

Constitution of Lancashire Teaching Hospitals NHS Foundation Trust



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1. DEFINITIONS

- 1.1 Unless the contrary intention appears or the context otherwise requires, words or expressions contained in this Constitution bear the same meaning as in the National Health Service Act 2006, as amended.
- 1.2 References in this Constitution to legislation include all amendments, replacements, or re-enactments made.
- 1.3 Headings are for ease of reference only and are not to affect interpretation.
- 1.4 Words importing the masculine gender only shall include the feminine gender; words importing the singular shall include the plural and vice-versa.

1.5 In this Constitution:

“the 2006 Act”	means the National Health Service Act 2006
“the 2012 Act”	means the Health and Social Care Act 2012
“accounting officer”	means the person who, from time to time, discharges the functions specified in paragraph 25(5) of schedule 7 to the 2006 Act
“annual members’ meeting”	is defined at paragraph 10 of this Constitution
“appointed governors”	means those members of the Council of Governors appointed by a local authority or a partnership organisation
“area of the Trust”	means the area specified in Annex 1
“Board of Directors”	means the board of directors of the Trust
“Chair”	means the Chair of the Trust
“Chief Executive”	means the Chief Executive of the Trust
“code of conduct”	means the code of conduct for members of the Council of Governors adopted by the Council of Governors from time to time
“Company Secretary”	means the secretary of the Trust or any other person appointed to perform the duties of the secretary, including a joint, assistant or deputy secretary
“Constitution”	means this Constitution and all annexes to it
“Council of Governors” or “Council”	means the Council of Governors of the Trust
“director”	means a member of the Board of Directors
“elected governors”	means those members of the Council of Governors elected by the public constituency and the staff constituency
“executive director”	means an executive director of the Trust
“financial auditor”	means the person appointed to audit the accounts of the Trust by the Council of Governors, in accordance with the 2006 Act

“financial year”	means any period of twelve months beginning with 1 April
“governor”	means a member of the Council of Governors
“local authority governor”	means a member of the Council of Governors appointed in accordance with paragraph 11.6.3
“member”	means a member of the Trust
“NHS England”	means the body corporate established pursuant to Section 1H(1) of the 2006 Act
“Nominations Committee”	means the nominations committee constituted in accordance with paragraph 12.5.3
“non-executive director”	means a non-executive director of the Trust
“partner”	means, in relation to another person, a member of the same household living together as a family unit
“partnership governor”	means a member of the Council of Governors appointed by the partnership organisation
“partnership organisation”	means the organisation named in this Constitution that is entitled to appoint a partnership governor;
“public constituency”	means the constituency of the Trust constituted in accordance with paragraphs 7.2 and 7.3
“public governor”	means a member of the Council of Governors elected by the members of the public constituency
“registered dentist”	means a registered dentist within the meaning of the Dentists Act 1984
“registered medical practitioner”	means a fully registered person within the meaning of the Medicines Act 1983 who holds a licence to practise under that Act
“Regulated Activities Regulations”	means the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
“senior staff”	means the executive directors, the Company Secretary and other senior staff designated by the Appointments, Remuneration and Terms of Employment Committee or any successor body as such
“staff constituency”	means the constituency of the Trust that is constituted in accordance with paragraphs 7.5 to 7.10
“staff governor”	means a member of the Council of Governors elected by the members of one of the classes of the staff constituency
“the Trust”	means Lancashire Teaching Hospitals NHS Foundation Trust; and

2. NAME AND STATUS

The name of the Trust is Lancashire Teaching Hospitals NHS Foundation Trust and its legal status is a public benefit corporation.

3. PRINCIPAL PURPOSE

- 3.1. The Trust's principal purpose is the provision of goods and services for the purposes of the health service in England.
- 3.2. The Trust does not fulfil its principal purpose unless, in each financial year, its total income from the provision of goods and services for the purposes of the health service in England is greater than its total income from the provision of goods and services for any other purposes.
- 3.3. The Trust may provide goods and services for any purposes related to:
 - 3.3.1. the provision of services provided to individuals for or in connection with the prevention, diagnosis or treatment of illness, and
 - 3.3.2. the promotion and protection of public health.
- 3.4. The Trust may also carry on activities other than those mentioned in paragraph 3.3 for the purpose of making additional income available in order to better carry on its principal purpose.

4. POWERS

- 4.1. The Trust shall have all the powers of a Foundation Trust as set out in the 2006 Act, in particular it may:
 - 4.1.1. exercise functions jointly with other bodies or persons;
 - 4.1.2. arrange for functions exercisable by it to be exercised by other bodies; and
 - 4.1.3. exercise functions on behalf of other bodies.
- 4.2. The Trust may do anything which appears to it to be necessary or expedient for the purpose of or in connection with its functions. In particular it may:
 - 4.2.1. acquire and dispose of property,
 - 4.2.2. enter into contracts,
 - 4.2.3. accept gifts of property (including property to be held on trust for the purposes of the Trust or for any purposes relating to the health service), and
 - 4.2.4. employ staff.
- 4.3. Any power of the Trust to pay remuneration and allowances to any person includes the power to make arrangements for providing, or securing the provision of, pensions or gratuities (including those payable by way of compensation for loss of employment or loss or reduction of pay).
- 4.4. The Trust may borrow money for the purposes of or in connection with its functions, subject to any statutory or regulatory limits that may be imposed from time to time.
- 4.5. Subject to any restrictions imposed by NHS England and taking into account any guidance issued by NHS England, the Trust may invest money (other than money held by it as trustee) for the purposes of or in connection with its functions. The investment may include investment by:
 - 4.5.1. forming, or participating in forming, bodies corporate; and

4.5.2. otherwise acquiring membership of bodies corporate.

4.6. The Trust may give financial assistance (whether by way of loan, guarantee or otherwise) to any person for the purposes of or in connection with its functions.

5. COMMITMENTS

5.1 The Trust shall exercise its functions effectively, efficiently and economically.

Representative membership

5.2 The Trust shall at all times strive to ensure that (taken as a whole) its actual membership is representative of those eligible for such membership. To this end the Trust shall at all times have in place and pursue a membership strategy which shall be approved by the Council of Governors. The membership strategy shall be reviewed by the Council of Governors from time to time.

Co-operation with health bodies

5.3 In exercising its functions, the Trust shall co-operate with special health authorities, Integrated Care Boards, NHS trusts and NHS foundation trusts and with NHS England and the Care Quality Commission in the exercise of their statutory functions.

Respect for rights of people

5.4 In conducting its affairs, the Trust shall respect the rights of members of the community it serves, its employees and people dealing with the Trust as set out in the Human Rights Act 1998.

Openness

5.5 In conducting its affairs, the Trust shall have regard to the need to provide information to members and conduct its affairs in an open and accessible way.

Prohibiting distribution

5.6 The profits or surpluses of the Trust are not to be distributed either directly or indirectly in any way at all among members of the Trust.

6. FRAMEWORK

6.1 The Trust shall have a Board of Directors, a Council of Governors and two membership constituencies as set out in this Constitution.

Members

6.2 Members may attend and participate in the annual members' meeting, vote in elections to, and stand for election for, the Council of Governors, and take such other part in the affairs of the Trust as is provided for in this Constitution.

Council of Governors

6.3 The general duties of the Council of Governors, which are to be carried out in accordance with this Constitution, are set out in paragraph 11.2. The specific roles and responsibilities of the Council of Governors, which are to be carried out in accordance with this Constitution, are set out below:

6.3.1 at a Council of Governors meeting

- 6.3.1.1 to appoint or remove the Chair and the other non-executive directors;
 - 6.3.1.2 to approve the appointment (by the non-executive directors) of the Chief Executive;
 - 6.3.1.3 to decide the remuneration and allowances, and the other terms and conditions of office, of the non-executive directors;
 - 6.3.1.4 to appoint or remove the Trust's financial auditor;
 - 6.3.1.5 to appoint or remove any other external auditor appointed to review and publish a report on any other aspect of the Trust's affairs;
 - 6.3.1.6 to receive and consider the annual accounts, any report of the financial auditor on them and the annual report.
- 6.3.2 to provide their views to the Board of Directors when the Board of Directors is preparing the document containing information about the Trust's forward planning;
 - 6.3.3 to respond as appropriate when consulted by the Board of Directors in accordance with this Constitution;
 - 6.3.4 to undertake such responsibilities as the Board of Directors shall from time to time request;
 - 6.3.5 to prepare and from time to time to review the Trust's membership strategy, and its policy for the composition of the Council of Governors;
 - 6.3.6 where appropriate to act collectively and through individual governors to communicate with members of the Trust about developments in the Trust and the work of the Council of Governors.

Board of Directors

- 6.4 The business of the Trust is to be managed by the Board of Directors, who shall exercise all the powers of the Trust, subject to any contrary provisions of the Act as given effect by this Constitution.

7. MEMBERS

- 7.1 The members of the Trust are those individuals whose names are entered in the register of members. Every member of the Trust is either a member of the public constituency or a member of one of the classes of the staff constituency.
- 7.2 Subject to this Constitution, membership is open to any individual who:
 - 7.2.1 is 16 years of age or over;
 - 7.2.2 is entitled under this Constitution to be a member of the public constituency or one of the classes of the staff constituency; and
 - 7.2.3 completes a membership application form in whatever form the Company Secretary specifies, unless paragraph 7.9 applies.

Public constituency

- 7.3 Membership of the public constituency is open to individuals:
 - 7.3.1 who live in the area of the Trust (as specified in Annex 1); and
 - 7.3.2 who are not eligible to be members of any of the classes of the staff constituency.

The members of the public constituency are collectively referred to in this Constitution as the 'public constituency'.

7.4 The minimum number of members of the public constituency is to be four (4).

Staff constituency

7.5 The staff constituency is divided into five classes as follows:

- 7.5.1 doctors and dentists who are registered to practise;
- 7.5.2 nurses and midwives who are registered to practise;
- 7.5.3 other healthcare professionals and healthcare scientists, registered or unregistered, employed in a clinical capacity including (without limitation) all allied health professionals, scientists and psychologists;
- 7.5.4 unregistered healthcare support workers;
- 7.5.5 non-clinical staff, including (without limitation) all staff employed in management, administrative, clerical, facilities and estates, and ancillary staff who are not involved in delivering direct patient care.

7.6 Membership of one of the classes of the staff constituency is open to individuals who are employed by the Trust under a contract of employment and who either:

- 7.6.1 are employed by the Trust under a contract of employment which has no fixed term or a fixed term of at least twelve (12) months; or
- 7.6.2 have been continuously employed by the Trust under a contract of employment for at least twelve (12) months.

7.7 Individuals who exercise functions for the purposes of the Trust otherwise than under a contract of employment with the Trust, and who have exercised such functions continuously for a period of at least twelve (12) months, may become or continue as members of the staff constituency. For the avoidance of doubt, this does not include those who assist or provide services to the Trust on a voluntary basis.

The members of the classes of the staff constituency are collectively referred to in this Constitution as the staff constituency.

7.8 The Company Secretary shall make a final decision about the class of the staff constituency of which an individual is eligible to become or continue as a member.

7.9 All individuals who are entitled under this Constitution to become members of one of the classes of the staff constituency, and who

- 7.9.1 have been invited by the Trust to become a member of the appropriate class; and
- 7.9.2 have not informed the Trust within a period of twenty-eight days from the invitation being sent that they do not wish to do so;

shall become members of the appropriate class without an application being made.

7.10 A person who is eligible to become a member of one of the classes of the staff constituency may not become or continue as a member of the public constituency and may not become or continue as a member of more than one class of the staff constituency.

7.11 The minimum number of members of each class of the staff constituency is to be four (4).

8. DISQUALIFICATION FROM MEMBERSHIP

8.1 A person may not become, or continue as, a member of the Trust if within the five (5) years prior to the date of their application for membership of the Trust, or at any time whilst they are a member of the Trust, they were, or are, involved as a perpetrator in an incident or incidents of serious abuse or violence at any of the Trust's hospitals or facilities or against any of the Trust's employees or other

persons who exercise functions for the purposes of the Trust, or against any volunteers at the Trust.

9. TERMINATION OF MEMBERSHIP

9.1 An individual shall cease to be a member of the Trust if:

9.1.1 they resign by notice to the Company Secretary;

9.1.2 they die;

9.1.3 the Company Secretary prepares a report for the Council of Governors recommending that their membership is terminated and the Council of Governors decides, following consideration of the report, to terminate their membership;

9.1.4 they cease to be entitled under this Constitution to be a member;

9.1.5 correspondence sent by the Trust to the member is returned to the Trust as undelivered (whether electronically or by post) and the Trust is unable to contact the member by other means.

9.2 Any person may complain to the Company Secretary that a member has acted in a manner that is detrimental to the interests of the Trust.

9.3 Where:

9.3.1 the Trust has reason to believe that an individual is ineligible for membership of the Trust or (if they are already a member) that their membership of the Trust should be terminated by virtue of paragraph 8.1 above; or

9.3.2 the Trust receives a complaint from any person about a member acting in a manner that is detrimental to the interests of the Trust,

the Company Secretary shall carry out any necessary investigation and shall prepare a report for the Council of Governors which shall:

9.3.3 where paragraph 9.3.1 applies, make a recommendation to the Council of Governors about whether the individual is eligible to become or continue as a member; and

9.3.4 where paragraph 9.3.2 applies, make a recommendation to the Council of Governors about any action that should be taken in respect of that member, which may include expelling the individual from membership of the Trust.

9.4 The Council of Governors shall consider any report prepared by the Company Secretary pursuant to paragraph 9.3 above at a meeting of the Council of Governors held in private. The Council of Governors shall resolve (by a majority vote) what action should be taken, which may include expelling the individual from membership of the Trust or, in the case of a prospective member of the Trust, determining that they are not eligible to become a member.

9.5 No person who has been expelled from membership of the Trust is to be re-admitted except by a resolution approved by at least two-thirds of the members of the Council of Governors who are present at the relevant Council of Governors' meeting. A person who has been expelled from membership of the Trust can only apply for re-admittance as a member after a period of at least twelve (12) months has passed since their expulsion.

10. ANNUAL MEMBERS' MEETING

10.1 The Trust is to hold a members' meeting called the annual members' meeting within nine months of the end of each financial year.

10.2 The annual members' meeting shall be open to all members of the Trust, governors, directors, representatives of the Trust's financial auditor and to members of the public. The Council of

Governors may invite representatives of the media, and any experts or advisors whose attendance they consider to be in the best interests of the Trust to attend an annual members' meeting.

- 10.3 The annual members' meeting shall be convened by the Company Secretary.
- 10.4 The Council of Governors may decide where the annual members' meeting is to be held and may also, for the benefit of members, arrange for the annual members' meeting to be held in different venues from year to year.
- 10.5 At the annual members' meeting the Board of Directors shall present to the members:
- 10.5.1 the annual accounts;
 - 10.5.2 any report of the financial auditor on them;
 - 10.5.3 any report of any other external auditor of the Trust's affairs;
 - 10.5.4 the annual report; and
 - 10.5.5 forward planning information for the next financial year.
- 10.6 Notice of the annual members' meeting is to be given:
- 10.6.1 by notice to members in appropriate local media and the members' newsletter;
 - 10.6.2 by notices in the main premises of the Trust;
 - 10.6.3 by notice on the Trust's website; and
 - 10.6.4 by notice in writing to the Council of Governors and the Board of Directors, and to the financial auditor;
- at least fourteen (14) clear days before the date of the meeting. The notice must:
- 10.6.5 state that the meeting is the annual members' meeting;
 - 10.6.6 give the time, date and place of the meeting; and
 - 10.6.7 indicate the business to be dealt with at the meeting.
- 10.7 Before the annual members' meeting can do business there must be a quorum present. Except where this Constitution says otherwise, a quorum is six (6) members.
- 10.8 It is the responsibility of the Council of Governors, the chair of the meeting and the Company Secretary to ensure that at any annual members' meeting sufficient information is provided to members to enable discussion to take place.
- 10.9 The Chair of the Trust shall act as the chair at the annual members' meeting. The Chair may nominate a director of the Trust to chair an annual members' meeting in their absence. If neither the Chair nor any director nominated to act as chair is present, the governors present shall elect one of the public governors present to be chair. If there is only one governor present and willing to act, they shall be chair.
- 10.10 If no quorum is present within half an hour of the time fixed for the start of the meeting, the meeting shall stand adjourned to such time and place as the Council of Governors may determine. If a quorum is not present within half an hour of the time fixed for the start of the adjourned meeting, the number of members present during the meeting is to be a quorum.

11. COUNCIL OF GOVERNORS

- 11.1 The Trust is to have a Council of Governors. It is to consist of public governors, staff governors, local authority governors and partnership governors.

- 11.2 The general duties of the Council of Governors, which are to be carried out in accordance with this Constitution, are:
- 11.2.1 to hold the non-executive directors individually and collectively to account for the performance of the Board of Directors, and
 - 11.2.2 to represent the interests of the members of the Trust as a whole and the interests of the public.
- The general duties of the Council of Governors set out in this paragraph 11.2 are in addition to the specific roles and responsibilities of the Council of Governors set out in paragraph 6.3.
- 11.3 The Trust must take steps to secure that the governors are equipped with the skills and knowledge they require in their capacity as such.
- 11.4 The number of public governors is to be more than half of the total number of governors on the Council of Governors.
- 11.5 The composition of the Council of Governors, subject to the 2006 Act, shall seek to ensure that
- 11.5.1 the interests of the community served by the Trust are appropriately represented; and
 - 11.5.2 the level of representation of the public constituency, the classes of the staff constituency and the appointing organisations strikes an appropriate balance having regard to their legitimate interest in the Trust's affairs
- and, to this end, the Council of Governors, when appropriate, shall propose amendments to this Constitution.
- 11.6 The Council of Governors of the Trust is to comprise:
- 11.6.1 eighteen (18) public governors elected from the public constituency;
 - 11.6.2 five (5) staff governors from the classes of the staff constituency as defined in paragraph 7.5, as follows:
 - 11.6.2.1 doctors and dentists who are registered to practise – one (1) staff governor;
 - 11.6.2.2 nurses and midwives who are registered to practise – one (1) staff governor
 - 11.6.2.3 other healthcare professionals and healthcare scientists, registered and unregistered, employed in a clinical capacity – one (1) staff governor;
 - 11.6.2.4 unregistered healthcare support workers – one (1) staff governor;
 - 11.6.2.5 non-clinical staff including (without limitation) all staff employed in management, administrative, clerical, facilities and estates, and ancillary staff who are not involved in delivering direct patient care – one (1) staff governor;
 - 11.6.3 four (4) local authority governors, one of whom may be appointed by each of Lancashire County Council, Chorley Borough Council, South Ribble Borough Council and Preston City Council; and
 - 11.6.4 one (1) partnership governor appointed by the partnership organisation as set out in paragraph 11.7.
- 11.7 The Company Secretary shall invite one of the University of Manchester or University of Central Lancashire or Lancaster University to be a partnership organisation specified for the purposes of paragraph 9(7) of Schedule 7 to the 2006 Act. The appointment as partnership organisation shall be for a term expiring at the end of the term of office of the governor appointed by that partnership organisation unless it is agreed by the Company Secretary and partnership organisation to extend the term or to re-appoint that organisation and for either a reappointment of the partnership governor under paragraph 11.15.3 or the appointment of a new partnership governor by that organisation.

Elected governors

- 11.8 Public governors are to be elected by members of the public constituency and staff governors are to be elected by members of their class of the staff constituency. Each class/constituency may elect any of their number to be a governor in accordance with the provisions of this Constitution.
- 11.9 If contested, the elections must be by secret ballot.
- 11.10 Elections shall be carried out in accordance with the Model Election Rules as published from time to time by NHS Providers, with any minor amendments that the Trust considers appropriate from time to time. The Model Election Rules current at the date of this Constitution being approved are set out in Annex 2 incorporating minor Trust amendments. A subsequent variation of the Model Election Rules in Annex 2 to implement changes to the model published by NHS Providers shall not constitute a variation of the terms of this Constitution for the purposes of paragraph 21 of the Constitution.
- 11.11 Elections shall be carried out using the single transferable vote system.
- 11.12 A member of the public constituency may not vote at an election for a public governor unless within twenty-one (21) days before they vote they have made a declaration in the form specified by the Company Secretary that they are qualified to vote as a member of the public constituency. It is an offence to knowingly or recklessly make such a declaration which is false in a material particular.

Local Authority governors

- 11.13 The Company Secretary, having consulted each local authority, is to adopt a process for agreeing the appointment of the local authority governor with that local authority.

Partnership governor

- 11.14 The partnership governor is to be appointed by the partnership organisation in accordance with a process agreed with the Company Secretary.

Terms of office for governors

- 11.15 Governors:
- 11.15.1 who are elected shall hold office for a period of up to three (3) years;
 - 11.15.2 who are appointed (as a partnership governor or as a local authority governor) shall hold office for a period of up to three (3) years (as shall be determined by the relevant partnership organisation or local authority);
 - 11.15.3 are eligible for re-election or re-appointment (as applicable) at the end of that period;
 - 11.15.4 may not hold office for longer than a maximum of nine years in aggregate in the capacity of either an elected or appointed governor of the Trust.

For the purposes of these provisions concerning terms of office for governors, 'year' means a period of twelve (12) consecutive calendar months commencing upon the date of first appointment as a governor as confirmed in writing by the Company Secretary.

The maximum of nine (9) years in aggregate means that on expiry of any such period in office, an individual's appointment as a governor shall cease and that individual shall not be eligible to be elected or appointed to serve a further term of office on the Council of Governors.

Eligibility to be a governor

- 11.16 A person is not eligible to become a governor and, if already holding such office, will immediately cease to be eligible if:
- 11.16.1 they are under sixteen (16) years of age;

- 11.16.2 they are a director of the Trust, or a governor or director of an NHS body or of another NHS foundation trust;
- 11.16.3 they are the spouse, partner, parent or child of a member of the Board of Directors of the Trust;
- 11.16.4 being a member of the public constituency, they refuse to sign a declaration in the form specified by the Company Secretary of particulars of their qualification to vote as a member of the Trust, and that they are not prevented from being a member of the Council of Governors;
- 11.16.5 they are subject to an order under the Sexual Offences Act 2003 and/ or their name is included in the Sex Offenders Register;
- 11.16.6 they have been adjudged bankrupt or their estate has been sequestrated and in either case they have not been discharged;
- 11.16.7 they have made a composition or arrangement with, or granted a trust deed for, their creditors and have not been discharged in respect of it;
- 11.16.8 they have within the preceding five (5) years been convicted in the British Islands of any offence, and a sentence of imprisonment (whether suspended or not) for a period of three (3) months or more (without the option of a fine) was imposed;
- 11.16.9 they have within the preceding two (2) years been dismissed, otherwise than by reason of redundancy or ill health, from any paid employment with a health service body;
- 11.16.10 they are a person whose tenure of office as the chair or as a member or director of a health service body has been terminated on the grounds that their appointment is not in the interests of the health service for reasons including non-attendance at meetings, or for non- disclosure of a pecuniary interest;
- 11.16.11 they have had their name removed, other than by reason of resignation, from any list prepared under sections 91, 106, 123 and 147A (when or if brought into force) of the 2006 Act and have not subsequently had their name included on such a list;
- 11.16.12 they have within the preceding five (5) years been involved as a perpetrator in an incident or incidents of serious abuse or violence at any of the Trust's hospitals or facilities or against any of the Trust's employees or other persons who exercise functions for the purposes of the Trust, or against registered volunteers;
- 11.16.13 they are an unfit person within the meaning of the Trust's provider licence, save where NHS England has provided its approval in writing to them becoming or continuing as a governor;
- 11.16.14 they fail to provide the required confirmation of their fitness to continue as a governor to the Company Secretary, in the form prescribed by the Trust, within fourteen (14) days of such confirmation being demanded without reasonable cause;
- 11.16.15 they are a person in relation to whom a moratorium period under a debt relief order applies (under Part 7A of the Insolvency Act 1986);
- 11.16.16 they are included in any barred list established under the Safeguarding Vulnerable Adults Act 2006 or any equivalent list;
- 11.16.17 they fail to submit to a check through the Disclosure and Barring Service when requested by the Trust;
- 11.16.18 with reference to information disclosed as a result of a check through the Disclosure and Barring Service, they are considered by the Trust to be ineligible to become or continue as a governor of the Trust on the grounds that their appointment as a governor may affect public confidence in the Trust or bring the Trust into disrepute; or
- 11.16.19 the Council of Governors has ever resolved in accordance with paragraph 11.18.8 that his or her tenure as a governor be terminated.

Termination of office and removal of members of the Council of Governors

- 11.17 A person holding office as a governor shall immediately cease to do so if:
- 11.17.1 they cease to be eligible to be a governor pursuant to paragraph 11.17;
 - 11.17.2 they resign by notice in writing to the Company Secretary;
 - 11.17.3 they fail to attend three (3) consecutive Council meetings, unless they provide:
 - 11.18.2.1 clear reasons to the Company Secretary for their absence and their absence was due to reasonable cause; and
 - 11.18.2.2 assurance that they will be able to start attending meetings of the Trust again within such a period as the Company Secretary considers reasonable;
 - 11.17.4 in the case of an elected governor, they cease to be a member of the constituency or class of the constituency by which they were elected;
 - 11.17.5 in the case of an appointed governor, the appointing organisation terminates the appointment;
 - 11.17.6 they have refused to undertake training which the Chair deems necessary for the relevant governor to undertake for the proper discharge of his or her duties as a governor;
 - 11.17.7 they have failed to sign and deliver to the Company Secretary a statement in the form required by the Company Secretary confirming acceptance of the Trust's code of conduct within 14 days of such confirmation being demanded without reasonable cause; or
 - 11.17.8 the Council of Governors resolves in accordance with Annex 3 that his or her tenure as a governor be terminated.
- 11.18 A staff governor who is suspended from their role as an employee shall be suspended from their role as a governor for the period of the suspension.
- 11.19 It is the responsibility of each governor to ensure they are eligible to hold office as a governor at all times and not the responsibility of the Trust to do so on their behalf. A governor who becomes aware of their ineligibility shall inform the Trust as soon as practicable.
- 11.20 Where the Trust has received a formal complaint in relation to a governor, or there is reason to believe there are grounds for a governor's removal, then the procedure set out in Annex 3 must be followed.

Vacancies amongst governors

- 11.21 Where a vacancy arises on the Council of Governors for any reason other than expiry of term of office, the following provisions will apply.
- 11.22 Where the vacancy arises amongst the appointed governors, the Company Secretary shall request that the appointing organisation appoints a replacement to hold office for a term of up to three (3) years.
- 11.23 Where the vacancy arises amongst the elected governors, subject to paragraph 11.24 the seat shall remain vacant until the next scheduled annual election, at which point the relevant seat will be filled for a new term of up to three (3) years.
- 11.24 In circumstances where the number of public governors is equal to or less than half the total number of governors on the Council of Governors due to in-year vacancies, the Council will be required to call an extraordinary election in order to fill all of the vacant elected governor seats (so as to ensure the number of public governors in post is always more than half of the total number of governors on the Council of Governors, as required by paragraph 11.4).

Expenses and remuneration of governors

- 11.25 The Trust may reimburse governors for travelling and other costs and expenses at such rates as the Board of Directors decides. These are to be disclosed in the annual report.
- 11.26 Governors are not to receive remuneration.

Meetings of the Council of Governors

- 11.27 The Council of Governors is to meet at least four (4) times in each financial year. Save in the case of emergencies or the need to conduct urgent business, the Company Secretary shall give at least fourteen (14) days' written notice of the date and place of every meeting of the Council of Governors to all governors. Notice will also be published in appropriate local media, the members' newsletter and on the Trust's website.
- 11.28 Meetings of the Council of Governors may be called by the Company Secretary, or by the Chair. Eight (8) members of the Council of Governors (including at least two (2) elected governors and one (1) appointed governor) may request the Company Secretary to call a meeting of the Council of Governors by giving written notice to the Company Secretary requesting that a meeting is called and specifying the business to be carried out. The Company Secretary shall send a written notice to all governors as soon as possible after receipt of such a request. The Company Secretary shall call a meeting on at least fourteen (14) but not more than twenty-eight (28) days' notice to discuss the specified business. If the Company Secretary fails to call such a meeting then the Chair or four (or more) governors shall call a meeting.
- 11.29 All meetings of the Council of Governors are to be held in public unless the Council of Governors decides otherwise in relation to all or part of a meeting for special reasons, such as for reasons of commercial confidentiality. The Chair may exclude any member of the public, or the public generally, from a meeting of the Council of Governors if the attendance of the public generally, or specific individuals, is interfering with or preventing the proper conduct of the meeting.
- 11.30 A quorum of the Council of Governors shall be formed upon the attendance of at least nine (9) governors, including:
- 11.30.1 at least one (1) public governor; and
 - 11.30.2 at least one (1) staff governor or at least one (1) appointed governor.
- 11.31 The Chair of the Trust or, in their absence, the Vice Chair of the Board of Directors, or in their absence one of the non-executive directors, is to preside at meetings of the Council of Governors. Where the Chair, Vice-Chair and other Non-Executive Directors are all absent, an appropriate representative will be appointed from amongst the governors present at the meeting to preside at the meeting and have a casting vote. This will normally be the Lead Governor where he or she is present at the meeting. If the person presiding at any meeting of the Council of Governors is disqualified from participating in the meeting on the grounds of a declared conflict of interest, the meeting will be chaired in accordance with the Council of Governors' Standing Orders.
- 11.32 The Council of Governors may invite the Chief Executive or any other member or members of the Board of Directors, or a representative of the Trust's auditor or other advisors to attend and speak at a meeting of the Council of Governors.
- 11.33 For the purposes of obtaining information about the Trust's performance of its functions or the directors' performance of their duties (and deciding whether to propose a vote on the Trust's or directors' performance) the Council of Governors may require one or more of the directors to attend a meeting.
- 11.34 The Council of Governors may meet in person, virtually or in a hybrid of virtual and in person attendance. The Council of Governors may resolve that the attendance of governors at particular meetings must be by a specified method of attendance. Unless otherwise resolved by the Council

of Governors, it shall be for the Company Secretary to determine the most appropriate form of attendance at the meetings convened from time to time. The members of the Council of Governors who participate in meetings of the Council of Governors by telephone, video or computer link where permitted shall be deemed to be present in person at the meeting.

- 11.35 If a question is put to the vote at a meeting of the Council of Governors, it shall be determined in accordance the Council of Governor Standing Orders
- 11.36 The Council of Governors may not delegate any of its powers to a sub-group, but it may appoint sub-groups consisting of governors, directors, and/ or other persons to assist the Council of Governors in carrying out its functions. The Council of Governors may, through the Company Secretary, request that advisors assist the Council of Governors or any sub-group it appoints in carrying out its duties.
- 11.37 All decisions taken in good faith at a meeting of the Council of Governors or of any sub-group shall be valid even if it is discovered subsequently that there was a defect in the calling of the meeting, or the appointment of governors attending the meeting. Any vacancy in the membership of the Council of Governors shall not invalidate the proceedings at any meeting of the Council of Governors or of any sub-group.

Disclosure of interests

- 11.38 A governor shall declare any pecuniary or other interests in accordance with the requirements set out in the Council of Governors' standing orders.
- 11.39 The Council of Governors has adopted its own standing orders for its practice and procedure, in particular for its procedure at meetings.

Declaration

- 11.40 A public governor may not vote at a meeting of the Council of Governors, following their election or re-election, unless, before attending the meeting, they have made a declaration in the form specified by the Company Secretary of the particulars of their qualification to vote as a member of the Trust and that they are not prevented from being a governor.
- 11.41 A public governor shall be deemed to have confirmed the declaration upon attending each subsequent meeting of the Council of Governors.

12. BOARD OF DIRECTORS

12.1 The Trust is to have a Board of Directors. It is to consist of executive and non-executive directors. The number of non-executive directors must be more than half of the total number of directors on the Board of Directors. The general duty of the Board of Directors and of each director individually is to act with a view to promoting the success of the Trust so as to maximise the benefits for the members of the Trust as a whole and for the public.

12.2 The board shall comprise:

12.2.1 the following non-executive directors:

12.2.1.1 a Chair;

12.2.1.2 up to seven (7) other non-executive directors;

12.2.2 the following executive directors:

12.2.2.1 the Chief Executive (who is the accounting officer);;

- 12.2.2.2 a Finance Director,
 - 12.2.2.3 a Medical Director who is to be a registered medical practitioner or a registered dentist (within the meaning of the Dentists Act 1984),
 - 12.2.2.4 a Nursing Director who is to be a registered nurse or registered midwife; and
 - 12.2.2.5 up to two other executive Directors.
- 12.3 The Board of Directors may appoint one (1) of the non-executive directors to be Vice Chair of the Board in accordance with the Standing Orders for the Board of Directors. If the Chair is unable to discharge their office as Chair of the Trust or if the Chair ceases to hold office for any reason, the Vice Chair of the Board of Directors shall be acting Chair of the Trust.
- 12.4 Only a member of the public constituency is eligible for appointment as a non-executive director.
- 12.5 Non-executive directors are to be appointed by the Council of Governors using the following procedure:
- 12.5.1 The Board of Directors will determine the skills and experience required for non-executive directors taking external advice, where appropriate.
 - 12.5.2 Appropriate candidates (normally not more than five (5) for each vacancy) will be identified by the Nominations Committee through a process of open competition, which takes account the skills and experience required;
 - 12.5.3 The Nominations Committee will:
 - 12.5.3.1 be chaired by the Chair of the Trust or the Vice Chair or, in their absence another non-executive director; and
 - 12.5.3.2 be constituted in accordance with its terms of reference, as amended from time to time.

The Chair of another trust or another appropriate person may be invited to act as an independent assessor to the Nominations Committee.
 - 12.5.4 Once suitable candidates have been identified, the Nominations Committee shall make recommendations to the Council of Governors.
 - 12.5.5 The Council of Governors, at a general meeting, shall appoint the Chair and the other non-executive directors. The Council of Governors shall have regard to the recommendations of the Nominations Committee in making its decision.
- 12.6 The non-executive directors shall appoint or remove the Chief Executive.
- 12.7 The appointment of the Chief Executive shall require the approval of the Council of Governors.
- 12.8 A committee consisting of the Chair, the Chief Executive and the other non-executive directors shall appoint or remove the other executive directors.
- 12.9 Removal of the Chair or another non-executive director shall require the approval of three-quarters of the members of the Council of Governors.
- 12.10 The Chief Executive may invite one or more employees to attend meetings of the Board of Directors. Any such attendance at meetings will be on a non-voting basis.
- 12.11 The Board of Directors may appoint or remove individuals as non-voting associate non-executive directors to assist the Board of Directors. Non-voting associate non-executive directors may be excluded from meetings of the Board of Directors by the Board of Directors. The appointment or removal of non-voting associate non-executive directors does not require the approval of the Council of Governors.

- 12.12 Where a new Chief Executive is being appointed, the views of the incumbent or former Chief Executive may be sought but they shall have no other right to be involved in the appointments process.
- 12.13 Where a new Chair is being appointed, the views of the incumbent or former Chair may be sought but they shall have no other right to be involved in the appointments process.

Terms of Office

- 12.14 The Chair and the non-executive directors are to be appointed for a period of office in accordance with the terms and conditions of office decided by the Council of Governors at a Council meeting. A non-executive director may be re-appointed without a competitive process. Any re-appointment of a non-executive director by the Council of Governors shall be subject to a satisfactory appraisal carried out in accordance with procedures which the Board of Directors have approved.
- 12.15 A non-executive director (including the Chair) may serve on the Board of Directors for longer than six (6) consecutive years, subject to annual reappointment. A non-executive director of the Trust (including the Chair) may not hold office for longer than nine (9) years in aggregate in the capacity of either the Chair or a non-executive director of the Trust.
- 12.16 The Board shall appoint a committee of non-executive directors (which shall be known as the Appointments, Remuneration and Terms of Employment Committee of non-executive directors) to decide the terms and conditions of office, including the remuneration and allowances, of senior staff.

Disqualification

- 12.17 A person may not become or continue as a director of the Trust if:
- 12.17.1 they are a member of the Council of Governors;
 - 12.17.2 they are the spouse, partner, parent or child of a member of the Board of Directors of the Trust;
 - 12.17.3 they have been adjudged bankrupt or their estate has been sequestrated and in either case they have not been discharged;
 - 12.17.4 they have made a composition or arrangement with, or granted a Trust deed for, their creditors and have not been discharged in respect of it;
 - 12.17.5 they have within the preceding five (5) years been convicted in the British Islands of any offence, and a sentence of imprisonment (whether suspended or not) for a period of three (3) months or more (without the option of a fine) was imposed;
 - 12.17.6 they are the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
 - 12.17.7 they are a person whose tenure of office as a Chair or as a member or director of a health service body has been terminated on the grounds that their appointment is not in the interests of the health service, for reasons including non-attendance at meetings, or for non-disclosure of a pecuniary interest;
 - 12.17.8 they have had their name removed, other than by reason of resignation, from any list prepared under sections 91, 106, 123 and 147A (when or if brought into force) of the 2006 Act and have not subsequently had their name included on such a list;
 - 12.17.9 they have within the preceding two (2) years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
 - 12.17.10 they have refused to sign and deliver to the Company Secretary a statement in the form required by the Board of Directors confirming acceptance of the code of conduct for directors;
 - 12.17.11 they are an unfit person within the meaning of the Trust's provider licence, save where

NHS England has provided its approval in writing to them becoming or continuing as a director;

- 12.17.12 they fail to satisfy the requirements of Regulation 5(3) of the Regulated Activities Regulations;
 - 12.17.13 they fail to provide the required confirmation of their fitness to continue in post to the Company Secretary, in the form prescribed by the Trust, within 14 days of such confirmation being demanded, without reasonable cause;
 - 12.17.14 they are a person in relation to whom a moratorium period under a debt relief order applies (under Part 7A of the Insolvency Act 1986);
 - 12.17.15 they are the subject of an order under the Sexual Offences Act 2003 and/ or their name is included in the Sex Offenders Register;
 - 12.17.16 they are included in any barred list established under the Safeguarding Vulnerable Adults Act 2006 or any equivalent list;
 - 12.17.17 they fail to submit to a check through the Disclosure and Barring Service when requested by the Trust; or
 - 12.17.18 with reference to information disclosed as a result of a check through the Disclosure and Barring Service, they are considered by the Trust to be ineligible to become or continue as a director of the Trust on the grounds that their appointment as a director may adversely affect public confidence in the Trust or bring the Trust into disrepute.
- 12.18 Where the Trust has received a formal complaint, or there is reason to believe there are grounds for removal, in relation to a director then:
- 12.18.1 if the individual concerned is an executive director, the Trust's disciplinary procedure shall be applied; and
 - 12.18.2 if the individual concerned is a non-executive director, the procedure set out in Annex 4 shall be followed.
- 12.19 Any person who is disqualified from becoming or continuing as a director of the Trust on any of the grounds set out in paragraph 12.17 shall, if holding office as a director, resign as a director of the Trust or, if they decline or fail to do so, they shall be removed from office in accordance with the provisions of this Constitution.

Committees and delegation

- 12.20 The Board of Directors may delegate any of its powers to a committee of directors or to an executive director.
- 12.21 The Board of Directors shall appoint an Audit Committee of at least three non-executive directors to perform such monitoring, reviewing and other functions as are appropriate, including to monitor the exercise of the financial auditor's functions.

Meetings of the Board of Directors

- 12.22 Save in the case of emergencies or the need to conduct urgent business, the Company Secretary shall give at least fourteen (14) days' written notice of the date and place of every meeting of the Board of Directors to all directors.
- 12.23 Meetings of the Board of Directors shall be open to members of the public. Members of the public may be excluded from a meeting for special reasons.
- 12.24 Meetings of the Board of Directors are called by the Company Secretary, or by the Chair. Four (4) directors may request the Company Secretary to call a meeting of the Board of Directors by giving written notice to the Company Secretary requesting that a meeting is called and specifying the

business to be carried out. The Company Secretary shall send a written notice to all directors as soon as possible after receipt of such a request. The Company Secretary shall call a meeting on at least fourteen (14) but not more than twenty-eight (28) days' notice to discuss the specified business. If the Company Secretary fails to call such a meeting then the Chair or four (4) directors shall call such a meeting.

- 12.25 Before holding a meeting, the Board of Directors must send a copy of the agenda of the meeting to the Council of Governors. As soon as practicable after holding a meeting, the Board of Directors must send a copy of the minutes of the meeting to the Council of Governors.
- 12.26 Four (4) directors, including not less than two (2) executive directors (one (1) of whom must be the Chief Executive or their nominee) and not less than two (2) non-executive directors (one (1) of whom must be the Chair or the Vice Chair of the Board) shall form a quorum.
- 12.27 The members of the Board of Directors may participate in meetings of the Board of Directors by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.
- 12.28 The Chair, or in their absence the Vice Chair of the Board of Directors, is to chair meetings of the Board of Directors. If the Chair and Vice Chair are absent, such Non-Executive Director as the Directors present shall choose shall preside.
- 12.29 Subject to the following provisions of this paragraph, questions arising at a meeting of the Board of Directors shall be decided by a majority of votes.
- 12.29.1 In case of an equality of votes the Chair shall have a second and casting vote unless they are prevented from voting by paragraph 12.39.
- 12.29.2 No resolution of the Board of Directors shall be passed if it is opposed by all of the non-executive directors present or by all of the executive directors present.
- 12.30 The Board of Directors has adopted standing orders covering the proceedings and business of its meetings. Subject to any contrary provision of the Standing Orders – Board of Directors, all decisions taken in good faith at any meeting of the Board of Directors or of any committee shall be valid even if it is discovered subsequently that there was a defect in the calling of the meeting, or in the appointment of directors attending the meeting. Any vacancy in the membership of the Board of Directors shall not invalidate the proceedings at any meeting of the Board of Directors or of any committee.

Conflicts of interest of directors

- 12.31 The duties that a director of the Trust has, by virtue of being a director, include in particular:
- 12.31.1 a duty to avoid a situation in which the director has (or can have) a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the Trust;
- 12.31.2 a duty not to accept a benefit from a third party by reason of being a director or doing (or not doing) anything in that capacity
- 12.32 The duty referred to in sub-paragraph 12.31.1 is not infringed if:
- 12.32.1 the situation cannot reasonably be regarded as likely to give rise to a conflict of interest, or
- 12.32.2 the matter has been authorised in accordance with the Constitution. For a matter to be authorised it must:
- 12.32.2.1 have been approved in advance by the Board of Directors and the minute book shall be conclusive evidence of such approval; or
- 12.32.2.2 be linked with a course of action previously approved by the Board of

Directors, such that a reasonable person would expect the director to find themselves in such a situation or to accept such a benefit as a result.

- 12.33 The duty referred to in sub-paragraph 12.31.2 is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.
- 12.34 In sub-paragraph 12.31.2, “third party” means a person other than:
- 12.34.1 the Trust; or
 - 12.34.2 a person acting on its behalf
- 12.35 If a director of the Trust has in any way a direct or indirect interest in a proposed transaction or arrangement with the Trust, the director must declare the nature and extent of that interest to the other directors.
- 12.36 Any declaration required by this paragraph must be made before the Trust enters into the transaction or arrangement.
- 12.37 This paragraph does not require a declaration of interest of which the director is not aware or where the director is not aware of the transaction or arrangement in question.
- 12.38 A director need not declare an interest:
- 12.38.1 if it cannot reasonably be regarded as likely to give rise to a conflict of interest;
 - 12.38.2 if, or to the extent that, the directors are already aware of it;
 - 12.38.3 if, or to the extent that, it concerns terms of the director’s appointment that have been or are to be considered:
 - 12.38.3.1 by a meeting of the Board of Directors; or
 - 12.38.3.2 by a committee of the directors appointed for the purpose under the Constitution
- 12.39 Any director who has an interest in a matter that is required to be declared in accordance with paragraphs 12.35 to 12.38 above shall declare such interest in writing to the Company Secretary within seven (7) days of the interest arising and to the Board of Directors at the next meeting and:
- 12.39.1 shall withdraw from the meeting and play no part in the relevant discussion or decision; and
 - 12.39.2 shall not vote on any issue arising out of or connected with the matter (and if by inadvertence they do remain and vote, their vote shall not be counted).
- 12.40 Details of any such interest shall be recorded in the register of the interests of directors.
- 12.41 Any director who fails to disclose any interest required to be disclosed under the preceding paragraphs must permanently vacate their office if required to do so:
- 12.41.1 in the case of an executive director, by a decision taken in accordance with paragraph 12.6 or paragraph 12.8, as applicable, above; and
 - 12.41.2 in the case of a non-executive director, by a decision taken in accordance with paragraph 12.9 above.
- 12.42 If a director is in doubt as to whether an interest should be disclosed they should discuss this with the Chair.

Expenses

12.43 The Trust may reimburse senior staff's travelling and other costs and expenses at such rates as the Appointment, Remuneration and Terms of Employment Committee of non-executive directors decides. These are to be disclosed in the annual report.

12.44 The remuneration and allowances for directors are to be disclosed in bands in the annual report.

13. COMPANY SECRETARY

13.1 The Trust shall have a Company Secretary, who may be an employee. The Company Secretary may not be a governor, nor the Chief Executive or the Finance Director. The Company Secretary's functions shall include:

13.1.1 acting as Company Secretary to the Council of Governors and the Board of Directors, and any committees;

13.1.2 summoning and attending all members' meetings, meetings of the Council of Governors and the Board of Directors, and keeping the minutes of those meetings;

13.1.3 keeping the register of members and other registers and books required by this Constitution to be kept;

13.1.4 having charge of the Trust's seal;

13.1.5 acting as returning officer in any elections;

13.1.6 publishing to members in an appropriate form information which they should have about the Trust's affairs;

13.1.7 preparing and sending to NHS England and any other statutory body all returns which are required to be made.

13.2 Minutes of every annual members' meeting, of every meeting of the Council of Governors and of every meeting of the Board of Directors are to be kept. Minutes of meetings will be received at the next meeting for agreement. Any amendment to the minutes shall be agreed and recorded at the meeting. The agreed minutes will be conclusive evidence of the events of the meeting.

13.3 The Company Secretary is to be appointed and removed by the Board of Directors.

14. REGISTERS

14.1 The Trust is to have:

14.1.1 a register of members showing, in respect of each member, the constituency and (where relevant) the class of the constituency to which they belong;

14.1.2 a register of members of the Council of Governors;

14.1.3 a register of directors;

14.1.4 a register of interests of the members of the Council of Governors;

14.1.5 a register of interests of the directors.

14.2 The Company Secretary shall remove from the register of members the name of any member who ceases to be entitled to be a member under the provisions of this Constitution.

14.3 The Company Secretary is to provide NHS England with up to date information on elected and appointed members of the Council of Governors and directors.

- 14.4 The registers referenced in paragraph 14.1 shall be made available for inspection by members of the public, except in circumstances prescribed by regulations and in particular where any member requests that their details are not available for inspection pursuant to the Public Benefit Corporation (Register of Members) Regulations 2004.
- 14.5 So far as the registers are required to be made available:
- 14.5.1 the registers are to be available for inspection free of charge at all reasonable times; and
 - 14.5.2 a person who requests a copy of or extract from the registers is to be provided with a copy or extract.
- 14.6 If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

15. PUBLIC DOCUMENTS

- 15.1 The following documents of the Trust are to be available for inspection by members of the public free of charge at all reasonable times, and shall be available on the Trust's website:
- 15.1.1 a copy of the current Constitution;
 - 15.1.2 a copy of the latest annual accounts and of any report of the auditor on them;
 - 15.1.3 a copy of the report of any other external auditor of the Trust's affairs appointed by the Council or members of the Council of Governors;
 - 15.1.4 a copy of the latest annual report;
 - 15.1.5 a copy of the latest information as to its forward planning;
 - 15.1.6 a copy of the Trust's membership development strategy;
 - 15.1.7 a copy of the Trust's policy for the composition of the Council of Governors
- 15.2 The Trust shall also make the following documents relating to a special administration of the Trust available for inspection by members of the public free of charge at all reasonable times:
- 15.2.1 a copy of any order made under s.65D (appointment of trust special administrator), s.65J (power to extend time), s.65KC (action following Secretary of State's rejection of final report), s.65L (trusts coming out of administration) or s.65LA (trusts to be dissolved) of the 2006 Act;
 - 15.2.2 a copy of any report laid under s.65D (appointment of trust special administrator) of the 2006 Act
 - 15.2.3 a copy of any information published under s.65D (appointment of trust special administrator) of the 2006 Act
 - 15.2.4 a copy of any draft report published under s.65F (administrator's draft report) of the 2006 Act
 - 15.2.5 a copy of any statement provided under s.65F (administrator's draft report) of the 2006 Act
 - 15.2.6 a copy of any notice published under s.65F (administrator's draft report), s.65G (consultation plan), s.65H (consultation requirements), s.65J (power to extend time), s.65KA (NHS England's decision), s.65KB (Secretary of State's response to NHS England's decision), s.65KC (action following Secretary of State's rejection of final report) or 65KD (Secretary of State's response to re-submitted final report) of the 2006 Act
 - 15.2.7 a copy of any statement published or provided under s.65G (consultation plan) of the 2006 Act

- 15.2.8 a copy of any final report published under s.65L (administrator's final report) of the 2006 Act
- 15.2.9 a copy of any statement published under s.65J (power to extend time) or s.65KC (action following Secretary of State's rejection of final report) of the 2006 Act
- 15.2.10 a copy of any information published under s.65M (replacement of trust special administrator) of the 2006 Act.

15.3 Any person who requests it is to be provided with a copy or extract from any of the above documents. The Trust may impose a reasonable charge for providing the copy or extract, but a member is entitled to a copy or extract free of charge.

16. FINANCIAL AUDITOR AND OTHER EXTERNAL AUDITORS

16.1 The Trust is to have a financial auditor and is to provide the financial auditor with every facility and all information which he may reasonably require for the purposes of his functions under Chapter 5 of Part 2 of the 2006 Act.

16.2 A person may only be appointed as the financial auditor if they (or in the case of a firm, each of its members) are eligible for appointment as a statutory auditor or a local auditor within the meaning of paragraphs 23(4)(a) or 23(4)(aa) of Schedule 7 to the 2006 Act or are a member of one or more of the bodies referred to in paragraph 23(4)(c) of Schedule 7 to the 2006 Act.

16.3 The Council of Governors at a Council meeting shall appoint or remove the Trust's financial auditor.

16.4 The financial auditor is to carry out their duties in accordance with Schedule 10 to the 2006 Act and in accordance with any directions given by NHS England on standards, procedures and techniques to be adopted.

16.5 The Board of Directors may resolve that external auditors be appointed to review and publish a report on any other aspect of the Trust's performance. Any such auditors are to be appointed by the Council of Governors.

17. ACCOUNTS

17.1 The Trust shall keep proper accounts and proper records in relation to the accounts.

17.2 NHS England may, with the approval of the Secretary of State, give directions to the Trust as to the content and form of its accounts.

17.3 The accounts are to be audited by the Trust's financial auditor.

17.4 The following documents will be made available to the Comptroller and Auditor General for examination at his request:

17.4.1 the accounts;

17.4.2 any records relating to them; and

17.4.3 any report of the financial auditor on them.

17.5 The functions of the Trust with respect to the preparation of the annual accounts shall be delegated to the accounting officer.

17.6 The annual accounts, any report of the financial auditor on them, and the annual report are to be presented to the Council of Governors at a Council meeting. The Trust may combine a meeting of the Council convened for the purposes of presenting these documents to the Council with the annual members' meeting.

17.7 The Trust shall lay a copy of the annual accounts, and any report of the financial auditor on them, before Parliament and send copies of those documents to NHS England within such period as NHS England may direct.

18. ANNUAL REPORTS, FORWARD PLANS AND NON-NHS WORK

18.1 The Trust shall prepare an annual report and send it to NHS England.

18.2 The Trust is to give information as to its forward planning in respect of each financial year to NHS England.

18.3 If the Trust proposes to increase by five per cent (5%) or more the proportion of its total income in any financial year that is attributable to activities other than the provision of goods and services for the purposes of the health service in England, the Trust may only implement the proposal if more than half of the members of the Council of Governors voting approve the proposal's implementation. For example, the Council of Governors will be required to vote where the Trust proposes to increase its non-NHS income from 2% to 7% or more of the Trust's total income.

19. INDEMNITY

19.1 Members of the Council of Governors and the Board of Directors (together with any non-voting associate non-executive directors and/or any employee who is invited to attend meetings of the Board of Directors) and the Company Secretary who act honestly and in good faith will not have to meet out of their personal resources any personal civil liability which is incurred in the execution or purported execution of their functions, or participation in meetings of the Board of Directors where relevant, save where they have acted recklessly. Any costs arising in this way will be met by the Trust. The Trust may purchase and maintain insurance against this liability for its own benefit and for the benefit of members of the Council of Governors and the Board of Directors and the Company Secretary.

20. EXECUTION OF DOCUMENTS

20.1 A document purporting to be duly executed under the Trust's seal or to be signed on its behalf is to be received in evidence and, unless the contrary is proved, taken to be so executed or signed.

20.2 The Trust is to have a seal, but this is not to be affixed except under the authority of the Board of Directors.

21. AMENDMENT OF THE CONSTITUTION

21.1 No amendment shall be made to this Constitution unless:

21.1.1 more than half of the governors voting approve the amendments, and:

21.1.2 more than half of the members of the Board of Directors voting approve the amendments.

21.2 Amendments made under paragraph 21.1 take effect as soon as the conditions in that paragraph are satisfied, but the amendment has no effect in so far as the Constitution would, as a result of the amendment, not accord with schedule 7 of the 2006 Act.

21.3 Where an amendment is made to the Constitution in relation to the powers or duties of the Council of Governors (or otherwise with respect to the role that the Council of Governors has as part of the Trust):

- 21.3.1 at least one (1) governor must attend the next annual members' meeting and present the amendment, and
- 21.3.2 the Trust must give the members an opportunity to vote on whether they approve the amendment.
- 21.4 If more than half of the members voting approve the amendment, the amendment continues to have effect; otherwise it ceases to have effect and the Trust must take such steps as are necessary as a result.
- 21.5 Amendments by the Trust of its Constitution are to be notified to NHS England. For the avoidance of doubt, NHS England's functions do not include a power or duty to determine whether or not the Constitution, as a result of the amendments, accords with Schedule 7 of the 2006 Act.

22. MERGERS ETC. AND SIGNIFICANT TRANSACTIONS

- 22.1 The Trust may only apply for a merger, acquisition, separation or dissolution with the approval of more than half of the governors.
- 22.2 The Trust may enter into a significant transaction only if more than half of the governors present and voting approve entering into the transaction.
- 22.3 "Significant transaction" means any transaction determined by NHS England to be significant in accordance with the *Transactions guidance – for trusts undertaking transactions, including mergers and acquisitions*, (November 2017), as may be updated from time to time, excluding any transaction covered by the *Addendum to the transactions guidance – for trusts forming or changing a subsidiary* (November 2018), as may be updated from time to time.

23. DISSOLUTION OF THE FOUNDATION TRUST

- 23.1 The Trust may not be dissolved except by order of the Secretary of State for Health and Social Care, in accordance with the 2006 Act.

24. HEAD OFFICE

- 24.1 The Trust's Head Office is at Royal Preston Hospital, Sharoe Green Lane, Fulwood, Preston, PR2 9HT.

ANNEX 1: AREA OF THE TRUST

The area of the Trust shall comprise all of the component electoral wards in the following Local Authority areas:

- Blackburn with Darwen
- Blackpool
- Bolton
- Bury
- Cheshire East
- Cheshire West
- Cumbria
- Halton
- Knowsley
- Liverpool
- Lancashire
- Manchester
- Oldham
- Rochdale
- Salford
- Sefton
- St. Helens
- Stockport
- Tameside
- Trafford
- Warrington
- Wigan
- Wirral

MODEL ELECTION RULES 2014 (WITH MINOR TRUST AMENDMENTS)

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1. Interpretation

1.1 In these rules, unless the context otherwise requires:

“*2006 Act*” means the National Health Service Act 2006;

“*corporation*” means the public benefit corporation subject to this Constitution;

“*Council of Governors*” means the Council of Governors of the corporation;

“*declaration of identity*” has the meaning set out in rule 21.1;

“*election*” means an election by a constituency, or by a class within a constituency, to fill a vacancy among one or more posts on the Council of Governors;

“*e-voting*” means voting using either the internet, telephone or text message;

“*e-voting information*” has the meaning set out in rule 24.2;

“*ID declaration form*” has the meaning set out in Rule 21.1; “*internet voting record*” has the meaning set out in rule 26.4(d);

“*internet voting system*” means such computer hardware and software, data other equipment and services as may be provided by the returning officer for the purpose of enabling voters to cast their votes using the internet;

“*lead governor*” means the governor nominated by the corporation to fulfil the role described in Appendix B to The NHS Foundation Trust Code of Governance (published by Monitor, December 2013) or any later version of such code.

“*list of eligible voters*” means the list referred to in rule 22.1, containing the information in rule 22.2;

“*method of polling*” means a method of casting a vote in a poll, which may be by post, internet, text message or telephone;

“*NHS England*” means the corporate body established pursuant to Section 1H(1) of the 2006 Act;

“*numerical voting code*” has the meaning set out in rule 64.2(b)

“*polling website*” has the meaning set out in rule 26.1;

“*postal voting information*” has the meaning set out in rule 24.1;

“*telephone short code*” means a short telephone number used for the purposes of submitting a vote by text message;

“*telephone voting facility*” has the meaning set out in rule 26.2;

“*telephone voting record*” has the meaning set out in rule 26.5 (d);

“*text message voting facility*” has the meaning set out in rule 26.3;

“*text voting record*” has the meaning set out in rule 26.6 (d);

“*the telephone voting system*” means such telephone voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by telephone;

“the text message voting system” means such text messaging voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by text message;

“voter ID number” means a unique, randomly generated numeric identifier allocated to each voter by the Returning Officer for the purpose of e-voting,

“voting information” means postal voting information and/or e-voting information

1.2 Other expressions used in these rules and in Schedule 7 to the NHS Act 2006 have the same meaning in these rules as in that Schedule.

2. Timetable

2.1 The proceedings at an election shall be conducted in accordance with the following timetable:

Proceeding	Time
Publication of notice of election	Not later than the fortieth day before the day of the close of the poll.
Final day for delivery of nomination forms to returning officer	Not later than the twenty eighth day before the day of the close of the poll.
Publication of statement of nominated candidates	Not later than the twenty seventh day before the day of the close of the poll.
Final day for delivery of notices of withdrawals by candidates from election	Not later than twenty fifth day before the day of the close of the poll.
Notice of the poll	Not later than the fifteenth day before the day of the close of the poll.
Close of the poll	By 5.00pm on the final day of the election.

3. Computation of time

3.1 In computing any period of time for the purposes of the timetable:

- (a) a Saturday or Sunday;
- (b) Christmas day, Good Friday, or a bank holiday, or
- (c) a day appointed for public thanksgiving or mourning,

shall be disregarded, and any such day shall not be treated as a day for the purpose of any proceedings up to the completion of the poll, nor shall the returning officer be obliged to proceed with the counting of votes on such a day.

3.2 In this rule, "bank holiday" means a day which is a bank holiday under the Banking and Financial Dealings Act 1971 in England and Wales.

4. Returning Officer

4.1 Subject to rule 69, the returning officer for an election is to be appointed by the corporation.

4.2 Where two or more elections are to be held concurrently, the same returning officer may be appointed for all those elections.

5. Staff

5.1 Subject to rule 69, the returning officer may appoint and pay such staff, including such technical advisers, as he or she considers necessary for the purposes of the election.

6. Expenditure

6.1 The corporation is to pay the returning officer:

- (a) any expenses incurred by that officer in the exercise of his or her functions under these rules,
- (b) such remuneration and other expenses as the corporation may determine.

7. Duty of co-operation

7.1 The corporation is to co-operate with the returning officer in the exercise of his or her functions under these rules.

8. Notice of election

8.1 The returning officer is to publish a notice of the election stating:

- (a) the constituency, or class within a constituency, for which the election is being held,
- (b) the number of members of the Council of Governors to be elected from that constituency, or class within that constituency,
- (c) the details of any nomination committee that has been established by the corporation,
- (d) the address and times at which nomination forms may be obtained;
- (e) the address for return of nomination forms (including, where the return of nomination forms in an electronic format will be permitted, the e-mail address for such return) and the date and time by which they must be received by the returning officer,
- (f) the date and time by which any notice of withdrawal must be received by the returning officer
- (g) the contact details of the returning officer
- (h) the date and time of the close of the poll in the event of a contest.

9. Nomination of candidates

9.1 Subject to rule 9.2, each candidate must nominate themselves on a single nomination form.

9.2 The returning officer:

- (a) is to supply any member of the corporation with a nomination form, and
- (b) is to prepare a nomination form for signature at the request of any member of the corporation,

but it is not necessary for a nomination to be on a form supplied by the returning officer and a nomination can, subject to rule 13, be in an electronic format.

10. Candidate's particulars

10.1 The nomination form must state the candidate's:

- (a) full name,
- (b) contact address in full (which should be a postal address although an e-mail address may also be provided for the purposes of electronic communication), and
- (c) constituency, or class within a constituency, of which the candidate is a member.

11. Declaration of interests

11.1 The nomination form must state:

- (a) any financial interest that the candidate has in the corporation, and
 - (b) whether the candidate is a member of a political party, and if so, which party,
- and if the candidate has no such interests, the paper must include a statement to that effect.

12. Declaration of eligibility

12.1 The nomination form must include a declaration made by the candidate:

- (a) that he or she is not prevented from being a member of the Council of Governors by paragraph 8 of Schedule 7 of the 2006 Act or by any provision of the Constitution; and,
- (b) for a member of the public or patient constituency, of the particulars of his or her qualification to vote as a member of that constituency, or class within that constituency, for which the election is being held.

13. Signature of candidate

13.1 The nomination form must be signed and dated by the candidate, in a manner prescribed by the returning officer, indicating that:

- (a) they wish to stand as a candidate,
- (b) their declaration of interests as required under rule 11, is true and correct, and
- (c) their declaration of eligibility, as required under rule 12, is true and correct.

13.2 Where the return of nomination forms in an electronic format is permitted, the returning officer shall specify the particular signature formalities (if any) that will need to be complied with by the candidate.

14. Decisions as to the validity of nomination

14.1 Where a nomination form is received by the returning officer in accordance with these rules, the candidate is deemed to stand for election unless and until the returning officer:

- (a) decides that the candidate is not eligible to stand,
- (b) decides that the nomination form is invalid,
- (c) receives satisfactory proof that the candidate has died, or
- (d) receives a written request by the candidate of their withdrawal from candidacy.

14.2 The returning officer is entitled to decide that a nomination form is invalid only on one of the following grounds:

- (a) that the paper is not received on or before the final time and date for return of nomination forms, as specified in the notice of the election,
- (b) that the paper does not contain the candidate's particulars, as required by rule 10;
- (c) that the paper does not contain a declaration of the interests of the candidate, as required by rule 11,
- (d) that the paper does not include a declaration of eligibility as required by rule 12, or
- (e) that the paper is not signed and dated by the candidate, if required by rule 13.

14.3 The returning officer is to examine each nomination form as soon as is practicable after he or she has received it, and decide whether the candidate has been validly nominated.

14.4 Where the returning officer decides that a nomination is invalid, the returning officer must endorse this on the nomination form, stating the reasons for their decision.

14.5 The returning officer is to send notice of the decision as to whether a nomination is valid or invalid to the candidate at the contact address given in the candidate's nomination form. If an e-mail address has been given in the candidate's nomination form (in addition to the candidate's postal address), the returning officer may send notice of the decision to that address.

15. Publication of statement of candidates

15.1 The returning officer is to prepare and publish a statement showing the candidates who are standing for election.

15.2 The statement must show:

(a) the name, contact address (which shall be the candidate's postal address), and constituency or class within a constituency of each candidate standing, and

(b) the declared interests of each candidate standing,

as given in their nomination form.

15.3 The statement must list the candidates standing for election in alphabetical order by surname.

15.4 The returning officer must send a copy of the statement of candidates and copies of the nomination forms to the corporation as soon as is practicable after publishing the statement.

16. Inspection of statement of nominated candidates and nomination forms

16.1 The corporation is to make the statement of the candidates and the nomination forms supplied by the returning officer under rule 15.4 available for inspection by members of the corporation free of charge at all reasonable times.

16.2 If a member of the corporation requests a copy or extract of the statement of candidates or their nomination forms, the corporation is to provide that member with the copy or extract free of charge.

17. Withdrawal of candidates

17.1 A candidate may withdraw from election on or before the date and time for withdrawal by candidates, by providing to the returning officer a written notice of withdrawal which is signed by the candidate and attested by a witness.

18. Method of election

18.1 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is greater than the number of members to be elected to the Council of Governors, a poll is to be taken in accordance with Parts 5 and 6 of these rules.

18.2 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is equal to the number of members to be elected to the Council of Governors, those candidates are to be declared elected in accordance with Part 7 of these rules.

18.3 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is less than the number of members to be elected to be Council of Governors, then:

- (a) the candidates who remain validly nominated are to be declared elected in accordance with Part 7 of these rules, and
- (b) the returning officer is to order a new election to fill any vacancy which remains unfilled, on a day appointed by him or her in consultation with the corporation.

19. Poll to be taken by ballot

- 19.1 The votes at the poll must be given by secret ballot.
- 19.2 The votes are to be counted and the result of the poll determined in accordance with Part 6 of these rules.
- 19.3 The corporation may decide that voters within a constituency or class within a constituency, may, subject to rule 19.4, cast their votes at the poll using such different methods of polling in any combination as the corporation may determine.
- 19.4 The corporation may decide that voters within a constituency or class within a constituency for whom an e-mail address is included in the list of eligible voters may only cast their votes at the poll using an e-voting method of polling.
- 19.5 Before the corporation decides, in accordance with rule 19.3 that one or more e-voting methods of polling will be made available for the purposes of the poll, the corporation must satisfy itself that:
- (a) if internet voting is to be a method of polling, the internet voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate internet voting record in respect of any voter who casts his or her vote using the internet voting system;
 - (b) if telephone voting to be a method of polling, the telephone voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate telephone voting record in respect of any voter who casts his or her vote using the telephone voting system;
 - (c) if text message voting is to be a method of polling, the text message voting system to be used for the purpose of the election is:
 - (i) configured in accordance with these rules; and
 - (ii) will create an accurate text voting record in respect of any voter who casts his or her vote using the text message voting system.

20. The ballot paper

- 20.1 The ballot of each voter (other than a voter who casts his or her ballot by an e-voting method of polling) is to consist of a ballot paper with the persons remaining validly nominated for an election after any withdrawals under these rules, and no others, inserted in the paper.
- 20.2 Every ballot paper must specify:
- (a) the name of the corporation,
 - (b) the constituency, or class within a constituency, for which the election is being held,
 - (c) the number of members of the Council of Governors to be elected from that constituency, or class within that constituency,

- (d) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
- (e) instructions on how to vote by all available methods of polling, including the relevant voter's voter ID number if one or more e-voting methods of polling are available,
- (f) if the ballot paper is to be returned by post, the address for its return and the date and time of the close of the poll, and
- (g) the contact details of the returning officer.

20.3 Each ballot paper must have a unique identifier.

20.4 Each ballot paper must have features incorporated into it to prevent it from being reproduced.

21. The declaration of identity (public and patient constituencies)

21.1 The corporation shall require each voter who participates in an election for a public or patient constituency to make a declaration confirming:

- (a) that the voter is the person:
 - (i) to whom the ballot paper was addressed, and/or
 - (ii) to whom the voter ID number contained within the e-voting information was allocated,
- (b) that he or she has not marked or returned any other voting information in the election, and
- (c) the particulars of his or her qualification to vote as a member of the constituency or class within the constituency for which the election is being held,

("declaration of identity")

and the corporation shall make such arrangements as it considers appropriate to facilitate the making and the return of a declaration of identity by each voter, whether by the completion of a paper form ("ID declaration form") or the use of an electronic method.

21.2 The voter must be required to return his or her declaration of identity with his or her ballot.

21.3 The voting information shall caution the voter that if the declaration of identity is not duly returned or is returned without having been made correctly, any vote cast by the voter may be declared invalid.

Action to be taken before the poll

22. List of eligible voters

22.1 The corporation is to provide the returning officer with a list of the members of the constituency or class within a constituency for which the election is being held who are eligible to vote by virtue of rule 27 as soon as is reasonably practicable after the final date for the delivery of notices of withdrawals by candidates from an election.

22.2 The list is to include, for each member:

- (a) a postal address; and,
- (b) the member's e-mail address, if this has been provided

to which his or her voting information may, subject to rule 22.3, be sent.

22.3 The corporation may decide that the e-voting information is to be sent only by e-mail to those members in the list of eligible voters for whom an e-mail address is included in that list.

23. Notice of poll

23.1 The returning officer is to publish a notice of the poll stating:

- (a) the name of the corporation,
- (b) the constituency, or class within a constituency, for which the election is being held,
- (c) the number of members of the Council of Governors to be elected from that constituency, or class with that constituency,
- (d) the names, contact addresses, and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
- (e) that the ballot papers for the election are to be issued and returned, if appropriate, by post,
- (f) the methods of polling by which votes may be cast at the election by voters in a constituency or class within a constituency, as determined by the corporation in accordance with rule 19.3,
- (g) the address for return of the ballot papers,
- (h) the uniform resource locator (url) where, if internet voting is a method of polling, the polling website is located;
- (i) the telephone number where, if telephone voting is a method of polling, the telephone voting facility is located,
- (j) the telephone number or telephone short code where, if text message voting is a method of polling, the text message voting facility is located,
- (k) the date and time of the close of the poll,
- (l) the address and final dates for applications for replacement voting information, and
- (m) the contact details of the returning officer.

24. Issue of voting information by returning officer

24.1 Subject to rule 24.3, as soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following information by post to each member of the corporation named in the list of eligible voters:

- (a) a ballot paper and ballot paper envelope,
- (b) the ID declaration form (if required),
- (c) information about each candidate standing for election, pursuant to rule 64 of these rules, and
- (d) a covering envelope;

("postal voting information").

24.2 Subject to rules 24.3 and 24.4, as soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following information

by e-mail and/ or by post to each member of the corporation named in the list of eligible voters whom the corporation determines in accordance with rule 19.3 and/ or rule 19.4 may cast his or her vote by an e-voting method of polling:

- (a) instructions on how to vote and how to make a declaration of identity (if required),
 - (b) the voter's voter ID number,
 - (c) information about each candidate standing for election, pursuant to rule 64 of these rules, or details of where this information is readily available on the internet or available in such other formats as the Returning Officer thinks appropriate, (d) contact details of the returning officer,
- ("e-voting information").

24.3 The corporation may determine that any member of the corporation shall:

- (a) only be sent postal voting information; or
- (b) only be sent e-voting information; or
- (c) be sent both postal voting information and e-voting information;

for the purposes of the poll.

24.4 If the corporation determines, in accordance with rule 22.3, that the e-voting information is to be sent only by e-mail to those members in the list of eligible voters for whom an e-mail address is included in that list, then the returning officer shall only send that information by e-mail.

24.5 The voting information is to be sent to the postal address and/ or e-mail address for each member, as specified in the list of eligible voters.

25. Ballot paper envelope and covering envelope

25.1 The ballot paper envelope must have clear instructions to the voter printed on it, instructing the voter to seal the ballot paper inside the envelope once the ballot paper has been marked.

25.2 The covering envelope is to have:

- (a) the address for return of the ballot paper printed on it, and
- (b) pre-paid postage for return to that address.

25.3 There should be clear instructions, either printed on the covering envelope or elsewhere, instructing the voter to seal the following documents inside the covering envelope and return it to the returning officer –

- (a) the completed ID declaration form if required, and
- (b) the ballot paper envelope, with the ballot paper sealed inside it.

26. E-voting systems

26.1 If internet voting is a method of polling for the relevant election then the returning officer must provide a website for the purpose of voting over the internet (in these rules referred to as "the polling website").

- 26.2 If telephone voting is a method of polling for the relevant election then the returning officer must provide an automated telephone system for the purpose of voting by the use of a touch-tone telephone (in these rules referred to as “the telephone voting facility”).
- 26.3 If text message voting is a method of polling for the relevant election then the returning officer must provide an automated text messaging system for the purpose of voting by text message (in these rules referred to as “the text message voting facility”).
- 26.4 The returning officer shall ensure that the polling website and internet voting system provided will:
- (a) require a voter to:
 - (i) enter his or her voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;in order to be able to cast his or her vote;
 - (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the Council of Governors to be elected from that constituency, or class within that constituency,
 - (iv) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
 - (v) instructions on how to vote and how to make a declaration of identity,
 - (vi) the date and time of the close of the poll, and
 - (vii) the contact details of the returning officer;
 - (c) prevent a voter from voting for more candidates than he or she is entitled to at the election;
 - (d) create a record (“internet voting record”) that is stored in the internet voting system in respect of each vote cast by a voter using the internet that comprises of-
 - (i) the voter’s voter ID number;
 - (ii) the voter’s declaration of identity (where required);
 - (iii) the candidate or candidates for whom the voter has voted; and
 - (iv) the date and time of the voter’s vote,
 - (e) if the voter’s vote has been duly cast and recorded, provide the voter with confirmation of this; and
 - (f) prevent any voter from voting after the close of poll.
- 26.5 The returning officer shall ensure that the telephone voting facility and telephone voting system provided will:
- (a) require a voter to
 - (i) enter his or her voter ID number in order to be able to cast his or her vote; and
 - (ii) where the election is for a public or patient constituency, make a declaration of

- identity;
- (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the Council of Governors to be elected from that constituency, or class within that constituency,
 - (iv) instructions on how to vote and how to make a declaration of identity,
 - (v) the date and time of the close of the poll, and
 - (vi) the contact details of the returning officer;
- (c) prevent a voter from voting for more candidates than he or she is entitled to at the election;
- (d) create a record ("telephone voting record") that is stored in the telephone voting system in respect of each vote cast by a voter using the telephone that comprises of:
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (iii) the candidate or candidates for whom the voter has voted; and
 - (iv) the date and time of the voter's vote
- (e) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this;
- (f) prevent any voter from voting after the close of poll.

26.6

The returning officer shall ensure that the text message voting facility and text messaging voting system provided will:

- (a) require a voter to:
 - (i) provide his or her voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;
 in order to be able to cast his or her vote;
- (b) prevent a voter from voting for more candidates than he or she is entitled to at the election;
- (d) create a record ("text voting record") that is stored in the text messaging voting system in respect of each vote cast by a voter by text message that comprises of:
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (ii) the candidate or candidates for whom the voter has voted; and
 - (iii) the date and time of the voter's vote
- (e) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this;
- (f) prevent any voter from voting after the close of poll.

27. Eligibility to vote

27.1 An individual who becomes a member of the corporation on or before the closing date for the receipt of nominations by candidates for the election, is eligible to vote in that election.

28. Voting by persons who require assistance

28.1 The returning officer is to put in place arrangements to enable requests for assistance to vote to be made.

28.2 Where the returning officer receives a request from a voter who requires assistance to vote, the returning officer is to make such arrangements as he or she considers necessary to enable that voter to vote.

29. Spoilt ballot papers and spoilt text message votes

29.1 If a voter has dealt with his or her ballot paper in such a manner that it cannot be accepted as a ballot paper (referred to as a “spoilt ballot paper”), that voter may apply to the returning officer for a replacement ballot paper.

29.2 On receiving an application, the returning officer is to obtain the details of the unique identifier on the spoilt ballot paper, if he or she can obtain it.

29.3 The returning officer may not issue a replacement ballot paper for a spoilt ballot paper unless he or she:

- (a) is satisfied as to the voter’s identity; and
- (b) has ensured that the completed ID declaration form, if required, has not been returned.

29.4 After issuing a replacement ballot paper for a spoilt ballot paper, the returning officer shall enter in a list (“the list of spoilt ballot papers”):

- (a) the name of the voter, and
- (b) the details of the unique identifier of the spoilt ballot paper (if that officer was able to obtain it), and
- (c) the details of the unique identifier of the replacement ballot paper.

29.5 If a voter has dealt with his or her text message vote in such a manner that it cannot be accepted as a vote (referred to as a “spoilt text message vote”), that voter may apply to the returning officer for a replacement voter ID number.

29.6 On receiving an application, the returning officer is to obtain the details of the voter ID number on the spoilt text message vote, if he or she can obtain it.

29.7 The returning officer may not issue a replacement voter ID number in respect of a spoilt text message vote unless he or she is satisfied as to the voter’s identity.

29.8 After issuing a replacement voter ID number in respect of a spoilt text message vote, the returning officer shall enter in a list (“the list of spoilt text message votes”):

- (a) the name of the voter, and

- (b) the details of the voter ID number on the spoilt text message vote (if that officer was able to obtain it), and
- (c) the details of the replacement voter ID number issued to the voter.

30. Lost voting information

- 30.1 Where a voter has not received his or her voting information by the tenth day before the close of the poll, that voter may apply to the returning officer for replacement voting information.
- 30.2 The returning officer may not issue replacement voting information in respect of lost voting information unless he or she:
 - (a) is satisfied as to the voter's identity,
 - (b) has no reason to doubt that the voter did not receive the original voting information,
 - (c) has ensured that no declaration of identity, if required, has been returned.
- 30.3 After issuing replacement voting information in respect of lost voting information, the returning officer shall enter in a list ("the list of lost ballot documents"):
 - (a) the name of the voter
 - (b) the details of the unique identifier of the replacement ballot paper, if applicable, and
 - (c) the voter ID number of the voter.

31. Issue of replacement voting information

- 31.1 If a person applies for replacement voting information under rule 29 or 30 and a declaration of identity has already been received by the returning officer in the name of that voter, the returning officer may not issue replacement voting information unless, in addition to the requirements imposed by rule 29.3 or 30.2, he or she is also satisfied that that person has not already voted in the election, notwithstanding the fact that a declaration of identity if required has already been received by the returning officer in the name of that voter.
- 31.2 After issuing replacement voting information under this rule, the returning officer shall enter in a list ("the list of tendered voting information"):
 - (a) the name of the voter,
 - (b) the unique identifier of any replacement ballot paper issued under this rule;
 - (c) the voter ID number of the voter.

32. ID declaration form for replacement ballot papers (public and patient constituencies)

- 32.1 In respect of an election for a public or patient constituency an ID declaration form must be issued with each replacement ballot paper requiring the voter to make a declaration of identity.

Polling by internet, telephone or text

33. Procedure for remote voting by internet

- 33.1 To cast his or her vote using the internet, a voter will need to gain access to the polling website by keying in the url of the polling website provided in the voting information.
- 33.2 When prompted to do so, the voter will need to enter his or her voter ID number.

- 33.3 If the internet voting system authenticates the voter ID number, the system will give the voter access to the polling website for the election in which the voter is eligible to vote.
- 33.4 To cast his or her vote, the voter will need to key in a mark on the screen opposite the particulars of the candidate or candidates for whom he or she wishes to cast his or her vote.
- 33.5 The voter will not be able to access the internet voting system for an election once his or her vote at that election has been cast.

34. Voting procedure for remote voting by telephone

- 34.1 To cast his or her vote by telephone, the voter will need to gain access to the telephone voting facility by calling the designated telephone number provided in the voter information using a telephone with a touch-tone keypad.
- 34.2 When prompted to do so, the voter will need to enter his or her voter ID number using the keypad.
- 34.3 If the telephone voting facility authenticates the voter ID number, the voter will be prompted to vote in the election.
- 34.4 When prompted to do so the voter may then cast his or her vote by keying in the numerical voting code of the candidate or candidates, for whom he or she wishes to vote.
- 34.5 The voter will not be able to access the telephone voting facility for an election once his or her vote at that election has been cast.

35. Voting procedure for remote voting by text message

- 35.1 To cast his or her vote by text message the voter will need to gain access to the text message voting facility by sending a text message to the designated telephone number or telephone short code provided in the voter information.
- 35.2 The text message sent by the voter must contain his or her voter ID number and the numerical voting code for the candidate or candidates, for whom he or she wishes to vote.
- 35.3 The text message sent by the voter will need to be structured in accordance with the instructions on how to vote contained in the voter information, otherwise the vote will not be cast.

Procedure for receipt of envelopes, internet votes, telephone votes and text message votes

36. Receipt of voting documents

- 36.1 Where the returning officer receives:
- (a) a covering envelope, or
 - (b) any other envelope containing an ID declaration form if required, a ballot paper envelope, or a ballot paper,
- before the close of the poll, that officer is to open it as soon as is practicable; and rules 37 and 38 are to apply.
- 36.2 The returning officer may open any covering envelope or any ballot paper envelope for the purposes of rules 37 and 38, but must make arrangements to ensure that no person obtains or communicates information as to:

- (a) the candidate for whom a voter has voted, or
- (b) the unique identifier on a ballot paper.

36.3 The returning officer must make arrangements to ensure the safety and security of the ballot papers and other documents.

37. Validity of votes

37.1 A ballot paper shall not be taken to be duly returned unless the returning officer is satisfied that it has been received by the returning officer before the close of the poll, with an ID declaration form if required that has been correctly completed, signed and dated.

37.2 Where the returning officer is satisfied that rule 37.1 has been fulfilled, he or she is to:

- (a) put the ID declaration form if required in a separate packet, and
- (b) put the ballot paper aside for counting after the close of the poll.

37.3 Where the returning officer is not satisfied that rule 37.1 has been fulfilled, he or she is to:

- (a) mark the ballot paper “disqualified”,
- (b) if there is an ID declaration form accompanying the ballot paper, mark it “disqualified” and attach it to the ballot paper,
- (c) record the unique identifier on the ballot paper in a list of disqualified documents (the “list of disqualified documents”); and
- (d) place the document or documents in a separate packet.

37.4 An internet, telephone or text message vote shall not be taken to be duly returned unless the returning officer is satisfied that the internet voting record, telephone voting record or text voting record (as applicable) has been received by the returning officer before the close of the poll, with a declaration of identity if required that has been correctly made.

37.5 Where the returning officer is satisfied that rule 37.4 has been fulfilled, he or she is to put the internet voting record, telephone voting record or text voting record (as applicable) aside for counting after the close of the poll.

37.6 Where the returning officer is not satisfied that rule 37.4 has been fulfilled, he or she is to:

- (a) mark the internet voting record, telephone voting record or text voting record (as applicable) “disqualified”,
- (b) record the voter ID number on the internet voting record, telephone voting record or text voting record (as applicable) in the list of disqualified documents; and
- (c) place the document or documents in a separate packet.

38. Declaration of identity but no ballot paper (public and patient constituency)¹

38.1 Where the returning officer receives an ID declaration form if required but no ballot paper, the returning officer is to:

- (a) mark the ID declaration form “disqualified”,
- (b) record the name of the voter in the list of disqualified documents, indicating that a

¹ It should not be possible, technically, to make a declaration of identity electronically without also submitting a vote.

declaration of identity was received from the voter without a ballot paper, and

- (c) place the ID declaration form in a separate packet.

39. De-duplication of votes

39.1 Where different methods of polling are being used in an election, the returning officer shall examine all votes cast to ascertain if a voter ID number has been used more than once to cast a vote in the election.

39.2 If the returning officer ascertains that a voter ID number has been used more than once to cast a vote in the election he or she shall:

- (a) only accept as duly returned the first vote received that was cast using the relevant voter ID number; and
- (b) mark as “disqualified” all other votes that were cast using the relevant voter ID number

39.3 Where a ballot paper is disqualified under this rule the returning officer shall:

- (a) mark the ballot paper “disqualified”,
- (b) if there is an ID declaration form accompanying the ballot paper, mark it “disqualified” and attach it to the ballot paper,
- (c) record the unique identifier and the voter ID number on the ballot paper in the list of disqualified documents;
- (d) place the document or documents in a separate packet; and
- (e) disregard the ballot paper when counting the votes in accordance with these rules.

39.4 Where an internet voting record, telephone voting record or text voting record is disqualified under this rule the returning officer shall:

- (a) mark the internet voting record, telephone voting record or text voting record (as applicable) “disqualified”,
- (b) record the voter ID number on the internet voting record, telephone voting record or text voting record (as applicable) in the list of disqualified documents;
- (c) place the internet voting record, telephone voting record or text voting record (as applicable) in a separate packet, and
- (d) disregard the internet voting record, telephone voting record or text voting record (as applicable) when counting the votes in accordance with these rules.

40. Sealing of packets

40.1 As soon as is possible after the close of the poll and after the completion of the procedure under rules 37 and 38, the returning officer is to seal the packets containing:

- (a) the disqualified documents, together with the list of disqualified documents inside it,
- (b) the ID declaration forms, if required,
- (c) the list of spoiled ballot papers and the list of spoiled text message votes,
- (d) the list of lost ballot documents,
- (e) the list of eligible voters, and
- (f) the list of tendered voting information

and ensure that complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.

STV41. Interpretation of Part 6

STV41.1 In Part 6 of these rules:

“ballot document” means a ballot paper, internet voting record, telephone voting record or text voting record.

“continuing candidate” means any candidate not deemed to be elected, and not excluded,

“count” means all the operations involved in counting of the first preferences recorded for candidates, the transfer of the surpluses of elected candidates, and the transfer of the votes of the excluded candidates,

“deemed to be elected” means deemed to be elected for the purposes of counting of votes but without prejudice to the declaration of the result of the poll,

“mark” means a figure, an identifiable written word, or a mark such as “X”,

“non-transferable vote” means a ballot document:

- (a) on which no second or subsequent preference is recorded for a continuing candidate, or
- (b) which is excluded by the returning officer under rule STV49,

“preference” as used in the following contexts has the meaning assigned below:

- (a) “first preference” means the figure “1” or any mark or word which clearly indicates a first (or only) preference,
- (b) “next available preference” means a preference which is the second, or as the case may be, subsequent preference recorded in consecutive order for a continuing candidate (any candidate who is deemed to be elected or is excluded thereby being ignored); and
- (c) in this context, a “second preference” is shown by the figure “2” or any mark or word which clearly indicates a second preference, and a third preference by the figure “3” or any mark or word which clearly indicates a third preference, and so on,

“quota” means the number calculated in accordance with rule STV46,

“surplus” means the number of votes by which the total number of votes for any candidate (whether first preference or transferred votes, or a combination of both) exceeds the quota; but references in these rules to the transfer of the surplus means the transfer (at a transfer value) of all transferable ballot documents from the candidate who has the surplus,

“stage of the count” means:

- (a) the determination of the first preference vote of each candidate,
- (b) the transfer of a surplus of a candidate deemed to be elected, or
- (c) the exclusion of one or more candidates at any given time,

“transferable vote” means a ballot document on which, following a first preference, a second or subsequent preference is recorded in consecutive numerical order for a continuing

candidate,

“*transferred vote*” means a vote derived from a ballot document on which a second or subsequent preference is recorded for the candidate to whom that ballot document has been transferred, and

“*transfer value*” means the value of a transferred vote calculated in accordance with rules STV47.4 or STV47.7.

42. Arrangements for counting of the votes

42.1 The returning officer is to make arrangements for counting the votes as soon as is practicable after the close of the poll.

42.2 The returning officer may make arrangements for any votes to be counted using vote counting software where:

- (a) the board of directors and the Council of Governors of the corporation have approved:
 - (i) the use of such software for the purpose of counting votes in the relevant election, and
 - (ii) a policy governing the use of such software, and
- (b) the corporation and the returning officer are satisfied that the use of such software will produce an accurate result.

43. The count

43.1 The returning officer is to:

- (a) count and record the number of:
 - (iii) ballot papers that have been returned; and
 - (iv) the number of internet voting records, telephone voting records and/or text voting records that have been created, and
- (b) count the votes according to the provisions in this Part of the rules and/or the provisions of any policy approved pursuant to rule 42.2(ii) where vote counting software is being used.

43.2 The returning officer, while counting and recording the number of ballot papers, internet voting records, telephone voting records and/or text voting records and counting the votes, must make arrangements to ensure that no person obtains or communicates information as to the unique identifier on a ballot paper or the voter ID number on an internet voting record, telephone voting record or text voting record.

43.3 The returning officer is to proceed continuously with counting the votes as far as is practicable.

STV44. Rejected ballot papers and rejected text voting records

STV44.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
- (b) on which the figure “1” standing alone is not placed so as to indicate a first preference

for any candidate,

- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (d) which is unmarked or rejected because of uncertainty,

shall be rejected and not counted, but the ballot paper shall not be rejected by reason only of carrying the words “one”, “two”, “three” and so on, or any other mark instead of a figure if, in the opinion of the returning officer, the word or mark clearly indicates a preference or preferences.

STV44.2 The returning officer is to endorse the word “rejected” on any ballot paper which under this rule is not to be counted.

STV44.3 Any text voting record:

- (a) on which the figure “1” standing alone is not placed so as to indicate a first preference for any candidate,
- (b) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (c) which is unmarked or rejected because of uncertainty,

shall be rejected and not counted, but the text voting record shall not be rejected by reason only of carrying the words “one”, “two”, “three” and so on, or any other mark instead of a figure if, in the opinion of the returning officer, the word or mark clearly indicates a preference or preferences.

STV44.4 The returning officer is to endorse the word “rejected” on any text voting record which under this rule is not to be counted.

STV44.5 The returning officer is to draw up a statement showing the number of ballot papers rejected by him or her under each of the subparagraphs (a) to (d) of rule STV44.1 and the number of text voting records rejected by him or her under each of the sub-paragraphs (a) to (c) of rule STV44.3.

FPP44. Rejected ballot papers and rejected text voting records

FPP44.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
- (b) on which votes are given for more candidates than the voter is entitled to vote,
- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (d) which is unmarked or rejected because of uncertainty,

shall, subject to rules FPP44.2 and FPP44.3, be rejected and not counted.

FPP44.2 Where the voter is entitled to vote for more than one candidate, a ballot paper is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.

FPP44.3 A ballot paper on which a vote is marked:

- (a) elsewhere than in the proper place,
- (b) otherwise than by means of a clear mark,
- (c) by more than one mark,

is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the candidates clearly appears, and the way the paper is marked does not itself identify the voter and it is not shown that he or she can be identified by it.

FPP44.4 The returning officer is to:

- (a) endorse the word "rejected" on any ballot paper which under this rule is not to be counted, and
- (b) in the case of a ballot paper on which any vote is counted under rules FPP44.2 and FPP 44.3, endorse the words "rejected in part" on the ballot paper and indicate which vote or votes have been counted.

FPP44.5 The returning officer is to draw up a statement showing the number of rejected ballot papers under the following headings:

- (a) does not bear proper features that have been incorporated into the ballot paper,
- (b) voting for more candidates than the voter is entitled to,
- (c) writing or mark by which voter could be identified, and
- (d) unmarked or rejected because of uncertainty,

and, where applicable, each heading must record the number of ballot papers rejected in part.

FPP44.6 Any text voting record:

- (a) on which votes are given for more candidates than the voter is entitled to vote,
- (b) on which anything is written or marked by which the voter can be identified except the voter ID number, or
- (c) which is unmarked or rejected because of uncertainty,

shall, subject to rules FPP44.7 and FPP44.8, be rejected and not counted.

FPP44.7 Where the voter is entitled to vote for more than one candidate, a text voting record is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.

FPP44.8 A text voting record on which a vote is marked:

- (a) otherwise than by means of a clear mark,
- (b) by more than one mark,

is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the candidates clearly appears, and the way the text voting record is marked does not itself identify the voter and it is not shown that he or she can be identified by it.

FPP44.9 The returning officer is to:

- (a) endorse the word "rejected" on any text voting record which under this rule is not to be counted, and
- (b) in the case of a text voting record on which any vote is counted under rules FPP44.7 and FPP 44.8, endorse the words "rejected in part" on the text voting record and indicate which vote or votes have been counted.

FPP44.10 The returning officer is to draw up a statement showing the number of rejected text voting records under the following headings:

- (a) voting for more candidates than the voter is entitled to,
- (b) writing or mark by which voter could be identified, and
- (c) unmarked or rejected because of uncertainty,

and, where applicable, each heading must record the number of text voting records rejected in part.

STV45. First stage

STV45.1 The returning officer is to sort the ballot documents into parcels according to the candidates for whom the first preference votes are given.

STV45.2 The returning officer is to then count the number of first preference votes given on ballot documents for each candidate, and is to record those numbers.

STV45.3 The returning officer is to also ascertain and record the number of valid ballot documents.

STV46. The quota

STV46.1 The returning officer is to divide the number of valid ballot documents by a number exceeding by one the number of members to be elected.

STV46.2 The result, increased by one, of the division under rule STV46.1 (any fraction being disregarded) shall be the number of votes sufficient to secure the election of a candidate (in these rules referred to as "the quota").

STV46.3 At any stage of the count a candidate whose total votes equals or exceeds the quota shall

be deemed to be elected, except that any election where there is only one vacancy a candidate shall not be deemed to be elected until the procedure set out in rules STV47.1 to STV47.3 has been complied with.

STV47. Transfer of votes

STV47.1 Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballot documents on which first preference votes are given for that candidate into sub- parcels so that they are grouped:

- (a) according to next available preference given on those ballot documents for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV47.2 The returning officer is to count the number of ballot documents in each parcel referred to in rule STV47.1.

STV47.3 The returning officer is, in accordance with this rule and rule STV48, to transfer each sub- parcel of ballot documents referred to in rule STV47.1(a) to the candidate for whom the nextavailable preference is given on those ballot documents.

STV47.4 The vote on each ballot document transferred under rule STV47.3 shall be at a value (“the transfer value”) which:

- (a) reduces the value of each vote transferred so that the total value of all such votes does not exceed the surplus, and
- (b) is calculated by dividing the surplus of the candidate from whom the votes are being transferred by the total number of the ballot documents on which those votes are given, the calculation being made to two decimal places (ignoring the remainder if any).

STV47.5 Where at the end of any stage of the count involving the transfer of ballot documents, the number of votes for any candidate exceeds the quota, the returning officer is to sort the ballot documents in the sub-parcel of transferred votes which was last received by that candidate into separate sub-parcels so that they are grouped:

- (a) according to the next available preference given on those ballot documents for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV47.6 The returning officer is, in accordance with this rule and rule STV48, to transfer each sub- parcel of ballot documents referred to in rule STV47.5(a) to the candidate for whom the nextavailable preference is given on those ballot documents.

STV47.7 The vote on each ballot document transferred under rule STV47.6 shall be at:

- (a) a transfer value calculated as set out in rule STV47.4(b), or
- (b) at the value at which that vote was received by the candidate from whom it is now being transferred,

whichever is the less.

STV47.8 Each transfer of a surplus constitutes a stage in the count.

STV47.9 Subject to rule STV47.10, the returning officer shall proceed to transfer transferable ballot

documents until no candidate who is deemed to be elected has a surplus or all the vacancies have been filled.

STV47.10 Transferable ballot documents shall not be liable to be transferred where any surplus or surpluses which, at a particular stage of the count, have not already been transferred, are:

- (a) less than the difference between the total vote then credited to the continuing candidate with the lowest recorded vote and the vote of the candidate with the next lowest recorded vote, or
- (b) less than the difference between the total votes of the two or more continuing candidates, credited at that stage of the count with the lowest recorded total numbers of votes and the candidate next above such candidates.

STV47.11 This rule does not apply at an election where there is only one vacancy.

STV48. Supplementary provisions on transfer

STV48.1 If, at any stage of the count, two or more candidates have surpluses, the transferable ballot documents of the candidate with the highest surplus shall be transferred first, and if:

- (a) The surpluses determined in respect of two or more candidates are equal, the transferable ballot documents of the candidate who had the highest recorded vote at the earliest preceding stage at which they had unequal votes shall be transferred first, and
- (b) the votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between those candidates by lot, and the transferable ballot documents of the candidate on whom the lot falls shall be transferred first.

STV48.2 The returning officer shall, on each transfer of transferable ballot documents under rule STV47:

- (a) record the total value of the votes transferred to each candidate,
- (b) add that value to the previous total of votes recorded for each candidate and record the new total,
- (c) record as non-transferable votes the difference between the surplus and the total transfer value of the transferred votes and add that difference to the previously recorded total of non-transferable votes, and
- (d) compare:
 - (i) the total number of votes then recorded for all of the candidates, together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.

STV48.3 All ballot documents transferred under rule STV47 or STV49 shall be clearly marked, either individually or as a sub-parcel, so as to indicate the transfer value recorded at that time to each vote on that ballot document or, as the case may be, all the ballot documents in that sub-parcel.

STV48.4 Where a ballot document is so marked that it is unclear to the returning officer at any stage of the count under rule STV47 or STV49 for which candidate the next preference is recorded, the returning officer shall treat any vote on that ballot document as a non-transferable vote; and votes on a ballot document shall be so treated where, for example, the names of two or more candidates (whether continuing candidates or not) are so marked that, in the opinion of the returning officer, the same order of preference is indicated or the numerical sequence is broken.

STV49. Exclusion of candidates

- STV49.1 If:
- (a) all transferable ballot documents which under the provisions of rule STV47 (including that rule as applied by rule STV49.11) and this rule are required to be transferred, have been transferred, and
 - (b) subject to rule STV50, one or more vacancies remain to be filled,
- the returning officer shall exclude from the election at that stage the candidate with the then lowest vote (or, where rule STV49.12 applies, the candidates with the then lowest votes).
- STV9.2 The returning officer shall sort all the ballot documents on which first preference votes are given for the candidate or candidates excluded under rule STV49.1 into two sub-parcels so that they are grouped as:
- (a) ballot documents on which a next available preference is given, and
 - (b) ballot documents on which no such preference is given (thereby including ballot documents on which preferences are given only for candidates who are deemed to be elected or are excluded).
- STV49.3 The returning officer shall, in accordance with this rule and rule STV48, transfer each sub- parcel of ballot documents referred to in rule STV49.2 to the candidate for whom the next available preference is given on those ballot documents.
- STV49.4 The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.
- STV49.5 If, subject to rule STV50, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable ballot documents, if any, which had been transferred to any candidate excluded under rule STV49.1 into sub- parcels according to their transfer value.
- STV49.6 The returning officer shall transfer those ballot documents in the sub-parcel of transferable ballot documents with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those ballot documents (thereby passing over candidates who are deemed to be elected or are excluded).
- STV49.7 The vote on each transferable ballot document transferred under rule STV49.6 shall be at the value at which that vote was received by the candidate excluded under rule STV49.1.
- STV9.8 Any ballot documents on which no next available preferences have been expressed shall be set aside as non-transferable votes.
- STV49.9 After the returning officer has completed the transfer of the ballot documents in the sub- parcel of ballot documents with the highest transfer value he or she shall proceed to transfer in the same way the sub-parcel of ballot documents with the next highest value and so on until he has dealt with each sub-parcel of a candidate excluded under rule STV49.1.
- STV49.10 The returning officer shall after each stage of the count completed under this rule:
- (a) record:
 - (i) the total value of votes, or
 - (ii) the total transfer value of votes transferred to each candidate,
 - (b) add that total to the previous total of votes recorded for each candidate and record the new total,

- (c) record the value of non-transferable votes and add that value to the previous non-transferable votes total, and
- (d) compare:
 - (i) the total number of votes then recorded for each candidate together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.

STV49.11 If after a transfer of votes under any provision of this rule, a candidate has a surplus, that surplus shall be dealt with in accordance with rules STV47.5 to STV47.10 and rule STV48.

STV49.12 Where the total of the votes of the two or more lowest candidates, together with any surpluses not transferred, is less than the number of votes credited to the next lowest candidate, the returning officer shall in one operation exclude such two or more candidates.

STV49.13 If when a candidate has to be excluded under this rule, two or more candidates each have the same number of votes and are lowest:

- (a) regard shall be had to the total number of votes credited to those candidates at the earliest stage of the count at which they had an unequal number of votes and the candidate with the lowest number of votes at that stage shall be excluded, and
- (b) where the number of votes credited to those candidates was equal at all stages, the returning officer shall decide between the candidates by lot and the candidate on whom the lot falls shall be excluded.

STV50. Filling of last vacancies

STV50.1 Where the number of continuing candidates is equal to the number of vacancies remaining unfilled the continuing candidates shall thereupon be deemed to be elected.

STV50.2 Where only one vacancy remains unfilled and the votes of any one continuing candidate are equal to or greater than the total of votes credited to other continuing candidates together with any surplus not transferred, the candidate shall thereupon be deemed to be elected.

STV50.3 Where the last vacancies can be filled under this rule, no further transfer of votes shall be made.

STV51. Order of election of candidates

STV51.1 The order in which candidates whose votes equal or exceed the quota are deemed to be elected shall be the order in which their respective surpluses were transferred, or would have been transferred but for rule STV47.10.

STV51.2 A candidate credited with a number of votes equal to, and not greater than, the quota shall, for the purposes of this rule, be regarded as having had the smallest surplus at the stage of the count at which he obtained the quota.

STV51.3 Where the surpluses of two or more candidates are equal and are not required to be transferred, regard shall be had to the total number of votes credited to such candidates at the earliest stage of the count at which they had an unequal number of votes and the surplus of the candidate who had the greatest number of votes at that stage shall be deemed to be the largest.

STV51.4 Where the number of votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between them by lot and the candidate on

whom the lot falls shall be deemed to have been elected first.

FPP51. Equality of votes

FPP51.1 Where, after the counting of votes is completed, an equality of votes is found to exist between any candidates and the addition of a vote would entitle any of those candidates to be declared elected, the returning officer is to decide between those candidates by a lot, and proceed as if the candidate on whom the lot falls had received an additional vote.

FPP52. Declaration of result for contested elections

FPP52.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:

- (a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the Council of Governors from the constituency, or class within a constituency, for which the election is being held to be elected,
- (b) give notice of the name of each candidate who he or she has declared elected:
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chairman of the NHS Trust, or
 - (ii) in any other case, to the chairman of the corporation; and
- (c) give public notice of the name of each candidate whom he or she has declared elected.

FPP52.2 The returning officer is to make:

- (a) the total number of votes given for each candidate (whether elected or not), and
- (b) the number of rejected ballot papers under each of the headings in rule FPP44.5,
- (c) the number of rejected text voting records under each of the headings in rule FPP44.10,

available on request.

STV52. Declaration of result for contested elections

STV52.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:

- (a) declare the candidates who are deemed to be elected under Part 6 of these rules as elected,
- (b) give notice of the name of each candidate who he or she has declared elected –
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chairman of the NHS Trust, or
 - (ii) in any other case, to the chairman of the corporation, and
- (c) give public notice of the name of each candidate who he or she has declared elected.

STV52.2 The returning officer is to make:

- (a) the number of first preference votes for each candidate whether elected or not,
- (b) any transfer of votes,
- (c) the total number of votes for each candidate at each stage of the count at which such transfer took place,
- (d) the order in which the successful candidates were elected, and

- (e) the number of rejected ballot papers under each of the headings in rule STV44.1,
- (f) the number of rejected text voting records under each of the headings in rule STV44.3,

available on request.

53. Declaration of result for uncontested elections

53.1 In an uncontested election, the returning officer is to as soon as is practicable after final day for the delivery of notices of withdrawals by candidates from the election:

- (a) declare the candidate or candidates remaining validly nominated to be elected,
- (b) give notice of the name of each candidate who he or she has declared elected to the chairman of the corporation, and
- (c) give public notice of the name of each candidate who he or she has declared elected.

54. Sealing up of documents relating to the poll

54.1 On completion of the counting at a contested election, the returning officer is to seal up the following documents in separate packets:

- (a) the counted ballot papers, internet voting records, telephone voting records and text voting records,
- (b) the ballot papers and text voting records endorsed with "rejected in part",
- (c) the rejected ballot papers and text voting records, and
- (d) the statement of rejected ballot papers and the statement of rejected text voting records,

and ensure that complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.

54.2 The returning officer must not open the sealed packets of:

- (a) the disqualified documents, with the list of disqualified documents inside it,
- (b) the list of spoiled ballot papers and the list of spoiled text message votes,
- (c) the list of lost ballot documents, and
- (d) the list of eligible voters,

or access the complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 and held in a device suitable for the purpose of storage.

54.3 The returning officer must endorse on each packet a description of:

- (a) its contents,
- (b) the date of the publication of notice of the election,
- (c) the name of the corporation to which the election relates, and
- (d) the constituency, or class within a constituency, to which the election relates.

55. Delivery of documents

55.1 Once the documents relating to the poll have been sealed up and endorsed pursuant to rule 56, the returning officer is to forward them to the chair of the corporation.

56. Forwarding of documents received after close of the poll

56.1 Where:

- (a) any voting documents are received by the returning officer after the close of the poll, or
- (b) any envelopes addressed to eligible voters are returned as undelivered too late to be resent, or
- (c) any applications for replacement voting information are made too late to enable new

voting information to be issued,

the returning officer is to put them in a separate packet, seal it up, and endorse and forward it to the chairman of the corporation.

57. Retention and public inspection of documents

57.1 The corporation is to retain the documents relating to an election that are forwarded to the chair by the returning officer under these rules for one year, and then, unless otherwise directed by the board of directors of the corporation, cause them to be destroyed.

57.2 With the exception of the documents listed in rule 58.1, the documents relating to an election that are held by the corporation shall be available for inspection by members of the public at all reasonable times.

57.3 A person may request a copy or extract from the documents relating to an election that are held by the corporation, and the corporation is to provide it, and may impose a reasonable charge for doing so.

58. Application for inspection of certain documents relating to an election

58.1 The corporation may not allow:

- (a) the inspection of, or the opening of any sealed packet containing –
 - (i) any rejected ballot papers, including ballot papers rejected in part,
 - (ii) any rejected text voting records, including text voting records rejected in part,
 - (iii) any disqualified documents, or the list of disqualified documents,
 - (iv) any counted ballot papers, internet voting records, telephone voting records or text voting records, or
 - (v) the list of eligible voters, or
- (b) access to or the inspection of the complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 and held in a device suitable for the purpose of storage,

by any person without the consent of the board of directors of the corporation.

58.2 A person may apply to the board of directors of the corporation to inspect any of the documents listed in rule 58.1, and the board of directors of the corporation may only consent to such inspection if it is satisfied that it is necessary for the purpose of questioning an election pursuant to Part 11.

58.3 The board of directors of the corporation's consent may be on any terms or conditions that it thinks necessary, including conditions as to –

- (a) persons,
- (b) time,
- (c) place and mode of inspection,
- (d) production or opening,

and the corporation must only make the documents available for inspection in accordance with those terms and conditions.

58.4 On an application to inspect any of the documents listed in rule 58.1 the board of

directors of the corporation must:

- (a) in giving its consent, and
- (b) in making the documents available for inspection

ensure that the way in which the vote of any particular member has been given shall not be disclosed, until it has been established –

- (i) that his or her vote was given, and
- (ii) that NHS England has declared that the vote was invalid.

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

FPP59. Countermand or abandonment of poll on death of candidate

FPP59.1 If at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to:

- (a) countermand notice of the poll, or, if voting information has been issued, direct that the poll be abandoned within that constituency or class, and
- (b) order a new election, on a date to be appointed by him or her in consultation with the corporation, within the period of 40 days, computed in accordance with rule 3 of these rules, beginning with the day that the poll was countermanded or abandoned.

FPP59.2 Where a new election is ordered under rule FPP59.1, no fresh nomination is necessary for any candidate who was validly nominated for the election where the poll was countermanded or abandoned but further candidates shall be invited for that constituency or class.

FPP59.3 Where a poll is abandoned under rule FPP59.1(a), rules FPP59.4 to FPP59.7 are to apply.

FPP59.4 The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 38 and 39, and is to make up separate sealed packets in accordance with rule 40.

FPP59.5 The returning officer is to:

- (a) count and record the number of ballot papers, internet voting records, telephone voting records and text voting records that have been received,
- (b) seal up the ballot papers, internet voting records, telephone voting records and text voting records into packets, along with the records of the number of ballot papers, internet voting records, telephone voting records and text voting records and

ensure that complete electronic copies of the internet voting records telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.

FPP59.6 The returning officer is to endorse on each packet a description of:

- (a) its contents,
- (b) the date of the publication of notice of the election,
- (c) the name of the corporation to which the election relates, and
- (d) the constituency, or class within a constituency, to which the election relates.

FPP59.7 Once the documents relating to the poll have been sealed up and endorsed pursuant to rules FPP59.4 to FPP59.6, the returning officer is to deliver them to the chairman of the corporation, and rules 57 and 58 are to apply.

STV59. Countermand or abandonment of poll on death of candidate

STV59.1 If, at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a

candidate has died, then the returning officer is to:

- (a) publish a notice stating that the candidate has died, and
- (b) proceed with the counting of the votes as if that candidate had been excluded from the count so that –
 - (i) ballot documents which only have a first preference recorded for the candidate that has died, and no preferences for any other candidates, are not to be counted, and
 - (ii) ballot documents which have preferences recorded for other candidates are to be counted according to the consecutive order of those preferences, passing over preferences marked for the candidate who has died.

STV59.2 The ballot documents which have preferences recorded for the candidate who has died are to be sealed with the other counted ballot documents pursuant to rule 54.1(a).

Election expenses

60. Election expenses

60.1 Any expenses incurred, or payments made, for the purposes of an election which contravene this Part are an electoral irregularity, which may only be questioned in an application made to NHS England under Part 11 of these rules.

61. Expenses and payments by candidates

61.1 A candidate may not incur any expenses or make a payment (of whatever nature) for the purposes of an election, other than expenses or payments that relate to:

- (a) personal expenses,
- (b) travelling expenses, and expenses incurred while living away from home, and
- (c) expenses for stationery, postage, telephone, internet (or any similar means of communication) and other petty expenses, to a limit of £100.

62. Election expenses incurred by other persons

62.1 No person may:

- (a) incur any expenses or make a payment (of whatever nature) for the purposes of a candidate's election, whether on that candidate's behalf or otherwise, or
- (b) give a candidate or his or her family any money or property (whether as a gift, donation, loan, or otherwise) to meet or contribute to expenses incurred by or on behalf of the candidate for the purposes of an election.

62.2 Nothing in this rule is to prevent the corporation from incurring such expenses, and making such payments, as it considers necessary pursuant to rules 63 and 64.

Publicity

63. Publicity about election by the corporation

63.1 The corporation may:

- (a) compile and distribute such information about the candidates, and
- (b) organise and hold such meetings to enable the candidates to speak and respond to questions,

as it considers necessary.

63.2 Any information provided by the corporation about the candidates, including information compiled by the corporation under rule 64, must be:

- (a) objective, balanced and fair,
- (b) equivalent in size and content for all candidates,
- (c) compiled and distributed in consultation with all of the candidates standing for election, and

- (d) must not seek to promote or procure the election of a specific candidate or candidates, at the expense of the electoral prospects of one or more other candidates.

63.3 Where the corporation proposes to hold a meeting to enable the candidates to speak, the corporation must ensure that all of the candidates are invited to attend, and in organising and holding such a meeting, the corporation must not seek to promote or procure the election of a specific candidate or candidates at the expense of the electoral prospects of one or more other candidates.

64. Information about candidates for inclusion with voting information

64.1 The corporation must compile information about the candidates standing for election, to be distributed by the returning officer pursuant to rule 24 of these rules.

64.2 The information must consist of:

- (a) a statement submitted by the candidate of no more than 250 words, and
- (b) if voting by telephone or text message is a method of polling for the election, the numerical voting code allocated by the returning officer to each candidate, for the purpose of recording votes using the telephone voting facility or the text message voting facility (“numerical voting code”)

65. Meaning of “for the purposes of an election”

65.1 In this Part, the phrase “for the purposes of an election” means with a view to, or otherwise in connection with, promoting or procuring a candidate’s election, including the prejudicing of another candidate’s electoral prospects; and the phrase “for the purposes of a candidate’s election” is to be construed accordingly.

65.2 The provision by any individual of his or her own services voluntarily, on his or her own time, and free of charge is not to be considered an expense for the purposes of this Part.

66. Application to question an election

66.1 An application alleging a breach of these rules, including an electoral irregularity under Part 10, may be made to NHS England for the purpose of seeking a referral to the independent election arbitration panel (IEAP).

66.2 An application may only be made once the outcome of the election has been declared by the returning officer.

66.3 An application may only be made to NHS England by:

- (a) a person who voted at the election or who claimed to have had the right to vote, or
- (b) a candidate, or a person claiming to have had a right to be elected at the election.

66.4 The application must:

- (a) describe the alleged breach of the rules or electoral irregularity, and
- (b) be in such a form as the independent panel may require.

66.5 The application must be presented in writing within 21 days of the declaration of the result of the election. NHS England will refer the application to the independent election arbitration panel appointed by NHS England.

66.6 If the independent election arbitration panel requests further information from the applicant, then that person must provide it as soon as is reasonably practicable.

66.7 NHS England shall delegate the determination of an application to a person or panel of persons to be nominated for the purpose.

66.8 The determination by the IEAP shall be binding on and shall be given effect by the corporation, the applicant and the members of the constituency (or class within a constituency) including all the candidates for the election to which the application relates.

66.9 The IEAP may prescribe rules of procedure for the determination of an application including costs.

67. Secrecy

67.1 The following persons:

- (a) the returning officer,
- (b) the returning officer's staff,

must maintain and aid in maintaining the secrecy of the voting and the counting of the votes, and must not, except for some purpose authorised by law, communicate to any person any information as to:

- (i) the name of any member of the corporation who has or has not been given voting information or who has or has not voted,
- (ii) the unique identifier on any ballot paper,
- (iii) the voter ID number allocated to any voter,
- (iv) the candidate(s) for whom any member has voted.

67.2 No person may obtain or attempt to obtain information as to the candidate(s) for whom a voter is about to vote or has voted, or communicate such information to any person at any time, including the unique identifier on a ballot paper given to a voter or the voter ID number allocated to a voter.

67.3 The returning officer is to make such arrangements as he or she thinks fit to ensure that the individuals who are affected by this provision are aware of the duties it imposes.

68. Prohibition of disclosure of vote

68.1 No person who has voted at an election shall, in any legal or other proceedings to question the election, be required to state for whom he or she has voted.

69. Disqualification

69.1 A person may not be appointed as a returning officer, or as staff of the returning officer pursuant to these rules, if that person is:

- (a) a member of the corporation,
- (b) an employee of the corporation,
- (c) a director of the corporation, or
- (d) employed by or on behalf of a person who has been nominated for election.

70. Delay in postal service through industrial action or unforeseen event

70.1 If industrial action, or some other unforeseen event, results in a delay in:

- (a) the delivery of the documents in rule 24, or
- (b) the return of the ballot papers,

the returning officer may extend the time between the publication of the notice of the poll and the close of the poll by such period as he or she considers appropriate.

ANNEX 3: INVESTIGATION PROCEDURE - GOVERNORS

1. Where the Company Secretary considers that serious or substantial concerns have been raised about a governor, the Company Secretary shall convene a panel comprising a minimum of three (3) individuals (who, for the avoidance of doubt, do not have to be governors) to consider those concerns and to decide on the appropriate course of action (the "Panel").
2. The Chair shall usually determine the membership of the Panel. The Panel will usually comprise the Chair, the Lead Governor and the chair of a sub-group of the Council of Governors. If the matter concerns the Lead Governor, then an alternative individual shall be appointed to the Panel. The Chair may, where appropriate, delegate to another individual responsibility for selecting the membership of the Panel.
3. If the Panel determines that an investigation is required, the Panel, with support from the Company Secretary (or alternative appropriate individual(s) if considered appropriate), shall decide who shall carry out the investigation and shall determine the terms of reference for the investigation. The Panel may be joined by advisors (including legal advisors) for any part of any proceedings before them, but all decisions of the Panel will be the Panel's alone.
4. The Panel shall determine whether any restrictions should be imposed on the governor's activities and, if so, for what period of time pending the resolution of the concerns. The restrictions may include:
 - (i) requiring the governor not to access the Trust's sites for the purposes of his/ her governor role; and
 - (ii) requiring the governor not to attend meetings of the Council of Governors or of any sub-group of which the governor is a member.
5. If the Panel determines that an investigation is warranted and the governor fails to comply with the investigative process, the Panel may recommend to the Council of Governors that the governor is removed from office.
6. If the Panel determines that an investigation is not warranted, the Panel shall make a recommendation to the Council of Governors about how to proceed.
7. The Panel shall be responsible for determining the timeline for each stage of the process conducted in accordance with this Annex 3. If the governor fails to engage with any stage of the process within the timeline stipulated by the Panel, the Panel may recommend to the Council of Governors that the governor is removed from office.

Investigation

8. Where an investigation is to be carried out, the investigator shall comply with the terms of reference for the investigation, which shall include preparing a report for the Panel.
9. On receiving the investigator's report, the Panel shall invite the governor concerned to make written and/or oral representations to the Panel. The governor may be accompanied by a representative at his/her own cost.
10. Having considered the investigator's report and the representations of the governor concerned, the Panel shall make a recommendation to the Council of Governors as to a proposed course of conduct, which may include removing the governor from office.

Decision of the Council of Governors

11. The Company Secretary shall convene a meeting of the Council of Governors, which shall be held in private session, to consider the Panel's recommendation. The Council of Governors may request a member of the Panel to attend the meeting to present the Panel's recommendation and, where an investigation has been carried out, the findings of the investigation.

12. The Council of Governors shall decide whether to accept the Panel's recommendation or whether another course of action is appropriate. The Council of Governors may only consider a proposal to remove the governor from office if this has been recommended by the Panel.
13. Any decision of the Council of Governors to remove the governor from office shall require the approval of three-quarters of the members of the Council of Governors present and voting. Any such decision shall only take effect in accordance with paragraph 15 below.
14. The Company Secretary shall give notice in writing to the governor concerned of the Council of Governor's decision within seven (7) days of the date of the meeting at which the decision was taken.
15. If the Council of Governors resolves to remove the governor from office, that resolution shall only take effect:
 - (i) on the expiry of seven (7) days, if the governor does not dispute the decision; or
 - (ii) where an independent assessor is appointed and confirms in writing that, in his or her view, the decision of the Council of Governors to remove the governor from office was reasonable.

Independent Assessor

16. If the Council of Governors resolves to remove the governor from office and the governor concerned disputes this decision, he or she may request that the matter is referred to an independent assessor, who shall determine whether the proposed removal of the governor from office is reasonable. Any such request must be made in writing to the Company Secretary within seven (7) days of receipt by the governor of the notice of the Council of Governors' decision.
17. In the event that the governor requests that the matter is referred to an independent assessor, the Trust and the governor concerned shall try to agree on the identity of the independent assessor, who may be, for example, the Senior Independent Director or the Chief Executive of another Trust. Where the Trust and the governor are unable to reach agreement, the Trust acting reasonably shall appoint the assessor.
18. If the governor requests that the matter is referred to an independent assessor pursuant to paragraph 16, the governor shall remain subject to any restrictions imposed by the Panel on his or her activities pursuant to paragraph 4 above until such time as the independent assessor confirms his decision. The Panel shall consider whether such restrictions remain appropriate and may make any variations that it considers fit.
19. Once the independent assessor has notified the parties in writing of his or her decision, the parties shall take such steps (if any) as are required to give effect to that decision.

ANNEX 4: INVESTIGATION PROCEDURE – NON-EXECUTIVE DIRECTORS

Where the Trust has received a formal complaint in relation to the Chair or any other non-executive director, or where there is reason to believe there are grounds for removal of the Chair or any other non-executive director, the procedure outlined in this Annex 4 shall apply. For the purpose of this Annex 4, the term '*Chair of the Nominations Committee*' shall mean the Chair, save in circumstances where the Chair is under investigation, in which case the reference to the Chair of the Nominations Committee shall be interpreted as a reference to the Vice Chair.

Investigation

1. The Chair of the Nominations Committee shall commission an investigation and appoint a suitably experienced investigating officer (who may be external to the Trust) to investigate the facts and establish whether there is a case to answer and to prepare a report for the Nominations Committee.
2. The investigating officer shall not be responsible for recommending to the Council of Governors an appropriate course of action, as this is the responsibility of the Nominations Committee.
3. Investigation and fact finding should be undertaken in a timely way and where possible should take no longer than six weeks.
4. The non-executive director concerned shall be invited to make written and/or oral representations to the investigating officer in respect of the matter, and such representations must be provided within a period of twenty-eight (28) days from the date of the invitation. Any representations received shall be considered by the investigating officer and contained within their written report. The non-executive director concerned may be accompanied at his or her own cost.
5. The Nominations Committee may at any time determine that it is in the best interests of the Trust for the non-executive director concerned to be suspended from the Board of Directors pending the outcome of the investigation. A suspension risk assessment will be completed in conjunction with the Chief People Officer. Suspension shall not be applied automatically and will be considered on a case-by-case basis. The suspension of a non-executive director shall be reviewed by the Chair of the Nominations Committee after a period of twenty-eight (28) calendar days, and every fourteen (14) calendar days thereafter until such time as the matter has been determined.

Recommendation by the Nominations Committee

6. The Nominations Committee shall receive the report of the investigating officer and shall make a recommendation to the Council of Governors as to a proposed course of action (which may include no action to be taken) as soon as reasonably practicable and shall give notice in writing of that recommendation to the person concerned within seven (7) days of the recommendation being made.
7. The recommendation shall be based on a majority vote of the Nominations Committee and, for the avoidance of doubt, it is not the Nominations Committee's responsibility to reach a decision itself, as this is the responsibility of the Council of Governors.

Decision of the Council of Governors

8. The Company Secretary shall convene on behalf of the Nominations Committee an extraordinary meeting of the Council of Governors, which shall be held in private session, on no less than fourteen (14) calendar days' notice given to both the Council of Governors and the non-executive director concerned. A representative of the Nominations Committee should present the findings of the investigation and make the appropriate recommendation to the Council of Governors.
9. The Council of Governors will consider the Nominations Committee's recommendation but is at liberty to reject the Nominations Committee's recommendation in reaching its decision.

10. The Council of Governors will receive representations from both the Nominations Committee and from the non-executive director concerned. If the non-executive director concerned fails to attend the Council meeting without due cause, the Council meeting may proceed in his or her absence.
11. The Council of Governors should only exercise its power to remove the Chair or another non-executive director as a last resort. Reasons for removal will depend on the particular circumstances and may include, but are not limited to:
 - (i) material breach of the Trust's code of conduct;
 - (ii) the non-executive director concerned having acted in a manner detrimental to the interests of the Trust;
 - (iii) the Council of Governors consider that it is not in the best interests of the Trust for the non-executive director concerned to continue on the Board;
 - (iv) the non-executive director concerned losing the confidence of the Council of Governors and/or the Board of Directors; and/or
 - (v) there are grounds for disqualification under paragraph 12.17 of the Constitution.
12. A decision of the Council of Governors to:
 - (i) remove a non-executive director (including the Trust Chair) requires the approval of three-quarters of the total number of governors (not just those governors present and voting at the extraordinary meeting of the Council of Governors); or
 - (ii) take no action or implement any other 'non-removal' sanction requires the approval of more than half of those governors present and voting at the relevant extraordinary meeting of the Council of Governors.
13. In making its decision, the Council of Governors shall adhere to the following:
 - (i) any proposal for removal must have been recommended by the Nominations Committee (in accordance with paragraphs 6 and 7 above);
 - (ii) reasons for the proposal must be provided to the non-executive director concerned who shall be given the opportunity to respond to such reasons;
 - (iii) in making a decision on any proposal, the Council of Governors shall take into account the annual appraisal of the relevant non-executive director; and
 - (iv) if any proposal to remove a non-executive director is not approved at the relevant extraordinary meeting of the Council of Governors, no further proposal can be put forward to remove such non-executive director based upon the same reasons within twelve (12) months of the meeting.
14. The decision of the Council of Governors will be confirmed in writing (including the reasons for the decision) to the person concerned by the Company Secretary within seven (7) days of the date of the extraordinary meeting of the Council of Governors.