action, which may lead to suspension or termination depending upon the severity of the

infraction.

Other organizational policies related to promoting legal and ethical behavior

include fundraising, environmental, corporate, and social responsibility, health and

safety, and a code of conduct for staff and volunteers. Staff training includes a thorough

review of the policies and an understanding that Client A organization leaders expect all

staff to comply with the directives contained within each policy. Senior leaders

mentioned that adequate training and communication are key elements of ensuring that

staff engages in legal and ethical behavior.

Communication. Senior leaders in Client A organization engage with mid-level

managers, staff, and external stakeholders by using a communication approach. Face-to-

face discussions continue to be the preferred method of communication within the

organization. Face-to-face interactions occur by engaging staff during normal business

operations as they perform their duties, in site-specific staff meetings and training sessions, and during other sponsored events, such as fundraisers. Other communication methods used by senior leaders and staff include memos, newsletters, emails, text messages, operational reports, and the organization's website. Deployment of the communication approach includes information contained in the support and supervision policy, which mandates leaders to host regular team meetings to communicate, share information, and receive feedback. Leaders can decide upon the frequency of communication and base it upon individual and organizational needs. Most of the leaders within the organization host weekly or monthly staff meetings to communicate with internal stakeholders.

To communicate with external stakeholders, the senior leaders engage other communication approaches. One of the approaches Client A organization leaders use to communicate with external stakeholders is through contract negotiations called tendering. For example, the Head of Business Development is responsible for engaging external stakeholders and partners to renew and negotiate contracts annually. During the deployment of contract negotiations, the leaders communicate the organization's mission and vision with the stakeholders to ensure that they remain informed of changes in organizational objectives. Client A organization also uses feedback from annually deployed customer satisfaction surveys to communicate with external stakeholders, and senior leaders meet regularly with community stakeholders and attend legislative meetings to influence laws and regulations that affect mental health services in Scotland.

Senior leaders also use written communication in the form of scholarly articles as part of the communication approach for interacting with external stakeholders. Senior leaders published several articles that describe their innovative mental health tool's methodology, purpose, and uses. The CEO stated the articles provide scholarly research-based information about the tool, which helps to drive sales and tool adoption within other organizations. Senior leaders also use word of mouth communication, and the CEO mentioned that he promotes the tool at every meeting, fundraiser, and community event he attends to raise awareness. All senior leader participants stated that frequent and effective communication with internal and external stakeholders is a critical element for organizational success.

Creating an environment for success. To create an environment for success, senior leaders deploy a hiring approach within the organization. Senior leaders in Client A organization believe that creating an environment for success starts with hiring the right people. In the deployment of the hiring approach, individual site leaders are responsible for hiring staff to support their site operations. To assist with the hiring process, the organization employs a team of people who work in the human resources (HR) and the learning and development (LD) departments to help with candidate selection and onboarding new employees. The hiring manager places newly hired staff on individualized training maps to ensure training complies with the laws and regulations governing mental health workers. Leadership in Client A organization is responsible for ensuring the completion and documentation of staff training. In addition to hiring the

right people, senior leaders believe that maintaining a focus on revenue and the

organization's financial health is another critical element for organizational success.

Client A organization uses a diversified funding approach to finance operations.

Using the diversified funding approach, senior leaders obtain funding from the Scottish

government and charity trusts, contracts, service level agreements with local agencies and

health boards, private donations, investments, and fundraising events. Ninety percent of

the organization's funding comes from public bodies, inclusive of contracts for services

and government sources (Table 6). Although the leaders in Client A organization hope to

generate revenue from commercializing their innovative tool, one senior leader reported

the commercialization process barely generates enough revenue to break even. BOD

members and senior leaders must continually evaluate whether commercializing the tool

makes financial sense for the organization.

Table 5

Client A Organization Funding Public Bodies

Funding source	2017	2018	2019
Scottish government	£736,147	£681,022	£670,073
Other public bodies	£8,059,900	£8,836,302	£9,344,780
Total	£1,542,047	£9,517,324	£9,344,780

Through the years, the senior leaders and BOD of Client A organization have

learned that making sensible financial decisions helps create an environment for success.

Subsequently, regular financial reviews became an organizational priority. The CEO

reviews financial reports monthly, and the BOD reviews financial reports at every

meeting. To support financial responsibility, Client A organization deployed the reserves

policy, which mandates the maintenance of a minimum of 3 months of operating

expenditures in the organization's unrestricted funds accounts. Other actions deployed

throughout the organization in support of financial responsibility include senior leaders

engaging in actions that elicit careful financial monitoring, planning, and budgeting. The

deployment of these actions throughout the senior leadership team and the BOD are

meant to help sustain the organization's mission into the future and help create a focus on

action within the organization.

   Creating a focus on action. Client A organization leaders create a focus on action

by using an approach that includes exhibiting expected behaviors and by creating

strategic plans for the organization to follow. The 5 year strategic plan implemented in

January of 2016, focuses efforts on providing recovery-based mental health care,

developing the workforce, supporting innovation, influencing public policy and mental

health delivery, and continuous quality improvement. To deploy the strategic plan

throughout the organization, annually, the senior leaders create a business plan that

includes a detailed description of the varied approaches the organization will use to meet

strategic objectives. As part of the organizational deployment of the business plan, the

BOD reviews the business plan every 6 months to monitor organizational progress. As

another approach to creating a focus on action, senior leaders participate in quality

improvement activities.

   As part of the 5 year strategic plan, Client A organization is working toward

achieving a 4-star rating from the European Foundation for Quality Management

(EFQM), with hopes of receiving the prestigious recognition by the end of the 2020

calendar year. In 2017-2018, Client A organization received a 3-star rating from the

EFQM but wants to continue to reach higher recognition levels, which requires staff engagement and optimal performance. To obtain EFQM recognition Client A organization must complete the application process and submit to a rigorous onsite assessment conducted by trained EFQM reviewers to identify organizational strengths as well as learning and improvement opportunities (European Foundation for Quality Management, n.d.). Organizations that receive EFQM recognition differentiate themselves from other organizations and can create a competitive advantage that may help the sustainability and growth of the organization's business operations. In preparation for the EFQM assessment, senior leaders deploy internal quality audits organization-wide, which helps senior leaders drive action toward process improvement and organizational accountability.

Client A organization's annual performance evaluation process is part of the organization's action-focused culture. Using the performance evaluation process deployed throughout the organization, senior leaders support the organization's mission by holding staff members accountable for their contribution to organizational objectives. By combining the exhibition of expected behavior, strategic planning, continuous quality improvement, individual accountability, and monitoring, senior leaders in Client A organization both create and sustain a focus on action within the organization. Organization leaders also work toward mission achievement, which involves internal governance and ensuring societal benefits.

Governance and societal responsibilities. The following subsections contain a review of Client A organization's governance processes and the approach Client A

organization leaders use to contribute to society's overall wellbeing and to give back to

the community in which the organization operates. The Baldrige Performance Excellence

Framework defined governance as an organization's ability to ensure operational

transparency, accountability to shareholders, and accountability to all stakeholders

(Baldrige Performance Excellence Program, 2019). Ensuring that stakeholders are part of

the governance process aligns with my rationale for choosing stakeholder theory as the

conceptual framework for this study.

Governance system. A 7-member BOD, containing individuals with diverse

backgrounds, including data analysis, finance, fundraising, policy development, change

management, and healthcare, govern Client A organization. All members of the BOD are

volunteers acting as trustees for charity law purposes and are responsible for overseeing

Client A organization activities. Using a hands-on oversight approach, the BOD holds

meetings six times a year to monitor the organization's overall performance and develop

the strategic plan. As illustrated in Figure 6, three subcommittees support Client A

organization's BOD.
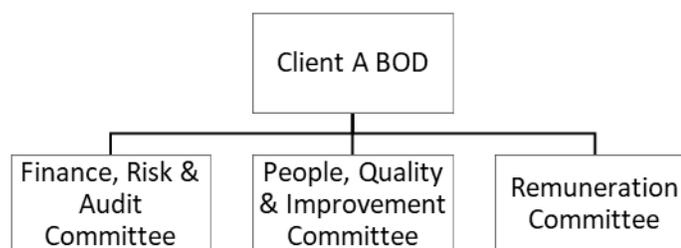
Figure 6. Client A organization BOD subcommittees.

During the deployment of their hands-on oversight approach, the BOD

subcommittees make recommendations to the BOD for approval. However, they do not

have executive authority to ensure the adoption of recommendations. The responsibilities assigned to the BOD include approving annual targets, managing accounts, developing the annual budget, and approving all director-level appointments. Client A organization by-laws state that to ensure transparency and avoid conflict of interest, directors within the organization may not serve as members of the BOD. Additionally, within the governance structure, all other levels of Client A organization staff report to the directors. Figure 7 illustrates the governance structure at the director level.
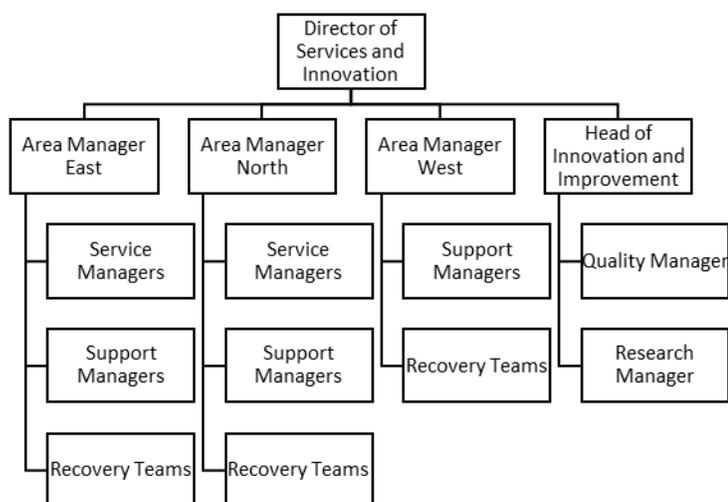
Figure 7. Director level governance structure.

The BOD is not responsible for holding senior leaders accountable for their actions. Instead, this responsibility falls to the CEO, who monitors leadership accountability by using the organization's annual performance evaluation process. The BOD is responsible for the organization's strategy, finances, operational transparency, CEO succession planning, CEO oversight, and the protection of stakeholder interests. One of the critical organizational goals identified by the BOD and placed in the 2016-

2020 strategic plan is CEO succession planning. The BOD included this goal citing the lack of a succession plan as a risk to the organization's mission.

Deployment of the hands-on oversight approach used to govern Client A organization includes actions taken by the BOD to ensure they convene at least six times per year to review financial reports, operational metrics, and overall strategy implementation. Additional deployment tactics involve creating financial reports. At the end of each year, the senior leaders prepare the Directors and Financial Statements report for the BOD to review, which contains organizational strategic and financial data for the performance year. Data provided in the Directors and Financial Statements report guides and informs business plans and objectives for subsequent years.

Performance evaluation. Senior leaders in Client A organization are not involved in board member performance evaluations; instead, the BOD chair is responsible for reviewing the individual performance of all BOD members. Likewise, the chair is also responsible for reviewing the CEO's performance using HR policies and the organization's annual performance evaluation process. Additionally, the CEO uses the same HR policies and an annual performance evaluation process to review staff performance at the director level and below. Senior leaders use other methods to measure the organizational performance of their staff, including financial metric monitoring, customer surveys, staff surveys, contract negotiations, and monitoring service delivery and mental health recovery outcomes through exit surveys and direct observation. Leadership actions that create an environment for success focus on action, promote

governance and societal responsibility, and are congruent with the underlying premises of stakeholder theory.

Client A Organization's leadership and stakeholder theory. When viewing Client A organization leaders from a stakeholder perspective, I found that many of the leadership behaviors employed are congruent with the basic principles of stakeholder theory. According to Freeman (1984), managers must have a wholistic managerial view of the organization, which includes owners, suppliers, customers, the environment, and employees. Leaders must continue to evolve and create value for an organization's stakeholders. Client A organization leaders demonstrated that their practices support the employees as stakeholders by providing opportunities for training, growth, and development. Leaders also demonstrated that they have their customers' interests in mind by using validated instruments to measure recovery outcomes, which helps to ensure that the care provided is helping promote mental wellbeing. Additionally, the leaders in Client A organization demonstrated that they uphold the interests of the Scottish government by upholding the laws and regulations of Scotland. How an organization operates is dependent mainly upon the leaders of the organization and their interaction with the stakeholders to create value (Schaltegger et al., 2019). From my perspective as a Walden University scholar consultant, the leaders in Client A organization consistently act with a variety of stakeholder interests in mind.

Strategy

Strategy development. As illustrated by Figure 8, Client A organization's BOD used a structured strategic planning approach to develop its comprehensive 5 year

strategic plan. The 5 year strategic planning period referenced in this study encompasses calendar years 2016-2020. Client A organization's strategic plan, as mentioned previously, has five objectives, represented by the mnemonic RPIII, which stands for recovery, people, innovation, influence, and improvement. In the first phase of strategy development during the strategic planning meeting, the BOD gathers and reviews various data. Data collected includes but is not limited to financial reports, staff and customer satisfaction survey results, market analysis results, regulatory audit results, and legislative and regulatory requirement updates.

Figure 8. Client A organization BOD strategic planning approach.

Once the BOD gathers all the data, they review the data to assess organizational performance, market activity, and regulatory requirements. Then, the BOD performs SWOT analysis to identify strengths, weaknesses, opportunities, and threats to the organization. During the strategic planning for the 2016-2020 period, the BOD determined via SWOT analysis that the organization's lack of a CEO succession plan was a threat to organizational sustainability, which resulted in the placement of succession planning in the 5 year strategic plan. Once the BOD completes the SWOT analysis, they use the results (shown in Figure 9), as well as the previous year's performance, market, and regulatory data, to define the organization's strategy and decide upon key processes to be accomplished by the internal workforce. The strategic planning approach includes discussions about service expansion, community partnership development, and other

collaboration opportunities. Senior leaders are then responsible for deploying the strategic plan, and collectively, the BOD, CEO, and senior leaders monitor performance throughout the strategic plan period.

Strengths	Weaknesses
Innovation	Restricted Funding
Well Managed	Potential Future Talent Shortage
Engaged Board	Recruitment
Living Wage Employer	Articulating Vision
Workforce	Communication Systems

Client A Organization SWOT Analysis

Opportunities	Threats
Partnerships/Strategic Relationships	Recruitment & Retention
Peer Support	Management Capacity
Training	Funding, Contracts, Tendering
Commercial Opportunities	Legislative Changes
Mergers and Collaborations	Loss of Data

Figure 9. Client A organization SWOT analysis.

Strategy implementation. Client A organization leaders implement the strategic plan by using an ongoing structured approach (Figure 10). Senior leaders communicate the strategic plan using a variety of methods. These methods include publicly displaying the mission, vision, values, and strategic aims in offices and service centers throughout the organization, discussing the strategic plan at leadership meetings, as well as talking about the strategic plan in face-to-face discussions and staff meetings. Communication of the plan is crucial because if the staff does not know the plan, they cannot execute it. The expectation is that leaders at all levels know the mission, vision, values, and strategic aims of the organization and share it with their staff.

Effective strategy implementation also requires area managers and service managers to develop independent strategies to reach their goals. Client A organization's long-term strategic plans include the five key objectives pictured in Figure 11. Senior

leaders within Client A organization integrate the strategic aims into workflows,

including annual reviews, staff meetings, and quality assessment frameworks (QAF)

audits.

Figure 10. Client A organization strategy implementation process.
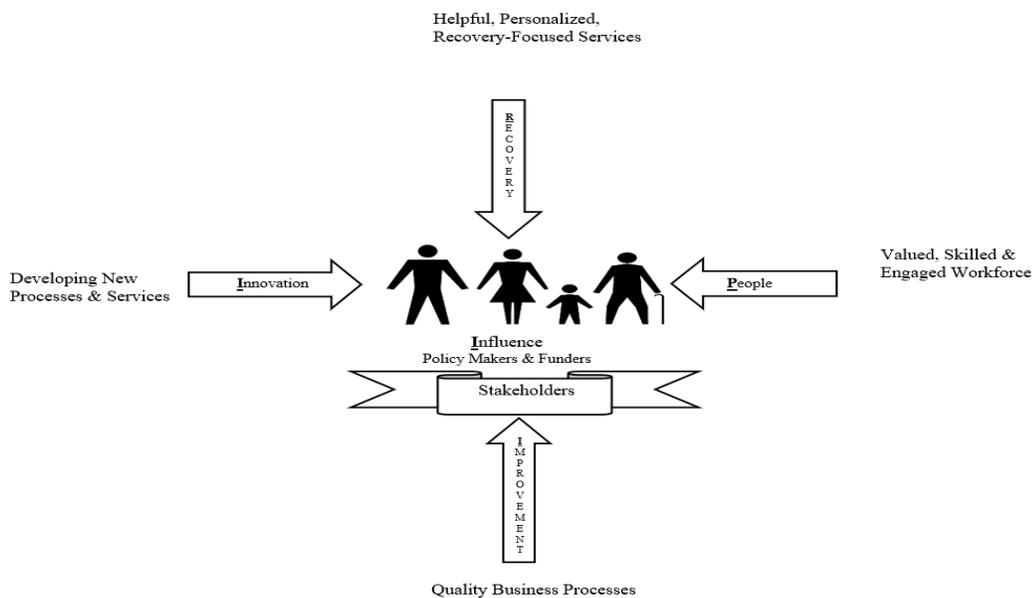
Figure 11. RPIII strategic objectives. This figure illustrates Client A organization's
strategic objectives recovery, people, improvement, innovation, and influence.

Senior leaders in Client A organization spend time conducting QAF audits to guarantee that each site is working toward achieving strategic goals. Together, service managers and senior leaders review the QAF audit results with staff during area meetings and individual team meetings. Each service manager is responsible for ensuring that the team they supervise is actively engaged and working toward goal attainment. Senior leaders report the QAF results to the BOD every 2 months at the high-level management team meetings. The BOD is responsible for organizational oversight in all service areas and monitors the key performance indicators as part of their monitoring of organizational outcomes and responsibility for ensuring movement toward achieving strategic aims. Additionally, the BOD reinforces the RPIII strategic aims as the focus of all organizational activities.

Customers

Customer perceptions. Client A organization leaders use surveys as their principal approach for monitoring the voice of their customers. Primary customers include those individuals they support within the community. To ascertain customer needs and their experiences, the service managers deploy surveys and post-service questionnaires to the individuals who use their services. To gauge performance against strategic aims, leaders elicit feedback using a customer satisfaction survey and concentrate on the responses to three critical questions, which relate to the personalized care and recovery strategic aims.

The first question the leaders focus on elicits feedback from the respondents regarding personalized care and the recovery strategic aim. The question asks the

respondent to indicate whether the "staff focused on me." The target goal for this question is that 80% of the respondents indicate "excellent." Examining customer responses to this question helps Client A organization leaders determine whether staff are taking adequate time to deliver personalized care, which is one of the organization's strategic aims.

The second question examined by the leaders also coincides with the recovery strategic aim and asks respondents to evaluate the level of support they received. The target goal for this question is that 80% of the respondents indicate, "my support has been excellent." An examination of customer responses to this question helps senior leaders ascertain whether Client A organization's staff delivers quality services, which is part of the organization's strategic aims. The third question, which also addresses the recovery strategic aim, asks respondents to identify whether "I felt involved in planning my support." According to senior leaders, the target for this question is for 85% of the respondents to answer in the affirmative.

Monitoring these three critical questions helps the leaders learn from the customer's voice about their perceptions regarding services the organization provides. The responses help the leaders to adjust staff and policies based on the feedback received. In addition to monitoring customer satisfaction survey results to learn from the customer's voice, the senior leaders follow the organization's Facebook and Twitter accounts to stay abreast of customer questions, concerns, and accolades. Leaders collect social media data, including the numbers of "likes" and the numbers of followers. Client A organization has more than 95,000 "likes" and more than 140,000 followers.

Learning from the customer's voice by monitoring "likes" and followers on social media help Client A organization senior leaders adjust services and gauge movement toward strategic aims. Senior leaders review social media results with service managers during area meetings to make sure all parties are aware of social media feedback. Senior leaders then evaluate whether service managers can adjust based on the feedback received. The overarching goal of this approach is to increase the organization's social media presence and integrate it throughout the organization, the use of social media as an additional platform for communication with customers, and monitoring their voice.

Customer engagement. Client A organization's leaders envision a society where people with mental health issues recover and become accepted by society, thereby allowing them to reach their full potential. For this vision to become a reality, Client A organization customers must engage and participate in the services provided by the organization. Leaders in Client A organization foster customer engagement in a variety of ways, and one approach is deploying local staff to support community-based events. For example, one of the organization's mental health and wellness centers participated in the Smalls for All #PantsToPoverty campaign. Smalls for All is a Scottish charity that collects and distributes women's underwear to extremely impoverished women in the United Kingdom and Africa. To assist in this endeavor, one site management team designated their mental health and wellness center site as a drop-off location for donations. Through this experience, the site management team learned that supporting other charities and getting involved in the community promotes customer engagement

and fosters a positive community image. To further engage customers, the site's leadership also encouraged people to "like" them on Facebook.

Client A organization uses fundraising events for the dual purpose of raising donations and promoting customer engagement. The use of fundraisers provides opportunities for clients, partners, and funders to participate and engage with staff and leaders in Client A organization. Senior leaders learned through prior experiences that raising mental health awareness through fundraising helps improve customer engagement and the overall wellbeing of the community, which is one of the organization's strategic aims. To encourage and promote participation in fundraising events, the leaders integrate the fundraising event calendar with other important dates on the organization's website. Senior leaders schedule fundraising events at least a year in advance to ensure people have enough time to make plans to participate in the activities. Fundraising events hosted by Client A organization include 10k running festivals, marathons, kilt walks, half marathons, and skydiving experiences to help promote engagement, raise awareness, and raise funds.

Senior leaders determine the need for new services to increase customer engagement by surveying the people who use their services, including internal and external stakeholders, partners, and suppliers, and by aligning with the Scottish government. In 2015, Client A organization leaders deployed a new exercise program based upon the Scottish government's plan to improve the overall health and wellness of citizens and the staff's interest in incorporating daily exercise into their lives. Leaders deployed the exercise initiative throughout the entire organization and offered it to all

customers using their services. This exercise initiative promotes regular activity and exercise for both staff and the people who use the organization's services. As customers and staff are key stakeholders, the senior leader's natural consideration for stakeholder needs when choosing new programs aligns with the tenets of stakeholder theory, the conceptual framework used for this study. When applying stakeholder principles in day-to-day operations, leaders must determine which stakeholder's interests are the priority (Goldsby, Kuratko, Bishop, Kreiser, & Hornsby, 2018).

Client A organization leaders have demonstrated through their actions that customers are a priority. Addressing stakeholder needs in unique and innovative ways can help the leaders deliver results that create value, obtain a competitive advantage and sustain business operations (de Gooyert, Rouwette, van Kranenburg, & Freeman, 2017; Goldsby et al., 2018; Schaltegger et al., 2019). Client A organization leaders demonstrate their commitment to their stakeholder needs by implementing new services and creating new support programs, such as the exercise program mentioned previously.

Results Triad: Workforce, Operations, and Results

The Baldrige Excellence Framework includes questions organization members can use to assess their workforce, operations, and results, which together comprise the results triad (Baldrige Performance Excellence Program, 2019). In the following subsections, there is a description of the senior leader's approach, how they incorporate learning, deployment processes, and the extent of enterprise-wide integration. Figure 12 illustrates ALDI (approach, learning, deployment, integration) as defined in the Baldrige Excellence Framework (Baldrige Performance Excellence Program, 2019).
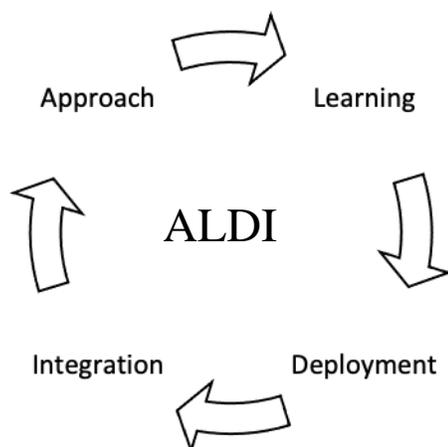
Figure 12. ALDI diagram. This figure illustrates the continuous cycle of process evaluation utilizing approach, learning, integration, and deployment from the Baldrige Performance Excellence Program.

Leaders in high-functioning organizations have developed an engaged workforce, have created operational efficiencies, and have delivered results that support the organization's overarching mission (Baldrige Performance Excellence Program, 2019). Organizations considered as mature and high functioning have leaders who demonstrate that they have integrated systematic, repeatable processes throughout the organization (Baldrige Performance Excellence Program, 2019). Fully integrating systematic, repeatable processes allow leaders to progress from reacting to problems to achieving innovation (Baldrige Performance Excellence Program, 2019).

Workforce

Organization leaders rely on the workforce to execute activities and processes that result in mission attainment. The workforce is one of the most significant assets an organization has, and without a capable workforce, an organization would be unable to sustain operations. In the following subsection, I provide a description of Client A

organization's workforce environment, workforce engagement, performance

management, and workforce benefits and policies.

Workforce environment. Senior leaders from Client A organization describe the

workforce environment as collaborative and innovative. Senior leaders use an open

communication approach to encourage staff to share their ideas and actively engage in

work processes. To support the open communication approach, senior leaders deploy a

process for staff to share their ideas. Staff can share ideas formally by submitting them to

the newsletter or informally by meeting with their service manager. The senior leaders

are proud of the workforce environment of Client A organization and work diligently to

communicate effectively with staff through multiple channels, including face-to-face

meetings, emails, phone calls, and text messages.

Client A organization senior leaders believe that the frontline staff who deliver

services to their customers are vital resources. With that in mind, the senior leaders

promote a culture of innovation, collaboration, responsiveness, and productivity by using

an investment approach. The organization leaders invest time and money, making sure

that staff members have appropriate training and the necessary tools to do their jobs well.

The decision of senior leaders to deploy the innovative tool throughout the organization,

for all staff to use, is evidence of the leadership's investment in tools to improve care

delivery. Additionally, the organization's leadership team demonstrates a commitment to

staff by incorporating people as part of the 5 year strategic plan. By following the

strategic plan, Client A organization leaders plan to expand their peer workforce and

provide opportunities for staff members to advance their careers and feel pride in where they work.

To increase the organization's frontline workforce, Client A organization leaders pioneered and deployed an organization-wide program designed to develop peer support workers to sustain their peer support care delivery model. Peer support models can be useful in mental health settings because of the staff's ability to discuss mental health issues from their lived experiences (Ehrlich, Slattery, Vilic, Chester, & Crompton, 2019). With the right training, peer support workers can obtain the necessary qualifications to deliver care to individuals struggling to cope with mental health challenges. The peer support workers can use their shared experiences to show empathy, provide information, and to encourage hope as well as a recovery mindset (Myrick & del Vecchio, 2016). Leaders learned through the deployment process that peer support is a viable strategy to both increase the organization's workforce and provide quality mental health services. According to the tenets of stakeholder theory, leaders should act in the best interests of all stakeholders (Freeman, 1984). Using peer workers who can empathize with the clients is another way that the leaders at Client A organization align with stakeholder theory.

Peer support workers are part of the social care workforce deployed throughout most programs offered by Client A organization. Scottish regulations require peer support workers to register with the Care Inspectorate, the regulatory body overseeing the quality of care services in Scotland. Regulations also mandate that peer support workers register with the SSSC, the regulatory body that develops standards for social care practice. One of Client A organization's strategic aims in the people category of RPIII is to ensure that

all new staff complete the required registration to increase the number of peer workers in

Scotland and to integrate peer workers into every service provided by the organization.

Because registering with the proper authorities is vital to the overall operations of Client

A organization, leaders track the progress of all new staff who are in the registration

process. Table 7 lists registration results as of March 2019, which is the most current data

available.

 To hire peer support workers, the leadership team uses a collaborative hiring

approach. Client A organization leaders elicit help from a fully developed HR department

and an LD department to assist with recruiting and training new staff. The HR staff post

vacant positions on the organization's website and other internet job posting sites.

Additionally, incumbent staff has opportunities to help fill vacant positions by submitting

a referral. Local site leaders work with HR and LD to identify staff candidates and

participate in interviewing and selecting new staff members.

Table 6

Staff Registration Results

	# of staff	# of staff registration not required	# of staff registration required	Registered
Peer workers	215	23	182	146
Service/support managers	33	2	31	30
Assistant manager	7	4	2	2
Recovery practitioners	75	33	33	37
Total	330	62	248	215

Staffing vacancies reported in the March 2019 HR Annual Report indicated there were 148 vacancies in the recruitment period from April 1, 2018, through March 31, 2019. Leaders received 1,228 applications, of which 1,123 were external candidates. By using the collaborative hiring approach and a multi-tiered recruitment approach, Client A organization leaders successfully filled 138 of the 148 vacant positions. Sixteen new staff members did not retain employment after the 90-day introductory period. Figure 13 shows the application origin results collected throughout the recruiting process. By collecting application origin results, senior leaders were able to learn that most applications originated from Indeed and the organization's website, which helped inform their decisions on where to focus recruitment efforts.

Application Origins

Origin	Value
Other	74
Word of Mouth	55
NHS Jobs	57
Goodmoves	32
Social Media	37
S1 Jobs	52
Internal	77
Indeed	556
Organization Website	288
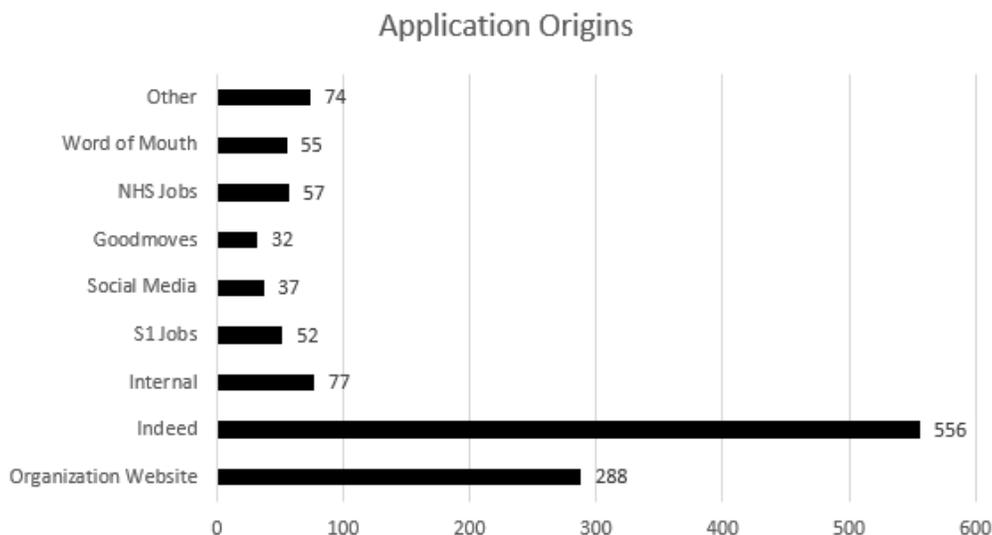
Figure 13. Application origins. This figure illustrates application origins for new-hire candidates.

Once new staff complete the onboarding process, they receive their Professional Registration, Qualifications, and Training (RQT) map. Deployed throughout the organization, managers and newly hired staff members use the RQT map to assist with

tracking training and certification requirements. Information contained in the map includes registration requirements for the Care Inspectorate and the SSSC as well as internal training requirements. Client A organization's approach to new hire staff development is to support newly hired staff with meeting professional registration requirements and completing internal training processes. Even though leaders adopt a supportive approach and assist new staff with the registration process, staff members know the importance of seeking help if they experience difficulties. The RQT map contains a list of required pieces of training with deadlines for completion, which aid in the training process. As part of the new hire onboarding process, newly hired staff receive training using various instructional methods (Table 7).

Table 7

Peer Worker Core Training Courses

Course name	Instructional method
Adult support & protection	Local site training
Bullying & harassment	Live streaming course
Equality & diversity	Live streaming course
Basic online first aid	Free website training
Advanced online first aid	Free website training
Leadership training for frontline workers	Webinar
Personalization & risk	Training provided by LD
Supporting medication in social care settings	Training provided by LD

As the regulations and requirements for social care workers change, the leaders in Client A organization depend upon the HR and LD departments to help them maintain staff capabilities. LD staff updates the RQT map with new requirements to ensure that all staff keeps their training current. Leaders at all levels within the organization must keep abreast of changing requirements, and there are expectations that they will ensure their

staff completes all newly assigned training courses, and they will maintain updated

documentation in each staff member's employment file. The orientation period for newly

hired staff spans 90-days, at which time leaders evaluate whether the staff member

demonstrated the appropriate capabilities to complete the organization's work. To ensure

all staff can accomplish the organization's work, leaders in Client A organization

organize staff according to their position, service, and geographical location. Client A

organization provides services distributed throughout Scotland, including east, west, and

north Scotland. An Area Manager supervises each service the organization provides and

can have additional staff assigned (Table 8).

Table 8

Services and Staff Assignments

Area	Services	Staff assigned
East area	Supported accommodation	Area manager-East
	Supported Living	Service managers
	Alcohol-related brain damage (ARBD)	Support managers
	Crisis service	Recovery teams
	Peer support	
	Self-harm	
	Wellness program	
West area	Supported living	Area manager-West
	Homelessness	Support managers
	ARBD	Recovery teams
	Self-harm	
	Wellness programs	
North area	Supported accommodation	Area manager-North
	Supported living	Service managers
	Peer support	Support managers
	Wellness program	Recovery teams
	Respite	
	Self-harm	

Workforce engagement. Determining the key drivers of workforce engagement is part of the strategic planning approach in Client A organization. Leaders discuss workforce engagement and plan activities based on feedback received in the staff survey. As a method for senior leaders to assess staff engagement, leaders administer the staff survey every 2 years. The survey contains 76 questions divided into eight sections, including demographics.

The Director of Corporate Services is responsible for distributing the staff survey, aggregating, and analyzing the results. Once the director aggregates and analyzes survey results, a formal report is distributed to the leadership team and the BOD. Respondent's answers to the survey questions help leaders learn about staff perspectives in seven of the eight specific categories selected for survey inclusion, of which demographic information is not reported (Figure 14).

Figure 14. Staff engagement measure categories.

Client A organization leaders employ a fact-based management approach and use results obtained from the staff survey to guide decisions and initiate new programs.

Leaders in mature organizations demonstrate systematic, repeatable approaches to

measure, analyze, interpret, and make changes based on data (Baldrige Performance

Excellence Program, 2019). Client A organization senior leaders use the results of the

staff survey in the following categories: my organization, communications, work

environment/balance, job satisfaction, teamwork, LD, and management combined with

individual performance evaluations to measure staff engagement. Client A organization

leaders changed the questions on the staff survey in 2017, which necessitated comparing

2017 results to 2019 results. The 2015 questions and responses did not align because of

the changes implemented in 2017; therefore, senior leaders did not include them in the

comparison. When leaders receive the 2021 staff survey results, they will have an

accurate depiction of the staff survey outcome trends.

A comparison of the data collected in the *my organization* category indicated that

the best performance year was 2017, where 96% of the staff felt proud to work for Client

A organization (Figure 15). Client A organization's strategic plan includes people as one

of the organizational aims, and the leaders want to create a work environment where staff

are happy and are proud to share their work with family and friends. Leaders must take

time to learn from staff feedback by assessing and understanding the factors that decrease

staff engagement (Baldrige Performance Excellence Program, 2019). To understand why

staff reported they do not feel proud of the organization, senior leaders may use practical

communication approaches, such as talking with the staff, conducting exit interviews, or

convening a focus group to gather the data (Baldrige Performance Excellence Program,

2019). Leaders can also attempt to measure pride in the workplace by asking direct

questions regarding pride in the organization by using validated pride measurement

instruments (Beil, 2016). Assessing the employee's feelings using direct communication

can provide opportunities for improvement before deployment of the biennial staff

survey.

Figure 15. Staff survey my organization results for 2017 and 2019.

The 2019 results in the *communications* portion of the survey were better than the

2017 results. In 2019, 94% of the staff indicated they have enough information to

perform their jobs well (Figure 16). Leaders of high-performing, results-driven

organizations must find ways to communicate with and engage the entire workforce

(Baldrige Performance Excellence Program, 2019). Staff development needs change

throughout time and require leaders to implement processes to ensure that staff

development and training includes opportunities to gain new skills. Additionally, leaders

must also seek to provide opportunities for the workforce to evolve as the internal and

external environment changes (Baldrige Performance Excellence Program, 2019).

Training is essential to maintain market competitiveness and to maintain high

performance (Hanaysha, 2016; Singh, Chen, Del Giudice, & El-Kassar, 2019).

Communicating the information necessary for adequately completing job tasks is one

method leaders can use to ensure employees feel informed.
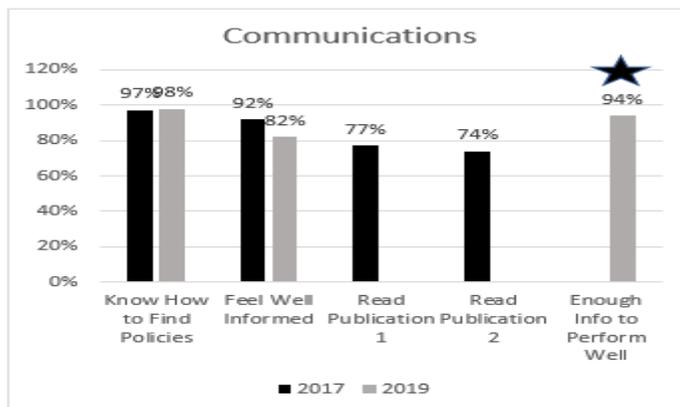
Figure 16. Staff survey communication results for 2017 and 2019.

One of the questions in the LD section of the staff survey asks for staff

perceptions about their skill level. Results from the 2017 survey indicated that 94% of the

staff felt skilled enough to do their jobs (Figure 17). Organizations must have a skilled,

capable workforce to deliver superior results (Baldrige Performance Excellence Program,

2019). Critical to Client A organization's effective measurement, analysis, and

knowledge management system is measuring staff perceptions about individual skill

levels to develop effective management and performance improvement programs.

In 2017, 87% of the staff, compared to 83% in 2019, reported they looked

forward to coming to work, which is one of the work environment/balance indicators

measured in the staff survey (Figure 18). Freeman (2010) included staff in the definition

of key stakeholders that leaders should consider when making decisions. Leaders using a

stakeholder approach should make certain the work environment supports and encourages

productivity, as the organization's results can negatively affect staff.
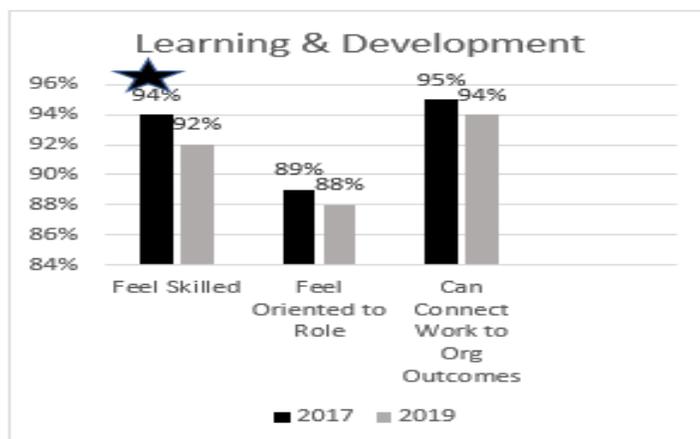
Figure 17. Staff survey learning & development results for 2017 and 2019.
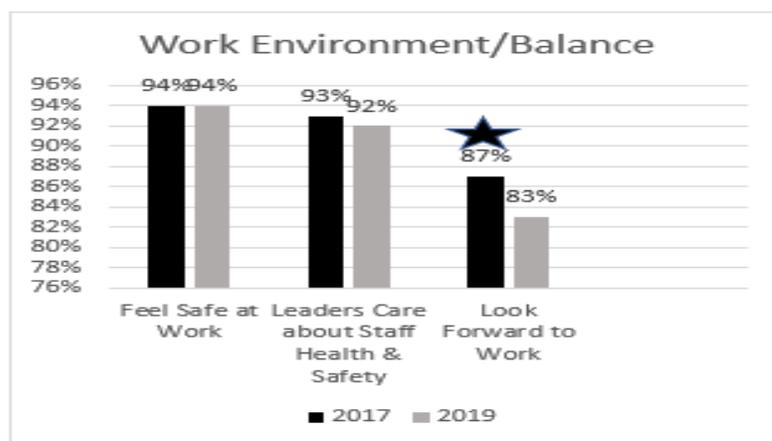
Figure 18. Staff survey work environment/balance results for 2017 and 2019.

Results in the *job satisfaction* category were better in 2017 when compared to the 2019 results. In 2017, 93% of the staff reported being satisfied, compared to 89% in 2019 (Figure 19). From 2017 to 2019, Client A organization experienced a 4% drop in staff satisfaction scores. Highly productive staff members report higher levels of job satisfaction when they find their work meaningful (Baldrige Performance Excellence Program, 2019). When job satisfaction levels are low, leaders should determine the root causes for low satisfaction, which could include limited career opportunities, inadequate

management support, ineffective problem resolution, and unreasonably heavy workloads

(Baldrige Performance Excellence Program, 2019). Providing opportunities for

employees to communicate issues causing a lack of satisfaction may identify resolvable

issues.
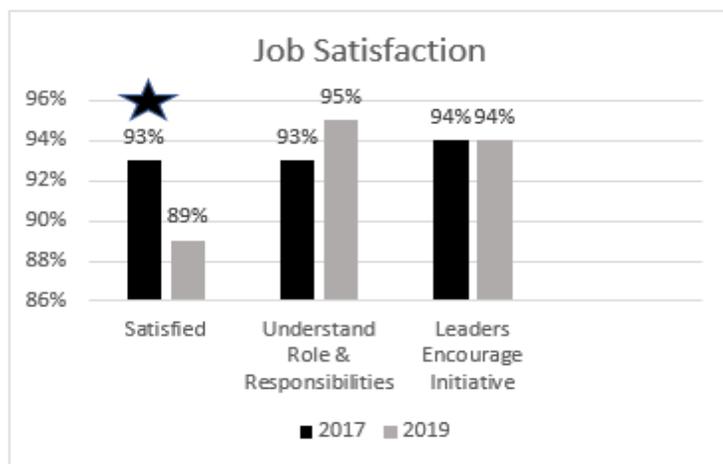
Figure 19. Staff job satisfaction survey results for 2017 and 2019.

Results measuring staff perceptions about teamwork and collaboration did not

change between survey periods. In 2017 and 2019, 93% of Client A organization's staff

reported a high level of cooperation and collaboration across services (Figure 20).

Teamwork is a critical function that supports daily operations. In evaluating the

organization from a systems perspective, Client A organization leaders learned the

interconnectedness of service departments necessitates teamwork. If teams cannot work

together, strategic outcomes may be affected (Baldrige Performance Excellence Program,

2019). To ensure the achievement of strategic outcomes, leaders must understand the

reasons employees may not feel there are collaboration and cooperation across services.
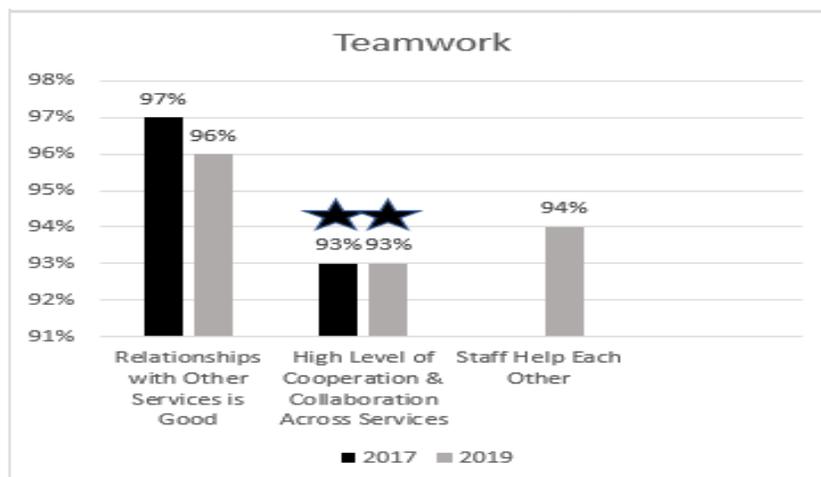
Figure 20. Staff survey teamwork results.

Analyzing data collected from staff surveys helps Client A organization leaders make sound decisions about the creation of staff support programs. One senior leader mentioned that staff feedback was the driver for creating the staff email system. The staff provided feedback in a previous year's survey stating they did not have direct methods to communicate with senior leaders. As a result, senior leaders created email accounts for all staff. Additionally, the leaders gave directions to the staff, stating they could email senior leaders directly without their supervisor's permission. Creating email accounts for frontline staff helped senior leaders deploy and integrate a culture of open-door communication within the organization.

Client A organization leaders foster engagement by using a communication approach. The leaders consider themselves *open door* communicators and encourage two-way communication. Staff members can meet with their supervisors formally with an appointment or informally at any time. As previously mentioned, all leaders provide staff with individual email accounts to ensure they can stay abreast of information and

strategic plans relevant to the organization, and staff receives written communication primarily through this method. Client A organization leaders incorporate a variety of communication methods to engage and inform the organization's staff (Figure 21).

Figure 21. Client A organization's communication methods.

As an added communication measure, leaders post information, such as the revised Policy Handbook, on the internal website to help ensure that all staff have access to and understand the organization's policies. Thorough integration of knowledge management processes within an organization is essential to help staff obtain and share critical information to sustain business functions and maintain performance (Baldrige Performance Excellence Program, 2019). Clear access to organization policies increases the ability of employees to obtain information critical to job performance.

Performance management. Senior leaders in Client A organization manage

individual performance and engagement using a competency approach integrated within

the annual performance appraisal process. Leaders assess staff against the organization's

core competencies, as well as role-specific competencies. During the assessment process,

leaders evaluate the staff against five core competencies to provide a balanced assessment

of performance (Figure 22).
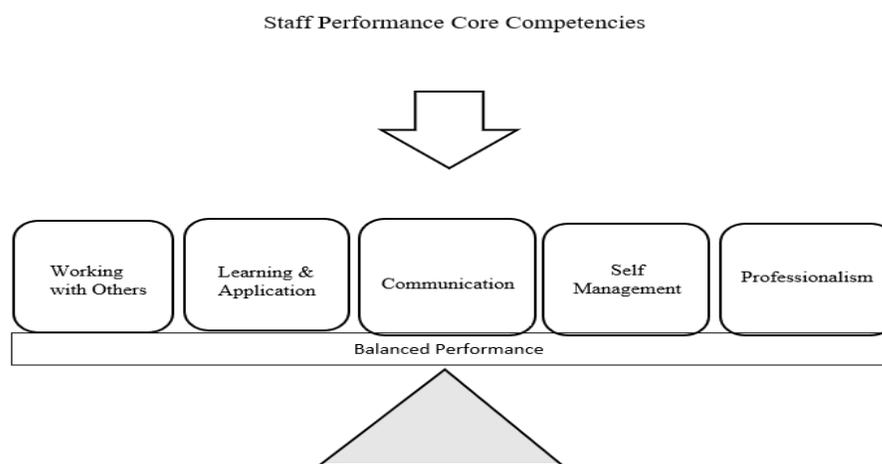
Figure 22. Staff core competencies.

The directors use the same competency approach to assess managerial

performance. In addition to an internal performance review, managers and senior leaders

are subject to an external performance review conducted by the Care Inspectorate. Senior

leaders must meet performance standards and demonstrate core competencies in both

reviews. Senior leaders who oversee services and programs that do not receive high Care

Inspectorate scores do not receive favorable performance reviews. Care Inspectorate

results for 2020 (Table 9) indicated that most of the services received a score of 5 or

better. An overall score of 5 means the Care Inspectorate rated the services provided as

very good, and an overall score of 6 means the Care Inspectorate rated the services as

excellent. Leaders do their best to ensure at least a 4 (good) Care Inspectorate rating. The Care Inspectorate ratings assist leaders in maintaining high standards to meet the needs of the customers and community stakeholders. Leaders who work to maintain high standards operate under stakeholder theory tenets that promote leadership behaviors geared toward protecting stakeholder interests (Freeman, 1984). The 2020 scores Client A organization received from the Care Inspectorate indicate that protecting stakeholder interests is important to the organization.

Table 9

Care Inspectorate Ratings

Service	Area	Quality of care & support	Quality of staffing	Quality of management & leadership	Support well being	Care and support planning	Overall score
Aberdeen service 1	North	5		5			5
Aberdeen service 2					5	5	5
Aberdeen service 3		6	6				6
Glasgow service	West	5		4			4
Lanarkshire service		5	5				5
East service 1	East	6		6			6
Milestone service 1		5			5		5
Edinburgh service		6	5				5
Falkirk service		5		5			5
Average overall score							5

Note. A 6-rating = excellent, a 5-rating = very good, and a 4-rating = good, as defined by the Care Inspectorate.

Workforce benefits and policies. Client A organization has delivered mental health services in Scotland for more than 30 years and has integrated policies and services that support as well as engage the staff. Leaders created one such policy to protect the health, safety, and welfare of the staff. The policy includes verbiage stating that Client A organization will comply with health and safety laws and regulations in Scotland. Senior leaders demonstrate their commitment by dedicating resources in the form of finances, equipment, personnel, and time to meet the staff's health and safety needs. When the COVID-19 pandemic struck in Scotland, the senior leaders demonstrated compliance with government mandates for social distancing by closing offices and deploying telework platforms for nonessential staff to work from home. To help support the staff, and the people who use their services information needs during the pandemic outbreak, Client A organization leaders integrated into the organization's website resources to maintain mental wellness during the pandemic. Resources housed on the website included several different educational materials designed to help manage the mental effects of the pandemic, including tips to reduce COVID-19 related anxiety.

Client A organization leaders strive to promote a culture of mutual support and recognition and demonstrate that they care about the staff's overall wellbeing. Leaders support fair wages for all staff and uphold the Scottish living wage, which is different from the minimum wage. In Scotland, employers can elect to participate in the living wage, a voluntary program that pays higher than the minimum wage (Living Wage Scotland, 2019). Employers who choose to participate in the living wage program are doing their part to combat poverty in Scotland (Living Wage Scotland, 2019) and ensure

fair compensation. Table 10 lists other benefits Client A organization leaders provide for

staff.

Table 10

Client A Organization Benefit Programs

Benefit	Description
Living wage	To ensure staff is paid a fair wage to provide for themselves and their family.
Pension	Vested staff is paid a pension to support retirement.
Staff cycling program	Promotes staff exercise and the reduction of carbon emissions in the environment.
Childcare vouchers	To help offset childcare costs.
Credit union	Helps saving and financial literacy.
Death benefits	Financial support for survivors.

In addition to supporting the Scottish living wage, Client A organization leaders

work to ensure that no gender-based pay disparities exist between male and female staff

members. To comply with gender-pay gap regulations enacted in 2016, senior leaders

adopted an analytical approach to determine whether gender-based pay disparities

existed. In 2017, after deploying a process to measure and analyze gender-based pay data,

senior leaders published the first Gender Pay Gap Report mandated by the Scottish

government. Client A organization senior leaders learned during the deployment of the

analysis that gender-based pay gaps existed in the organization's pay scale but were

much lower than the national average (Figure 23).

After examining the gender pay gap data and the associated root causes, senior

leaders learned that gender-pay gaps resulted in take-home pay versus salary because

more females participated in salary deductions for childcare and made higher pension

contributions. Disparities also resulted from female staff turnover in the middle of a pay

period, which reduced the overall average hourly rate for female staff. To help reduce

gender-pay gaps, senior leaders revised the strategy to promote parental leaves for male

and female staff. Additionally, senior leaders revised the strategy to promote childcare

salary deductions among male staff members. Other ways to mitigate the disparities

include developing a comprehensive strategy that includes reviewing salaries for all

targeted employees, raising the pay for all outliers, and making equity adjustments based

on pay ranges in the market (Wright, 2020). Although they have not eliminated the

gender pay gap, senior leaders in Client A organization took steps in the right direction

and, by promoting parental leaves for male staff members, began reducing gender-related

pay disparities.

Client A Organization Gender Pay Gap

	2017	2018	2019	#N/A
Mean	4.66	0.88	-2.04	
Median	0	-1.51	-1.81	
National Average	18.1	17.9	17.3	
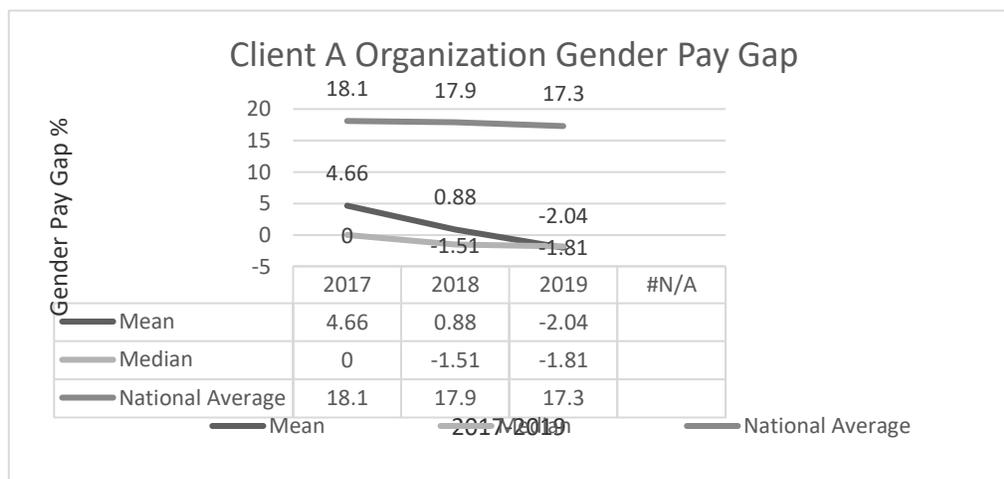
Figure 23. 2017-2019 Client A organization gender pay gap analysis results.

Operations

The following subsection includes a review of the approach Client A organization

leaders take to manage work processes and improve operational efficiencies designed to

deliver customer value. Core business processes should have synergy across an

organization to help leaders achieve organization-wide goals (Baldrige Performance Excellence Program, 2019). A review of work processes and operational effectiveness indicate Client A organization's intent to attain process synergy.

Work processes. Client A organization's key work processes support the delivery of mental health services to Scottish citizens and the organizational outcomes as described in the 5 year strategic plan. Work processes include connecting people with the services they need. Client A organization uses its website to help connect people with the provided services. The website includes a data entry field in which users enter their location and are subsequently connected with services available in their area. Additionally, the website contains a *contact us* section where users can fill out their information and receive an email from staff who will help the user contact the department with the appropriate services for their needs.

Once connected with services, the staff and people seeking services work together to establish a treatment plan. Staff evaluates individuals seeking mental health support using the organization's innovative tool designed to measure recovery outcomes. As part of the work processes that support care delivery, social care staff throughout the organization use the innovative tool to assess and measure wellbeing indicators. Use of the tool helps staff to standardize care, assess a person's baseline, and measure improvements using a validated instrument. To monitor work processes, senior leaders measure the number of tools completed per financial year.

Each site location and program have work processes in place designed to support the program. For example, the care homes Client A organization runs as part of the

Supported Accommodation program are supported by staff who work 24 hours a day to provide care. Staff members help people with long-term mental illness to live independently by assisting them with daily living activities. The staffing requirements for this program differed from the staffing requirements in the Supported Living program, which does not have staff 24 hours a day. Other work processes that support the organization include HR, LD, and market development departments, as well as secretaries to provide administrative support to help the organizational leaders work efficiently.
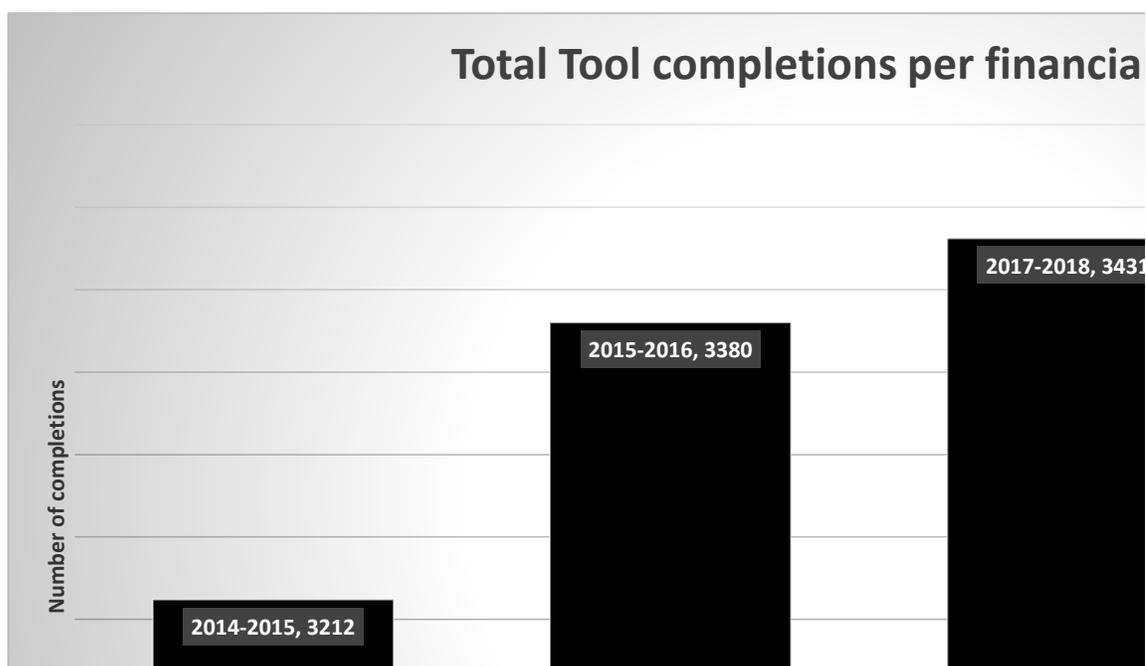
Figure 24. Total tool completions 2014-2019.

To ensure the organization operates efficiently, leaders divide their workload based on the geographical coverage areas defined by the organization chart. Three area managers assist with operations. The area managers of the north and east territories each have a service manager, a support manager, and a recovery team reporting to them and

assisting with day-to-day site operations. The area manager of the west has a smaller area to cover; therefore, staffing is reduced to include a support manager and a recovery team to assist with care delivery and operations.

Operational effectiveness. Client A organization senior leaders strive for operational excellence and believe that a well-run organization requires leadership oversight. Senior leaders also believe that operational effectiveness starts with the onboarding process. The organization's senior managers are responsible for hiring direct reports, with the assistance of the administrative assistants, HR, and the LD team. Ultimately, the goal is to hire qualified and engaged staff and then offer training and development to ensure operational effectiveness. One senior leader stated that the organization also achieves operational effectiveness through continuous quality improvement and daily oversight of people and processes. Organization-wide operations monitoring includes tracking staff metrics, including staffing, turnover, recruitment, retention, length of service, absence, supervisory qualifications, and disciplinary actions. Client A organization's leaders partner with a fully staffed HR department to collect and analyze staff metrics.

The most current staffing report provided by organizational leaders covers the April 1, 2018 to March 31, 2019 timeframe. Leaders were unable to provide the 2019 annual report because of the deployment of a new information management system. The new system prevents the download of certain organizational reports, including the updated HR report for April 1, 2019 to March 31, 2020. As of March 31, 2019, Client A organization employed 473 staff members, which included 56 peer support workers.

Table 11 illustrates the staffing overview for the timeframe. According to the staffing

trends for prior years, Client A organization staffing levels fluctuate from year to year

(Table 12).

Table 11

Staffing Overview (April 1, 2018-March 31, 2019)

	Total	North	East	West	SRN	Head office
FTE employees + employee hours available	336.6 FTE (12,201.60 hours)	116.69 FTE (4,230.11 hours)	119.32 FTE (4,325.46 hours)	72.58 FTE (2,631 hours)	119.32 FTE (4,325.46 hours)	10.82 FTE (774.75 hours)
Headcount of employees	379	129	134	80	11	25
Relief staff	94	36	32	26	0	0
Volunteers	22	2	18	2	0	0

Table 12

Staffing Trends

	2017-2018	2016-2017	2015-2016	2014-2015	2013-2014
FTE	333.83	327.71	340	356	314
Headcount of employees	373	367	134	80	11
Relief staff	103	69	32	26	0
Volunteers	12	9	18	2	0

Staffing variability and high turnover rates can affect an organization's

operational effectiveness and the ability to achieve strategic outcomes. Client A

organization's senior leaders monitor staff retention rates and turnover rates as a measure

of operational effectiveness. The HR department compiles and distributes an annual

report to senior leaders, which indicated that the staff turnover rate in the 2017-2018

financial year was 24%, with a staff retention rate of 76%. By the 2018-2019 financial

year, turnover rates decreased by 4% to 20 %, with a retention rate of 80%. Turnover rate is just one of the measures leaders use to monitor operational effectiveness.

Absenteeism is another indicator of operational effectiveness monitored by Client A organization senior leaders. Senior leaders calculate an absence rate using the lost time rate approach. The absence rate reported from April 1, 2018 to March 31, 2019 was 6%. Absence rates in the last 2 financial years have been higher than the 4% performance target. The total number of days absent per employee was 13.2 days. Senior leaders compared Client A organization's total days absent to the rates of other organizations in the nonprofit sector and found that the average time lost in the industry is 7.3 days per employee per year. Client A organization's total days absent per employee is higher than the industry standard.

Tracking the reasons for staff absence helped senior leaders learn that anxiety, stress, and depression caused 56% of staff absences (Figure 25). Participant 3 reported that Client A organization addresses the underlying causes for staff absenteeism by providing confidential counseling services, implementing well-being policies, and by allowing flexible work schedules. Additionally, the organization developed a return to work program which works with individuals to establish plans to return to work from extended illnesses and leaves of absence. Other recommendations for reducing absenteeism include but are not limited to reviewing absenteeism to determine if there is a certain business sector that has higher absences to explore whether the environment is collaborative and supportive (Turner, 2020). Turner (2020) recommended that leaders focus on creating collaborative and supportive environments to reduce absenteeism.

Turner also recommended leaders implement additional performance incentives and rewards to mitigate absenteeism.
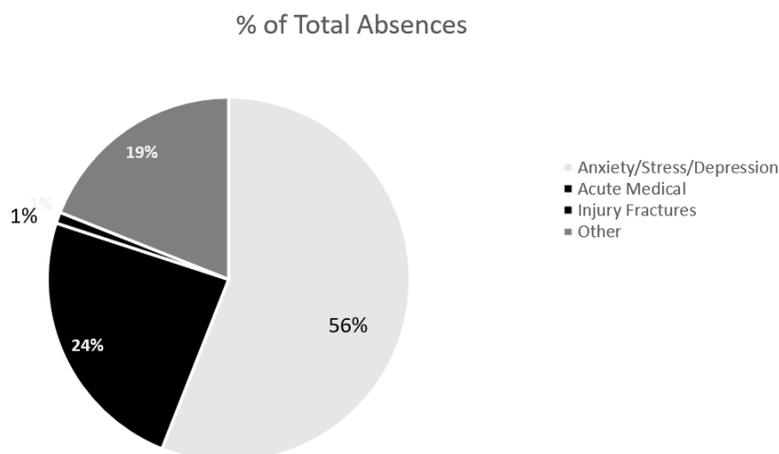
% of Total Absences

Figure 25. Total absence % breakdown.

Client A organization leaders manage costs, efficiency, and effectiveness using a surveillance and monitoring approach. Directors generate monthly financial reports for the CEO and the BOD to review. Annually the directors produce a comprehensive financial report that captures the organization's key financial data. Table 13 contains the list of 25 financial reports and the order in which they appear in the annual Directors Report. Monitoring financial data contained in the financial reports distributed to senior leaders occurs via conducting site visits and audits. During a site visit, leaders examine the facility, review records, and observe staff performance. Leaders can detect operational issues and staff performance issues with frequent visits.

To monitor costs, the directors prepare a monthly financial report to send to the CEO. The CEO and the BOD review and make decisions about costs, purchases, investments, and overall spending. To support the costs of commercializing the

innovative tool, the BOD approved investment capital to create the tool and maintain the

tool's digital version. At the end of the year, directors create a full annual financial report

reviewed by the BOD. As a component of measures designed to ensure operational

effectiveness and cost containment, the BOD must approve all significant capital

expenditures.

Table 13

Client A Organization Financial Reports

Annual financial report list	1. Statement of financial activities 2. Balance sheet 3. Statement of cash flows 4. Comparative statement of financial activities 5. Donations and legacies 6. Income from charitable activities 7. Resources expended 8. Support costs 9. Governance costs 10. Net incoming resources for the year 11. Taxation 12. Staff and trustee costs 13. Tangible fixed assets and liabilities 14. Investments 15. Debtors 16. Creditors 17. Provisions for liabilities and charges 18. Financial assets and liabilities 19. Restricted capital funds 20. Restricted income funds 21. Unrestricted income funds 22. Analysis of net assets between funds 23. Funding from public bodies 24. Operating lease commitments 25. Defined benefits pension scheme

Measurement, Analysis, and Knowledge Management

The following subsection contains a description of the approach Client A organization leaders use to gather, analyze, and improve knowledge assets. Also contained within this section is a review of the approach Client A organization senior leaders use to improve the organization's performance on key indicators. This subsection concludes with insight regarding how Client A organization senior leaders learn from information and knowledge garnered through daily operations and data collection activities.

Measurement, analysis, and improvement of organizational performance. Contained within this subsection is a description of the approach senior leaders use to track data and information regarding daily operations and overall organizational performance, as well as the approach senior leaders use to monitor performance measures and analyze comparative data. Additionally, this subsection includes a discussion regarding the performance and capabilities that lead to continuous improvement and innovation within Client A organization. This section concludes with an explanation about the approach senior leaders use to assess organizational success, competitive performance, financial health, and progress toward achieving strategic objectives.

Performance measures. In January 2020, senior leaders in Client A organization deployed a new information management system throughout the organization. Project Sky (pseudonym) is an information management system designed to link all departmental information systems into one integrated organization-wide aggregated system. The implementation of Project Sky allows the senior leaders to collect information from all

data support systems without logging into separate systems. Using Project Sky, senior

leaders can track staff performance, financial performance, as well as operations metrics.

Client A organization senior leaders can easily access the information contained within

the system via both desktop and smartphone applications. Figure 26 depicts the integrated

information modules supported by Project Sky.
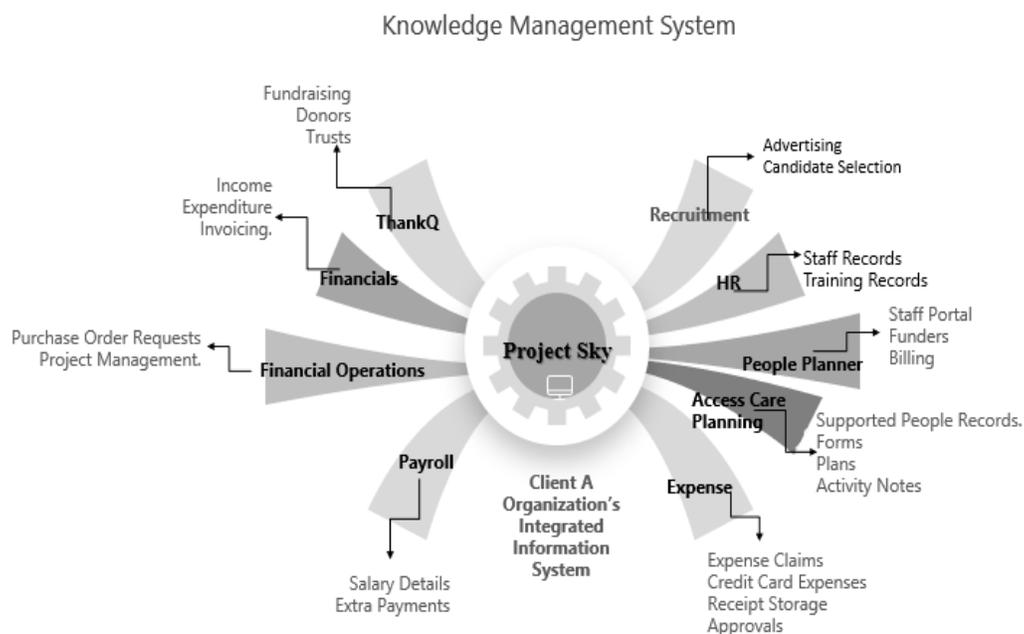
Figure 26. Client A organization's integrated knowledge management system modules.

Each module within the knowledge management system contains different

information senior leaders use to monitor performance. The recruitment module houses

information about the recruiting process, such as advertising campaign locations and

information about applicants and candidate selection. The HR module contains human

resource information such as staff and training records, and the people planner module

stores relevant information and content about staff, funders, and client billing. Within the

access care planning module, senior leaders can find information about the people

receiving support from the organization, relevant forms, care plans, and activity notes

about client care. The expense module contains information the senior leaders use to keep

track of expense claims, processed credit card expenses, store receipts, and approvals.

One of the senior leaders mentioned that she loves the new system because taking

pictures of her receipts with her smartphone and then submitting to Project Sky for

processing makes tracking expenses easier for her.

Senior leaders use the payroll module to stay informed of salary details, payroll

processing, and extra payments generated and use the financial operations module to

access purchase order requests and project management information. Combining the

financial operations module with the financials module ensures senior leaders can garner

a full picture of Client A organization's financial performance, including income,

expenditures, and invoicing. Lastly, the ThankQ module contains information about

fundraising, donors, and trusts.

Project Sky contains reporting mechanisms senior leaders can use to run reports

from their desktop or smartphone applications. Field staff can use the system's

capabilities to retrieve client records, billing information, and document client care notes

and activities from their smartphone. One senior leader mentioned that all field staff

received smartphones when they deployed Project Sky, which helped to improve care

efficiencies and documentation compliance.

Staff and senior leaders asserted they found Project Sky to be beneficial during

the outbreak of the COVID-19 pandemic. Using their smartphones, staff could call in to

document their location, view their client schedule, and provide other pertinent information. Senior leaders could track staff location and client interactions more efficiently because the data was readily available in real-time. One senior leader stated that field supervisors and managers reported that they could manage staff safety and client care delivery better because of Project Sky deployment and staff smartphone usage.

Although the new information management system has benefitted the organization's operations and field staff, system limitations have prevented senior leaders from obtaining some of their operational reports, such as the HR report for 2020. One senior leader stated that full integration is still in progress, and because all module capabilities are not yet fully operational, they are unable to retrieve some of their standard reports. Senior leaders acknowledged there are operational gaps and opportunities to improve data collection and analysis; however, they believe that once full integration of the new system occurs, they will be able to make substantial improvements in care quality and overall operations.

Comparative data, customer data, and measure agility. Senior leaders use both internal and external data to ensure operational effectiveness and strategic goal attainment. The senior leaders use comparative data to guide fact-based decision making if data is available. Most of the comparative data used by senior leaders originate from data captured and trended from the performance of prior years, as well as data collected externally by the Scottish government and other mental health providers and NPOs. Senior leaders use comparative data, published by *Living Wage Scotland*, to determine such things as whether their organization's staff salaries compare to those of other

Scottish employers. They also use comparative data from the Care Inspectorate to determine care quality. Senior leaders consult NPO data to determine industry standards related to staff satisfaction and absenteeism rates to gauge Client A organization performance on these metrics.

To help guide new contract negotiations, senior leaders compare information learned from past contract negotiations and customer data. Table 14 lists the strategic aims and the guiding questions the senior leaders ask when negotiating contracts. Senior leaders admitted that some of the contracts tendered in the past did not always support their mission and did not reflect the organization's values. To prevent this misalignment from happening again, senior leaders learned to use the questions to guide discussions with potential partners and suppliers.

Internal data collection used for comparisons was challenging to obtain before the deployment of the new information system. In the previous information paradigm, senior leaders collected information from spreadsheets and other manually generated reports. The new system deployment required initial manual data inputs to integrate historical data, but completed system inputs allowed for easier access to performance metrics and faster report generation. Integration and deployment of the new system increased the organization's capacity to respond rapidly to external changes, as demonstrated during the COVID-19 pandemic. Senior leaders reported that the new system allows for increased measurement agility and performance agility.

Table 14

Guiding Questions for Contract Negotiations

Strategic aim	Guiding questions
Recovery	Does the contract support our values?
	Does the contract facilitate recovery and social inclusion?
People	Does the contract help provide a safe working environment for staff?
	Does the contract provide sufficient infrastructure to ensure effective staff support and supervision?
	Does the contract provide opportunities for staff to learn and develop?
Influence	Does the contract off an opportunity for Client A organization to influence future policy or practice?
	Does the contract enable or support a strategically important partnership?
Innovation	Does the contract provide an opportunity to try a new way of working?
	Does the contract provide an opportunity for remodeling?
Improvement	Does the contract provide an opportunity to improve our services?
	Does the contract provide an opportunity to improve services provide by others?
Finance	Does the contract deliver full cost recovery?
	Does the contract meet direct costs?
	Does the contract make other services more sustainable?
	Does the contract put other existing services at risk?
Hourly rates	Does the hourly rate meet minimum requirements?

Performance analysis and review. During monthly meetings, as well as in the

BOD meetings held six times per year, senior leaders use key organizational data,

comparative data, and organizational performance measures to assess organizational

success, competitive performance, financial health, and progress toward achieving

strategic objectives. Senior leaders share the results of their reviews with internal

stakeholders, such as mid-level managers, to gain insight, gather feedback, and develop

action plans if metrics are trending in the wrong direction. The senior leaders use a

collaborative approach to work with the mid-level managers to deploy organizational

change initiatives in response to changing organizational priorities and changes in the

mental health industry. The tenets of stakeholder theory indicate that direct managers should manage and reassess stakeholder's needs, perceptions, and objectives (Freeman, 2010). Client A organization uses a collaborative approach that aligns with stakeholder theory to engage internal stakeholders and support the organization's strategic aim to develop people by providing opportunities for involvement and growth.

Performance improvement. Performance improvement in Client A organization begins with a review of organizational performance measures from data collected in the current year as well as prior performance years. Client A organization's BOD reviews performance measure data during the strategic planning process to help determine strategic objectives. Additionally, both senior leaders and the BOD use data collected by internal staff and external agents to help prioritize performance improvement initiatives.

If one of Client A organization's sites scores low on a Care Inspectorate survey, senior leaders allocate resources to make immediate improvements based on information contained in the survey. Senior leaders may allocate financial or staff resources to help correct performance deficiencies identified in the Care Inspectorate surveys. Accountability for corrective action measures falls to site managers in addition to senior leaders. Site managers must participate in improvement efforts and maintain a plan of correction to help sustain corrections. To respond to Care Inspectorate survey results, site managers and senior leaders use the previously mentioned strategy implementation process (Figure 10).

Additionally, senior leaders use the EFQM framework as a quality assurance method. Leaders use the EFQM model, composed of the fundamental concepts of

excellence, the EFQM excellence model, and radar logic, to drive quality performance (Uygur & Sümerli, 2013). Radar logic, which is s a dynamic assessment framework and powerful management tool, states that organizations need to determine the desired results, incorporate those results into organization strategy, develop an integrated set of approaches to deliver the results, deploy the results in a structured way, and assess and refine the deployed approaches through ongoing monitoring (Uygur & Sümerli, 2013). Within Client A organization, a quality improvement officer (QIO) assists senior leaders with quality improvement by performing site-specific quality assessments at regular intervals on a rotating basis.

Performing quality assessments supports a culture of continuous quality improvement and provides opportunities for leaders to identify strengths, opportunities for improvement, and deploy resources to support the achievement of the organization's strategic objectives. The QIO assesses each site and measures whether site leaders have deployed approaches to achieve strategic objectives. Table 15 lists the criteria used in quality assessments.

After the QIO completes a quality assessment, site managers are responsible for developing a plan of correction to address deficiencies. Senior leaders must review and approve the plan of correction. Once reviewed and approved, site managers must place the plan in the *quality folder*, a location available on the organization's internal website.

Table 15

Quality Assessment Criteria and Scores

Criteria	Score
Excellent evidence of approach outcomes being achieved.	5
Evidence of approach and outcomes being achieved.	4
Able to evidence approach,	3
Limited ability to evidence approach or outcome.	2
Unable to evidence approach or outcome.	1
Breach of policy and procedures.	0
Not applicable/not assessed.	N/A

Senior leaders drive performance and quality improvements by reviewing quality assessment results at monthly meetings with site managers. Additionally, senior leaders encourage site managers to review results with staff at weekly meetings. Lastly, senior leaders communicate organizational results by publishing reports distributed to the CEO and BOD. Using the aforementioned approach, senior leaders create a culture of continuous quality improvement as well as a culture of excellence.

Information and knowledge management. In this subsection, I provide an overview of how senior leaders in Client A organization manage information and organizational knowledge assets. Walden University scholar consultants use the questions in the *Information and Knowledge Management* category of the Baldrige Performance Excellence Framework to assess how an organization's leaders ensure data quality and availability for use by the workforce, suppliers, partners, collaborators, and customers. Additionally, the information contained in this section provides a review of how Client A organization leaders build and share organizational knowledge.

Data quality and data availability. Senior leaders are responsible for ensuring both data quality and data availability. As part of the Client A organization's performance

review process, senior leaders review data for accuracy before submitting reports to the

BOD and the CEO. Client A organization leaders hire usually hire an outside entity to

prepare annual financial reports to ensure that financial reports meet accounting

requirements. Senior leaders and the outside entity validate the data by confirming the

results with site managers and other key stakeholders within the organization. The use of

quality assessments performed by the QIO helps validate data collected from service

sites, such as the number of clients serviced and recovery-based tools completed. The HR

department uses internal databases and data quality checks to ensure the accuracy of the

HR data published in the monthly reports.

Data quality checks for field staff include reviewing RQT maps to ensure staff

members have completed the required training. Staff must complete training before

interaction with the people who use the organization's services. Quality assessment

processes include reviewing staff documentation, as well as overall recovery results

aggregated from reports contained within the innovative electronic recovery tool created

by organizational leaders and used by social care staff and peer workers. To further

ensure data quality, staff receive training on Client A organization's data protection

policy, which outlines specific guidelines for using, storing, and sharing data internally

and with outside agencies. Senior leaders provide education and training to staff to ensure

they are compliant with data management policies. Data management and knowledge

management is an ongoing daily task for Client A organization's leaders, and oversight

occurs by auditing and communicating audit results with site leaders and staff.

Organizational knowledge. The Client A organization workforce builds organizational knowledge through daily interactions with clients, partners, suppliers, funders, and government agents. Additionally, senior leaders demonstrate foundational knowledge from years of practice in the field of mental health. The CEO has been at the helm of Client A organization for 30 years and brings a wealth of knowledge concerning mental health to his oversight.

Senior leaders and staff document information in the Project Sky information management system. Project Sky includes modules designed to capture different types of organizational data, including client recovery data, billing and invoice data, operational data, and HR data, among others (see Figure 26). Senior leaders and staff share knowledge using multiple channels of communication, such as training classes, seminars, face-to-face meetings, internal publications, and official reports generated for the BOD and the CEO.

Leaders within the organization are responsible for maintaining communication with staff, clients, and suppliers through various channels. Client A organization staff are accustomed to receiving information by word of mouth during face-to-face interactions with leaders. Additionally, leaders share information via emails, memos, organizational announcements, staff meetings, and in one-on-one encounters. Client A organization leaders regularly maintain their website so that clients and vendors can easily access information and services. Senior leaders receive internal reports, which keep them abreast of the status of the organization's strategic plans as well as financial performance.

To help keep leaders, staff, and external stakeholders informed, Client A organization employs an Information Officer (IO) who is responsible for managing the flow of information and knowledge inside and outside of the organization. The IO communicates with outside entities, government agencies, partners, and funders. Additionally, the IO helps ensure that proprietary information remains secure and that the organization maintains control of messaging,

Information in Client A organization flows both from the top-down and from the bottom up. Senior leaders encourage staff to speak up when they see issues that need addressing and to share ideas as well as identify improvement opportunities. Staff share information by speaking with their supervisors directly, emailing supervisors and senior leaders, and by submitting ideas to the internal newsletter published by the IO. Knowledge transfers primarily through training and in the exchange of information occurring in day-to-day interactions.

Collection, Analysis, and Preparation of Results

The purpose of this qualitative single case study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. The research question for this study was as follows: What strategies do Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability? Data collected for this study included semistructured interview responses, internal organizational documents, a review of the organization's website, government documents, and public information. Thematic

analysis of the data uncovered the following themes: (a) effective strategic planning, (b) effective financial management, (c), ineffective commercialization strategy, (d) positive work environment, and (e) partially effective workforce development.

Product and Process Results

Leaders in Client A organization provide services for Scottish citizens who need mental illness support. The organization has a 30-year history of providing mental health support, which started in 1985 with the provision of health supported accommodations. The organization has since grown from providing one service to providing 17 mental health support services throughout Scotland. Client A organization offers care home services, combined housing support/care at home services, housing only support, as well as other services such as peer support and youth self-harm support. One of the most important services provided by the organization to the community is recovery-based mental health support, which they provide using their innovative, validated recovery tool.

Client A organization's staff deliver mental health recovery care using an innovative and validated recovery outcomes tool focused on helping people reach a state of recovery and independence. The organization encourages recovery team members and support staff to assess people using services provided by the organization by completing the recovery outcomes tool every 3 months. Results monitoring indicated that people who use the organization's services achieve a better state of wellbeing and recovery when they can focus their efforts on recovery. According to the 2012-2016 data regarding the wellbeing scale embedded in the recovery outcomes tool, after receiving a year of support, individuals using Client A organization's mental health services indicate

improvement to their wellbeing on an average 1 to 1.5 points. Senior leaders in Client A

organization were able to provide 2012-2016 and 2018-2019 data showing wellbeing

improvements; however, they were unable to provide the 2016-2017 and 2017-2018

wellbeing data, which represents a gap in the data. Figure 27 shows the wellbeing

indicator scores from 2012-2016 measured as an average change in score.
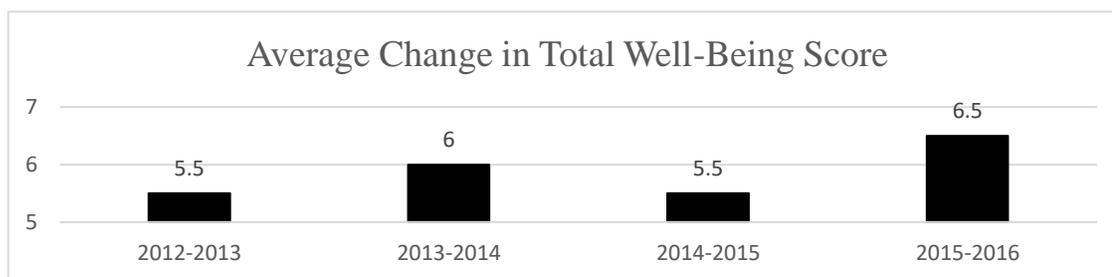
Figure 27. Average change in total well-being score from baseline to year-end.

During the 2018-2019 performance year, the wellbeing indicator measurement

changed from measuring an average change in score to measuring baseline scores and

year-end scores for all new clients. Table 16 illustrates the wellbeing scores obtained

from the 2018-2019 data. The data does not show the same measure of improvement

obtained in previous years. Measurements indicated improvements but not as drastic as in

previous years, which could be attributed to the change in scoring methodology.

Leaders in Client A organization began tracking the number of recovery outcome

tool completions during the 2017-2018 performance year and could not provide data for

this metric before 2017. The data provided on this metric compared the 2017-2018

performance year to the 2018-2019 performance year. According to the internal data,

27% of clients completed one recovery tool in 2018-2019, compared to 57% of clients in

2017-2018. Additionally, 38.8% of the clients completed two recovery tools in 2018-

2019, compared to 42% in 2017-2018. Senior leaders acknowledge the downward trend

in clients completing recovery outcomes tools and state that they will complete further

analysis for the 2019-2020 performance year.

Table 16

Wellbeing Baseline and Year-End Scores

Indicator	Baseline score	2018-2019 Year-end score
Mental health	3.3	3.5
Life skills	3.9	4.0
Safety & comfort	4.3	4.5
Physical health	3.3	3.4
Exercise & activity	3.3	3.4
Purpose & direction	3.4	3.6
Personal network	4.2	4.3
Social network	2.7	3.0
Valuing myself	3.2	3.6
Participation & control	4.1	4.2
Self-management	3.5	4.0
Hope for the future	3.5	3.7

Regarding the commercialization of the innovative tool, the research question

guiding this study was as follows: What strategies do Scottish nonprofit mental health

organization leaders use to commercialize innovative products and services to secure

funding and ensure financial stability? As part of the commercialization process for the

innovative recovery tool, Client A organization leaders were using a sales approach and

tracked license sales until August 2019. At that time, senior leaders stopped tracking

license sales and put commercialization processes on hold until they could determine

whether the process was financially beneficial to the organization. The criteria to be

examined during this review included both the investment capital already spent and the

investment capital needed to update the tool and continue with commercialization efforts.

Senior leaders depended upon word-of-mouth marketing to drive sales and expected increases from this method alone. Word-of-mouth marketing for the recovery outcome tool occurred at mental health conferences and any event senior leaders attended as either participants or speakers. Participant 4 mentioned that he promoted the tool at every function he attended and in every conversation he had about mental health recovery and care delivery. Besides using word-of-mouth marketing to drive sales, the senior leaders began publishing scholarly articles as an additional sales strategy.

Client A organization leaders used a research approach to market their innovative tool. The senior leaders authored several publications outlining the benefits of using the validated tool and how the tool promotes and measures mental health recovery. The hope was that the publications, coupled with word-of-mouth marketing, would drive sales. As of August 2019, which is the latest available data, the leaders sold 984 licenses for the recovery outcome tool. Of these licenses, Client A organization sold 178 in the United Kingdom and 623 in the Netherlands. During this timeframe, nine countries used the tool, and the Netherlands was Client A organization's largest customer. Table 17 lists the total licenses, countries, and organizations that purchased the recovery outcome tool as of August 2019.

Commercialization results and the recovery tool completion rates relate to the theme of Client A organization having a partially effective workforce. It takes multiple stakeholders to participate in commercialization efforts for those results to be successful (Goodman, Korsunova, & Halme, 2017). The workforce can deliver some of the expected results for the organization's performance indicators; however, they are not able to

deliver all the expected results. The organization leaders expect the completion of

recovery tools at least once by all new clients, with the best-case scenario, including the

completion of two outcomes recovery tools. Regarding the commercialization strategy,

client leaders expected enough sales to generate revenue and would like to see the tool

recognized as a key measure of recovery and used in other countries. Participant 4

mentioned that individuals providing mental health services should consider this recovery

outcome tool essential to care delivery, comparing it to essential tools such as a

computer, pen, and paper. From a stakeholder perspective, the leaders have been acting in

the best interest of their internal stakeholders (employees) by providing tools to do their

jobs successfully and by communication of recovery-based results.

Table 17

Licenses by Organization & Country (August 2019)

Country	Organizations	Licenses
Australia	5	10
Belgium	16	51
China	2	2
Chile	0	0
Czech Republic	0	117
Finland	1	1
Netherlands	11	623
Spain	2	2
UK	33	178
Total	70	984

Customer Results

Measuring how participants respond to the services provided by the organization

is essential to understanding overall organization effectiveness. High customer

satisfaction scores indicate the organization's services have met their mental health

needs. Client A organization leaders use a survey approach to measure satisfaction. Client A organization measures customer results by evaluating their day-to-day interactions with clients, administering customer satisfaction surveys, asking clients to fill out exit questionnaires when services end and responding to customer complaints. Gathering data in a variety of ways helps senior leaders acquire a real understanding of customer satisfaction. When asked what the organization's customer satisfaction scores were, the senior leaders referenced the survey results from 2011-2015, with the exclusion of 2012, which they did not provide. Leaders also did not provide 2015-2019 updated customer satisfaction results for review. One of the key indicators for success on the customer satisfaction survey is for 80% of respondents to give a favorable response to the question regarding whether the staff focused on them (Figure 28).

Senior leaders track another question on the satisfaction survey to understand clients' feelings about the support they receive. The question asks the respondent whether their *support has been excellent.* The goal is for 85% of respondents to provide an answer in the affirmative. Data trends indicate that from 2011-2016 the organization consistently met the target (see Figure 29). Leaders did not provide data after 2016 for review.
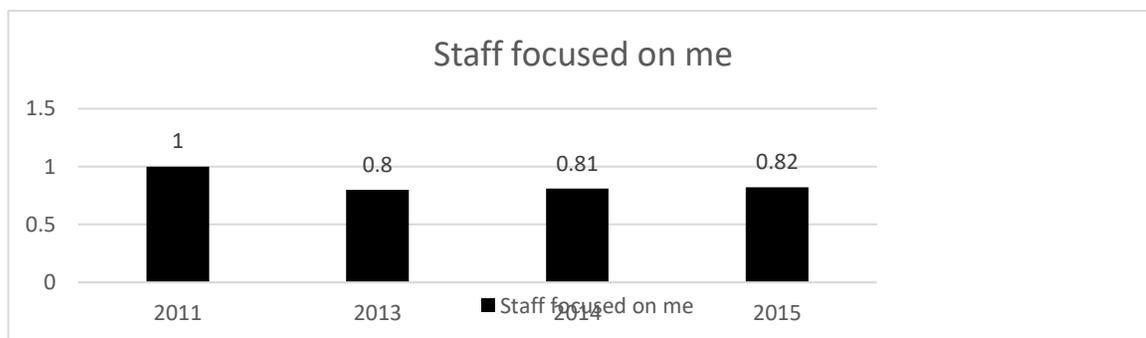
Figure 28. Percentage of respondent's favorable answers to the question, *staff focused on me*.
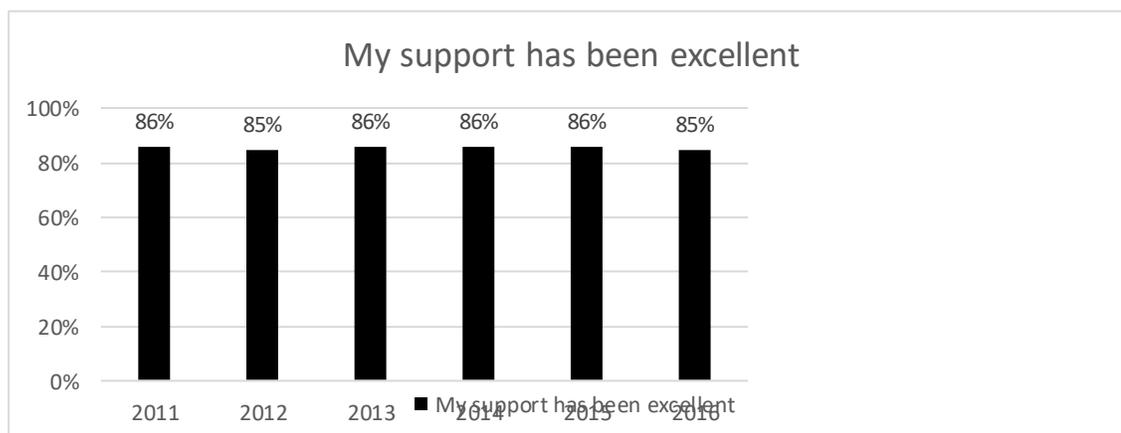
Figure 29. Percentage of respondent's affirmative answer to the question, *my support has been excellent*.

Workforce Results

Client A organization leaders have formal processes, including an employee engagement survey, to measure workforce results. As mentioned previously, leaders administer the employee engagement survey every 2 years. Employee engagement survey results initially provided dated back to 2015. To compare and trend the results, I used 2017 and 2019 information because the survey questions changed in 2017, which made comparisons by years difficult if I included 2015 data.

The employee engagement survey measures organizational pride, management communication, work-life balance, feeling skilled, job satisfaction, and teamwork as key indicators. Overall, staff reported that leaders communicated enough information for the staff to do their jobs well, they know how to find policies and procedures, they feel satisfied, they feel skilled, and they believe that people in the organization can work together in teams. Survey results indicated that even though the staff feels satisfied with

their jobs, they do not look forward to coming to work. Table 18 shows the employee

engagement results for performance years 2017 and 2019.

Senior leaders reported that workforce results are strong and attribute this strength

to hiring practices, training, and development, as well as day-to-day supervision by

managers and leaders. Senior leaders reported that the open-door communication style

and leadership oversight methods make the organization a great place to work. Although

the senior leaders reported that workforce results are strong, the employee engagement

results indicated that the staff is marginally happy, and there has been a decline in

organizational pride between survey administration periods. Examination of the

employee engagement scores may provide leadership with insight regarding why the staff

is only partially effective at meeting organizational targets. Wake and Green (2018)

found that the relationship employees have with their organization reflects in employee

engagement scores and that leaders should use the feedback as a learning opportunity to

improve upon job resources and capabilities.

Improving employee engagement may require multiple strategies. In some

organizations, promoting employee engagement is the HR department's responsibility

(Mathews, 2018). While in other organizations, the operations leadership tasks include

promoting employee engagement (Sexton et al., 2018). Client A organization leaders

might consider using a combined approach to improve employee engagement. Workplace

engagement leads to higher productivity (Hanaysha, 2016), which means that whatever

process Client A organization leaders decide to use in their efforts to improve employee

engagement will be worthwhile.

Table 18

Employee Engagement Results 2017 & 2019

Indicator	2017	2019	Trend direction
Feel Satisfied	93%	89%	
Staff feel proud	96%	88%	
Know how to find policies	97%	98%	
Enough information to perform well	n/a	94%	n/a
Feel Skilled	94%	92%	
Look forward to work	87%	83%	
High-level collaboration across services	93%	93%	No change

Leadership and Governance Results

Client A organization senior leaders are responsible for modeling behaviors that exemplify the core values of the organization. Key measures for organizational success include an engaged and productive workforce, clients who report being satisfied with the care the staff provides, good business relations with vendors and suppliers, and strong community partnerships. Organizational leaders measure governance results by the actions of employees, compliance with all laws and regulations, and full participation from the BOD.

Governance results indicated that the senior leaders comply with all laws and regulations governing mental health care delivery in Scotland. The most recent audit year ended March 31, 2019, and based on Client A organization's statement of financial

activities, balance sheet, statement of cash flow, and financial statement notes, the organization's financial records have been prepared following the requirements outlined in the Companies Act 2006, the Charities and Trustees Investment (Scotland) Act 2005, and regulation 8 of the Charities Accounts (Scotland) Regulations 2006. Furthermore, auditors found no deficiencies in record keeping.

Senior leaders of Client A organization report that they do not tolerate unethical behavior. Staff engagement in unethical behavior results in termination of employment. Senior leaders abide by an ethical policy stating that it is a commitment of Client A organization to adhere to ethical business conduct in all interactions with stakeholders, an expectation, which applies to all services, business activities, and staff. The verbiage of the ethics policy provides explicit guidance regarding staff ethics, organizational ethics, and ethical business practices while working with third parties.

According to the policy statement, staff responsibilities include, but are not limited to, disclosing conflicts of interest, treating everyone fairly, promoting an inclusive environment, and demonstrating personal integrity at the highest standards. The ethical responsibilities of the organization include, but are not limited to, being responsible for the safety, health, and welfare of the staff; respecting the dignity of all individuals; and making positive social contributions within the community. Ethical business practices when working with third parties include, but are not limited to, being transparent about business practices, demonstrating a commitment to upholding ethical standards, and complying with all laws and regulations.

Client A organization service sites must be compliant with Care Inspectorate

regulations. Care Inspectorate surveyors conduct audits of each site approximately every

2 years. Site visits may be either announced or unannounced. Senior leaders expect site

surveys to yield a score of 4 or better on the Care Inspectorate survey. A score of 4

indicates that the site is compliant with Care Inspectorate regulations and received a good

rating. Table 19 illustrates the average Care Inspectorate scores for performance years

2015-2019. Achieving high scores on Care Inspectorate scores is related to the

commercialization strategy for Client A organization's innovative tool as the scores

demonstrate regulatory compliance and the commitment to quality care.

Table 19

Average Care Inspectorate Scores 2015-2019

Year	Care & support	Environment	Staffing	Manager & leadership
2015-2016	5.1	4.8	5.1	5.1
2016-2017	5.4	4	5.3	4.8
2017-2018	5.3	5	5.4	4.8
2018-2019	5.4	Not scored	5.1	5.3
2019-2020	5.0	Not scored	5.0	5.3

Financial and Market Results

Senior leaders in Client A organization understand the importance of having

enough revenue to sustain business operations. The leaders understand that they must

monitor financial performance metrics to ensure sustainability. Client A organization

receives funding from service contracts with local authorities and health boards, private

contributions, revenue grants from the government, and charitable trusts. The

organization also receives funding from unrestricted donations and fundraising events.

Additionally, Client A organization generates revenue from short- and long-term

investments. The CEO and other senior leaders review the financial metrics monthly, and the BOD reviews the organization's financial performance at their regularly scheduled meetings, which occur at least six times per year. A finance, risk, and audit subcommittee of the BOD helps oversee financial performance for the organization. The BOD and the senior leaders use the presence of a revenue surplus as indicators for financial health.

Senior leaders shared that achieving surplus revenue is extremely important to ensure that the organization has enough revenue each year to sustain and grow operations. Revenue surplus, as reported by the senior leaders, is an indicator of the organization's financial health. The approach used to ensure the achievement of surplus revenue is careful monitoring and stewardship of financial resources. Client A organization reported in the Director's Financial Report that during the 2017/2018 performance year, the organization had £372,941 in surplus revenue. By comparison, the organization had £422,692 surplus revenue during the 2018/2019 performance year (Table 20). Another indicator of financial health monitored by the senior leaders and the finance, risk, and audit subcommittee are the total current assets. Table 21 shows the organization's total assets for the 2017-2018 and the 2018-2019 performance years.

Table 20

Client A Organization Revenue Surplus

Year	2017/2018	2018/2019
Surplus	£422,692	£372,941

Table 21

Client A Organization Total Assets

Year	2017-2018 year	2018-2019 year
Total assets	£4,434,422	£3,846,760

Commercialization of Client A organization's innovative mental health recovery outcome tool is part of the organization's financial strategy. The organization generates revenue from new license sales and license renewals. One of the senior leaders who participated in this study is the head of business development and is responsible for the commercialization strategy for the organization's recovery outcome tool. Although the organization has seen a 9% increase in organizations using the tool, and a 15% increase in license sales, the mental health tool profits remain low. The income generated from license sales after expenditures is less than £10,000 per month. Table 22 shows the 2019-2020 budget worksheet for the mental health tool, and Table 23 shows the license update as of August 2019. Although the leaders have implemented a commercialization strategy, study participants cited 22 different challenges preventing strategy effectiveness. Table 24 shows the output from the NVivo 12 thematic analysis of participant responses to the interview question regarding implementation challenges. The challenges listed in Table 24 are the stated reasons why Client A organization has not implemented a full commercialization strategy for its innovative tool.

Table 22

Mental Health Tool Budget

Income	Local	Total
Miscellaneous income	£10,000	£10,000
License fees	£10,000	£10,000
Total income	£20,000	£20,000
Expenditure		
Bank charges	£600	600
Audit fees	£1,000	£1,000
Professional fees	£1,000	£1,000
For resale-printing	£2,500	£2,500
Information technology	£11,000	£11,000
Total expenditure	£16,100	£16,100
Surplus/(Deficit)	£3,900	£3,900

Table 23

Client A Organization Mental Health Tool Licenses, Organizations, Countries, & Growth

April 2019-August 2019

	April 2019		August 2019		Growth
Organizations using tool	65		70		9%
Licenses	909		984		15%
	April-2019		August-2019		
Country	Organizations	Licenses	Organizations	Licenses	
Australia	5	10	5	10	
Belgium	16	51	16	51	
China	2	2	2	2	
Chile	1	60	0	0	
Czech Republic	1	117	0	117	
Finland	1	1	1	1	
Netherlands	9	513	11	623	
Spain	2	2	2	2	
UK	28	253	33	178	
Total	65	909	70	984	

Table 24

NVivo 12 Analysis of Participants' Responses Regarding Commercialization Challenges

Challenge	# of Participants	Number of times referenced
1. Board of directors	1	2
2. Data is not good	1	2
3. Different types of licenses	1	1
4. Product diversification	1	2
5. Ethical dilemma	3	3
6. Interdepartmental confusion	1	2
7. Information technology company responsiveness	3	6
8. Lack of confidence	1	1
9. Lack of expertise	1	3
10. Lack of IT knowledge	1	2
11. Lack of standardized processes	1	2
12. Lack of tracking tools	1	1
13. Unclear lines of process oversight	1	3
14. Inability to manage licenses	1	1
15. Investment capital	4	8
16. Not understanding what they are selling: An approach, the tool, or both	3	4
17. Reluctance to commercialize	3	3
18. Lack of staff resources to promote sales	1	1
19. No marketing strategy	3	6
20. Lack of product support personnel within Client A organization.	2	3
21. Lack of staff trained to sell the tool.	1	1
22. Client A organization not fully using the tool.	1	1

Key Themes

As previously indicated, to identify key themes, I conducted a thematic analysis

using the semistructured interview responses, internal organizational documents, a review

of the organization's website, government documents, and public information. The key

themes that emerged from thematic analysis are as follows: (a) effective strategic

planning, (b) effective financial management, (c) ineffective commercialization strategy,

(d) positive workforce environment, and (e) partially effective workforce development. Presentation of the key themes may provide Client A organization leaders with insight regarding their strengths as well as opportunities for improvement. Using stakeholder theory as the lens to view leadership responsibilities, leaders in Client A organization should implement actions to ensure they meet stakeholder needs.

To prioritize efforts, leaders may choose to make internal stakeholders the highest priority in their improvement efforts. The organization's internal stakeholders include their mental health workforce, which means they may consider targeting their improvement efforts toward developing opportunities for their workforce. Weise, Fisher, and Trollor (2017) found in their study of mental health practitioners caring for people with intellectual disabilities that to successfully support the recovery efforts of their mental health care patients, practitioners must have 102 specific attributes. Amongst the 102 attributes is communication expertise, especially regarding the use of communication technology, assessment skills to determine why certain behaviors occur, and knowledge of interventions appropriate to help change behavior (Weise et al., 2017). Increasing communication may help leaders ensure that internal stakeholders feel valued and appreciated.

To analyze the key themes, I used the following evaluation criteria: (a) approach, (b) deployment, (c) learning, (d) integration, and (e) results. The approach an organization chooses gives details about the methods used to implement strategic goals and whether the leadership utilizes repeatable, systematic processes (Baldrige Performance Excellence Program, 2019). Deployment refers to whether leaders and staff

use the approach consistently across the organization (Baldrige Performance Excellence Program, 2019). Learning represents the organization's ability to refine the approach and change it based upon feedback gained during implementation (Baldrige Performance Excellence Program, 2019). The degree of integration informs leaders whether there is harmony in processes across the organization and whether these processes support organizational goals (Baldrige Performance Excellence Program, 2019). Results refer to the outputs achieved by the organization. Additionally, the results provide a measure for the overall effectiveness of the approach, deployment, learning, and integration. Evaluation occurs using the following criteria: (a) levels, (b) trends, (c) comparisons, and (d) integration.

Using the Baldrige Excellence Framework, researchers use processes and results as the two evaluation methods to understand an organization's strengths and opportunities for improvement (Baldrige Performance Excellence Program, 2019). An analysis of key themes regarding process strengths, process opportunities, results strengths, and results opportunities provided an evaluation of Client A organization's overall performance. The final components of this section include a description of the process strengths and opportunities for improvement based on the Baldrige Performance Excellence Program criteria, which uses levels, trends, comparisons, and integration as evaluation criteria. Organizations that operate well have defined goals and use systematically aligned, integrated approaches, which support strategic and operational goals.

Process strengths. The leaders in Client A organization have some processes that are fully mature, and some processes that are in the beginning stages of development. According to the Baldrige Performance Excellence Program (2019), fully mature integrated approaches are repeatable, regularly evaluated for improvement, and include the ability to track progress. Client A organizational strengths include the strategic planning process, financial management, and the positive workforce environment. The organization's partially effective workforce is both a process strength and an opportunity for improvement. In the next several subsections, I used the approach, learning, deployment, integration (ALDI) evaluation method of the Baldrige Performance Excellence Program (2019) to analyze each of the process strengths.

Strategic planning process ALDI evaluation (strengths). As mentioned previously in the strategy section of this doctoral study, Client A organization used a strategic planning approach to develop its comprehensive 5 year strategic plan. To recap the process, the BOD gathers performance data from previous years, performs SWOT analysis, defines the strategy using information from data gathered and the SWOT analysis, and then deploys the strategy throughout the organization. Once the leaders deploy the strategic plan, they evaluate the plan's effectiveness and then, if necessary, revise the plan.

Using the Baldrige Performance Excellence Program (2019) process scoring guidelines, I determined that Client A organization's score for strategic planning falls in a scoring range of 85%-90%. The organization achieved a score in this range for their strategic planning process because the leaders were able to demonstrate that the process

was (a) effective through the increase in offered services for the 30 years they have been in operation, (b) repeatable in that the BOD meets annually to develop or review the strategic plan, (c) fully deployed within the leadership team and disseminated out to the entire organization, as site leaders post the RPIII strategic aims in all sites, (d) includes learning and innovation by requiring site managers to create action plans for achieving the RPIII goals, (d) considers current and future organizational needs by including people development in the strategy, and (e) the leaders have demonstrated the ability to track progress toward achieving strategic aims with operational reports and quality assessments. Because the strategic planning process met these criteria, I evaluated it as a strength for the organization.

Financial management process ALDI evaluation (strengths). Leaders in Client A organization used a diversified funding approach, as mentioned in the financial and market results section, thereby creating an environment for success. Leaders obtain funding from a variety of sources, including the Scottish government and charity trusts, contracts, service level agreements, health boards, private donations, investments, and fundraising events. Ninety percent of the organization's funding comes from public bodies, inclusive of contracts for services.

Using the Baldrige Performance Excellence Program (2019) process scoring guidelines, I determined that Client A organization's score falls in the scoring range of 85%-90% for financial management. The organization achieved this score on their financial management process because the leaders were able to demonstrate that the (a)process was effective, repeatable, fully deployed out to the entire organization, (b)

demonstrates learning by making policies mandating that the organization must have 3

months of reserves, (c) considers current and future organizational needs by obtaining

funds from multiple sources, and (d) the leaders have demonstrated the ability to track

progress toward achieving strategic aims by producing financial reports. Because the

financial management process met these criteria, I evaluated it as a strength for the

organization.

Positive workforce environment process ALDI evaluation (strengths). As

mentioned in the workforce section of this doctoral study, senior leaders rely on the

workforce to execute activities and processes that result in mission attainment. Senior

leaders reported that the workforce environment is collaborative as well as innovative.

The leaders use an open communication approach to create a positive workforce

environment.

Using the Baldrige Performance Excellence Program (2019) process scoring

guidelines, I determined that Client A organization score falls in the scoring range of

70%-85% for a positive workforce environment. The organization achieved this score on

their positive workforce process because the leaders: were able to demonstrate that the

process was mostly effective, as the majority of staff use the open communication

approach to share ideas; repeatable as demonstrated by email use and ideas being

submitted to the organization's newsletter; fully deployed out to the entire organization,

including the front-line staff; and demonstrates learning as evidenced by incorporating

staff ideas throughout the organization. Because all staff does not use the open

communication approach and because there was no evidence that senior leaders reviewed

this process for improvement, I scored positive workforce environment lower than the strategic planning and financial management processes. Although the score for this measure is lower than other areas, it is still a strength for the organization.

    Workforce development process ALDI evaluation (strengths). Leaders in Client A organization use an investment approach to develop an organization-wide peer support care delivery model. As mentioned in the workforce section of this manuscript, the premise of the peer support care delivery model is that individuals best qualified to serve as peer support workers have coped with and overcome significant mental health challenges in their own lives, which makes them experts by experience. Senior leaders invested time and money into developing the peer support model throughout the organization and have received awards from the Scottish government for the program's development.

    Using the Baldrige Performance Excellence Program (2019) process scoring guidelines, I determined that Client A organization score falls in the scoring range of 50%-65% for workforce development. The workforce development process scored lower than the strategic planning, financial management, and positive workforce environment processes because peer workers are a small percentage of the workforce and the organization has not fully developed other parts of the workforce, which makes the workforce both a process strength and an opportunity for improvement. The organization achieved this score because the leaders were able to demonstrate: workforce development processes inclusive of the peer support program were effective more than 50% of the time; the approach was well deployed but used in varying degrees throughout the

different services the organization provides; it aligned with overall organizational needs, which is to have a skilled workforce able to meet the needs of the clients; and the leaders demonstrated they could track the expansion of the peer support workforce. The lower score in the 50% range means the process is a partial strength for the organization (Baldrige Performance Excellence Program, 2019). Because I saw no evidence that the peer support worker program incorporates a systematic evaluation and improvement process, I rated overall workforce development lower than the other processes in the process strength category.

Process opportunities. In my review of Client A organization, I determined that their workforce development process represents both as a strength and an opportunity for improvement (OFI). Additionally, I concluded from my evaluation that the commercialization process for the innovative tool represents an OFI. As with the process strengths evaluation, I used the Baldrige Performance Excellence Program (2019), ALDI, as my evaluation approach. The next few paragraphs consist of my review of each process opportunity using the ALDI evaluation approach.

Workforce development process ALDI evaluation (OFIs). As mentioned in the workforce profile section of this doctoral study, Client A organization employs more than 400 employees in 15 locations across Scotland. Included in the job titles within the workforce are peer recovery workers, recovery practitioners, assistant managers, managers, and directors. Senior leaders oversee different operational arms of the organization, and it is the business development senior leader who oversees the process used to commercialize the innovative mental health outcomes tool. Using the Baldrige

Performance Excellence Program (2019) process scoring guidelines, I determined that

Client A organization's score falls in the scoring range of 10%-25% for workforce

development concerning the commercialization process. The organization achieved this

score on workforce development related to their commercialization process because they

are in the beginning phases of creating a systematic approach to commercializing their

tool. According to the semistructured interviews conducted with senior leaders and the

results of my evaluation using the Baldrige Performance Excellence Program (2019)

criteria, the commercialization approach is in the early stages of development, indicating

inhibited progress, because the organization is still reacting to problems does not have a

fully aligned approach across the organization.

OFIs include ensuring that the workforce has the capabilities to perform functions

necessary for results attainment and to create a systematic, repeatable approach fully

aligned with organizational objectives. Participant 2 indicated in the semistructured

interview that the commercialization team lacks an understanding of the information

technology (IT) requirements necessary to enhance the tool's usability and effectiveness

before increasing efforts to commercialize the tool. The senior leaders have an

opportunity for improvement by training the commercialization team on how to

communicate their enhancement requirements with the IT company responsible for

enhancements. Perhaps with additional training, the team would be able to ensure that the

IT company completes the required tool enhancements.

Commercialization process ALDI evaluation (OFIs). Senior leaders in Client A

organization used a sales approach to commercialize their innovative mental health

recovery tool. The commercialization team's goals were to sell licenses to other mental

health providers in Scotland and other countries. As mentioned previously, the team

stopped tracking sales in August 2019 while the leadership team contemplated whether to

continue with the commercialization process. Using the Baldrige Performance Excellence

Program (2019) process scoring guidelines, I determined that Client A organization score

falls in the scoring range of 10%- 25% for their commercialization process. The

organization achieved this score on their commercialization process because the leaders

are (a) only able to report on a few organizational results, such as license sales and

revenue; (b) provide some trend data, such as the trend in license sales from April 2019-

August 2019, whereas other comparative data is not available, and (c) results indicate a

failure to meet organizational goals.

Results strengths. Leaders in Client A organization were able to provide

evidence of results strengths in a variety of categories. According to the Baldrige

Performance Excellence Program (2019), results are outputs that reflect an organization's

performance in the Baldrige Performance Excellence Program category 7, inclusive of

product and process results, customer results, workforce results, leadership, and

governance results, and financial, market and strategy results. Also mentioned in the

evaluation of results is that if an organization is continuously working toward

improvement, the leaders should be able to produce supporting results (Baldrige

Performance Excellence Program, 2019). Key themes indicated that Client A

organization performed well in financial marketing and strategy, leadership and

governance, and some aspects of workforce engagement in which reports indicated

positive results. In the next several subsections, I used the levels, trends, comparisons, and integration (LeTCI) evaluation method of the Baldrige Performance Excellence Program to analyze each of the results strengths.

Financial, market, and strategy results LeTCI evaluation (strengths). As reviewed in the financial and market results section of this manuscript, senior leaders understand the importance of having enough revenue surplus to maintain the organization's ability to sustain and grow business operations. Senior leaders use several different financial reports to manage the organization's financial health. Using the Baldrige Performance Excellence Program (2019) results scoring guidelines, I determined that Client A organization score falls in the scoring range of 85%-90% for their financial, market, and strategy results. The organization achieved this score on their financial, market, and strategy results because (a) the leaders were able to demonstrate excellent organizational performance levels in funding and surplus revenue, (b) the organization sustained beneficial trends for the 2015-2019 performance years, (c) the majority of reported trends have shown comparisons between prior performance years, and (d) the organization reported results across several different financial and market performance areas, including revenue, assets, and funding.

Leadership and governance results LeTCI evaluation (strengths). Senior leaders in Client A organization have demonstrated strong leadership and governance results. Governance results indicated that the senior leaders comply with all laws and regulations governing mental health care delivery in Scotland. Using the Baldrige Performance Excellence Program (2019) results scoring guidelines, I determined that Client A

organization score falls in the scoring range of 70-85% for their leadership and governance results. The organization achieved this score on their leadership and governance results because they (a) were able to demonstrate excellent performance levels in Care Inspectorate survey scores; (b) sustained trends on the Care Inspectorate surveys for performance years 2015-2019; (c) achieved the industry benchmark on the survey results, the average score of which is a five or above; and (d) integrated the performance requirements for Care Inspectorate surveys throughout all service sites.

Workforce engagement results LeTCI evaluation (strengths). As presented in the workforce section of this study, Client A organization's leaders have deployed a formal survey approach to measure employee engagement results. Using the Baldrige Performance Excellence Program (2019) results scoring guidelines, I determined that Client A organization's score falls in the scoring range of 70%- 85% for workforce engagement. The organization achieved this score on their workforce engagement results because the leaders (a) demonstrated good-to-excellent workforce engagement results as indicated by 89-93% of staff feeling satisfied, (b) sustained workforce engagement results in the area of collaboration across services at 93% for two performance years, (c) maintained comparative trends to prior performance years despite some gaps in data, and (d) obtained overall performance indicators from staff that they feel skilled enough to do their jobs.

Results opportunities. In my review of Client A organization, I determined senior leaders have several OFIs related to their workforce. Additionally, I concluded from my evaluation that the commercialization process for the innovative tool represents

an OFI for this organization. The commercialization results OFIs relate to the specific

business problem and the research question that guided this qualitative single case study.

While most of the organization's results show positive performance levels and trends,

workforce retention, absenteeism, and some aspects of employee engagement results

demonstrate low-performance levels. The commercialization results for the innovative

tool also demonstrated low-performance levels. For some results, there are gaps in the

data, which make it challenging to perform trend analysis. Senior leaders recognize that

workforce results and commercialization results must improve for the organization to

reach its goals. Senior leaders also recognize that gaps in data make it challenging to

drive performance improvements and hope that the new information system, Project Sky

will improve their efforts to collect, organize, measure, and analyze key performance

indicators. In the next subsections, I reviewed each results opportunity using the LeTCI

evaluation approach.

>   ***Workforce results LeTCI evaluation (OFI).*** According to Client A organization's

profile, the organization employs 400+ employees, which includes staff with different

titles and job responsibilities. The largest segment of the workforce includes peer

workers, recovery workers, and recovery practitioners. The senior leaders use a

monitoring approach and partner with their HR department to gather and review data

about employee retention and absenteeism. Using the Baldrige Performance Excellence

Program (2019) results scoring guidelines, I determined that Client A organization score

falls in the scoring range of 0%-5% for workforce results related to retention and

absenteeism. The organization achieved this score on their workforce retention and

absenteeism results because (a) results were poor, with retention rates of 75% and absenteeism rates of 13.2 days per person per year; (b) retention trends show little improvement; (c) there is no absenteeism trend data available; (d) there is limited comparative data as only 2018-2019 data is available; and (e) the organization's leadership has not acted upon the results.

Commercialization process results LeTCI evaluation (OFI). Senior leaders in Client A organization have not clearly defined their commercialization goals or key performance indicators. According to the strategic plan, the organization wants to ensure the use of the recovery outcomes tool as a key measure of recovery and that use of the tool occurs at an international level. The senior leaders use a sales approach to commercialize the tool and sell licenses. When asked about license sales targets, one senior leader reported that there were no defined sales targets, and such targets will not be defined until the tool has been enhanced and is ready for the sales team to drive increased sales. Using the Baldrige Performance Excellence Program (2019) results scoring guidelines, I determined that Client A organization score falls in the scoring range of 0%-5% for their commercialization process. The organization achieved this score on their commercialization process because (a) they have not established a systematic approach to license sales, (b) there is no evidence regarding the full deployment of the sales approach, (c) there are no defined sales targets and improvement is not evident, and (d) there is not organizational alignment for commercializing the tool.

Project Summary

A key component of maintaining an NPO is obtaining the financial means to fulfill the organization's mission. NPO sustainability depends upon adequate income generation from multiple funding sources (Zietlow et al., 2018). NPO leaders regularly encounter challenges related to resource management and must react to changes in funding streams, which necessitates leaders to adopt entrepreneurial approaches to ensure service delivery (Berzin, Pitt-Catsouphes, & Gaitan-Rossi, 2016). Furthermore, nonprofit leaders should monitor revenue streams consistently. Monitoring financial performance and revenue generation by nonprofit leaders could potentially prevent financial failure, thereby preserving the organization's mission (Burde, 2018). Some nonprofit leaders, such as those in Client A organization, may react to financial pressures by choosing intellectual property commercialization as an additional revenue-generating strategy.

In this study, I analyzed the commercialization strategy used by the senior leaders of Client A organization to secure additional funding for the organization and ensure financial stability. In addition to learning about the commercialization strategy the senior leaders use to monetize their mental health tool, I used the 2019-2020 Baldrige Excellence Framework criteria to evaluate the organization's strengths and opportunities for improvement against the seven pillars of high performance: leadership, strategy, customers, workforce, operations and analysis, measurement, and knowledge management.

During the data gathering process, I interviewed senior leaders to obtain information about their commercialization strategy, which I then linked back to the

research question to create alignment within my study. Additionally, throughout the data gathering process, I sought leaders' answers for how they approach, deploy, learn, and integrate processes within their organization. The senior leaders provided information regarding the function of the organization and how they support the organization's strategic aims of recovery, people, innovation, and influence. The primary thematic findings were (a) effective strategic planning, (b) effective financial management, (c) ineffective commercialization strategy, (d) positive work environment, (e) partially effective workforce development. The findings of this study, as well as the recommendations, could help the senior leaders at Client A organization improve upon core business functions, such as employee engagement, employee retention, and employee absenteeism, as well as improving upon the commercialization strategies for their mental health tool.

If senior leaders in Client A organization can improve upon their commercialization strategy by defining key performance indicators and using a robust marketing strategy, they may be able to increase the revenue gained from commercializing their mental health tool. Factors influencing commercialization include technology, funding, strategy, and the market environment (Lai, 2018). Individual organizational values may also affect the commercialization process creating psychological, moral, and ethical dilemmas (Sharif, Nizam, Rashid, Masrom, & Bakri, 2018). Client A organization leaders experienced a significant ethical dilemma, which made it difficult for them to decide to invest fully in the commercialization process. Participants 3 and 4 mentioned in their interviews that because the tool improved mental

health recovery outcomes, they struggled with the idea of selling the tool versus giving it away for free. Giving it away for free would allow for broader use and may have a more substantial affect on the overall mental wellbeing of the community.

Client A organization leader's commercialization strategy contained many of the required elements that could potentially lead to successful commercialization. Licenses are an essential element in the commercialization process (Siegel, Veugelers, & Wright, 2007), which Client A organization included as part of its commercialization strategy. License sales are one of the primary methods to generate revenue and maintain control (Chandra & Liaquat, 2019). Client A organization used license sales as the primary source of revenue generated by its innovative tool.

Additionally, to successfully commercialize intellectual property, there must be a customer base (Othman, 2011). Client A organization leaders were in the beginning stages of creating a customer base with their most extensive customer base in the Netherlands, where clients purchased 623 licenses. To mention a few of the other customers included clients in the UK who purchased 178 licenses and the Czech Republic, where clients purchased 117 licenses.

Intellectual property may require additional research and development to maintain revenue generation (Chandra & Liaquat, 2019). Developing complementary technologies and the ability to support technology is also important in the commercialization process (Al-Aali & Teece, 2013). Client A organization leaders struggled with this aspect of the commercialization process because of complicated relationships with the IT company and

their team's lack of capabilities to work directly with the IT company to enhance the existing tool and create complementary assets.

From a stakeholder theory perspective, Client A organization's commercialization strategy focused on the client's needs. Stakeholders influence the business environment and benefit from the services an organization provides, which creates value (Freudenreich, Lüdeke-Freund, & Schaltegger, 2020). Value creation for stakeholders drives business operations and creates an opportunity for sustainability (Freudenreich et al., 2020). Client A organization leaders had the right idea to focus their commercialization efforts on creating value for other mental health organizations by highlighting the validity of the innovative tool and how recovery outcomes improved using the tool. Stakeholder theory's underlying principles of relationships and value creation support Client A organization leaders' ideology behind their innovative tool.

Increasing the tool's revenue generation could help safeguard the organization's financial health and improve their chances for sustainability. Additionally, increasing the usage of the tool in the mental health community may mental health care improve care delivery, which creates added value. Leaders of other NPOs may find the information contained in this study useful for evaluating their organizations' overall performance and influence decisions regarding workforce performance measures and commercialization as a method to generate revenue, improve organization sustainability, and perhaps expand business operations.

Contributions and Recommendations

Managing finances and liquid assets is vital for maintaining a NPO's solvency

(Zietlow et al., 2018) and delivering its mission to provide services that benefit society.

Some NPO leaders may choose alternate revenue diversification strategies, which may

include intellectual property to maintain nonprofit solvency. The Baldrige Excellence

Framework (Baldrige Performance Excellence Program, 2019), which Walden University

DBA scholar-consultants use to assess overall organizational health and performance,

stresses that visionary leadership is one of the key pillars to guarantee organizational

success. To achieve high-performance standards, leaders of NPOs should strive to

incorporate learning into every aspect of their core business operations. As indicated in

the Baldrige Excellence Framework, "well-deployed organizational learning can help and

organization improve from the early stages of reacting to problems to the highest levels

of organization-wide improvement refinement and innovation" (Baldrige Performance

Excellence Program, 2019, p. 34). Leaders who operate with stakeholder needs and

interests in mind can add value to stakeholders in all categories, including employees,

managers, suppliers, and customers (Freeman, 1984). In the remaining paragraphs of this

manuscript, I provide my recommendations with the hope that nonprofit leaders in Client

A organization, as well as other interested agencies, will find this information useful for

improving organizational processes and commercialization strategy implementation.

Although Client A organization invested in developing and implementing award-

winning processes for hiring and training peer support workers, the organization leaders

could improve upon workforce engagement by measuring and reacting to results obtained

in employee engagement surveys. A happy and engaged workforce is paramount for organizational success, and without a mission-driven, engaged workforce to deliver mental health services, the organization would cease to exist. The organization leaders faithfully administer employee engagement surveys every 2 years; however, they do not aggregate and disseminate the results promptly. Analyzing employee engagement survey results in a timely manner may provide leaders opportunities for improving engagement, enhancing care delivery, improving overall operations, and addressing additional areas in which they received low scores. I recommend that Client A organization leaders look for opportunities to improve their process for administering, aggregating, and analyzing survey results to decrease the burden of responsibility on the organizational leaders.

Partnering with a third-party survey vendor could lead to an improvement in the timely analysis of employee engagement survey results. As demonstrated in the United States with the administration of the In-Center Hemodialysis Consumer Assessment of Healthcare Providers and Systems Survey, the Centers for Medicare & Medicaid Services found that using third-party vendors to collect satisfaction survey results can reduce bias and improve the timeliness of aggregated results (Centers for Medicare & Medicaid Services, 2020). Client A organization leaders should consider using an outside vendor to help improve upon the timely administration and analysis of the employee engagement survey results. Using a third-party could relieve the administrative burden from senior leaders, leaving more time for the leaders to focus on improvement opportunities.

Other workforce recommendations include implementing programs to decrease staff turnover, increase retention rates, and decrease absenteeism. The organization's

performance on these workforce metrics are below industry standards and could be indicative of a systemic problem. Nyamweya, Yekka, Mubutu, Kasozi, and Muhindo (2017) found that staff absenteeism can be related to social-demographic characteristics, personal factors, poor leadership, family responsibilities, gender, and personal reasons, such as sickness and increased workload. Organizational culture may affect employee retention by providing inadequate compensation (Anitha & Begum, 2016; Khalid & Nawab, 2018). Once the leaders identify the root causes, they should implement strategies to improve upon these metrics. In any quality improvement project finding root causes is an essential first step to take before implementing actions to correct the problem (Halperin et al., 2019). I recommend that senior leaders conduct further analysis to determine the root causes of low employee engagement and high absenteeism.

Regarding the organization's commercialization strategy, my recommendations take into consideration tenets from change management theory, stakeholder theory, the resource-based view, and marketing theory. Drawing on the tenets of change management theory as written by Kotter (1995), during my interactions with Client A organization leaders as a scholar-consultant, I recommended that Client A organization develop a sense of urgency for revising their commercialization strategy and elicit a guiding coalition to help drive the commercialization strategy forward. Aligning resources and setting clear targets is vital in strategy implementation (Kotter, 1995). To refine the commercialization strategy, senior leaders must develop clearly defined KPIs and align the BOD, senior leaders, and staff.

Drawing on the tenets of stakeholder theory, which guide leaders to act in the best interest of stakeholders and to consider staff as key stakeholders (Freeman, 1984; Freeman, 2010), I recommend training the commercialization team on how to serve as business consultants working directly with their IT company partners to develop the technology enhancements the tool needs before increasing license sales. This recommendation also aligns with the tenets of the resource-based view, in which Collins (2020) stated that organizations could create a competitive advantage by investing in employees to develop employee-based resources and new capabilities. Lastly, drawing upon Drucker's (1958) tenets of marketing theory, I recommend that senior leaders incorporate a robust marketing strategy to help drive license sales. Using marketing strategies, business leaders can identify new customers, understand customer needs, and develop ways to provide goods and services to meet customer needs while generating profit (Collins, 2020; Drucker, 1958).

During my interactions with Client A organization leaders in the capacity of scholar-consultant I made the above recommendations. I also recommended for the leaders to decide whether they were going to commercialize their tool fully. Toward the end of the data gathering process and the wrapping up of consulting activities, Participant 2 reported that after several internal meetings and discussions, the leadership team decided not to invest fully in the commercialization of their innovative tool. Client A organization senior leadership and the BOD decided they would invest money in tool enhancements and maintenance, especially since the tool is part of their mental health delivery business model. Additionally, any support that existing customers need will be

provided by Client A organization leaders. They did not rule out commercialization altogether but applied parameters that if interested parties want to purchase licenses, the leadership team will allow purchases, but they are not going to pursue or drive license sales and marketing actively.

Applications to Professional Practice

Much like healthcare practitioners, business practitioners should exchange knowledge to advance business practice. Healthcare practitioners share evidence-based practices within the healthcare community and believe this knowledge transfer process is vital to the ongoing advancement of the healthcare profession (Bonham, 2020). In this component, I provide insight into how business practitioners can apply the findings contained in this qualitative single case study to their professional practice, thereby sharing knowledge and helping to advance business practices.

Research is the process undertaken to inquire about and create a scholarly conversation about a phenomenon (Brooks, Hammons, Nolan, Dufek, & Wynn, 2019). The purpose of this qualitative single case study was to explore strategies Scottish nonprofit mental health organization leaders use to commercialize innovative products and services to secure funding and ensure financial stability. NPO leaders who are contemplating commercializing intellectual property may benefit from the findings and recommendations in this study when designing a commercialization strategy for their organization.

The results of my research may add to the body of knowledge on commercialization strategies and may help to fill the gap in research on intellectual

property commercialization specifically related to NPOs. NPO leaders who are

contemplating intellectual property commercialization or those who have never

considered intellectual property commercialization can review my final recommendations

for Client A organization leaders and use them as a reference point when designing their

commercialization strategy. These recommendations included (a) creating a sense of

urgency for the commercialization strategy, (b) obtaining a guiding coalition to advance

the strategy forward, (c) aligning resources and developing KPIs, (d) investing in training

team members to develop new capabilities that can help create a competitive advantage,

and (e) implementing a robust marketing strategy. Additionally, because I have grounded

the recommendations in theory, NPO leaders may be inclined to learn more about

stakeholder theory and other theories considered for this doctoral study, potentially

applying what they learned to their business practices.

NPO leaders may also use the information in Client A organization's Baldrige

Performance Excellence Program review as a starting place to review their organization's

overall performance in the areas of leadership, strategy, customers, measurement analysis

and knowledge management, workforce, operations, and results. Learning about the

Baldrige Performance Excellence Program from this doctoral study might prompt the

NPO leaders to use the program to conduct a self-assessment or to seek out other

Baldrige products and services.

Implications for Social Change

The Walden University doctoral program is committed to reflecting current

professional trends and promoting positive social change through higher education

(Walden University, 2020). According to Walden University's (2020) 5 year vision for social change, research conducted at Walden University will benefit communities in the application of social change, help strengthen the individual's ability to be a social change agent, and make scholarly research available to help improve social conditions. Additionally, influencing perceptions by providing new information helps drive social change (Tankard & Paluck, 2016). As a Walden University doctoral student, my research should provide information that may contribute to positive social change outcome

Doctoral studies that may have an affect on social change represent a *bottom-up* approach to positive social change. *Bottom-up* approach means that behavior patterns and changes originate at the individual level and then become part of large-scale societal change and culture (Stephan, Patterson, Kelly, & Mair, 2016). Examining social change from a bottom-up approach allows for people at the bottom to provide input into the reality that needs changed and help define strategies for improvement (Schram, 2017). In the case of Client A organization's participation in this doctoral study, the organization leaders provided a bottom-up view of their commercialization strategy, which could help other NPO leaders formulate their understanding of the commercialization process, which could lead to improved strategies and outcomes.

The implications for social change resulting from this study could include the potential to offer leaders of NPOs in the mental health field strategies to commercialize their innovative products and services. Commercialization of mental health intellectual property could expand and improve what is available to mental health practitioners in both Scotland and internationally. Further implications for social change may include the

provision of new and innovative mental health services to local communities, which could increase recovery rates and improve upon the overall human condition, which aligns well with Walden University's social change vision.

Also present in the thematic findings were opportunities to improve workforce development. Social change implications for workforce development include helping to improve self-efficacy, which can enhance career choices (Arghode, Heminger, & Mclean, 2020). Creating opportunities to advance careers can lead to increased income generation and lead to a better quality of life for the workforce in Scotland and abroad.

Recommendations for Action

This section includes recommendations leaders of Client A organization and other NPOs can consider for increasing revenue from developing intellectual property. Researchers generally provide recommendations for action at the end of the research study to share their interpretation of the study's significance (The Association for Qualitative Research, 2020). A researcher's interpretation includes information gathered in the research process and any existing knowledge or expertise related to the subject matter (The Association for Qualitative Research, 2020). This research study revealed that creating intellectual property in the nonprofit sector does not necessarily lead to revenue generation. To generate revenue from a commercialization effort, NPO leaders must carefully consider all aspects of their commercialization strategy. In general, most strategies end up failing because of the various obstacles that pose challenges for organizational leaders (Cândido & Santos, 2019). To create a solution in which everyone benefits for NPO leaders who are interested in commercializing intellectual property, I

recommend reviewing Client A organization's commercialization strategy to increase

general awareness of strengths and opportunities for improvement. Client A

organization's commercialization strategy included product development, validation of

the product, and establishing licenses for using the product, or in this case, the intellectual

property, all of which are valid steps in the commercialization process (see Aloini et al.,

2017; Azmin, 2016; Ceccagnoli & Rothaermel, 2008;). NPO leaders can use the

information contained in this study to formulate a commercialization strategy or as a

reason to pursue other funding options.

I recommend future research to include more qualitative case study research to

identify intellectual property commercialization strategies used by senior leaders in other

NPOs. Additionally, I recommend that researchers conduct more research on developing

a successful commercialization strategy that other NPO leaders could readily implement

in their organizations. If research reveals intellectual property commercialization

strategies that increase revenue, the findings may inspire other NPO leaders to invest in

innovation and intellectual property development and to use the revenue generated from

commercialization to help sustain the NPO's operations.

Recommendations for Further Research

The literature review conducted for this research study illuminated a gap in the

research on commercialization strategies for intellectual property related explicitly to

intellectual property commercialization by NPOs. As mentioned in the literature review,

the primary focus of research regarding nonprofit commercialization is on providing

reasons for NPO leader's movement toward using commercialization as a part of their

funding strategy (Litrico & Besharov, 2019). Research is sparse concerning successful

NPO commercialization strategies and, in general, focuses instead on the innovation

process (Chesbrough, 2003; Felin & Zenger, 2014). The limitations of this doctoral study

further define the parameters under which the conduction of this study occurred. This

study contains information collected about one NPO's intellectual property

commercialization strategy used by senior leaders and does not represent the

commercialization strategies used by most or all NPO senior leaders. Because of this

limitation, my recommendation is to expand the scope of this research study to include

the commercialization strategies used in multiple organizations by senior leaders from

other NPOs in Scotland and other countries.

The results found in this study should inform NPO leaders in the areas of business

operations and commercialization processes. To reach the NPO leaders and other

interested parties, dissemination of the study results might occur via literature searches

through multiple databases. Other methods for dissemination might include lectures at

conferences, training events, social media publishing, blogging, and word-of-mouth.

Reflections

The doctoral consulting capstone research process provided an opportunity to

participate in the qualitative research process as well as providing an opportunity to work

as a scholar-consultant and evaluate a NPO's overall performance using the 2019

Baldrige Performance Excellence Program. Throughout the research process, I was

challenged to address research bias. Although I did not identify bias in the research

process, I did identify personal biases directed at my ability to complete the doctoral

consulting capstone study. Before beginning this journey, I had preconceived ideas that doctoral writing was the same as masters level writing. I also had preconceived ideas about what it meant to be an independent scholar and placed a higher value on faculty guidance than peer guidance.

After completing the process, I learned that doctoral writing is different from masters level writing and that it takes time and practice to hone doctoral writing skills. I also learned while on this journey that my personal biases toward myself and preconceived ideas about being an independent scholar were obstacles that, if not removed, would be a barrier to graduating.

Along the way, my thinking changed and I learned that I had the capabilities required to complete my doctoral study if I maintained emotional intelligence and learned to accept feedback. I also learned along the way to value peer support because other students were going through the same process and learned methods to help improve their chances of success. I learned very quickly that networking and peer support are invaluable to this process. I also learned how the Baldrige Performance Excellence Program is used to assess overall organizational health and how it can help leaders identify strengths and OFIs. Additionally, I quickly learned that successful consultant relationships take time and require rapport. Lastly, I learned to trust my chair and rely on her guidance and use her feedback to improve my doctoral study and to grow professionally and personally.

Conclusion

The purpose of this research was to advance the knowledge of commercialization strategies for intellectual property in NPOs. Identifying effective and ineffective commercialization strategies may inform other nonprofit leaders on the risks and benefits related to intellectual property commercialization strategies designed to increase funding and improve an NPO's chances for sustainability. Using the Baldrige Performance Excellence Program to evaluate Client A organization added additional value by helping me learn the skills required to serve as a business consultant and assist other NPOs to identify strengths and opportunities for improvement the leaders may otherwise not discover.

Conducting this research study and completing a literature review to guide and inform the study revealed gaps in the research on intellectual property commercialization strategies in NPOs. The most important message that NPO leaders can take away from this research study is that the commercialization process requires more than the creation of a product or a service. The commercialization process requires an investment in strategy development inclusive of marketing, an investment in training and workforce capabilities, and ongoing investment in product enhancements, support, and creating complementary assets.

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Appendix A: Interview Protocol

Scottish Nonprofit Mental Health Organizational Strategies to Commercialize

Innovative Products and Services.

1. Initiate the interview protocol when I sit down to meet with the client

   leader.

2. I will start the interview by introducing myself and state the purpose of the

   interview.

3. I will thank the participant for his or her time and for consenting to the

   interview.

4. I will explain the procedure for opting out of the interview and out of the

   study.

5. I will review the data collection process as well as the member-checking

   process with each participant.

6. I will explain the necessity of recording the interview and then ask for the

   participant's permission to record the interview.

7. I will begin the interview and start the recording.

8. I will begin the interview with question 1 and continue to complete all

   questions.

9. I will end the interview after the last question and stop the recording.

10. I will use member checking procedures to verify the information obtained

    in the interview.

12. I will provide my contact information and explain that if there are any questions or concerns to contact me using the information provided.

13. I will thank the participant again for his or her time and for providing information for study purposes.

14. The interview protocol will end after thanking the participant.