

Self-Assessment of Governance Arrangements

Consent & personal details

***1. I consent voluntarily to the use of the information and data I provide in the understanding that it will be analysed and presented in a report to the National HIEC Directors Network and then disseminated further. My consent is upon the understanding that all information I provide will be aggregated for purposes of analysis so that my HIEC will not be identified or identifiable, unless I grant permission to cite examples from my HIEC. The information and data I provide will be available on request for verification and will be stored in accordance with the provisions of the Data Protection Act.**

Yes, I consent

No, I do not consent

***2. Please indicate your name, and if you wish to receive a copy of the report, your email:**

***3. Please indicate your HIEC**

- | | |
|---|---|
| <input type="radio"/> Cambridgeshire & Peterborough | <input type="radio"/> South London |
| <input type="radio"/> East Midlands | <input type="radio"/> South West |
| <input type="radio"/> Greater Manchester | <input type="radio"/> Thames Valley |
| <input type="radio"/> Lancashire and Cumbria | <input type="radio"/> Wessex |
| <input type="radio"/> Norfolk and Suffolk | <input type="radio"/> West Midlands Central |
| <input type="radio"/> North East | <input type="radio"/> West Midlands North |
| <input type="radio"/> NECLES | <input type="radio"/> West Midlands South |
| <input type="radio"/> Merseyside and Cheshire | <input type="radio"/> Yorkshire and Humber |
| <input type="radio"/> North West London | |

Partnership composition

***4. Does your HIEC have a fixed number of partners?**

yes

no

If so, how many?

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*5. How have the majority of your HIEC partners been selected?

- self-selected (foundational members)
 by request
 by invitation
 by paying a fee
 other (please specify)

6. Does your HIEC have different classes of partners, e.g. full and affiliates?

yes no

If so, how many of each? Please explain the rationale for having different classes of partners.

7. Across the lifetime of your HIEC, please estimate approximately how many different organisations from each of these sectors have participated in collaborative projects initiated and supported through your HIEC. If impossible to estimate, please proceed to the next question.

| | |
|-------------------------------|----------------------|
| NHS provider trusts | <input type="text"/> |
| NHS commissioners | <input type="text"/> |
| GP practices | <input type="text"/> |
| higher education institutions | <input type="text"/> |
| industry | <input type="text"/> |
| charities | <input type="text"/> |
| local government | <input type="text"/> |
| other (please specify) | <input type="text"/> |

*8. Across the lifetime of your HIEC, please indicate whether you feel that participation from each of these sectors has been sufficient for your HIEC to accomplish its objectives.

| | far too little | too little | about right | too much | far too much |
|-------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| NHS provider trusts | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| NHS commissioners | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| GP practices | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| higher education institutions | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| industry | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| charities | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| local government | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

If other than about right, please explain

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9. Please add any further comments you may have about the composition of your partnership.

Legal form

***10. Does your HIEC have a signed membership agreement or memorandum of understanding?**

yes no

If so, is it legally-binding? Please explain its purpose.

***11. Is your HIEC registered as a charity?**

yes no

If so, which type of charity? Please explain the benefits of charitable registration.

***12. What is the incorporation status of your HIEC?**

- incorporated, e.g. a company limited by guarantee unincorporated, e.g. hosted by an NHS trust or university

If incorporated

13. Which form of legal entity?

14. What are the benefits of incorporation?

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15. Please add any further comments you may have about your HIEC's legal form.

If unincorporated

16. What are the reasons for not seeking incorporation?

17. Which sector does your HIEC's host organisation represent?

- | | |
|--|--|
| <input type="radio"/> NHS provider trust | <input type="radio"/> industry |
| <input type="radio"/> NHS commissioners | <input type="radio"/> charities |
| <input type="radio"/> GP practices | <input type="radio"/> local government |
| <input type="radio"/> higher education institutions | |
| <input type="radio"/> other (please specify); please also use this box to explain if your HIEC has any form of co-hosting, e.g. one organisation holds the funds and another one employs the staff | |

18. What are the benefits of your HIEC's hosting arrangements?

19. Please add any further comments you may have about your HIEC's hosting arrangements.

Governing body

Throughout this questionnaire, the term "governing body" refers to a group of people who ultimately formulate policy and direct your HIEC along with its management, irrespective of what this group is called in your HIEC.

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***20. What is the name of your HIEC's governing body, e.g. board, executive group, steering committee?**

***21. How many members are on this group?**

***22. Is this number about right for the governing body to accomplish its objectives?**

far too many too many about right too few far too few

If other than about right, please explain

***23. Does your HIEC's governing body make a distinction between non-executive and executive members?**

yes no

If so, how many non-executive and executive members does your HIEC's governing body have?

24. If the membership of your HIEC's governing body reflects different sectors, how many members represent each of these sectors?

| | |
|-------------------------------|----------------------|
| NHS provider trusts | <input type="text"/> |
| NHS commissioners | <input type="text"/> |
| GP practices | <input type="text"/> |
| higher education institutions | <input type="text"/> |
| industry | <input type="text"/> |
| charities | <input type="text"/> |
| local government | <input type="text"/> |
| other (please specify) | <input type="text"/> |

***25. Does your HIEC have a Chair?**

yes no

If not, please explain

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26. Has the Chair been chosen as an independent person?

| | |
|-----------------------|-----------------------|
| yes | no |
| <input type="radio"/> | <input type="radio"/> |

27. If the Chair has not been chosen as an independent person, which sector does he/she represent?

- | | |
|---|--|
| <input type="radio"/> NHS provider trusts | <input type="radio"/> industry |
| <input type="radio"/> NHS commissioners | <input type="radio"/> charities |
| <input type="radio"/> GP practices | <input type="radio"/> local government |
| <input type="radio"/> higher education institutions | |
| <input type="radio"/> other (please specify) | |

28. What is the term of the Chair?

29. How was the Chair appointed?

- | | |
|---|---|
| <input type="radio"/> self-appointed | <input type="radio"/> by consensus or vote among all partners |
| <input type="radio"/> nominated by key partners | <input type="radio"/> through an open competitive process |
| <input type="radio"/> other (please specify) | |

30. Is the Chair paid?

| | |
|-----------------------|-----------------------|
| yes | no |
| <input type="radio"/> | <input type="radio"/> |

31. Does the Chair work a set number of hours per week?

| | |
|-----------------------|-----------------------|
| yes | no |
| <input type="radio"/> | <input type="radio"/> |

If so, how many days a week or wte?

*32. What is the frequency of governing body meetings?

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*** 33. Do all members of your HIEC's governing body have equal decision-making/voting rights?**

yes

no

If not, please explain

*** 34. Does the HIEC have any other body involved in the governance process, e.g. any advisory group, wider consultative committee, patient, or student representation?**

yes

no

If so, please explain

35. Please add any further comments you may have to explain your governance arrangements.

Decision-making authority and dynamics of the governing body

*** 36. Does your HIEC's governing body have authority to allocate resources?**

yes

no

*** 37. Does your HIEC's governing body have authority to establish partnership initiatives?**

yes

no

*** 38. Does your HIEC's governing body have authority to report partnership performance?**

yes

no

back to the partner organisations

to the SHA

to the sector they represent

other (please specify)

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*** 39. Does your HIEC's governing body have authority to navigate the future through transition?**

yes no

*** 40. Do you feel that the decision-making process occurs in a politically charged atmosphere?**

strongly agree agree neither agree nor disagree disagree strongly disagree

if agree or strongly agree, please explain

*** 41. Over your HIEC's lifetime, how often were there disagreements between or among governing body members?**

more than once a month about once a month once every several months about once a year not at all

if once a month or more, please explain

*** 42. On average, how serious were disagreements between or among governing body members?**

extremely serious very serious serious somewhat serious not at all serious

if extremely or very serious, please explain

43. Please add any further comments you may have to explain the decision-making authority and dynamics of your HIEC's governing body.

Progress on governance activities

*** 44. To what extent does your HIEC's governing body own a common vision and a common mission?**

not at all rarely variable partly fully

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***45. To what extent does your HIEC's governing body have a clear view of partner organisation roles?**

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| not at all | rarely | variable | partly | fully |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

***46. To what extent does your HIEC's governing body direct partnership organisations to fulfil their responsibilities?**

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| not at all | rarely | variable | partly | fully |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

***47. To what extent does your HIEC's governing body own clear policies of accountability?**

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| not at all | rarely | variable | partly | fully |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

***48. To what extent does your HIEC's governing body own clear plans for the HIEC when the DH funding finishes?**

| | | | | |
|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| not at all | rarely | variable | partly | fully |
| <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

49. Please add any further comments you may have to explain the progress your HIEC's governing body has made on governance activities.

Management

***50. Does your HIEC have paid staff to implement decisions of the governing body?**

| | |
|-----------------------|-----------------------|
| yes | no |
| <input type="radio"/> | <input type="radio"/> |

If so, how many staff (in wte)?

51. How are your HIEC staff members employed (in wte)?

| | |
|---|----------------------|
| by the HIEC directly, wte | <input type="text"/> |
| by the hosting organisation, wte | <input type="text"/> |
| seconded from a partner organisation, wte | <input type="text"/> |
| self-employed, wte | <input type="text"/> |
| mixture of all these methods of employment, wte | <input type="text"/> |
| other (please specify) | <input type="text"/> |

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*52. How has the Chief Executive/Managing Director been appointed?

- self-appointed
- appointed by key members
- by consensus among all members
- through an open competitive process
- other (please specify)

53. Across the lifetime of your HIEC, please distribute 100 points between the functions below to estimate approximately how the overall time resource of your HIEC's staff has been split between the following functions. If impossible to estimate, please proceed to the next question.

| | |
|--------------------------------------|---|
| strategic leadership | <input style="width: 100%; height: 20px;" type="text"/> |
| external relations and communication | <input style="width: 100%; height: 20px;" type="text"/> |
| operation and project management | <input style="width: 100%; height: 20px;" type="text"/> |
| general administration | <input style="width: 100%; height: 20px;" type="text"/> |
| analysis/data management | <input style="width: 100%; height: 20px;" type="text"/> |
| research | <input style="width: 100%; height: 20px;" type="text"/> |
| clinical leadership | <input style="width: 100%; height: 20px;" type="text"/> |
| other (please explain) | <input style="width: 100%; height: 20px;" type="text"/> |

54. To help us gain a sense of the ways your HIEC operates, we are asking you to think of the relative contribution of different players to your HIEC's activities. Across the lifetime of your HIEC, please estimate the relative percentage contribution of your HIEC's staff, partners, and third parties (e.g. SHA, DH, independent evaluator) to the different stages of projects across the range of your HIEC activities. If impossible to estimate, please proceed to the next question.

| | HIEC staff | HIEC partners | Third parties |
|--|---|---|---|
| developing a funding model | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |
| project initiation & planning | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |
| project delivery | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |
| project governance, monitoring & reporting | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |
| project evaluation | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |
| project dissemination | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> | <input style="width: 100%; height: 20px;" type="text"/> |

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55. Please add any further comments you may have about your HIEC's management arrangements.

Funding

56. Across the lifetime of your HIEC, please distribute 100 points between the activities below to estimate approximately how the overall expenditure has been split between these activities. If impossible to estimate, please proceed to the next question.

| | |
|---|----------------------|
| commissioning activities through grants or contracts | <input type="text"/> |
| direct delivery of activities | <input type="text"/> |
| facilitation, networking, communication, and enabling | <input type="text"/> |
| other (please describe) | <input type="text"/> |

***57. Across the lifetime of your HIEC, please state approximately how much core DH funding has your HIEC received, (£)?**

58. Across the lifetime of your HIEC, please estimate approximately how much funding has your HIEC received in addition to the core DH funding, (£)?

59. Across the lifetime of your HIEC, has your HIEC received funding from any of the following sources?

- membership fees from HIEC members
- project funding from HIEC partners
- project funding from the SHA
- other NHS sources (please specify)
- other non-NHS source (please specify)

If other, please specify. Also, if you can, please indicate which of these sources is the largest one.

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***60. Does your HIEC have membership fees?**

yes no

If so, what are the reasons for introducing membership fees?

61. If your HIEC does not have membership fees, what are the reasons for not seeking membership fees?

62. Is your HIEC currently in a position to be self-sustaining without DH funds?

yes no

other (please specify)

63. Please add any further comments you may have about funding.

Accountability

***64. Across the lifetime of your HIEC, how often has your HIEC used the following when others are delivering on your behalf?**

| | never | rarely | sometimes | often | always |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| contracts | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| grant agreements | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| other formal agreements (please explain below) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| documented project plans | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| agreements based on trust | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| other informal agreements (please explain below) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

If other, please explain

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***65. Across the lifetime of your HIEC, by whom and how often have your HIEC's projects been performance-monitored?**

| | never | rarely | sometimes | often | always |
|-----------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| governing body | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| chief executive/managing director | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| project steering group | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| project lead | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| other (please explain below) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

If other, please explain

***66. Across the lifetime of your HIEC, how often has your HIEC used the following means of enforcement and sanctions for non-performance?**

| | never | rarely | sometimes | often | always |
|------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| persuasion | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| peer pressure | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| managerial sanctions | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| financial sanctions | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| other (please explain below) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

If other, please explain

***67. Across the lifetime of your HIEC, how often has your HIEC reported on performance to the following stakeholders?**

| | never | rarely | sometimes | often | always |
|------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| HIEC partners | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| DH | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| SHA | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| host organisation | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| patients | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| other (please explain below) | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

If other, please explain

68. What challenges and difficulties, if any, has your HIEC encountered in terms of accountability? Please specify.

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69. Please add any further comments you may have to explain accountability arrangements.

Partnership termination, succession, and legacy

***70. Is your HIEC still in operation?**

yes

no

If so, please indicate an expected end date?

71. If your HIEC is no longer in operation, when did your HIEC formally cease its operations?

***72. What are the main reasons for your HIEC's ceasing of operation?**

time-limited initiative

functions are being replaced by a new body, please explain in the box below

run out of money

other, please explain in the box below

invited to join a new body, e.g. AHSC, AHSN, or LETB,

please explain in the box below

if other or invited to join/being replaced by a new body, please explain in this box

***73. Has your HIEC decided on its future? If so, what is it?**

termination of the HIEC partnership in its present form

retention of the successful elements only

continuation of the HIEC partnership in a different form

discussions are still underway

other (please specify)

***74. What do you see as your HIEC's principal legacy?**

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75. Please add any further comments you may have to explain your HIEC's termination, succession, and legacy.

Governance challenges and success factors

***76. What have been the significant governance challenges for your HIEC?**

***77. What have been the significant governance success factors for your HIEC?**

78. What recommendations would you give to other cross-sector health partnerships in terms of developing and managing successful governance arrangements?

Confidentiality & further study

***79. Please note that all information you provide will be aggregated for purposes of analysis so that individual HIECs will not be identified or identifiable, unless you grant permission to cite examples from your HIEC. If you grant permission to cite at this stage and we cite examples from your HIEC in a draft report, we will share it with you first for your approval. Please indicate your preference**

OK to cite

do not cite

***80. Are you willing to discuss the issues mentioned in this survey further through interview?**

yes, I am happy to be approached for interview

no, thank you

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***81. Would you be happy for a shorter version of this questionnaire to be also sent to your Chair?**

yes

no

If so, please supply their name and email

82. If so, do you think they are likely to complete the questionnaire?

probably

probably not

83. Please add any further comments or suggestions you may have about this survey.

Thank you for participating in the survey. Your inputs are valuable and much appreciated.