9-26-2025

Leading Through Times of Financial Uncertainty in Nonprofit Organizations

Lakisha A. Dent-Gordon
Walden University

Walden University

The College of Psychology

This is to certify that the doctoral study by

Lakisha Dent-Gordon

has been found to be complete and satisfactory in all respects,
and that any and all revisions required by
the review committee have been made.

Review Committee
Dr. Miguel Messina, Committee Chairperson, Psychology Faculty
Dr. Aundrea Harris, Committee Member, Psychology Faculty

Chief Academic Officer and Provost
Sue Subocz, Ph.D.

Walden University
2025

Abstract

Leading Through Times of Financial Uncertainty in Nonprofit Organizations

by

Lakisha Dent-Gordon

MA, Argosy University, 2017

BS, University of La Verne, 1997

This doctoral study is submitted in partial fulfillment

of the requirements for the Degree of

Doctor of Psychology in Behavioral Health Leadership

Walden University

July 2025

Abstract

The current study is a macro analysis of a CEO for a nonprofit re-entry program which provides support services to individuals reentering their community in an effort to reduce the state's 36% recidivism rate. The organization is one of three organizations located in a U.S. Southwestern state and provides housing and additional support for up to 50 clients recently released from the state's prison system. The focus organization ind retention of the workforce. The study reviews the questions concerning the organization's leadership, which faced closure of the organization due s run by a CEO who oversees all financial, treatment, compliance, referrals ato a financial crisis created by a lack of funding resources, high employee turnover, and no community partnerships. This study provides a review of the problem of the organization's CEO's effectiveness in responding to the financial crisis. The study is a quantitative analysis of peer-reviewed scholarly articles on similar studies, assessments provided by the Baldrige Framework of Excellence, interviews with the CEO, three direct care staff, two middle management staff, and two clients. The findings of the study conclude that there are specific qualities leadership should possess to effectively navigate through financial crisis situations.

Leading Through Times of Financial Uncertainty in Nonprofit Organizations

by

Lakisha Dent-Gordon

MA, Argosy University, 2017

BS, University of La Verne, 1997

This doctoral study is submitted in partial fulfillment

of the requirements for the Degree of

Doctor of Psychology in Behavioral Health Leadership

Walden University

July 2025

Dedication

This study is dedicated to all of those who wish to create an environment of healing through Behavioral Healthcare Leadership and Service.

Acknowledgements

I would like to thank my Committee Chair, Co-Chair, and all of those who have been so inspiring on my journey.

Table of Contents

Abstract 2

Dedication 3

Acknowledgements 5

Section 1a-The Behavioral Health Organization 1

What the organization offers 1

Organizational direction 2

Organizational structure 3

Practice Problem 4

Purpose of the Study 6

Significance of the study 8

The potential value of this project to the behavioral health organization. 8

Contribution to effective behavioral health organizational practice and leadership. 9

Potential contribution to positive social change. 10

Section 1b. Organizational Profile 11

Introducing the Baldrige Framework for Excellence 11

Organizational Profile and Key Factors 11

What is the Baldrige Framework of Excellence? 11

KPI Leadership 12

KPI Supportive Workplace 12

KPI Process Management 13

KPI Business Outcomes. 13

KPI Customer and Market Focus 13

KPI Organizations' treatment and services 14
Organization background and context 17
The need for the study 17
Qualitative Interview Portion 17
The institutional context. 23
Historical funding practices of the focus organization 24
Approach to the study 26
SECTION 2: Background and Approach 27
Definitions of terms used throughout the study 27
List databases and search engines used. 28
Studies of similar organizations and problems in BHL: Sources of Evidence. 29
Leadership Strategy and Assessment 39
Key Strategic Challenges 40
Organization Stakeholders 40
Analytical Strategy 42
Predictive Analysis Model 42
Evidence 43
Nature of the information 43
Relevance of information 44
Data Collection by the organization 44
Procedure for gaining access to the evidence, including permissions 45
Step 1 45
Step 2 45
Step 3 45

Step 4 46
Step 5 47
Step 6 47
Step-by-step description of how this evidence will be collected 47
How was this evidence collected? 50
Purpose: 50
Interview Protocol 51
Solutions that the focus organization has chosen to implement include: 53
Risks 55
Interviews 56
Summary 56
SECTION 3: 57
Workforce, Operations, Measurement, Analysis, and Knowledge Management Components of the Organization 57
Analysis of the Organization 57
Baldrige Framework Self-Assessments 57
Improvements to Key Services 59
Effective Management of Operations 60
Knowledge Management 63
Audit Requirements 63
Records of Organizational Performance 66
How the organization manages its organizational knowledge assets 69
Summary 69
SECTION 4: 70

Outcomes - Analysis, Indications, and Preparation of Findings 70
Introduction 70
Analysis, Outcomes, and Indications 70
Client programs, services, and new initiatives' effectiveness outcomes. 72
Organization's workforce-focused Outcomes 74
Baldrige Framework Self-Assessments of Leadership and Governance 75
Leadership Scores 76
Strategy Scores 76
Baldrige Framework Self-Assessments of Marketplace Performance 77
Indications resulting from the findings. 78
The organization's financial and marketplace performance Outcomes. 81
Outcomes of Creative Funding Introduction 82
Measurement Management 83
Strengths and Limitations of the Study 84
Unanticipated limitations 85
Findings for the Practice Problem 87
Dominant Traits Needed for Highly Effective Nonprofit Leadership. 87
Personality Traits for Successful Stock Investors 89
Destructive Leadership 90
SECTION 5 95
Further Explorations 96
Plans to disseminate this work to the organization. 97
Conclusions 98
Did the CEO lead the organization through its fiscal crisis? 98

Does the CEO have the qualities needed to lead through crises? 100

Annotated Bibliography 108

References 108

List of Tables 101

Figure1a.....101

Figure 2a-2d..... 102

Figure 3a.....105

Figure 4a.....106

Figure 5a.....107

Section 1a-The Behavioral Health Organization

The focus of the current study is a nonprofit organization that uses its resources to assist individuals re-entering the community after serving time in prison. The organization is located in the Southwestern United States, which has a 36% recidivism rate and is one of the 50 states in the United States with limited resources for the re-entry community.

According to the United States Office of Justice Programs, recidivism leads to new crimes being committed within the community. The re-offending is primarily due to a lack of available resources, job skills, education, and untreated mental health and substance abuse disorders. The lack of programs for those re-entering the community is detrimental to any community, per the USOOJP (A Second Chance: The Impact of Unsuccessful Reentry and the Need for Reintegration Resources in Communities, n.d.

What the organization offers

The organization was formed to support the state in reducing the recidivism rate of former offenders and to ensure the safety of the wider community. The organization's clients receive one year of temporary housing, resources for basic needs such as food and clothing, job training and skills development, opportunities to

pursue education, therapeutic services including drug and alcohol education and treatment, community partnership resources, and family reunification services to help maintain support after discharge from the program. Day-to-day operations for the organization are performed by the organization's staff, who are overseen by middle management leaders who report to the directors. The founder and CEO approve of all final decisions regarding the organization's resources.

Organizational direction

The founder and CEO's vision are to eventually expand the organization to cities across the United States, starting with the states with the highest recidivism rates. The Southwestern United States location is the second site opened; the first was opened five years ago in Las Vegas, Nevada. The organization's sites are all controlled by the founder and CEO. The founder has not developed a program for training future leaders within the organization. The founder has proposed a future program that will be designed to promote hand-chosen employees within the organization to head future sites. The founder has agreed to allow the findings of the current research study to become an official guide for promoting leaders.

Organizational structure

The organization is headed by the CEO, who makes all final decisions regarding hiring, resource utilization, and addressing organizational issues. The CEO communicates directly with the Board of Directors. The Board of Directors comprises a group of volunteers from the local business, medical, and behavioral healthcare fields. The Board of Directors works directly with the CEO to provide guidance on state and federal regulations and to build community partnerships and philanthropic contacts. The next level of leadership is the directors, who work directly with the CEO to develop programs and implement changes within the organization. The next level of leadership is the lower-level managers in each department. These individuals are called supervisors and work with the staff and directors to report concerns and needs for staff and clients. The day-to-day operations of the organization are conducted by paid staff members and unpaid interns working towards licensure credentials in the fields of nursing and clinical services. See Organizational Chart Figure 1a.

Practice Problem

The proposed study was conceived after a review of a study conducted in 2018 titled *America's Mental Health 2018*, which was released by the National Council for Mental Well-being regarding access to mental health treatment at the Cohen Veterans' Care Summit in Washington, D.C. (National Council for Mental Well-being, 2022). The article highlights the need for nonprofit organizations to lead the way in increasing access to mental healthcare services (National Council for Mental Well-being, 2022). The article suggests that the increase in prison recidivism, suicide, and homelessness, among other social ills, is caused by a lack of access to mental healthcare provided by nonprofit organizations (National Council for Mental Well-being, 2022). The article concluded that the most significant issue for those providing mental healthcare services is the need for informed leadership's ability to develop ways to create additional funding for services provided by the Veterans Administration and nonprofit organizations (National Council for Mental Well-being, 2022). The study is significant to the proposed research due to the survey reporting attempts by the leadership of these two organizations to appeal to the United States government for additional funds for mental healthcare services, only to be informed that the allocated funds would not be increased (National Council for Mental Well-being, 2022). The problem presented in the above article is directly related to the

focus organization for this study. Leadership of the focus organization faced issues regarding a lack of financial resources. Leadership for the focus organization was compelled to analyze, identify, and implement strategies to guide the organization through economic hardships resulting from a lack of available government-sponsored funding, which had led the leadership to consider closing the organization. The leadership team for the focus organization had gone through months of declining clients, minimizing service availability, and a hiring freeze that prevented the organization from growing and providing documented services, and the number of clients that were to be served per the requirements of awarded community grants and information supplied to philanthropic donors (Personal Communication, 8/26/2024).

The Baldrige Framework of Excellence provides a structured outline to empower organizations in achieving their mission goals, increasing competitiveness, and improving their results. The current study allowed the focus organization to use these guidelines to determine the quality of leadership and improvements implemented by the current leadership.

Purpose of the Study

In the United States today, nonprofit healthcare organizations are increasingly being used as alternatives to traditional healthcare, primarily due to the implementation of the Affordable Care Act, legislation intended to provide affordable healthcare to citizens unable to address their healthcare needs due to financial limitations (Ercia, 2021). The Affordable Care Act has allowed healthcare providers to offer the One Stop Shop Model for healthcare services for those needing behavioral healthcare and medical care (Ercia, 2021). The changes facing healthcare rely heavily on exceptional leadership that can not only enhance services but also create an environment of growth, financial stability, and competitive standing to allow the organization to remain open and thrive (Al-Khaled et al, 2020). The current study addresses the need to prevent destructive leadership from heading nonprofit

organizations and to have nonprofit organizations with traditionally low funding priority, as well as the ability to hire effective leadership with minimal turnover.

The current study addresses the need for exceptional leadership in nonprofit behavioral healthcare. Nonprofit leadership often needs help implementing changes and remaining compliant with federal, state, and local laws and regulations. The ability of leadership within these organizations is crucial to promoting a supportive work environment that promotes longevity, creative funding, and competitive outcomes above similar organizations. Boards selecting leadership for these organizations will need to hire or promote only individuals with characteristics that have been proven effective and not destructive (Al-Khaled et al, 2020).

The proposed study was designed as a mixed-research project that used the criteria for the Baldrige Framework for Excellence (*Self-Assessing | NIST*, 2024), data collected by qualitative pre-scheduled interviews with leadership, a review of relevant scholarly articles, and archival information provided by the organization's leadership to determine how effectively the organization's leadership was able to navigate a financial crisis. The following section will present the organization's profile and key components as the focus organization's background.

Significance of the study

The potential value of this project to the behavioral health organization.

The findings of the current study will help the focus organization and similar organizations develop a plan for leadership hiring. The findings of the survey allow the development of criteria that can be used to prevent destructive leadership within the organization. The study can also be used to help determine if the organization's leadership could implement changes that would help to avoid resource mismanagement (Mayfield et al., 2023).

A review of the ways the leadership team's techniques for information management and innovation helped determine if the leadership team had developed effective strategies to guide the organization through times of financial crisis. The review of information provided by the organization's leadership before and after the current economic crisis demonstrated the leadership team's ability to consistently deliver for the needs of its clients, staff, and stakeholders and to help reduce the chances of future financial situations.

Contribution to effective behavioral health organizational practice and leadership.

This mixed-research study is significant because it demonstrates how leaders can develop effective ways for organizations to survive financial crises. This study was conceived as a review of previous studies and supportive scholarly articles that respond to the need for nonprofit behavioral healthcare leadership to use predictive models, develop an engaged and empowered work environment, and use creative methods to obtain resources vital to the organization's longevity.

The study will allow future researchers to demonstrate that the government may not be able to provide for the needs of the community, and leadership will need to use creativity, knowledge, and expertise to ensure that those who cannot remain safe on their own have a way to receive treatment to help reduce crises. The study may inspire nonprofit organization leaders to use creative ideas effectively in financial problem-solving and other issues. The study will allow other organizational leaders to connect with the community, which enables a strong leader to overcome economic barriers by recognizing, empowering, and engaging with staff and other stakeholders. Through the literature review, the research will aim to demonstrate how other organizations have developed ways to govern through financial crises by using

their skills, education, and support models to help reduce the social issues that cause the most damage to the community.

Potential contribution to positive social change.

Future leaders may consider using this study to determine whether funding is allocated relatively evenly by the government. The study can also help future leaders determine how nonprofit organizations can collaborate on ways to encourage the United States to increase funding allotments for these organizations. This research will hopefully allow future research on ways that nonprofit organizations in other countries that have a working system that provides healthcare services to receive the needed funding to treat the most significant number of clients and provide a more competitive work environment that allows staff to secure incomes that will help to sustain themselves and reduce the chances that employees may seek other jobs and keep turnover at a minimum during financial crises.

The first portion of the current study allows the reader to recognize its significance and the possible contributions to behavioral healthcare. The current study is designed to inform other behavioral healthcare organizations on the issues that confront the focus organization. The next portion of the study will review the research methods and will introduce the Baldrige Framework for Excellence.

Section 1b. Organizational Profile

The introductory portion of the study proposal was designed to introduce the focus study, its construction, and the issues faced by the organization's leadership team regarding the continuation of the organization and its provided services. The next section of the study will provide information on the focus organization.

Introducing the Baldrige Framework for Excellence

The proposed study was designed as a mixed-research project that used the criteria for the Baldrige Framework for Excellence (*Self-Assessing | NIST*, 2024), data collected through qualitative pre-scheduled interviews with leadership, a review of relevant scholarly articles, and archival information provided by the organization's leadership to determine how effectively the organization's leadership was able to navigate a financial crisis. The following section will present the organization's profile and key components as the focus organization's background.

Organizational Profile and Key Factors

What is the Baldrige Framework of Excellence?

The Baldrige Framework for Excellence serves as a blueprint that enables organizations to assess and improve their performance, innovation, and competitiveness relative to similar organizations (Self-Assessing | NIST, 2024). The

framework consists of a set of assessment surveys that the organization completes to demonstrate its effectiveness in managing its processes, business outcomes, leadership, customer and market outcomes, and the efficacy and supportiveness of the workplace environment (Self-Assessing | NIST, 2024). The standards for determining organizational effectiveness are presented as scores obtained by assessing the key performance indicators (Self-Assessing | NIST, 2024).

KPI Leadership

The board of directors is actively involved in selecting the organization's leadership. Leadership roles are typically reserved for highly qualified and educated individuals who can demonstrate their contributions through their previous experience. The board holds leadership accountable for effective communication, smooth implementation of necessary changes, and staff training to develop future leaders.

KPI Supportive Workplace

The organization’s leader has taken a unique approach by implementing the Whole Person Model, fostering a supportive and positive work environment. The Baldrige Framework of Excellence standards assessments were used to demonstrate the effectiveness of the founder and CEO in maintaining a solid workplace with low turnover and promoting employee ideas for improved services.

KPI Process Management

The board of directors emphasizes the processes for delivering services appropriately. The board is aware that not utilizing government funding and having little interference from government agencies increases the chance of fraudulent behavior. The board employs an outside private agency to conduct biannual audits, ensuring proper documentation and transparency in funding and its use.

KPI Business Outcomes.

The organization's owner utilizes Creative Funding and funds from his other business to help cover the costs of the services the organization provides. The owner and board of directors are dedicating resources to developing private funding streams through low-risk investments and companies that can be connected to the organization. The desired result would be an increase in revenue that would prevent the organization from turning away clients or eliminating highly used programs.

KPI Customer and Market Focus

The organization’s leadership team emphasizes targeting and marketing to private donors with shared interests to increase donations. The organization is keen on providing services to underrepresented minority groups.

KPI Organizations' treatment and services

The Baldrige Framework of Excellence was used to assess the effects of the *Human Services Model* for effective treatment and services that the founder has implemented. The organization provides referrals from the state in the Southwestern United States' Department of Parole and Probation when an inmate is scheduled for release. Once the individual has been given appropriate documentation regarding their release and the terms of parole or probation, the organization can schedule a pre-release meeting to discuss the terms of admittance into the program. Here, the individual can opt out of participation or agree to the involvement without penalty or reflection upon the terms of parole or probation. Each client is assessed first for needs and given an official diagnosis by the agency's psychiatrist and licensed therapist.

After the client is assessed and appropriately diagnosed, the staff will discuss recommendations for treatment with the individual. In some cases, individuals will need inpatient hospitalization for stabilization and medication before they can begin their program. Once the client is returned to the organization and is mentally stable, the individual will sit with a licensed social worker, the CEO, and a psychiatrist to discuss and develop a personalized treatment plan. The needs of the individual may

have been addressed, and how the services will be provided will be determined at this time.

The client can then discuss crisis planning, meetings with parole or probation officers, etc. The individual will also designate family and friends who are part of the individual's support team. Once a treatment plan has been established and consent forms are signed, the individual can access their program, unique to their needs, for successful re-entry into the community. The organization does not have a parent organization but has unwritten referral contracts with other organizations, such as behavioral healthcare hospitals, job placement organizations, and housing resources. The relationships developed by the organization's vision are to provide treatment plans for individuals to successfully re-enter the community after serving their sentences in the state correctional facilities that are individualized and specific to that individual, without interference or adherence to the state's limitations on services, by funding the agency without the use of government funds.

The organization is very new and, in some respects, still in its infancy in terms of funding and understanding laws and regulations. The individuals who make up the board of directors are family members of the owner or are close friends who provide private funding sources to the organization. The organization has declined individual

referrals due to a lack of program funding. The organization is funded solely by private donations, and the money is allocated by its owner. The organization's board of directors has requested information on private funding sources that can help it legally obtain private funding to maintain the ability to provide individual treatment plans through its programs that have been helpful to others. The board of directors is not fully aware of the rules, laws, and regulations required to maintain compliance with the state's Health and Human Services and Economic Security and Development departments. The Health and Human Services and Economic Security and Development Departments are the governing entities responsible for certifying nonprofit agencies in the state. This study will help this organization, and others like it, maintain funding through private sources without relying on the government, which has a proven record of under-funding behavioral healthcare programs. The relationships developed with referral organizations are symbiotic and aid both parties in providing a higher quality of service to clients.

Organization background and context

The need for the study

The organization's crisis occurred after a failed attempt to run the organization solely on donations. The organization had been in business for only one year, but after that, it could no longer fund services or maintain its workforce. The owner, coupled with the Board of Directors, began researching and implementing changes during one of the first pre-scheduled interviews with the organization's CEO; it was determined that he, as the organization's leader, was seeking ways to lead the organization through a financial crisis. A portion of the interview that provides the most concise information about the issues is documented in the Qualitative Interview Portion below.

Qualitative Interview Portion

Researcher: How long has the organization been around?

CEO: We have been here since 2021.

Researcher: What prompted you to create the organization?

CEO: I used to be a drug dealer; I mean, big time, not the street corner stuff. I mean movie star status. I had money, cars, women, etc., and one day, I looked around, and God showed me all the destruction I had caused. I was facing a trial that had become a large RICO case; you can look up the details. After my arrest, I fell to my knees when

I saw the people I had put on the streets working for me now incarcerated as well. I started talking to one of the inmates, and he told me he was facing 20 years in prison, that his son would never know him, and that he had no other family because they had died due to drugs. That conversation made me think; that night, I dropped to my knees, gave my life to the Lord, and promised Him that if He gave me another chance, I would spend my life helping, not hurting or killing people. By a miracle, my charges were dismissed; I met my wife, moved to the southwestern half of the United States, opened two legitimate businesses, and started looking for a way to open an organization that would help people coming out of prison. I saw a need for re-entry programs in Nevada and here in the southwestern United States, and I set up the first organization in Nevada; then, we came to the southwestern United States and started this one.

Researcher: Do you see a significant difference between your nonprofit here and the one in the Southwest?

CEO: The funding is different here. You can't get financing if you don’t run your organization as the state says.

Researcher: Do you have examples of this?

CEO: Yes, in the Southwestern United States, I can provide housing and drug and alcohol services as long as I want. However, here in the Southwestern United States, you cannot house clients and provide services if you expect to get Medicaid funds. My organization is set up to provide both, but now I cannot get enough funding to help the people I am supposed to be helping. Without Medicaid funds, I am having trouble keeping the doors open. I had to turn away five guys last week, which hurt my heart.

Researcher: So, are you turning away clients because you cannot bill for new ones?

CEO: I am turning away clients because I cannot maintain them. Two grants are keeping us going, but that only covers basic expenses; I do not have the funds to assist my current clients.

Researcher: Have you contacted the state to request a new certification or classification that would allow you to receive Medicaid funds?

CEO: Yes, and as soon as I inform them that the clients need housing and services to remain compliant with parole, they say there is nothing they can do to help.

Researcher: Have you and the leadership team discussed the possibility of closing?

CEO: Absolutely, and they are freaking out; I thought I had a team that was able to find ways to create some funds, but I do not think it is working out.

Researcher: What ways have you and your team come up with to prevent having to turn away clients?

CEO: My Board of Directors, my Director of Finance, and my Director of Compliance did some research, and they discovered that we do not have to use Medicaid funds to fund the organization.

Researcher: What ways are those?

CEO: Well, they found that in this state, we can operate a business that we can attach to the nonprofit that can provide funds for the organization

Researcher: Are any directors qualified accountants or experts in nonprofit funding?

CEO: No, they are my daughters. The Director of Finance opened a business right out of college with her ex-husband, and the company did well, so I assumed she could finance it. The other daughter is about to attend law school but is unfamiliar with nonprofit finance laws. They are both great researchers, however.

Researcher: Can you hire a consultant to help?

CEO: No, I cannot afford that.

Researcher: Do you feel confident that your directors can find a way to help?

CEO: Not really. I make all the big decisions here, so I have been talking to a buddy of mine who opened a nonprofit here a while ago. He is telling me about different things, but I know I will need some help. I couldn't answer all his questions about how this place is supposed to run legally, even to start building on the knowledge I do have.

Researcher: If I could make a few suggestions over the next year, would you be open to them? Moreover, whom would I have to get permission from?

CEO: This is my organization; I make those decisions, so you only need my permission.

Researcher: What are the most significant issues that would make your organization's situation a financial crisis?

CEO: We are having trouble maintaining the housing unit. I only have enough to pay for electricity and water for about six months. My employees are getting anxious because they have not had raises or any incentives that make it easier to stay here. I

own a motel that I converted into housing units, with individual rooms that have a bathroom and closet, but I do not have enough money to pay property taxes and keep the staff I have for transport and maintenance. The organization provides transportation to our clients for AA meetings, doctor visits, medical appointments, and other medical appointments.

The institutional context.

The organization's vision is to provide treatment plans for individuals to successfully re-enter the community after serving their sentences in State Correctional Facilities. These plans will be individualized and specific to everyone without interference or adherence to the state's limitations on services. The agency will be funded without government funds.

The organization is very new and, in some respects, still in its infancy in terms of funding and understanding laws and regulations. The individuals who make up the board of directors are family members of the owner or close friends who provide private funding sources to the organization. The organization has declined individual referrals due to a lack of program funding. The organization is funded solely by private donations, and the money is allocated by its owner. The organization's board of directors has requested information on private funding sources that can help it legally obtain private funding to maintain the ability to provide individual treatment plans through its programs that have been helpful to others. The board of directors is unaware of the rules, laws, and regulations required to maintain compliance with the state's Health and Human Services and Economic Security and Development departments. The Health and Human Services and Economic Security and

Development Departments are the governing entities responsible for certifying nonprofit agencies in the state. This study was designed to provide steps that leadership can use to help improve the organization's financial status and continue recruiting, hiring, and maintaining highly qualified staff to make the organization more competitive and more accessible to implement changes.

Information was gathered during interviews with the director of finance and compliance to begin developing the organization's organizational profile. The following are excerpts from these interviews, which were conducted with the CEO's full knowledge and approval.

Historical funding practices of the focus organization

The organization's CEO, in an interview, reported that the organization uses individual donations, which contribute to most of the financial resources. The remainder of the funding comes from community grants that the organization has used for day-to-day operational costs, including hiring staff and providing client transportation. The organization's CEO has opened a low-risk stock funding account that it is now using to help fund programs and services that were in danger of ending due to the financial crisis it has found itself in. During one interview, the Director of Finance of the organization monitored its statements of financial position activities,

which include payroll, internal and external auditing services, and cash flow, which comes indirectly from the CEO's business account and is used to make up for any needed funding at the end of the month; this is more than likely used for utility payments, legal representation, documentation, and intellectual properties. During an interview with the CEO and Director of Compliance, the researcher was informed that the organization uses legal services, internal and external auditing, to comply with state, city, county, and federal laws and regulations. For example, after a recent SWOT analysis (Figure 5a), the Director of Compliance presented the CEO and other leadership with the state law that determines that there cannot be two blood relatives in charge of financial transactions for the organization, and the fact that the CEO and Director of Finance are father and daughter, this put the organization in direct violation of the law. The leadership team met with the legal representative and an outside lawyer, and it was determined that not only would the organization's financial transactions be headed by the CEO, but the CEO hired an outside director who is not related and is now the direct assistant to the CEO.

Approach to the study

The study aims to determine how leadership can effectively navigate through crises. The study is significant because nonprofit organizations need to avoid destructive leadership and install leaders with qualities that help the organization adjust to changes, maintain a supportive work environment, and create a solid fiscal plan for the organization's longevity. The leaders chosen for nonprofit organizations should be able to create an atmosphere of creativity and growth. The next section of the study will review the background and approach to research.

SECTION 2: Background and Approach

The problem addressed in this study is the need for a nonprofit behavioral healthcare organization's leadership to discover and implement techniques to navigate the organization through a financial crisis. The purpose of this study is to analyze the effectiveness of leadership in leading the organization out of a financial crisis that may cause the closure of the organization.

Definitions of terms used throughout the study

Some terms that will be used in the study include:

- Therapeutic intervention is an effort to help someone in need who declines treatment or is unable to help themselves.
- Underfunded or insufficient funding
- The Board of Directors is a governing body of the nonprofit.
- Government funding consists of categorical, block, and general revenue sharing.
- Private funding sources are a source of cash that a business owner can access to bankroll operations, grow their business, and meet cash flow needs.
- One-stop shop model
- The Human Services model

- Transparency for funding sources, low-risk investments for nonprofit organizations, and studies on nonprofit organizations' leadership that became for-profit.
- The study examines organizations, social needs for nonprofit organizations, the use of a board of directors for nonprofit organizations, and accountability models for nonprofits
- Predictive Analysis Model
- Recidivism
- Transformational Leadership.
- Community Partnership.
- Nonprofit healthcare organizations are health-focused groups that advocate for and are held accountable to the community leaders who serve as trustees and represent the local neighborhoods they strive to serve

List databases and search engines used.

The keywords and databases searched included information from 2017 to 2022 on leadership profiles for nonprofit organizations.

Studies of similar organizations and problems in BHL: Sources of Evidence.

Based on the funding practices found in previous studies and the research completed on the underfunding of nonprofit behavioral healthcare organizations, it can be concluded that a new organization's leadership that lacks proper funding or is stagnated by its sole reliance on government funding should take steps to invest in private streams of funding. The ability of an organization to provide needed behavioral healthcare services is imperative. Several studies have examined the underfunding of mental health or behavioral healthcare organizations by governments. Scholarly literature has shown evidence that social ills such as substance abuse and high rates of untreated mental illness can be directly linked to the under-funding of necessary services and interventions within communities.

A review of published scholarly studies provides context for the study problem. The review consists of an analysis of similar studies, studies that validate the research, and validation of the study's conclusions.

Nonprofit organizations' leadership typically relies on government funding as their primary source of financial resources (Mohammed, 2020). According to the 2002 empirical study by Frumkin and Kim, government funding directly affects the quality and availability of services the organization can provide. The government's

lack of priority in allocating funds creates disparities and a lack of availability to provide needed services, such as mental healthcare or services for released prison inmates re-entering the community. Historically, the United States government has used non-transparent criteria (Mahommed, 2012) for determining which organizations' leadership receives the most funding, leading to a lack of programs for urban or low-income communities. Per Helmig, Jegens, and Lapsley, a 2004 qualitative interview study on the need for leadership to understand the needs of their communities is essential to develop a working budget (Helmig et al., 2004) that will allow for a higher quality of care specific to the organization and the targeted population. Ensuring that an agency can carry out its programs and services at an adequate quality and with appropriate goals is essential to all areas of the organization. Maintaining higher levels of quality care directly correlates to available funding for nonprofit organizations. If an organization relies solely on government funding, it is more likely to fail, have high employee turnover, and not expand. Nonprofit organizations' leadership that relies on government funding sources will incur higher administrative costs than organizations' leadership with private funding streams (Frumkin et al., 2002). This is partly due to the government's regulations and service terms for organizations. The federal government will provide funding for nonprofit organizations' leadership and determine how these funds are used. An organization

attempting to provide a specific type of service may need to reduce resources allocated for hiring, meeting clients' basic needs, and program availability. In addition, a community lacking necessary behavioral healthcare programs and services will lead to a greater number of disabled individuals who cannot perform or thrive within their communities, as they may become a danger to themselves or others (Helmig et al., 2004). A lack of funding from government agencies to cover the costs of programs and services provided by nonprofit organizations' leadership can increase the number of suicides, incarcerations, unemployment, substance abuse, and homelessness (NAMI, 2020).

To create a stable, highly influential nonprofit organization, nonprofit agencies should complete frequent assessments to discern what programs and services are vital to the community. The organization can use the criteria put forth by the Baldrige Framework of Excellence Award (HelmigA et al., 2004). Nonprofit organizations' leadership should strive to achieve this according to the Baldrige Framework of Excellence standards. These standards enable the organization to produce more effective marketing and establish specific standards that nonprofits must develop to remain competitive within both the business and nonprofit sectors (Helmig et al., 2004). A 2022 review analysis by Hughes, Spana, and Cada provides a comparison

of nonprofit organizations' leadership using needs assessments to understand which programs or services are most utilized and are more beneficial to an organization attempting to maintain its program and service standards (Hughes et al., 2022). Using a needs assessment will help the organization's leadership determine which programs should receive more resources and decide on the need for nongovernmental funding sources if government funding is insufficient. A nonprofit organization can immediately apply this research to provide perspective and scope for expandable programs that will require additional funding. Additionally, a 2018 study by Strahan introduces ways that nonprofit organizations' leadership can utilize the Baldrige Framework of Excellence to address shortcomings that may deter private donors. Strahan uses his review of the Baldrige Framework of Excellence award winners to illustrate how these organizations' leadership utilized the standards to attract more funding, which aided in expanding their programs. This study provides an excellent starting point for building a solid organization renowned for its ability to deliver high-quality services without government intervention.

After completing needs assessments, an organization that finds itself unable to maintain the services and programs it reports providing may need to decide what types of additional funding sources are necessary. Introducing creative funding based

on evidence-based research enables behavioral health organizations' leadership to maintain high standards, quality of service levels, and employee retention. A quantitative study conducted by Jaramillo, Willging, Green, Gunderson, Fettes, and Aarons identified a significant need for nonprofit organizations' leadership to minimize the loss of services and programs provided. The study's review of literature on the social phenomena of underfunding behavioral and human services organizations' leadership in the United States and globally demonstrates how organizations' leadership often only has funding for a limited amount for payments for program housing, staff pay, and resources; most nonprofit organizations' leadership will end up eliminating aspects of their programs without obtaining private funding. The study concludes that community grants, personal business loans, and increased funding from charitable donors will help the organization maintain its essential services.

According to a 2022 study by Lee, Maranda, Magura, and Greenman, one of the most significant deterrents to developing private funding sources is the government's restrictions on nonprofit organizations. The study utilized thirty websites in the Westlaw Research Database, which featured different regulations and statutes governing nonprofit organizations' leadership in 50 states. The study offers

insight into the governing laws and regulations that behavioral healthcare organizations' leadership are beholden to when accepting and using funds distributed by the state and federal government that the focus organization will use to fund its programs. There is often an overload of paperwork, precise documentation, and record-keeping. The study reviews the types of regulations and oversight required by these laws and regulations. The ability of an organization to hire non-degree employees may not be acceptable to the funding requirements that the government uses to govern nonprofit organizations. The only way for the organization's leadership to remain viable is by introducing independent funding streams that can be allocated to specific programs and services.

Organizational leadership can use this tool to determine which employees with specific education and skills should be hired. The organization may find that it has committed to housing 30 clients in low-income housing; however, after accounting for overhead and other expenses, it may require more highly skilled and educated employees, whose salaries may exceed the organization's budget and reach market rates. This type of limitation may also prevent the organization from growing. An organization cannot sustain itself by hiring more licensed therapists at $75000 annually than bachelor-level employees who can perform the same duties for $45000.

Leadership is responsible for determining what types of employees are needed for each department. The $30000 difference may determine the organization's ability to provide breakfast or dinner for its clients. This may directly conflict with the organization's goal, mission, or values. If an organization advertises the ability to provide food boxes to twenty-five clients but is reported to have only offered ten due to the $30,000 difference, then the leadership may fail to meet government standards and consequently lose government funding. The difference may be perceived as false advertising or undermine the organization's leadership in expanding its operations.

There are indications that more than just the United States needs to prioritize nonprofit healthcare organizations. A human rights perspective study on 7-10 world governments' under-funding or investment in mental health and well-being is needed. The qualitative research was conducted by author F. Mahomed reviews the current ways in which mental health services are being overlooked and underfunded and then uses the study to examine the problem as a global phenomenon. The author concludes that although there have been many calls globally to increase funding resources for mental healthcare services, more funding has yet to be made available. However, the costs of mental health services have increased. This article directly relates to the reasons some nonprofit organizations' leadership do not accept government funding

but are developing ways to fund programs and services through low-risk methods that have proven effective. The study determined that organizations' leadership has found ways to limit government funding and use transparent measures to provide services and programs without interrupting those most in need.

Nonprofit healthcare organizations' leadership will need to find innovative ways to conserve resources to remain competitive and compliant. A 2022 study by Waerderm Thimmel Englert discovered the relationship between nonprofit organizations' leadership's ability to utilize private funding and partnerships with similar organizations' leadership, which contributes to the organization's longevity and the community it serves. The study was designed to analyze and report ways organizations' leadership can prevent the loss of services and programs due to limited funding sources. The study concludes that private partnerships between private funding sources and nonprofit organizations' leadership create longevity for nonprofit organizations. This quantitative study reflects the problem presented to the focus organization. The study analyzed publicly reported budgets for the leadership of several large nonprofit organizations and how financial gaps were addressed. The study found that nonprofit organizations' leadership can legally partner with business organizations' leadership to receive and provide services, client referrals, advertise,

and maintain relevant and up-to-date techniques, which will increase their positive brand name and foster better connections, ultimately reciprocating this to other agencies without exhausting available resources. An organization's leadership that allows other organizations to utilize case managers, psychiatrists, and others can maintain its obligation to its vision, goals, and mission. If the focus organization is not budgeted for commercial advertising, it can partner with a larger organization that has philanthropic needs to advertise on its behalf.

Building community partnerships can help increase funding for nonprofit organizations. The review of information in the book "Maximizing Program Services Through Private Sector Partnerships and Relationships" provides guidance for nonprofit organizations' leadership to create partnerships with private sector businesses to address the nonprofits' budget gaps. This book instructs leaders of nonprofit organizations on how to set goals and objectives for partnerships that generate revenue, as nonprofit organizations' leadership often requires additional funding to maintain their services. The leadership of the focus organization can use this book to engage in transparent business opportunities with the leadership of private sector organizations to help fund its programs. The book emphasizes the use of mentorship with the leadership of more established organizations to learn

techniques, grow private business opportunities, receive assistance with funding, access to donors, and community grant opportunities. This conclusion is supported by a quantitative correlation study involving twenty nonprofit agencies with similar funding gaps, which aimed to discover the relationship between nonprofit organizations' leadership ability to utilize private funding and partnerships with similar organizations' leadership, and the longevity of the organization and the community it serves. The 2022 study provides a blueprint for nonprofit organizations' leaders to assess and determine the types of partnerships best suited for the organization to form, based on its needs. The study analyzed nonprofit organizations' leadership with budget gaps and the trends that will help avoid them. The study also reports ways organizations' leadership can prevent the loss of services and programs due to limited funding sources through partnerships. The study concludes that the relationship between the leadership of nonprofit organizations and that of other organizations can contribute to the longevity of nonprofit organizations. This study reflects the problem presented by the issue of maintaining appropriate funding for the organization.

Although nonprofit healthcare organizations' leadership has historically lacked proper funding, a new trend is emerging to improve the development of techniques

used to help nonprofit organizations' leadership secure much-needed donations—targeting donors who can give on an annual or semi-annual basis. A 2018 study completed by Farrokhvar, Ansari, and Kamali used a sample of organizations' leadership identified by the Internal Revenue Service to determine demographics used to identify and target donors for nonprofit charity organizations. This study introduces how nonprofit organizations' leadership with limited funding can create a model for requesting donations. Maintaining these donations can have a positive impact on a nonprofit behavioral healthcare organization's financial bottom line. The findings indicate that most individual contributions need to be more substantial to significantly alter an organization's funding requirements and to build a database of donors using an algorithm that identifies potential donors based on the charity's needs. An annual database was shown to increase funding for nonprofit organizations without interruption due to the leadership's ability to persuade businesses and larger organizations to commit to annual donations.

Leadership Strategy and Assessment

According to the CEO and Board of Directors, the organizational leadership hierarchy is designed to provide a system of checks and balances that help the organization achieve its goals. The goals established by the CEO are directed toward

members of society who have traditionally been underrepresented and given few opportunities to live productive lives. The Board of Directors, although comprised of family members of the CEO, is from diverse backgrounds, including previous business owners, medical professionals, finance specialists, and teachers. The Board of Directors communicates directly with staff, middle management, and philanthropists to gather information that the CEO requests to inform decisions about changing, ending, or adding programs or services that align with the organization's mission, vision, and values, based on their individual experiences and expertise.

Key Strategic Challenges

Organization Stakeholders

The organization has several types of stakeholders. The first are the clients. The focus organization's clients consist of men and women who have recently been released from prison. These individuals come from diverse racial backgrounds. One significantly common trait among them is their low socioeconomic status. These individuals generally have little support and have been removed from society for so long that they are unfamiliar with new technologies, systems, and processes. Without the help of the focus organization, they would have to find ways to navigate through them alone. the Southwestern United States currently has a prison recidivism rate of

30-40%, primarily due to a lack of available support upon release (Yukhnenko et al., 2020). The focus organization has committed itself to reducing this percentage by offering personalized treatment plans for its clients. The focus organization has a set of requirements for their clients; these include, upon release, the individual must have no place to live, have no employment lined up, have a family with relationships that need repair, contract for safety, be willing to participate in drug education, job training, maintain sobriety, and be willing to participate in any programs that the state's department of parole dictates.

Client information is initially obtained from the CEO and leadership team during a pre-scheduled interview, during which the researcher reviewed and noted a copy of the initial intake assessment for clients (Personal Communications August 4, 2024). In addition, information from client service referrals was reviewed and reported for relevant information by the researcher. During one interview session, the Compliance Director allowed a staff member to sign the informed consent documentation and provide verbal consent to the researcher to review the techniques used by staff to obtain information on clients' views, fears, needs, and success within the program. This portion of the data collection process was overseen and approved

with the CEO's verbal and recorded consent (Personal Communications August 4, 2024).

Analytical Strategy

Predictive Analysis Model

A predictive analysis model and data collected from the CEO were used to create a list of donors and develop a profile of past and future donors based on the size of donations made to the focus organization and other organizations (Van Calster et al., 2019). Using this information, the organization will be able to identify potential marketing targets and predict potential partnerships. The predictive model was also used to determine the types of stocks and money market activities that would best meet the organization's funding needs (Van Calster et al., 2019).

. The gathered data shows two years of referrals to the organization. It also indicates a path for enrollment in services or an inability to accept new clients due to available funding constraints. Through the Predictive Analytics Model, leadership will be able to follow stocks in a low-risk portfolio and predict when to withdraw funds or increase the amount invested in successful stocks to increase income for the organization. Leadership can predict when to withdraw funds or increase investment in successful stocks based on the patterns of gains and losses.

Evidence

After a review of needs was conducted, the organization created a business directly connected to itself. The Chief Operating Officer designated a small team of employees tasked with researching and developing an investment portfolio of stocks directly connected to the organization's funding. Literature partially agreed upon the new changes: the Chief Operating Officer and the Board of Directors, who validated the success of other organizations in implementing private funding streams. The date changes have enabled the organization to continue providing shelter, food, and clothing to its target population. The implementation of private funding streams has also enabled the Chief Operating Officer and the Board of Directors to avoid applying for government-sponsored financing, which would have prevented the organization from providing housing and other resources, and limited mental health services and education for each client.

Nature of the information

The nature of the data collected for the proposed study is information that is relevant to longevity, financial success, recruitment, hiring, and retention of qualified leadership and staff. The information collected was used only to demonstrate the organization's failures, challenges, and successes under current leadership. The

information gathered from direct interviews with the focus organization leadership and scholarly articles and studies demonstrates what traits and skills leadership needs to navigate an organization through crises successfully.

Relevance of information

The information presented is relevant to the organization's problems, solutions, and outcomes implemented by its leadership before, during, and after the financial crisis.

Data Collection by the organization

Traditionally, the organization used unsecured Word documents to record financial information; the CEO kept these documents in their locked office (Personal Communications, August 10, 2024). The information regarding certification, donors, and budgets was kept at the CEO’s home. During this study, encrypted email systems and password-protected document applications were used. Information was presented to the researcher through secure data applications. The researcher was allowed to confer with the legal representative for the organization, who was able to verify the information presented to the researcher.

Procedure for gaining access to the evidence, including permissions

Step 1

The organization does not use verification methods during the data collection process. The owner was familiar with the researcher before the start of the study and provided information during the data collection.

Step 2

Each interview was scheduled with the leadership at least two weeks in advance, and after each team leader completed a survey to ensure relevance and duties. The CEO approved the final participants. Before each interview, the researcher recorded it using a cellphone voice recording application. Each interview was conducted only after a signed consent and privacy form was presented to and signed in front of the researcher and CEO. A record of verbal consent was provided to the researcher. Each participant was at least 18 years old and verified as a stakeholder within the organization; the interviews were initially conducted via video conference due to the COVID-19 pandemic.

Step 3

The interviews conducted in person were those with leadership members at the organization's headquarters due to the CEO allowing the researcher to review current and prior financial data, articles of the 501©3 and previous and current auditing

information, employee reviews, hiring and recruitment data, donor information, community grant applications and approvals, prior and current budget allocations, and communication with community partners. The CEO did not permit any of the above information to be removed from the premises. Any information obtained by the Researcher regarding laws and regulations was sourced from the State of the Southwestern United States' Department of Economic Security, Human Services, HIPAA, Medicaid, SAMHSA, and IRS websites. All information collected was gathered according to the regulations established by the Walden University Doctoral Studies website and those prescribed by the APA on the Project Practical.com website, Top_20 Behavioral Interview Questions & Answers on Leadership 2023 | ProjectPractical.com (Project Practical, 2023).

Step 4

Written documentation was maintained in a secure website application that required a password. The information documented by the Researcher was maintained on Google Docs. The information was obtained only through a two-step verification process on the researcher's personal home computer, which is also password-protected by a paid Norton Security system. The information selected by the Researcher and CEO was only shared with selected participants in person. Emails and digital

information were shared through an encrypted email service. Participants were not given a dress code because the organization required employees to wear uniforms.

Step 5

Participants' names were not revealed, donor information was not shown, and basic educational information was recorded. For example, the CEO attended a state university and obtained a Bachelor of Science in Business. No identifying markers, including the faces of participants, were allowed. After the interviews were conducted, the digitally recorded interviews were used with a face-blurring application.

Step 6

This last requirement was determined by the CEO, who does not want any identifying information revealed, fearing that donors may feel their information is being shared. The CEO fears that other organizations may use his information for their practices.

Step-by-step description of how this evidence will be collected

Month 1

- Selecting a Research Topic
- Selecting a Research Organization
- Meet with leadership to schedule meetings for interviews.
- Pre-schedule interviews and confirm with leadership.

- Meeting with the CEO to discuss viewing documents, speaking with other leaders, pre-approved interview questions, and documentation of the organizational budget and financial documents.
- Meeting with the team to obtain informed consent and discuss data collection.

Month 2

A series of meetings with the CEO and Leadership to discuss data collection and needs for

Month 3-4

- A series of meetings with the CEO and Leadership to review roles and experiences

Months 4-5

- A series of meetings with the CEO and Leadership to review assessments

Months5-6

- A series of meetings with the CEO and Leadership to review assessment outcomes and possible changes

Months 6-7

- A series of meetings with the CEO and Leadership to review changes and updates

Months 7-8

- A series of meetings with the CEO and Leadership to review more updates and address concerns

Months 8-12

- A series of meetings with the CEO and leadership to review updates, changes, concerns, and data conclusions.

How was this evidence collected?

The organizational data and archival information were collected through pre-scheduled interviews conducted by the researcher, the CEO, and the leadership team.

Purpose:

The proposed study was designed to present scholarly information to determine the ability of nonprofit organizations' leadership to lead an organization through a financial crisis. The study aims to demonstrate how the leadership team of a nonprofit behavioral healthcare organization, on the verge of closure, implemented techniques and practices that resulted in the continuation of the organization and its services, aligning with the organization’s mission, vision, and goals. This study employed a preliminary survey to gather information from leadership team members and determine the roles and responsibilities of each leader. The researcher chose leaders for the interview portion of the study, and they were pre-approved by the CEO. Each interview was scheduled at least two weeks in advance during the last hour of the organization’s operating day. Each interview was given a 1-hour time limit. Participants in the interviews were not paid or incentivized for their participation. Questions were designed after a review of previous interviews conducted in similar

studies relevant to the focus organization's financial crisis issues and the methods used by similar organizations faced with similar challenges.

Interview Protocol

Each interview was scheduled with the leadership at least two weeks before and after each team leader completed a survey to determine relevance and duties. The CEO approved the final participants. Before each interview, the researcher recorded it using a cellphone voice recording application. Each interview was only conducted after a signed consent and privacy form was signed in front of the Researcher and CEO, and a record of verbal consent was given to the Researcher (*Guidelines for Preparing Qualitative Manuscripts*, n.d.).

Each participant was at least 18 years old and verified as a stakeholder within the organization; the interviews were initially conducted via video conference due to the COVID-19 pandemic. The interviews conducted in person were those with leadership members at the organization's headquarters due to the CEO allowing the Researcher to review current and prior financial data, articles of the 501©3 and previous and current auditing information (*Guidelines for Preparing Qualitative Manuscripts*, n.d.)employee reviews, hiring and recruitment data, donor information, community grant applications and approvals, prior and current budget allocations, and

communication with community partners. The CEO did not permit any of the above information to be removed from the premises. Any information obtained by the Researcher regarding laws and regulations was sourced from the State of the Southwestern United States' Department of Economic Security, Human Services, HIPAA, Medicaid, SAMHSA, and IRS websites. All information collected was gathered according to the regulations established by the Walden University Doctoral Studies website and those prescribed by the APA on the ProjectPractical.com website, Top 20 Behavioral Interview Questions & Answers on Leadership 2023 | ProjectPractical.com. Written documentation was maintained in a secure website application that required a password. The information documented by the Researcher was maintained on Google Docs. The information was obtained only through a two-step verification process on the researcher's personal home computer, which is also password-protected by a paid Norton Security system. Information selected by the researcher and CEO was only shared with selected participants in person (Personal Communication, August 26, 2024). Emails and digital information were shared through an encrypted email service. Participants were not given a dress code because the organization required employees to wear organization-approved uniforms. Participants' names were not revealed, no donor information was shown, and basic educational information was recorded (Personal Communication 8/4/2024). For

example, the CEO attended a state university where he obtained a Bachelor of Science degree in Business. No identifying markers, including participants' faces, were allowed; digitally recorded interviews used a face-blurring application after the interview (Personal Communication, August 4, 2024). The CEO determined that this last requirement is that he does not want any identifying information revealed, fearing that donors may feel their information is being shared (Personal Communication, 8/4/2024). The CEO fears that other organizations may use his information for their practices (Personal Communication, August 4, 2024).

Solutions that the focus organization has chosen to implement include:

- Engaging all levels of the organization. For example, creating a method of training that will help promote the advancement of employees within the organization.
- Collaboration through annual training helps maintain compliance and regulatory efforts determined by leadership.
- Creating a family-like environment that encourages honesty, reduces missed work, and fosters a supportive work culture has helped maintain a stable workforce.

An introduction to creative funding that is not only designed to prevent future financial crises but also encourages the growth of the organization and brand-building through the development of community and partnerships.

Risks

Due to the organization's limited technological protections, the researcher kept documentation for this proposed study secure. Due to the organization's financial crisis, there was an ongoing risk that the organization might close or lose key employees during the data collection process.

Before gathering data, the researcher submitted an electronic approval signed by the CEO and the researcher to the committee chair, which was shared with the co-chair and review committee members.

Participants in the study include the Board of Directors, the CEO, management staff, and a select group of employees. Each interview was conducted with written and verbal consent obtained from all participants before the interview. Once permission was granted, the researcher obtained a Google Meet account to conduct interviews with participants. Each interview was conducted for this study to investigate the usability of mobile and website applications for products and services commonly used by college students, including money transfers, ridesharing, and weather information. This study aims to examine features in these applications to determine the usability of each feature. This research will use a demographic and background gathering survey to collect relevant data regarding each product or service separately. This research will also examine the desirability of these applications and why participants prefer specific applications. The study was conducted using approved questions that the CEO and researcher agreed upon. Names and any identifying information for interview participants were concealed by blurring faces, with no mention of the participants by first name, and no information

regarding the organization's practices was disclosed. Donor information was reviewed but not copied. Each interview was reviewed at the conclusion to ensure complete answers and minimize contradictory information. A recap of the documented answers was provided to the participant, who was allowed to approve the privacy protocol and confirm that no information had been omitted that could reveal specific details about the organization.

Interviews

Interviews were conducted after the CEO's meeting to discuss the privacy of information data collection strategies, including the CEO's directive that the organization's name and the real names of donors and other stakeholders are not used or published. The board of directors emphasizes the processes for delivering services appropriately.

A review of information obtained on the State of the Southwestern United States' Department of Economic Security and Human Services websites, and the U.S. Internal Revenue Service was used for information regarding state laws and regulations.

Summary

The information reported in the second portion of the proposal was used to determine the focus organization's leaders' goals and vision. The next hiring, recruitment, and training of new staff occurred in a revolving door manner.

SECTION 3:

Workforce, Operations, Measurement, Analysis, and Knowledge Management Components of the Organization

This study aims to discover ways in which nonprofit organizations' leadership can address social crises, such as those in communities. Social Phenomena such as rise in substance abuse, high recidivism, or homelessness may be neglected as a direct result of a lack of steady funding.

Analysis of the Organization

An assessment of the organization using the Baldrige Framework for Excellence, regarding the key components leadership employs to maintain its staff and management, discovered that the organization utilizes the Human Motivation Theory. The assessment was completed through pre-scheduled interviews with the CEO and unit directors, as well as a review of hiring, training, and employee assessment information provided by the CEO and the Director of Human Resources.

Baldrige Framework Self-Assessments

The focus organization takes a very personal approach to its employee engagement protocols. The emphasis is taken directly from the Human Motivation Theory as it encourages socialization to build camaraderie with other employees, provides information for employees to engage in community activities and leadership, promotes the organization to their friends and family after work, and provides ways to promote a positive work environment and ultimately a positive attitude about the job done. Socialization within the organization takes place during team building exercises that encourage employees to use skills they were not hired for; for example, an employee with knowledge of resources can inform the leadership of this resource,

and the entire leadership team will support the employee when attempting to obtain these resources. This practice enables leadership to have active experience with employees, which is used to promote, provide incentives and benefits, and encourage professional and personal growth. At the same time, the result is an increase in the organization's success and ability to provide high-quality services.

The organization promotes self-improvement for employees, including encouraging continued education, opportunities to develop skills outside of their job, and opportunities to interact directly with leadership through an open-door policy.

The organization's leadership will hold "employee family days." These days include a vacation or resort-type atmosphere that encourages employees to interact with each other and their families. This approach helps employees discover their skills when leadership recognizes them. Leadership actively encourages the development of family-like relationships. For example, if an employee is going to be late leaving work. In that case, the leadership will step in, ask the employee about their personal obligations, and help the employee by having someone else fill in or, if necessary, contact the employee's family to inform them that the employee will be late.

The legal representatives for the organization have developed a nondisclosure agreement for each stakeholder, employee, and member of leadership to sign upon hire (Personal Communication, August 26, 2024). The document is legally binding and includes a clause outlining penalties for violating the agreement.

Penalties described in the clause include, but are not limited to, reporting a violation to the state's certification and licensure agency, possible civil liabilities, and

termination of employment or service (Personal Communication, 8/17/2024). The information for this document was obtained through a review of the new hire document package provided to employees and stakeholders (Personal Communication, August 17, 2024). The leadership team, CEO, and middle management sign a pledge stating that information used for employee evaluations, job descriptions, names of current and previous employees, salaries, and potential employees is not to be disclosed to anyone outside the organization (Personal Communication, 8/17/2024). Specifically, this includes techniques and ideas written solely for the organization's use. The state of the Southwestern United States makes some financial information, such as annual budgets and the amount of community grants allotted, public. It can be found through the Southwestern United States Department of Revenue Services (AdofR, 2023). Any organization grossing above $50,000 annually is publicly listed in a database. The organization focuses on developing an affordable and effective data storage system that complies with federal and state laws and regulations. The organization's lack of technological updates is an issue that can be considered an active liability for the organization, its stakeholders, employees, leadership, and partners. The organization has no separate server to store information; the documentation system can be easily hacked (Personal Communication, 8/17/2024).

Improvements to Key Services

The focus organization employs transformational leadership as its primary process for productivity improvement, cost control, and enhancing empowerment and efficiency among staff. Transformational leadership is a concept that creates an environment of value for employees and enables the organization to implement positive changes.

The organization was also designed to improve its strengths and minimize its weaknesses. Transformational leadership is an appropriate model of excellence for the focus organization, as it addresses the nonprofit organization's involvement in a social phenomenon. The social phenomenon for the focus organization is the reduction of recidivism rates among the population of released prisoners in the State of the Southwestern United States. It focuses on self-improvement and empowering staff and clients to address many social ills. Researchers introduced the term transformational leadership to James MacGregor Burns in 1978 to describe the leadership styles of politicians who asserted a determination to improve the morale of voters and politicians. Burns sought to make politicians and politics a concern for all and to demonstrate the benefits of politicians and voters working together to share empowerment and responsibility for both parties. Through Burns' research, he was able to change the culture of the election process that challenged politicians to listen to voters and make decisions on a collective “what is best for all” and to enable regular citizens to take on leadership roles that he believed his research showed an improvement of the performance and outcomes of politicians.

Effective Management of Operations

The researcher gathered the following information during an interview session with the CEO and shareholders on August 26, 2024, to discuss rules and regulations. For example, if the CEO receives information about discounted prices for nonprofit organizations for electricity, water, and other essentials, they will sign the organization up. The organization has recently added solar panels to the housing unit (Personal Communication, August 26, 2024). The installation of solar panels is available at a discounted rate, which has recently become accessible to nonprofit

organizations in the Southwestern United States (Personal Communication, August 26, 2024). The costs of electricity have been reduced by almost half. Another way the organization reduces overhead costs is through behavioral changes (Personal Communication, August 26, 2024). The staff is constantly reminded to turn off lights when leaving a room and not to leave lights on in unused rooms, as emphasized by small placards with the reminder near the light switches (Personal Communication, August 26, 2024). The organization also emphasizes the responsible use of water. The cost of utilities has been significantly reduced by following these reminders (Personal Communication, August 26, 2024). Another way the organization minimizes costs and waste is by tracking the time it takes to complete tasks or the amount of time required to implement changes or improvements (Personal Communication, August 26, 2024). This process is referred to as 'cycle time,' a key performance indicator (KPI) or critical performance measure. Observing cycle time helps the organization manage costs for training, technological upgrades, and inventory (Personal Communication, August 26, 2024). For example, the staff is hyper-vigilant about finding sales for supplies like toilet paper and soap, among other things. The organization's budget allocates a specific monthly amount for the house managers to replenish these supplies (Personal Communication, August 26, 2024). Suppose a house manager does not maintain a minimal amount of these supplies and needs to replace something like hand sanitizer. In that case, the house manager will most likely have to pay for the item and submit a request for reimbursement (Personal Communication, August 26, 2024). The organization sends out reminders for house managers to place orders for supplies using the organization's discounts at specific stores (Personal Communication, August 26, 2024). House managers with constant

replacement issues are typically warned in writing and may need to meet with the finance director to discuss ways to avoid these issues (Personal Communication, August 26, 2024). The organization has historically struggled with productivity. The CEO emphasizes empowerment for staff to make decisions for improvements; however, due to his control over all resources, productivity is often slowed down because staff need to formally request funds that can only be approved by the CEO. Middle management will take steps to make provisions for staff before any process changes and is often tasked with budgeting in their department, which can be maintained to minimize requests. This can be discussed during a pre-scheduled interview with a member of middle management (Personal Communication, August 26, 2024). The manager. The manager has created a responsibility chart for staff and clients, which has helped increase productivity and minimize emergency replacements for supplies (Personal Communication, August 26, 2024). The use of productivity management is completed in a unique way by the focus organization. When a department has a new team member, the department manager will administer an informal test to the new team member, timing them on daily processes and those most time-consuming processes (Personal Communication, August 26, 2024). The manager will undertake a task such as an intake assessment (Personal Communication, August 26, 2024). The new member is unaware that they are being timed until after the exercise (Personal Communication, August 26, 2024). The manager will provide the member with training and shadowing time, during which the member expresses the need and allows the member to perform the task independently (Personal Communication, August 26, 2024). The manager will then compare the time required for the task against the time of other employees and will delegate tasks according to

the highest efficiency (Personal Communication, August 26, 2024). The organization's leadership constantly cross-trains employees (Personal Communication, August 26, 2024). The use of cross-training has helped the organization avoid loss of points during internal and external audits. Every staff member is expected to have a basic understanding of all the processes the organization performs, which is not a specific or legal requirement for leadership (Personal Communication, August 26, 2024). The leadership team regularly practices switching roles (Personal Communication, August 26, 2024). The use of this concept helps in many ways; it helps employees understand the importance of specific tasks, allows team members to change positions as opposed to leaving the organization due to stagnation, and creates a solid team of empowered employees who appear to take the initiative to complete tasks regardless of their specific duties (Personal Communication, August 26, 2024).

Knowledge Management

Audit Requirements

The focus organization uses internal and external audits to help prevent a breakdown in compliance (*Business et al.*). The state of the Southwestern United States requires a nonprofit to produce an annual report directly to the Commission for Nonprofit Organizations (*Business et al.*). The report is to include:

- The corporation's name and the state or country under whose law it is incorporated (*Business et al.*).
- ·The address of its known place of business and the name and address of its agent in this state (*Business et al.*).
- ·The address of its principal office (*Business et al.*).

- ·The names and business addresses of its directors and principal officers (*Business et al.*).
- ·A brief description of the nature of its activities (*Business et al.*).
- ·Whether it has a member (*Business et al.*).
- ·A certificate of disclosure containing the information outlined in §° 10-3202, subsection D (*Business et al.*).
- ·A statement that all corporate income tax returns required by Title 43, 1 have been filed with the revenue department (*Business et al.*).

Also included in the audit is a report with the names, addresses, titles, and contact information of each individual responsible for the organization's management (*Business et al.*). The state of the Southwestern United States requires an annual registration fee. Suppose the report does not contain the necessary information (*Business et al.*). In that case, the commission will request correction within a specific timeframe, typically 30 days. If the correction is not received within 30 days, the report or audit is considered late. Leadership must meet with the commission to present information (*Business et al.*). If the report is not submitted within 90 days, the nonprofit will be considered dissolved, and the organization will need to become certified again (*Business et al.*).

The organization also conducts internal audits biannually (Personal Communication, August 26, 2024). The internal audit is completed by an organization hired to conduct the audits without bias or interference from leadership and staff. The internal audits are completed to enable leadership, staff, and all stakeholders to understand the effectiveness of both efficient and inefficient leadership, risk, and

governance processes (Personal Communication, August 26, 2024). The CEO will provide a copy of the completed audit to middle management, who will then present the findings to the staff (Personal Communication, August 26, 2024). The CEO will then request an action plan for improvement, regardless of how insignificant the need may arise. The middle management team will complete a report, which the director will then approve and forward to the CEO (Personal Communication, August 26, 2024). The CEO is responsible for acknowledging receipt of the report within 48 hours and providing a response with proposed improvements within seven business days of the report's submission. The CEO informs the management team of the cost and time estimates for enhancements (Personal Communication, August 26, 2024). The middle management team and staff organize and implement necessary changes (Personal Communication, August 26, 2024). The CEO informed this researcher that this allows staff and leadership to take ownership and receive appropriate credit for items scored high and those scored lower (Personal Communication, August 26, 2024). The CEO said that this system creates an environment of equal leadership between staff and management. The internal audit will identify new processes that have been implemented, saving time and costs, and are innovative (Personal Communication, August 26, 2024). The CEO requires that any changes or additions to programs or processes be initiated only by staff and believes that this gives a sense of ownership to employees who “take the audits very seriously because their bonuses, promotions, and salary increases are greatly affected by the outcomes of the internal and external audits (Personal Communication, August 26, 2024).”

Records of Organizational Performance

The organization's leadership uses internal and external audits to measure the improvements or challenges in the organization's day-to-day operations. The organization's leadership team assigns tasks to employees that enable them to take on leadership roles. For example, during pre-scheduled interviews with middle management, the team reported that staff are referred to first before leadership can intervene when issues arise with specific items. The example given was the introduction of visitation days. The organization's program includes a family reunification component to help clients who may have lost trust or contact with their children and other family members reunite, providing added support for the clients. An issue arose with bringing infants to visitation. The manager in charge of visitation felt that there should be no visitation with family members under the age of twelve.

The manager felt that visiting family members under the age of twelve posed security risks. An employee who was working on her master's in counseling presented a research study that showed the benefits of allowing younger family members to visit and the repercussions of prohibiting such visitation. The manager brought the issue to the CEO and directors, who then convened a meeting to discuss the employee's research and recommendations. At the end of the session, the entire team agreed that the employee was correct and allowed her to implement these visits in separate rooms, where children under 12 could visit with the client in private. The staff member implemented requirements, including a review of the client's past criminal history and any applicable registration requirements. If the client was not found to have any violations against children, they were allowed to have visits. The visit time was shortened and only permitted in rooms with surveillance cameras to

ensure the safety and security of all involved. A month later, the employee produced a report on the success of the new visitation policy. The team reported that the new visitation policy showed an increase in positive activities such as school registrations and literacy enrollment, and no rule violations were reported among these clients during that time. As a result of the successful implementation of the new visitation policy, the employee is now responsible for conducting family reunification meetings under the supervision of the manager.

The organization employs a security team. The security team comprises individuals from the Nation of Islam (Personal Communications, August 4, 2024). The security team utilizes individuals from the local Nation of Islam Mosque due to their knowledge of prison politics, drug culture, and other elements that have helped these individuals become productive citizens. NOI does not use firearms because each security team member employs various levels of martial arts for defensive techniques that do not require firearms (Personal Communications, August 4, 2024). Everyone receiving services or employed by the organization is searched daily. The organization uses security cameras in most rooms, except restrooms and nurse exam rooms. There have not been any significant changes. There have been instances of violence reported (Personal Communications, August 4, 2024).

The focus organization is being used for this study due to having a limited budget and resources available (Personal Communications, August 10, 2024). Due to these limits, the organization's leadership has decided to implement low-risk alternative funding that will close gaps in the budget that prevent compliance with service contracts and prevent the organization from performing its intended services

(Personal Communications, August 10, 2024). The organization has implemented a for-profit business that allows some gaps to be closed with the income it produces (Personal Communications, August 10, 2024). The focus organization also uses community partnerships for resources. For example, the organization cannot afford its private program software and has implemented minor changes to help with information security until it can adequately finance its software. The CEO has acquired a small business loan to purchase a basic program owned by a larger organization, which allows the organization to send encrypted emails and client information through the security system used by the for-profit business (Personal Communications, August 10, 2024). In a pre-scheduled research interview, the CEO and leadership team reported that this arrangement is only appropriate temporarily and has been determined to be "non-compliant" in the organization's most recent internal audit (Personal Communications, August 10, 2024). The organization has partnered with a local church that allows it to utilize its server for any state reports or HIPAA-sensitive information needed. Fortunately, the organization employs independent, licensed clinicians who can use their software to submit client documentation or interactions with insurance companies (Personal Communications, August 10, 2024). The program software and a cyber-security system are being developed, and the CEO reports that the revenue needed for this should be available by June 2024 (Personal Communications, August 10, 2024). The organization's leadership seems to understand that technological security is vital and may cause legal repercussions that the organization cannot withstand. During an interview with the leadership team, it was revealed that the team does not discuss sensitive information over the phone or through text. Currently, no software detects breaches in security

(Personal Communications, August 10, 2024). However, the organization's use of alternatives provides sufficient cover until it can implement its software (Personal Communications, August 10, 2024). The organization's leadership team also understands fines and regulatory violations that can result from this non-compliance (Personal Communications, August 10, 2024).

How the organization manages its organizational knowledge assets

The organization manages its assets through inventory assessments and regular analysis of strengths, weaknesses, opportunities, and threats (Personal Communications, August 10, 2024). The organization's leadership completes the SWOT analysis whenever there is a legal issue, a financial dispute, or a need to change procedures based on information breaches (Personal Communication, 8/26/2024). The leadership team relies heavily on staff members' ability to report accidents, threats, and any violations of HIPAA laws (Personal Communication 8/26/2024). The organization relies on daily documentation from staff on clients' activities, monthly reports from middle management regarding the successes and failures of processes, and internal and external audits (Personal Communication 8/26/2024).

Summary

The proposed study will help demonstrate the skills and knowledge needed by leadership for important organizations that provide essential services to communities, thereby enhancing client and community safety. Leaders must be able to research, decide, and implement changes as needed without disrupting services.

SECTION 4:

Outcomes - Analysis, Indications, and Preparation of Findings

Introduction

This study examined effective leadership during a crisis, specifically financial one. It used models to evaluate service practices, outcomes, leadership quality, and overall workforce satisfaction to understand not only how leadership managed to navigate the crisis but also which leadership models were implemented to minimize the risk of future crises.

The following section of the study will continue to evaluate the ability, knowledge, and skills of the focus organization's leadership team to navigate the organization through its financial crisis successfully. The following information was obtained from pre-scheduled interviews with key participants from the organization's leadership team, a review of the Baldrige Framework for Excellence, and scholarly research articles for similar research studies.

Analysis, Outcomes, and Indications

Effective changes created by healthcare leadership involve examining service models that fit the leadership of each organization (Pica, 2024). The data collected for this study on client services and approach emphasizes the organization's active focus on the tenets of the human services model for service delivery (Pica, 2024). The Human Services Model addresses clients' issues by teaching them critical thinking skills that empower them to make positive choices to improve their quality of life. The staff employs the Human Services Model to emphasize setting attainable goals and using and updating service plans to illustrate client progress. The researcher

evaluated the Baldrige Framework for Excellence criteria for customer engagement by assessing the data collected regarding client engagement and Voice of the Customer surveys completed by past clients and those currently receiving services.

The Baldrige Framework for Excellence criteria require that the organization offer a way to determine the types of services it can provide. A state in the Southwestern United States has a 34% recidivism rate for ex-offenders (AdofR, 2023). The United States Bureau of Justice reports that an effective re-entry program will offer educational, housing, substance abuse treatment, and employment services. The focus organization currently provides these services to its clients.

Adherence to the Baldrige Framework for Excellence is evident in the organization's commitment to making services accessible to the targeted population. The focus organization plans to achieve this by employing various methods for clients to communicate their needs to the organization, such as surveys, initial assessments, and periodic client input interviews and surveys (Personal Communications, August 4, 2024). Our leadership team uses these measures, conducted at the program's start, middle, and end, to ensure that our treatment planning is relevant, appropriately utilized, and that progress is well documented.

The Baldrige Framework for Excellence requires that an organization manage and enhance its brand by exceeding expectations. Per the client survey, patients feel that communication with staff is appropriate and effective. Clients who completed the surveys reported knowing the names of those in their care teams and could articulate the roles of each treatment team member. Clients who completed the surveys also reported knowing their rights as clients and ways to request information and making formal complaints that they felt were addressed immediately. Client responses to surveys indicate that clients feel their treatment teams are knowledgeable and their treatment plans are unique and compelling.

Client programs, services, and new initiatives' effectiveness outcomes.

In evaluating the data collected regarding client services and approach, the focus organization actively employs the tenets of the human services model for service delivery. The Human Services Model addresses clients' issues by teaching them critical thinking skills that empower them to make positive choices to improve their quality of life. The staff employs the Human Services Model to emphasize setting attainable goals and using and updating service plans to illustrate client progress.

The researcher evaluated the Baldrige Framework for Excellence criteria for customer engagement by assessing the data collected regarding client engagement and Voice of the Customer Surveys completed by past clients and those in the middle of their services.

The Baldrige Framework for Excellence criteria require that the organization offer a way to determine the types of services it can provide. A state in the southwestern United States has a 34% recidivism rate for ex-offenders (AdofR, 2023). The United States Bureau of Justice reports that an effective re-entry program will offer educational, housing, substance abuse treatment, and employment services. The focus organization currently provides these services to its clients.

Adherence to the Baldrige Framework for Excellence is evident in the organization's commitment to making services accessible to the targeted population. The focus organization plans to achieve this by employing various methods for clients to communicate their needs, such as surveys, initial assessments, and periodic client input interviews and surveys (Personal Communications August 4, 2024). Our leadership team uses these measures, conducted at the program's start, middle, and end, to ensure that our treatment planning is relevant and appropriately utilized and that progress is well-documented.

The Baldrige Framework for Excellence requires that an organization manage and enhance its brand by exceeding expectations. Per the client survey, patients feel that communication with staff is appropriate and effective. Clients who completed the surveys reported knowing the names of those in their care teams and could articulate

the roles of each treatment team member. Clients who completed the surveys also reported knowing their rights as clients and ways to request information and making formal complaints that they felt were immediately addressed. Client responses to surveys indicate that clients feel their treatment teams are knowledgeable and that their treatment plans are unique and compelling.

Organization's workforce-focused Outcomes

The researcher completed a Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis (Figure 5a) along with the focus organization's leadership team, led by the CEO, to evaluate the workforce Outcomes. The study reviews the SWOT analysis faced by the organization's workforce, efforts to maintain its staff, and the possibility of expanding (Personal Communication 8/17/2024). The information gathered for this SWOT analysis (Figure 5a) was obtained during pre-scheduled interviews with the unit directors and the CEO, with prior verbal and written approval. The use of documentation collected during the data collection portion of the study was pre-approved by the CEO, who allowed the researcher to take notes from the budgets and employment documentation to support the outcomes of the SWOT analysis (Figure 5a). The CEO would not allow the removal of the financial and business documents but allowed note-taking and made the information

available on multiple days for review (Personal Communication, 8/17/2024). No documentation regarding the focus organization's budget, donor lists, or staff or client information was permitted to leave the CEO's office during the data collection. All information was gathered from notes documented by the researcher and information reported during pre-scheduled interviews (Personal Communication, 8/04/2024, 8/14/2024, 8/27/2024).

During one pre-scheduled interview, the unit directors gathered with the researcher to discuss the strengths of the organization's workforce (Personal Communication, 8/17/2024). The leadership team used employee Baldrige Framework Workforce Surveys and suggestions to accurately report the strengths, weaknesses, opportunities, and threats identified by employees. The unit directors reported that several strengths help maintain the staff currently working for the organization.

Baldrige Framework Self-Assessments of Leadership and Governance

The Baldrige Framework for Excellence: Are We Making Progress assessment was given to the unit directors and leadership team members, except for the CEO, to evaluate the focus of the organization's leadership and governance. The assessment was given in group form during a pre-scheduled interview. During the assessment,

participants were given a written evaluation to score. Once the group finished the assessments individually in survey form, a group discussion was held to determine a collective set of answers agreed upon by the entire group. A copy of the completed group leadership assessment can be seen in Figures 2a- 2d.

Leadership Scores

Using the Baldrige Framework Self-Assessments by the focus organization's staff, it can be determined that employees are confident in the CEO's ability and visionary leadership. The teams' answers indicate that the organization's leadership possesses vision, ethics, and a positive and supportive work environment. The staff reported that they are asked about their opinions by the leadership and that communication between staff and leadership is appropriate and effective. The Baldrige Framework Workforce Survey outcomes can be seen in Figures 2a- 2d.

Strategy Scores

The assessment answers also indicate that staff are concerned about the CEO's lack of technological improvements. During the group discussion after the evaluation, staff reported discomfort with the lack of software protecting digital information. The unit directors reported that clinical staff use their laptops and data management systems to ensure that information from mental health assessments, session notes, and

other sensitive information is not easily obtained. Staff also voiced that they are not reimbursed for using their confidential data management systems and have requested that this subject be immediately addressed. A review of the organization's budget shows that the CEO plans to implement data management software as the organization's financial health improves. The CEO reported during a pre-scheduled interview that part of the fiscal crisis faced by the organization is noncompliance with HIPAA regulations that require the organization to have a separate private server and documentation software that follows HIPAA. The CEO reported that he had scheduled meetings with a few representatives from data management software companies, like KIPU, to compare pricing and implement the software for the organization.

Baldrige Framework Self-Assessments of Marketplace Performance

The Baldrige Framework Self-Assessment scores for Operations and Outcomes of the organization's performance indicate that employees feel the organization needs to prepare to handle emergencies and that the CEO needs to provide required protections, such as cybersecurity precautions and information security systems that protect sensitive data. After discussing these answers with the group, the researcher learned that employees fear that a lack of compliance with

security and privacy systems puts the organization at risk for financial issues. Employees voiced concerns about having enough cash on hand that could be used for emergencies like fire or other issues that might displace clients. The group reported that they had presented these concerns to the CEO and were aware of the CEO's efforts to increase revenue and reduce direct costs.

The assessment outcomes also indicate that the CEO's leadership helps remove barriers to progress. The team also feels that the CEO is honest and obeys laws and regulations to the best of their ability. The assessment also indicates that employees feel the CEO has implemented practices that promote high standards and ethics. During the group discussions after the evaluation, staff indicated that they believe the CEO's practices, knowledge, and ethics directly affect the increase in donations, private grants, and community partnerships.

Indications resulting from the findings.

The CEO actively communicates with the Department of Corrections and Parole and Probation to promote the organization's accomplishments, making it the organization of choice for Re-Entry Programs (Personal Communication, 8/19/2024). The CEO collaborates with unit directors and requires ongoing analysis of programs, staff development, and client engagement to ensure that resources are allocated

appropriately and that there is minimal waste (Personal Communication, August 26, 2024). A review of the organization's budgets from 2021-2022 and 2022-2023 shows a significant increase in donations and community partnerships that have reduced costs for the organization (Personal Communication, 8/19/2024). The CEO revealed during an interview that the introduction of community partnerships and an increase in private donations for the current fiscal year have helped prevent the organization's closure and have allowed the organization to increase client intake (Personal Communication, 8/19/2024)

Upon review of the employee Baldrige Framework Self-Assessments, the strengths, weaknesses, opportunities, and threats of the workforce, and a comparison of the organization's budgets for the past two years, there is an indication that the CEO possesses the knowledge and skills necessary to guide the organization through its financial crisis (Personal Communication, 8/11/2024). The researcher used the most frequently reported selections for the SWOT (Figure 5a). The comparison of the two years of employee Baldrige Framework Self-Assessments discovered that the staff who started with the organization in 2021 are still with the organization, except for two employees who were dismissed based on violations of regulations set by the organization (Personal Communications, 8/17/2024). The budgets reviewed present a

slight advancement in salary increases; however, a review of the recent budget for the 2023 fiscal year shows employees will be receiving hourly raises due to the benefits received by the CEO's implementation of creative funding sources (Personal Communication, 8/19/2024). Research suggests that employees know they are not presented with the most competitive benefits packages. After reviewing the organization's budgets, there does not appear to be a significant increase in employee benefits (Personal Communication, 8/19/2024). A review of the employees' annual reviews demonstrates that the organization's staff feel appreciated, knowledgeable, and able to perform their duties with the support of leadership (Personal Communication, August 26, 2024). Employees listed access to leadership on several occasions as a benefit of employment. Employees appear to feel that their well-being is taken seriously, and several reviews mentioned this in the employees' answers to their Baldrige Framework Workforce Surveys. The workforce environment is solid and supportive (Personal Communication, August 26, 2024). The organization should continuously review salary and benefits by analyzing marketplace statistics from websites like salary.com, indeed.com, or linkedin.com, where these issues are researched and suggestions made to help the organization’s focus leadership team maintain a competitive workforce (Personal Communication, August 26, 2024).

The organization's financial and marketplace performance Outcomes.

To date, six organizations are dedicated to the prison re-entry population in the Southwestern United States. The programs are specific in their services, and none offer the wrap-around services provided by the focus organization. The focus organization is the only one that does not receive funding from state or federal programs. The focus organization's leadership reports that the elimination of state and federal funding is due to laws in the Southwestern United States that would prevent the organization from offering one year of free housing while providing services. The other organizations are similar in this regard.

The other organizations are specifically designed for individuals with substance abuse problems, which is not a requirement for the focus organization's client population.

Introducing private funding streams, business loans, stock portfolios, and community partnerships has increased the organization's ability to serve more clients (Jaramillo, 2018). It has resulted in no client referrals being declined this fiscal year, as evidenced by comparing the two budgets for 2021-2022 and 2022-2023. A review

of the two budgets shows a significant increase in funding and available resources for the organization. A review of the assessments and process analysis for the organization demonstrates that the stock portfolio presented the organization with increased profits and showed an increase in clients served (Jaramillo, 2018).

Outcomes of Creative Funding Introduction

A bar graph was used to compare the organization's budget before and after the changes were implemented to demonstrate the benefits of the CEO's creative funding initiative. The bar graphs illustrate the difference made for the organization's bottom line by introducing low-risk stocks, a business loan, and resources saved by implementing community partnerships (Jaramillo, 2018). Each series represents changes in the organization's financial health throughout a series of 90-day periods. The 2021-2022 budget shows the organization's low revenue. The 2022-2023 budget shows an increase in revenue, which indicates a significant increase in revenue with the introduction of community partnerships, business loans, and low-risk stock portfolios. The CEO reported during a research interview that the choices for private funding initiatives have increased revenue that the organization is now using for staff salary increases (Personal Communication, 8/17/2024), additional incentives for staff performance, and improvements to technology, and will eventually allow the

organization to purchase a private server, hire a Full-time IT employee and increase employee benefits (Personal Communication, 8/17/2024). The charts presented show a significant difference in revenue compared to total expenses. The 2021-2022 revenue chart shows the effects of the CEO's minimal actions, which placed the organization in financial jeopardy. Bar ChartFigure3-4.

Measurement Management

The Baldrige Framework Leadership Assessment indicates that staff feel the CEO has implemented effective ways to measure work quality. Staff suggested that the CEO regularly updates staff on the organization's health (Figure 2a-2d). In an interview conducted after the assessment was completed, staff indicated that they are aware of the financial issues that have placed the organization in a fiscal crisis (Personal Communication, August 26, 2024). The staff also reported confidence in the leader's ability to strategically navigate the organization through the financial crisis. The Baldrige Framework Workforce Survey also indicates that the staff does not feel that the CEO's plans for navigating the current economic crisis have been explained to them. Therefore, they are now unsure of their role in the navigation (Figure 2a-2d).

Strengths and Limitations of the Study

The use of qualitative interviews conducted with the staff of the focus organization provides insight into the traits that staff value and are essential in their decision to remain with the organization as the CEO navigated through the financial crisis. The qualitative interviews revealed that the organization's leadership, although faced with challenges, has not compromised its principles or strayed from its mission, vision, and goals (Personal Communication, 8/11/2024). The organization's leadership can reach out to private donors and present information that will help increase donations. The CEO's ability to reach out to community leaders has allowed the organization to reduce direct costs while offering a symbiotic relationship with other providers, clinicians, and medical professionals that benefit all involved (Personal Communications, August 4, 2024). The CEO has used his resources in the State of the Southwestern United States and knowledge of business and relationships to keep the organization focused and able to perform the services reported (Personal Communications, August 4, 2024). The CEO is knowledgeable about laws regarding funding, nonprofit organizations, and employment that have successfully prevented losing clients and maintained a working relationship with entities that will keep the organization in operation (Personal Communications, August 4, 2024). The CEO revealed in an interview that he met the director of Parole and Probation through his

son-in-law, who was working for the department and could present the focus organization to the director (Personal Communications, August 4, 2024). This prompted the focus organization to be included in referrals from the Parole and Probation department (Personal Communications, August 4, 2024).

Unanticipated limitations

The unexpected limitation presented during data collection for this study is the limitation of specific documentation by the CEO. The CEO insisted on limiting data availability, and when requests were granted, the CEO did not allow the publishing of the documentation to help validate the information. The CEO allowed the researcher to view documents that validated the study's findings. The CEO also explained that he did not want any names of donors released or published because he felt that the donors might not want to be publicly identified as supporters of an organization that helps individuals convicted of crimes that were violent, sexual in nature, or drug-related offenses. This limitation prevented the thorough Baldrige Framework Self-Assessments of donor solicitation.

Another limitation was the need for more information on other re-entry programs and how these organizations tackle a lack of government-sponsored funding. For example, throughout the study, the research available involved organizations

running sober living homes. The State of the Southwestern United States has strict limitations on nonprofit organizations, i.e., not allowing over 90 days of housing. Nonprofit organizations that do not follow the state's guidelines cannot receive state-sponsored funding. The research also suggests that some organizations use state websites.

Findings for the Practice Problem

Dominant Traits Needed for Highly Effective Nonprofit Leadership.

Throughout the current study, leadership has demonstrated the ability to use personal and connection skills, as well as the ability to implement changes that benefit the organization and the workforce. The researchers used descriptive analysis from the surveys to understand the dispositions needed for effective leader traits, including the ability to recognize the need for changes, find ways to maintain current staff, and incorporate a system of annual training and evaluations for themselves and their staff.

According to an exploratory research study by DeSimone, J, and Roberts, R. in 2023, the CEO, or Chief Executive Officer, is the key to a nonprofit organization's success. The study was completed by conducting a qualitative survey, the Nonprofit Leadership Dispositions Survey, on 99 human services nonprofit leaders in the State of New York. The researchers used descriptive analysis from the surveys to understand the dispositions needed for an effective leader. The Nonprofit Leadership Dispositions Survey was created by DeSimone, J., and Roberts, R., and is a 50-item assessment using a 5-point Likert scale measuring system (DeSimone & Roberts, 2023). The survey has two main sections: demographics and Disposition Assessment

(DeSimone & Roberts, 2023). The project outcomes indicated that the wisdom and responses of these leaders would be the evidence needed to evaluate the strengths used to determine successful leadership (DeSimone & Roberts, 2023). This study used several models to compare leadership styles. Based on the definition of transformational leadership, this style was used to assess the CEO of the focus organization (DeSimone & Roberts, 2023). Transformational leadership reflects four common traits: Idealized Influence, Inspirational Motivation, Intellectual Stimulation, and Individualized Consideration (DeSimone & Roberts, 2023). Like the current study, DeSimone and Roberts found that leaders with the highest scores for Empathy, Openness, Ethics, Trust, Transactional vs. Transformational, and Professional Support were dominant features in the most influential CEO leadership. Unique to the findings of this current study were the traits Prudence (or Wisdom) for life-work balance, Authenticity, which included personal convictions, values versus mission, and Grit or risk-taking and adaptability, as dominant traits of highly effective leadership (DeSimone & Roberts, 2023).

The findings of the current research suggest that the CEO of the focus organization possesses the traits listed in DeSimone and Roberts' study, indicating that he is a highly effective leader with the necessary traits to lead the organization

and staff to success. The findings of this study, through the analysis of the Baldrige Framework for Excellence criteria, tenets of Transformational Leadership, Human Motivational Theory, and qualitative study interviews with middle management and staff, strongly indicate that the CEO also possesses a working knowledge of creative funding, and that introducing private funding prevented the organization from closure and has now increased its ability to expand.

Personality Traits for Successful Stock Investors

The CEO of the focus organization has decided to introduce low-risk stock investment to his alternative funding project (personal communication, August 4, 2024). The qualitative study was conducted using an online questionnaire that collected data from an online survey given to 314 investors to determine the personality traits held by successful stockbrokers. This study concludes that individuals with extraversion, conscientiousness, agreeableness, and openness are traits held by the most successful stock investors (Tauni et al., 2020). These traits were identified in the leadership survey administered to staff and directors of the focus organization (see Figure 2a). The findings of this study help validate the notion that the leadership of the focus organization is open, attentive to the work environment in detail, competitive, confident, and adaptable. This study aims to

address the practical question: How can a leader of a nonprofit behavioral healthcare organization effectively guide the organization through a financial crisis? The study also concludes that individuals who possess traits such as being fearful, unable to handle stressful situations, and overly insecure in relationships with others will often be unsuccessful as stock investors (Tauni et al., 2020). The trait of openness, as described for success, can be validated by the CEO and leadership team members, as evidenced by the CEO's decision to establish a nonprofit organization based on a desire to help others, despite having no prior experience leading a nonprofit organization. The CEO has set the goal of making the organization the preferred choice for other service providers, demonstrating competitiveness. The CEO exhibits adaptability by researching issues and introducing changes with minimal challenges.

Destructive Leadership

Destructive leadership is defined as systematic and repeated behavior by leadership that violates the organization's legitimate interests (Grill, 2023). It involves sabotaging the organization's goals, resources, tasks, effectiveness, and motivation, negatively affecting employee motivation, well-being, or job satisfaction (Grill, 2023). Laissez-faire leadership allows employees autonomy with little guidance, even in decision-making, problem-solving, and setting goals for the

organization (Al-Khaled et al., 2020). This leadership style is intended to allow leaders to act only as facilitators who provide resources and support that allow employees to thrive through innovation. Tyrannical leaders use manipulation and a lack of concern for employees' mental and physical health, which places the organization's long-term interests at risk. Supportive Disloyal Leadership is a style of leadership where leaders demonstrate an exaggerated interest in the welfare of employees and have no regard for the organization's interests (Grill, 2023). Leaders who have used the supportive disloyal leadership style have committed crimes such as stealing materials, time, and financial resources. Derailed leadership is a style of leadership where leaders employ a passive leadership style that uses deceit or manipulation of assets, including absenteeism or theft of the organization's resources, as an excuse for failure to attain the organization's goals (Al-Khaled et al, 2020).

There have been a few studies on destructive leadership types, but it is essential to present the harmful ones that have caused some nonprofit and for-profit organizations to fail (Al-Khaled et al., 2020). The contradictions presented will allow future researchers to use the model created by the focus organization's leadership to compare successful leaders with unsuccessful ones. One of the few studies available on destructive leadership is a 2023 study conducted by Grill, 'The Influence of

Destructive Leadership Behaviors on the Meaning of Work and Work Productivity'. This study was conducted to decipher the effects of destructive leadership traits that influenced employee behaviors, the meaning of work, and productivity. This study was conducted as a longitudinal study, where organizations in a Swedish municipality were given a questionnaire on employees' meaning of work.

The study examined productivity over 18 months. The Researcher developed a 4-item Destructive Leadership Scale to determine destructive leadership behaviors, including incoherent planning, assigning unnecessary tasks, ambiguous expectations, and autocratic behaviors. The researcher then used growth models to analyze the influence of destructive leadership on any changes in the meaning of work and productivity that employees may have demonstrated throughout the study. The study showed that destructive leadership significantly negatively influenced employees' meaning of work ($\beta = -0.44$, $p = 0.02$) and ($\beta = -0.46$, $p = 0.04$) on work productivity (Grill, 2023).

Leadership types for nonprofit organizations, such as Laissez-Faire, Tyrannical, Supportive-Disloyal, and Derailed, have caused failure due to leadership (Grill, 2023). Nonprofit organizations that have failed due to leadership include leadership and workplace qualities: those with a toxic culture, post-traumatic stress,

depression, emotional exhaustion, absenteeism, low productivity, costly turnover, and increased workplace conflict and tension (Al-Khalid et al., 2020).

Studies have shown that managing job satisfaction by offering supportive sentiments to employees is one way leadership can overcome the Outcomes of destructive Leadership (Grill, 2023). Another way to provide information for change in the employment environment includes tracking employee turnover and absenteeism, listening to employees, and creating changes that employees feel are supportive and incentivized. A new leader who is determined to change the environment from destructive to productive must listen to employees; this can be done by conducting exit interviews with employees who are leaving and experimenting with ways to resolve engagement issues.

Research on the topic of failed nonprofit agencies due to destructive leadership found several nonprofit organizations that failed due to poor Leadership (Grill, 2023). One organization that was founded in 1969 by Clara Hale, the Hale House, a home for children whose lives had been negatively affected by drug abuse, AIDS, and poverty, had been a successful, thriving organization until the founder died in 1992. In 1992, the founder's daughter, Lorraine Hale, took over the organization's leadership. Throughout Lorraine Hale's Leadership, the organization lost hundreds of

thousands of dollars due to Lorraine Hale's misuse of funds. Employees discovered destructive leadership, which eventually led to the arrest and conviction of Lorraine Hale for theft of over $700000 and falsifying business records in 2002.

More recently, a finding of destructive leadership was made for the Wounded Warrior Project, which was founded in 2003 by an injured United States Marine, John Melia (Bernstein et al., 2017). The Wounded Warriors Project was opened as a charity that offers services for U.S. veterans coping with post-traumatic stress disorder. In 2016, Steven Narduzzi, the CEO of the Wounded Warrior Project, was fired after an investigation into allegations of excessive spending (Bernstein et al., 2017). The investigation found that the CEO had spent over $800 million on donations on parties, travel, and accommodations, and that the organization lacked structure, and its poor spending and tracking resulted in the CEO and COO Al Giordano being able to steal and misuse public donations to the organization (Bernstein et al, 2017). The organization remained open after new leadership was implemented to save it. In 2022, a new CEO, Michael Linning, took over the organization; because of the damage to the Wounded Warrior Project, the investigation found that the Board of Directors had little control over funding, employee compensation, etc. As a result of the investigation and termination of two

top executives for the organization, complete financial control is now in the hands of the Board of Directors (Bernstein et al., 2017). There is no longer any fiscal management by the new CEO, who is making considerably less than the previous CEO (Bernstein et al., 2017).

The two examples of destructive leadership demonstrate how a lack of transparency and complete control by leaders with few, if any, controls over the organization's governance can cause the organization's dissolution or change the public perception of the organization. A loss of faith in an organization will significantly reduce its ability to solicit donations. It may cause the organization to rebuild its brand and cause many employees to lose compensation or employment. The information presented on organizations that have been the victims of destructive leadership validates the idea that the leadership of the focus organization is the most effective for leading a nonprofit organization through crises and into growth and prosperity.

SECTION 5

As a result of the evaluations, assessments, and information gathered from the focus organization's leadership, it is determined that the changes implemented by the organization’s leadership were effective. The leadership team was able to use the

criteria presented from the Baldrige Framework of Excellence to evaluate the effects of the organization's past practices and the newly introduced practices, such as Creative Funding and Transformational Leadership; the organization was able to change its working patterns into patterns for positive change. In addition, the introduction of evaluating and identifying those practices that prevent growth and create instability within the organization also helps to validate the findings of the study. Identifying Destructive Leadership involves the failure of leadership to be present within the community, such as no representation at community meetings.

Further Explorations

Further exploration is warranted to determine how to evaluate the success of nonprofit leaders by comparing the success of organizations with reported histories of destructive leadership versus Non-destructive leadership practices. This study could also evolve into a survey on the effectiveness of nonprofit organizations that have adopted alternative funding sources compared to organizations that rely on traditional government funding. Future leaders should be able to review these two types of revenue models to develop a plan of action to help leaders prevent financial crises. Subsequent Research should also include studies on organizations with no organizational hierarchies. Research can be proposed: How do organizations without determined lines of leadership fare compared to those with traditional organizational governance and leadership models? A survey conducted on organizations whose leadership is a group, not one executive, could

help future nonprofit organizations decide on a nontraditional leadership profile that may prevent the cycle of interruptions in the sector. Many nonprofit organizations face the challenge of rotating individual leaders. A nontraditional leadership model may also change the community it serves without a designated leader. In addition, an organization that can employ a group of leaders may have more success servicing diverse clients.

Plans to disseminate this work to the organization.

The study findings will be presented to the focus organization after a discussion with the CEO, where a time and date can be decided upon to present the findings to the entire team, including leadership. The information will be presented in a well-organized, committee-approved slideshow. The information presented will take leadership through a timeline for identified issues, research methods, supportive studies, and scholarly information that mirrors the issues faced by the focus organization. The presentation will conclude with findings and how those findings were determined. Recommendations for future success will be presented to the organization's leadership.

Conclusions

Did the CEO lead the organization through its fiscal crisis?

During a pre-scheduled interview with the CEO to review financial data for the organization, the budget, stock, and assets demonstrate that the CEO is more than capable of managing the role of leader (Personal Communications, 8/19/2024). The CEO allowed a review of the focus organization's budgets for the last two years. During these reviews, it was determined that creative funding, donation solicitation, and community partnerships had significantly increased the organization's revenue (Personal Communications, 8/19/2024). For example, a review of the organization's budgets for 2021-2022 shows the organization's operational, variable, fixed, development, and operational costs totaled 781061.75 while working with a budget of $ 641,000.00 in revenue, creating a $140066 deficit for the organization (Personal Communications, 8/19/2024). The CEO informed the researcher that this deficit was continuing to grow, and to avoid shutting the organization down, he implemented creative funding to produce additional revenue (Personal Communications, 8/19/2024). The CEO reported that he had been researching ways to create revenue for the organization legally and was working with an outside financial advisor to help him implement these new streams (Personal Communications, 8/19/2024). The CEO also allowed the 2022-2023 budget to be reviewed. The 2022-2023 budget reflects a

positive return on the streams introduced (Personal Communications, 8/19/2024). For example, the 2022-2023 budget reflects the increase. For example, the organization reported $1585220 in available revenue while working with $791161 in operational costs. The budget reflects a significant increase.

In private donations, the CEO attributes to informing stakeholders, past, present, and future donors, with reported success (Personal Communications, 8/19/2024). The year 2022 contained a review of effective treatment, employee retention, and a rise in available information about the organization's success (Personal Communications, 8/19/2024).

The review of financial documentation for the organization shows that a timeline can be developed to exclude any factors other than the CEO's leadership as the catalyst for the increase in revenue (Personal Communications, 8/19/2024). For example, the CEO implemented the community partnership program introduced in the April-June fiscal quarter and demonstrated an increase of $130,000.00 in 2022-2023 from $5400 in 2021-2022 (Personal Communications, 8/19/2024). The CEO explained that community partnerships allow the organization to have nurses and clinicians on staff who are interns (Personal Communications, 8/19/2024). The dramatic increase reflects the introduction of this program, which accounted for

salaries the organization would be required to pay if the intern program had not been initiated (Personal Communications, 8/19/2024). The introduction of the salary costs for clinicians alone would have cost the organization $75000 due to state law requiring nursing staff to be available during all working hours; the organization operates 24 hours daily (Personal Communications, 8/19/2024).

Does the CEO have the qualities needed to lead through crises?

The CEO has the qualities and traits needed for effective leadership, including balancing budgets, demonstrating diligence, and developing a positive workforce environment, creating an atmosphere that can implement changes effectively. The CEO used research, personality, and intellectual knowledge to create revenue streams that prevented the organization from closing as of December 2023. The Human Motivation Model determines ways to retain staff and create a productive, positive, and secure workforce environment (Jonas & Rosenbaum, 2021)

List of Tables

Figure1a

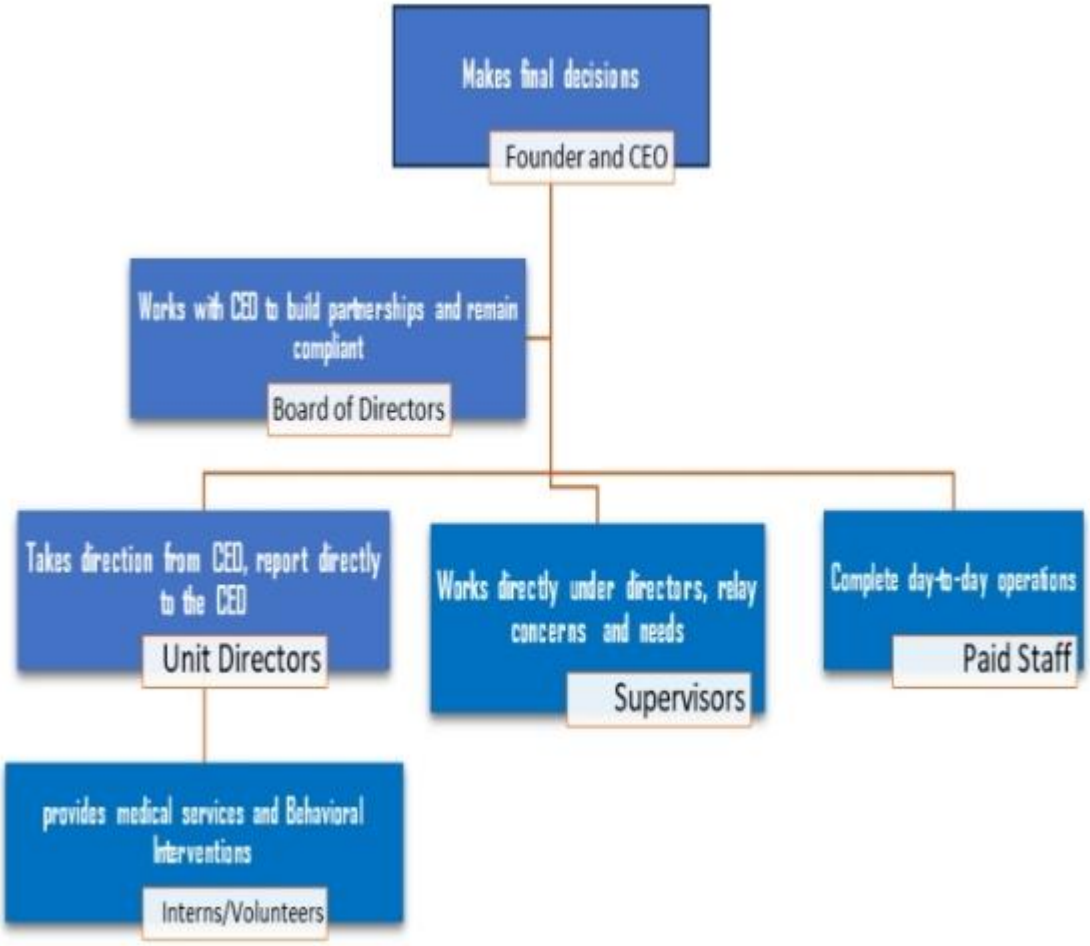


Figure 2a-2d

2A

2B

2C	

Customers

Note: Your customers are the people who use the products of your work.

		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
3A	My organization treats all customers fairly.	○	○	○	○	●
3B	I know who my most important customers are.	○	○	○	○	●
3C	I regularly ask my customers what they need and want.	○	○	○	○	●
3D	I am allowed to make decisions to satisfy my customers.	○	○	○	○	●
3E	I also know who my organization's most important customers are.	○	○	○	○	●

Measurement, Analysis, and Knowledge Management

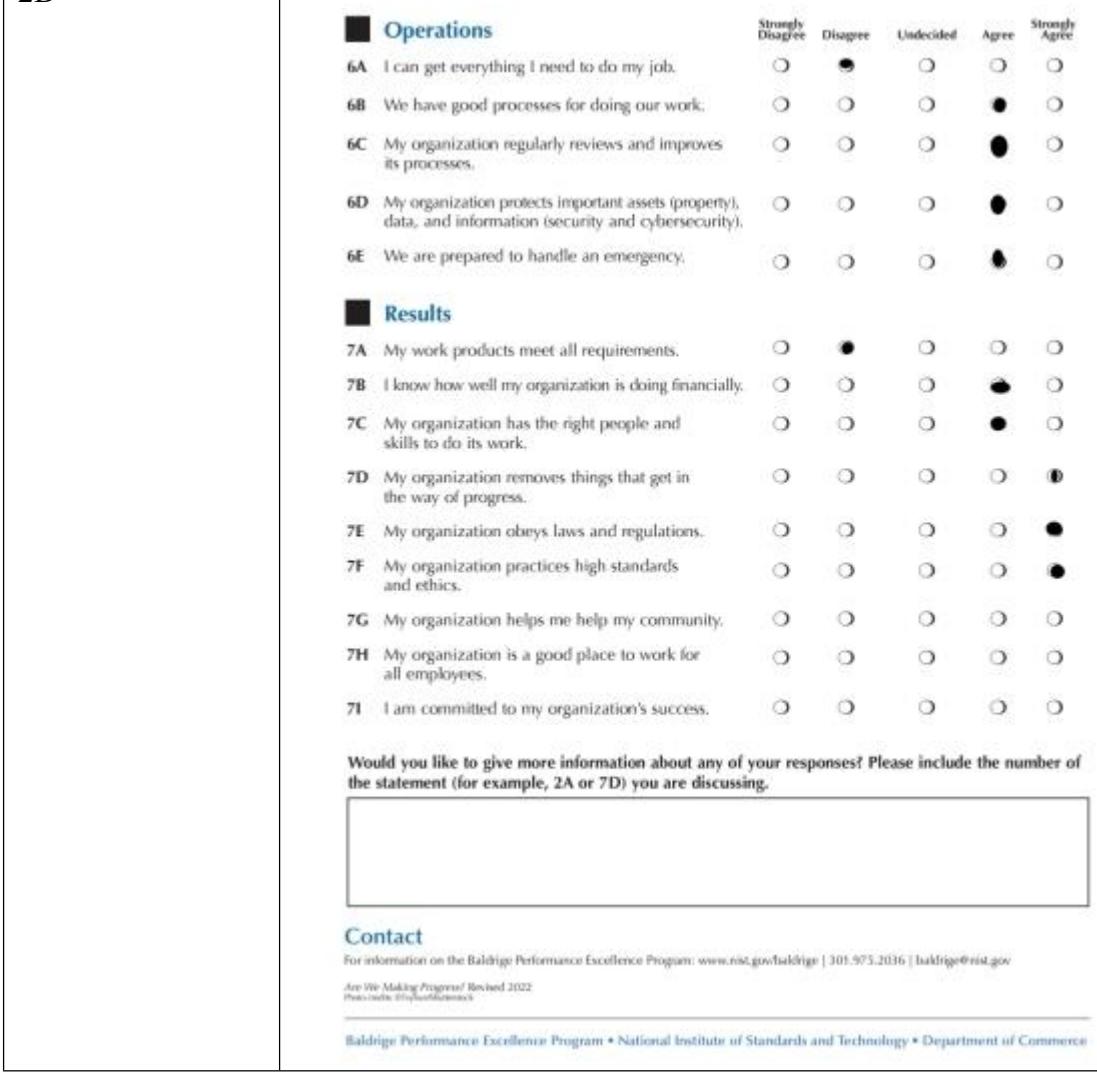
4A	I know how to measure the quality of my work.	○	○	○	●	○
4B	I can use this information to make changes that will improve my work.	○	○	○	●	○
4C	I know how the measures I use in my work fit into the organization's overall measures of improvement.	○	○	○	●	○
4D	I get all the important information I need to make changes to my work when my organization makes unplanned changes.	○	○	○	●	○
4E	I know how my organization as a whole is doing.	○	○	○	●	○

Workforce

5A	The people I work with cooperate and work as a team.	○	○	○	○	●
5B	My bosses support, encourage, and enable me to develop my job skills so I can advance in my career.	○	○	○	○	●
5C	I am recognized for my work.	○	○	○	○	●
5D	I have a safe workplace.	○	○	○	●	○
5E	My bosses and my organization care about me.	○	○	○	●	○
5F	My organization is committed to including and embracing people from varying backgrounds and treating everyone fairly.	○	○	○	○	●

Are We Making Progress? • www.nist.gov/baldrige

2D



Operations

		Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
6A	I can get everything I need to do my job.	○	◔	○	○	○
6B	We have good processes for doing our work.	○	○	○	●	○
6C	My organization regularly reviews and improves its processes.	○	○	○	●	○
6D	My organization protects important assets (property), data, and information (security and cybersecurity).	○	○	○	●	○
6E	We are prepared to handle an emergency.	○	○	○	◔	○

Results

7A	My work products meet all requirements.	○	●	○	○	○
7B	I know how well my organization is doing financially.	○	○	○	◕	○
7C	My organization has the right people and skills to do its work.	○	○	○	●	○
7D	My organization removes things that get in the way of progress.	○	○	○	○	◑
7E	My organization obeys laws and regulations.	○	○	○	○	●
7F	My organization practices high standards and ethics.	○	○	○	○	●
7G	My organization helps me help my community.	○	○	○	○	○
7H	My organization is a good place to work for all employees.	○	○	○	○	○
7I	I am committed to my organization's success.	○	○	○	○	○

Would you like to give more information about any of your responses? Please include the number of the statement (for example, 2A or 7D) you are discussing.

Contact

For information on the Baldrige Performance Excellence Program: www.nist.gov/baldrige | 301.975.2036 | baldrige@nist.gov

Are We Making Progress? Revised 2022

Baldrige Performance Excellence Program • National Institute of Standards and Technology • Department of Commerce

Figure 3a

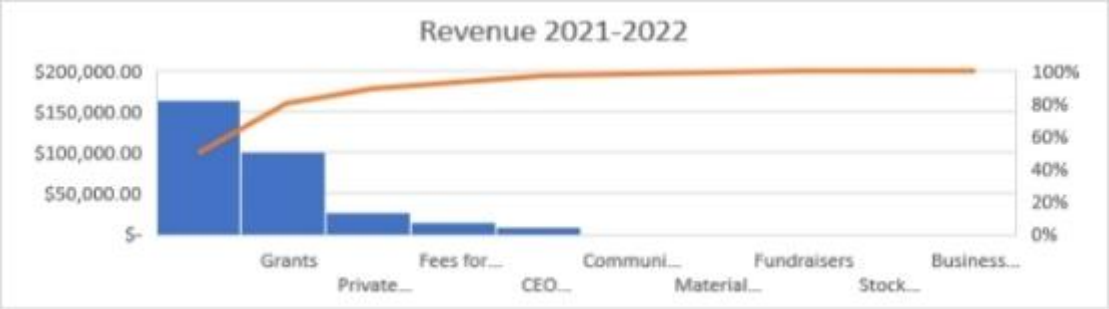

Revenue 2021-2022
$200,000.00
$150,000.00
$100,000.00
$50,000.00
$-
100%
80%
60%
40%
20%
0%
Grants
Private...
Fees for...
CEO...
Communi...
Material...
Fundraisers
Stock...
Business...

Figure 4a

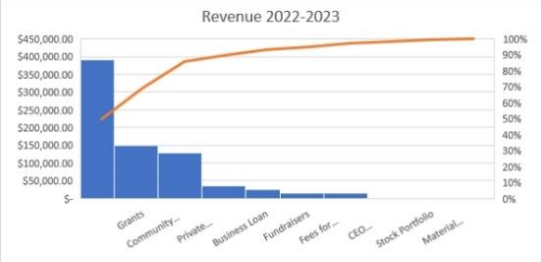
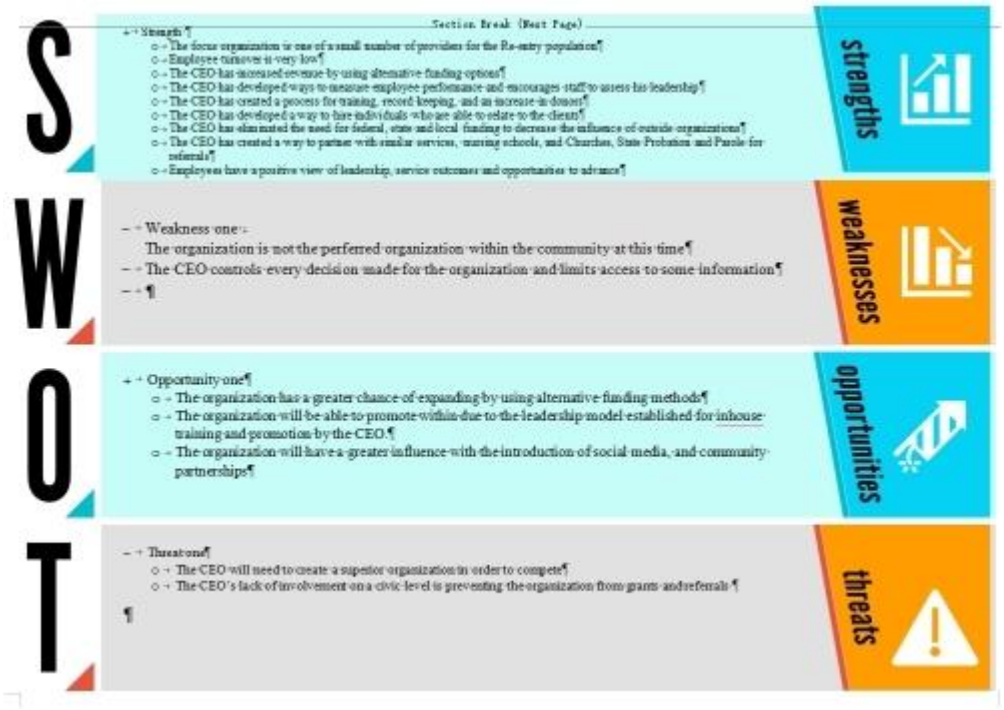

Revenue 2022-2023
$450,000.00
$400,000.00
$350,000.00
$300,000.00
$250,000.00
$200,000.00
$150,000.00
$100,000.00
$50,000.00
$-
100%
90%
80%
70%
60%
50%
40%
30%
20%
10%
0%
Grants
Community...
Private...
Business Loan
Fundraisers
Fees for ...
CEO...
Stock Portfolio
Material...

Figure 5a


S
W
O
T
Section Break (Next Page)
Strengths
The focus organization is one of a small number of providers for the Re-entry population
Employee turnover is very low
The CEO has increased revenue by using alternative funding options
The CEO has developed ways to measure employee performance and encourages staff to assess his leadership
The CEO has created a process for training, record keeping, and an increase in donors
The CEO has developed a way to hire individuals who are able to relate to the client
The CEO has eliminated the need for federal, state and local funding to decrease the influence of outside organizations
The CEO has created a way to partner with similar services, nursing schools, and Churches, State Probation and Parole for referrals
Employees have a positive view of leadership, service outcomes and opportunities to advance
strengths
Weakness one
The organization is not the perferred organization within the community at this time
The CEO controls every decision made for the organization and limits access to some information
weaknesses
Opportunity one
The organization has a greater chance of expanding by using alternative funding methods
The organization will be able to promote within due to the leadership model established for inhouse training and promotion by the CEO.
The organization will have a greater influence with the introduction of social media, and community partnerships
opportunities
Threat one
The CEO will need to create a superior organization in order to compete
The CEO's lack of involvement on a civic level is preventing the organization from grants and referrals
threats

Annotated Bibliography

References

A second chance: the impact of unsuccessful reentry and the need for reintegration resources in communities. (n.d.). https://cops.usdoj.gov/html/dispatch/04-2022/reintegration_resources.html

Al-Khaled, Akram & Chung, Jee Fenn. (2020). The impact of leadership styles on organizational performance. 10.5281/zenodo. 3766106.

Baldrige Organizational Profile | NIST. (2023, February 10). NIST. https://www.nist.gov/baldrige/baldrige-organizational-profile

Bernstein, R., & Aulgur, J. (2017). Case Studies: What went wrong at the Wounded Warrior Project? By: Ruth Bernstein and Jeff Aulgur. The Legacy of the American Legacy Foundation By: Ruth Bernstein. Journal of nonprofit education and leadership, 7(2), 28-46. https://doi.org/10.18666/jnel-2017-v7-si2-8737.

Browne, G., Roberts, J., Gafni, A., Byrne, C., Kertyzia, J., & Loney, P. (2004). Conceptualizing and validating the human services integration measure. *International Journal of Integrated Care*, *4*, e03. https: *A//www.ncbi.nlm.nih.gov/*pmc/articles/PMC1393260/

Business Services FQs. (n.d.). Prod Modern 15.1. https://www.azcc.gov/faqs/BusinessServicesFAQs

Charity Watch. (2018, August 24). *CharityWatch Hall of Shame: The Personalities Behind Charity Scandals*. Www.charitywatch.org. https://www.charitywatch.org/charity-donating-articles/charitywatch-hall-of-shame

Deng, C., Gulseren, D., Isola, C., Grocutt, K., & Turner, N. (2022). Transformational Leadership effectiveness: an evidence-based Primer. *Human Resource Development International*, *26*(5), 627–641. https://doi.org/10.1080/13678868.2022.2135938

DeSimone, J. R., & Roberts, L. A. (2023). Nonprofit leadership dispositions. *SN business & economics*, *3*(2), 50. https://doi.org/10.1007/s43546-023-00420-9F

Ercia A. (2021). The impact of the Affordable Care Act on patient coverage and access to care perspectives from FQHC administrators in Arizona, California, and Texas. *BMC Health Services Research*, *21*(1), 920. https://doi.org/10.1186/s12913-021-06961-9

Frumkin, P., & Kim, M. (2002). *The Effect of Government Funding on Nonprofit Administrative Efficiency: An Empirical Test* (Publication No. OPS-10-02) [Doctoral Dissertation, Harvard University]. https://ash.harvard.edu/files/effect_of_government_funding.pdf

Gray, C. E., Spector, P. E., Wells, J. E., Bianchi, S. R., Ocana-Domínguez, C., Stringer, C., Sarmiento, J., & Butler, T. (2022). How Can Organizational Leaders Help? Examining the Effectiveness of Leaders' Support During a Crisis. *Journal of Business and Psychology*, *38*(1). https://doi.org/10.1007/s10869-022-09810-6

Grill, M. (2023). Influence of destructive leadership behaviors on the meaning of work and work productivity. *Frontiers in Psychology*, *14*, 1295027. https://doi.org/10.3389/fpsyg.2023.1295027

Guidelines for preparing qualitative manuscripts. (n.d.). https://www.apa.org. https://www.apa.org/pubs/journals/rel/guidelines-preparing-qualitative-manuscripts

Harris, C. and Kleiner, B.H. (1993), "Motivational Practices at America's Best Managed Companies", *Management Research News*, Vol. 16 No. 9/10, pp. 1-5. https://doi.org/10.1108/eb028329

Helmig, B., Jegens, M., & Lapsley, I. (2004). "Challenges in Managing Nonprofit Organizations: A Research Overview". Working Paper Series Nonprofit Management. https://doi.org/http://ssrn.com/abstract=929484

How Baldrige works | NIST. (2021, October 6). NIST. https://www.nist.gov/baldrige/how-baldrige-works

Jonas, W. B., & Rosenbaum, E. (2021). The Case for Whole-Person Integrative Care. *Medicina (Kaunas, Lithuania)*, *57*(7), 677. https://doi.org/10.3390/medicina57070677

Hughes, M. C., Spana, E., & Cada, D. (2022). *Developing a Needs Assessment Process to Address Gaps in a Local System of Care*. Community mental health journal, *58*(7), 1329–1337. https://doi.org/10.1007/s10597-022-00940-y

Jaramillo, E. T., Willging, C. E., Green, A. E., Gunderson, L. M., Fettes, D. L., & *ds Asses*Aarons, G. A. (2019). "Creative Financing": Funding Evidence-Based Interventions in Human Service Systems. The journal of behavioral health services & research, 46(3), 366–383. https://doi.org/10.1007/s11414-018-9644-5

Kim, H. D., & Cruz, A. B. (2022). Transformational Leadership and Psychological Well-Being of Service-Oriented Staff: Hybrid Data Synthesis Technique. *International journal of environmental research and public health*, *19*(13), 8189. https://doi.org/10.3390/ijerph19138189

Kroskey, K. (2024, July 15). *True Wealth Design*. True Wealth Design.https://www.truewealthdesign.com/evaluating-your-investment-portfolios-performance-key-metrics-to-consider/

Lee, M. J., Maranda, M. J., Magura, S., & Greenman, G. D. (2022). References to Evidence-based Program Registry (EBPR) Websites for Behavioral Health in S. State Government Statutes and Regulations. *Journal of Applied Social Science*, *16*(2), 442–458. https://doi.org/10.1177/19367244221078278

Mahomed F. (2020). Addressing the Problem of Severe Underinvestment in Mental Health and Well-Being from a Human Rights Perspective. *Health and human rights*, *22*(1), 35–49.

Maximizing Program Services Through Private Sector Partnerships and Relationships. A Guide for Faith- and Community-Based Service Providers. Retrieved June 30, 2023, from https://www.samhsa.gov/sites/default/files/partnerhandbook_feb2006.pdf

Meredith, L. S., Branstrom, R. B., Azocar, F., Fikes, R., & Ettner, S. L. (2011). A Collaborative Approach to Identifying Effective Incentives for Mental Health Clinicians to Improve Depression Care in a Large Managed Behavioral Healthcare Organization. *Administration and Policy in Mental Health*, *38*(3), 193–202. https://doi.org/10.1007/s10488-010-0313-0

Mustaffha, N., Syed Yusuf, S. N., & Kasim, N. (2021). Risk Management in Public and Non-Profit Organizations: A Systematic Literature Review. *International Journal of Academic Research in Business and Social Sciences*, *11*(8). https://doi.org/10.6007/ijarbss/v11-i8/10728

O'Brien, M. K., & Ahmed, A. A. (2019). Asymmetric valuation of gains and losses in effort-based decision making. *PLoS ONE*, *14*(10), e0223268. https://doi.org/10.1371/journal.pone.0223268

Parast, M. M., & Golmohammadi, D. (2019). Quality management in healthcare organizations: Empirical evidence from the baldrige data. *International Journal of Production Economics*, *216*, 133–144. https://doi.org/10.1016/j.ijpe.2019.04.011

Pica, C. (2024). Best Practices in Human Services Education. Journal of Human Services., 42(2). https://doi.org/10.52678/001 c. 120216

ProjectPractcal. (2023, February 11). *Top 20 leadership interview questions and answers in 2024*. ProjectPractical.com. https://www.projectpractical.com/top-20-leadership-interview-questions-and-answers/*Reentry Services | Arizona Department of Economic Security*. (n.d.-b). https://des.az.gov/services/employment/reentry-services

, M., Reagan, D. R., & Behringer, B. (2020). *A public health performance excellence improvement strategy: Diffusion and adoption of the Baldrige Framework within Tennessee Department of Health*. Journal of public health management and practice: JPHMP. https://www.ncbi.nlm.nih.gov/pmc/articles/PMC7329136/

Robertson, A. A., Fang, Z., Weiland, D., Joe, G., Gardner, S., Dembo, R., Mcreynolds, L., Dickson, M., Pankow, J., Dennis, M., & Elkington, K. (2020). Recidivism among justice-involved youth: Findings from JJ-TRIALS. *Criminal Justice and Behavior*, *47*(9), 1059–1078. https://doi.org/10.1177/0093854820922891

Saleem, F., Malik, M. I., Hyder, S., & Perveen, A. (2022). Toxic Leadership and Project Success: Underpinning the Role of Cronyism. *Behavioral Sciences*, *12*(11), 427. https://doi.org/10.3390/bs12110427

Self-Assessing | NIST. (2024, February 5). NIST. https://www.nist.gov/baldrige/self-assessing

Strahan, J. (2018, October 18). Using the Baldrige Leadership Model to Overcome Evasive Organizational Challenges. Baldrige Foundation Institute for Performance Excellence. Retrieved June 29, 2023, from https://www.ache.org/-/media/ache/about-ache/baldrige-foundation-institute-for-performance-excellence-white-paper-201901.pdf

Tauni, M. Z., Yousaf, S., & Ahsan, T. (2020). Investor-advisor Big Five personality similarity and stock trading performance. *Journal of Business Research*, *109*, 49–63. https://doi.org/10.1016/j.jbusres.2019.10.055

Thoroughgood, C. N., Sawyer, K. B., Padilla, A., & Lunsford, L. (2018).
Destructive Leadership: A Critique of Leader-Centric Perspectives and Toward a More Holistic Definition. *Journal of Business Ethics*, *151*(3), 627–649.https://www.jstor.org/stable/45022688

Van Calster, B., Wynants, L., Timmerman, D., Steyerberg, E. W., & Collins, G. S. (2019). Predictive analytics in health care: how can we know it works? *Journal of the American Medical Informatics Association*, *26*(12), 1651–1654. https://doi.org/10.1093/jamia/ocz130

Vashishtha, G., & Dhawan. (2023). Comparison of Baldrige Criteria of Strategy Planning and Harrison Text. *FMDB Transactions on Sustainable Management Letters*, *1*(1), 22–31.

https://www.fmdbpub.com/uploads/articles/168473429530463.%20FTSML-06-2023.pdf

Waerder, R., Thimmel, S., Englert, B. *et al.* The Role of Nonprofit–Private Collaboration for Nonprofits' Organizational Resilience. *Voluntas* **33**, 672–684 (2022). https://doi.org/10.1007/s11266-021-00424-9

Wright, K., Danielle, L., Haverkate, Travis, J., Meyers, C., Matekel, B., Cody, W., Telep, E., Maloney, J., Thrasher, J., House, V., White, T., & Wroe. (n.d.). *Governor's Recidivism Reduction Project Team Reducing Recidivism in Arizona*. Retrieved July 2, 2025, from https://ccj.asu.edu/sites/g/files/litvpz171/files/2019-02/asu_recidivism_reduction_final_report.pdf