

North Tees and Hartlepool NHS Foundation Trust

Constitution

[updated: September 2021]

**North Tees and Hartlepool NHS Foundation Trust Constitution
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1. **Name**

The name of the foundation trust is North Tees and Hartlepool NHS Foundation Trust (the “trust”).

2. **Principal purpose**

The principal purpose of the trust is the provision of goods and services for the purposes of the health service in England.

2.1 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 service for any other purposes.

2.2 The trust may provide goods and services for any purposes related to –

2.2.1 the provision of services provided to individuals for or in connection with the prevention, diagnosis or treatment of illness, and

2.2.2 the promotion and protection of public health.

2.3 The trust may also carry on activities other than those mentioned in the above paragraph for the purpose of making additional income available in order better to carry on its principal purpose.

3. **Powers**

3.1 The powers of the trust are set out in the 2006 Act.

3.2 The powers of the trust shall be exercised by the Board of Directors on behalf of the trust.

3.3 The powers of the Board of Directors, which may be delegated to a committee of directors or to an executive director, are detailed in the 2006 Act and in the trust’s reservation of powers to the board and delegations of powers.

4. **Membership and constituencies**

4.1 The trust shall have members, each of whom shall be a member of one of the following constituencies:

4.1.1 a public constituency; and

4.1.2 a staff constituency

4.2 In deciding which areas are to comprise the public constituency, or in deciding whether there should be a patients’ constituency, the trust shall have regard to the need for those eligible for such membership to be representative of those to whom the trust provides services.

5. **Application for membership**

An individual who is eligible to become a member of the trust may do so on application to the trust.

6. Public constituency

- 6.1 An individual who lives in an area specified in Annex 1 as an area for a public constituency may become or continue as a member of the trust.
- 6.2 Those individuals who live in an area specified as an area for any public constituency are referred to collectively as the public constituency.
- 6.3 The minimum number of members in each area for the public constituency is specified in Annex 1.
- 6.4 For the avoidance of doubt, individuals who solely fulfil an unpaid voluntary role with the trust shall form part of the public constituency.

7. Staff constituency

- 7.1 An individual who is employed by the trust and / or a subsidiary organisation, under a contract of employment may become or continue as a member of the trust provided:
 - 7.1.1 they are employed by the trust and / or a subsidiary organisation under a contract of employment which has no fixed term or has a fixed term of at least 12 months; or
or
 - 7.1.2 They have been continuously employed by the trust and / or a subsidiary organisation, under a contract of employment for at least 12 months.
- 7.2 Individuals, who exercise functions for the purposes of the trust (which for the avoidance of doubt shall not include non-executive directors), otherwise than under a contract of employment with the trust, may become or continue as members of the staff constituency provided such individuals have exercised these functions continuously for a period of at least 12 months.
- 7.3 Those individuals who are eligible for membership of the trust by reason of the previous provisions are referred to collectively as the staff constituency.
- 7.4 The minimum number of members in the staff constituency is specified in Annex 2.
- 7.5 Automatic membership by default – staff

An individual who is:
 - 7.5.1 eligible to become a member of the staff constituency, and
 - 7.5.2 invited by the trust to become a member of the staff constituency.shall become a member of the trust as a member of the staff constituency and without an application being made, unless they inform the trust that they do not wish to do so.

8. Restriction on membership

- 8.1 An individual, who is a member of a constituency, or of a class within a constituency, may not while membership of that constituency or class continues, be a member of any other constituency or class.
- 8.2 An individual who satisfies the criteria for membership of the staff constituency may not become or continue as a member of any constituency other than the staff constituency.
- 8.3 Further provisions as to the circumstances in which an individual may not become or continue as a member of the trust are set out in Annex 8 – Further Provisions.
- 8.4 An individual must be at least 16 years old to become a member of the trust.

9. Council of Governors – composition

- 9.1 The trust shall have a Council of Governors, which shall comprise both elected and appointed governors.
- 9.2 The composition of the Council of Governors is specified in Annex 3.
- 9.3 The members of the Council of Governors, other than the appointed members, shall be chosen by election by their constituency or, where there are classes within a constituency, by their class within that constituency. The number of governors to be elected by each constituency, or, where appropriate, by each class of each constituency, is specified in Annex 1 and Annex 3.

10. Council of Governors – election of governors

- 10.1 Elections for elected members of the Council of Governors shall be conducted in accordance with the model rules for elections, as may be varied from time to time by NHS Providers or its successor body.
- 10.2 The model rules for elections, as may be varied from time to time by NHS Providers or its successor body, form part of this constitution and those current at the date of the trust's authorisation are attached at Annex 4.
- 10.3 For the avoidance of doubt, any such amendments made to the model rules for elections from time to time do not require consultation and/or approval in accordance with paragraph 37 of this constitution. For the avoidance of doubt, the trust cannot amend the model rules for elections.
- 10.4 An election, if contested, shall be by secret ballot.
- 10.5 Election of lead governor
 - 10.5.1 The Council of Governors will elect a lead governor from among their number, who shall on any occasion when direct contact with the Regulator is required, facilitate that contact between the governors and the Regulator.
 - 10.5.2 If a lead governor ceases to hold the office for any reason, the company secretary shall send out nominations forms for appointment as lead governor not less than 15 clear days prior to the next meeting of the Council

of Governors. (If a lead governor ceases to hold the office less than 15 clear days before a scheduled meeting of the Council of Governors, the company secretary shall send out nominations forms not less than 15 clear days before the next following meeting of the Council of Governors.) Each nomination shall be made in writing by the governor seeking appointment and must be returned to the principal place of business of the trust addressed to the company secretary to arrive not less than 3 days before the meeting.

- 10.5.3 If there are two or more nominations for appointment a secret ballot shall be held of all the governors present at the meeting with each governor present having one vote. Nominees may not vote.
- 10.5.4 The meeting shall adjourn while the ballot is taken and the governor whose nomination receives the largest number of votes shall be appointed as lead governor.
- 10.5.5 In the event of an equality of votes the chair of the meeting shall have a casting vote.
- 10.5.6 The result of the ballot shall be announced at the meeting.
- 10.5.7 This appointment shall be made from the public governors.
- 10.5.8 This appointment shall be for the remaining term of office of the governor elected.
- 10.5.9 The lead governor may resign from the office at any time by giving written notice to the company secretary, and shall cease to hold the office if they cease to be a governor.
- 10.5.10 The duties of the lead governor are as defined in the NHS foundation trust code of governance.

11. Council of Governors – tenure

Subject to the provisions of paragraph 12:

- 11.1 An elected governor may hold office for a period of up to 3 years initially.
- 11.2 An elected governor shall be eligible for re-election at the end of their term.
- 11.3 Following completion of six years service, an elected governor may state their intention to be considered for re-election to the chair, Lead Governor and Company Secretary subject to satisfactory performance, and every three years thereafter.
- 11.4 An elected governor shall cease to hold office if they cease to be a member of the constituency or class by which they were elected.
- 11.5 An appointed governor shall remain in office unless notified otherwise by the appointing organisation.

12. Council of Governors – disqualification and removal

12.1 The following may not become or continue as a member of the Council of Governors:

- 12.1.1 a person who has within the preceding 2 years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 12.1.2 a person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;
- 12.1.3 a person who has made a composition or arrangement with, or granted a trust deed for, their creditors and has not been discharged in respect of it;
- 12.1.4 a person who within the preceding 5 years has been convicted in the UK or Europe of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than 3 months (without the option of a fine) was imposed on them;
- 12.1.5 a person who has been convicted of any offence of violence against or dishonesty in relation to a member of the trust's staff or the trust itself.
- 12.1.6 a member of staff who is under investigation for gross misconduct, subject to disciplinary action or has been suspended in the course of their duties until the matter is spent.
- 12.1.7 In addition to those criteria listed above, further provisions as to the circumstances in which an individual may not become or continue as a member of the Council of Governors are set out in Annex 5, paragraph 3.

12.2 Governors must be at least 16 years of age at the date they are nominated for election or appointment.

13. Council of Governors – meetings of governors

13.1 The chair of the trust (that is, the chair of the Board of Directors, appointed in accordance with the provisions of paragraph 20.1) or, in their absence the deputy chair (appointed in accordance with the provisions of paragraph 21 below), shall preside at meetings of the Council of Governors. The Council of Governors is to meet at least 3 times per year.

13.2 Meetings of the Council of Governors shall be open to members of the public. Members of the public may be excluded from a meeting for special reasons including:

- 13.2.1 during the consideration of any material or discussion in relation to a named person employed by or proposed to be employed by the trust;
- 13.2.2 during the consideration of any material or discussion in relation to a named person who is or has been or is likely to become a patient of the trust or a carer in relation to such patient;

- 13.2.3 during the consideration of any matter which, by reason of its nature, the Council is satisfied should be dealt with on a confidential basis;
- 13.2.4 those matters which would be deemed to be confidential for the purposes of the Freedom of Information Act 2000.

14. Council of Governors – standing orders

The standing orders for the practice and procedure of the Council of Governors, as may be varied from time to time, are attached at Annex 6.

15. Council of Governors - conflicts of interest of governors

- 15.1 If a governor has a pecuniary, personal or family interest, whether that interest is actual or potential and whether that interest is direct or indirect, in any proposed contract or other matter which is under consideration or is to be considered by the Council of Governors, the governor shall disclose that interest to the members of the Council of Governors as soon as he becomes aware of it. The standing orders for the Council of Governors shall make provision for the disclosure of interests and arrangements for the exclusion of a governor declaring any interest from any discussion or consideration of the matter in respect of which an interest has been disclosed.

16. Council of Governors – travel expenses

- 16.1 The trust may pay travelling and other expenses to members of the Council of Governors at rates determined by the trust.

17. Council of Governors – further provisions

- 17.1 Further provisions with respect to the Council of Governors are set out in Annex 5.

18. Board of Directors – composition

- 18.1 The trust shall have a Board of Directors, which shall comprise both executive and non-executive voting directors.
- 18.2 The Board of Directors is to comprise:
 - 18.2.1 a non-executive chair
 - 18.2.2 a minimum of 5 other non-executive directors; and
 - 18.2.3 a minimum of 5 executive directors.
- 18.3 One of the executive directors shall be the chief executive.
- 18.4 The chief executive shall be the Accounting Officer.
- 18.5 Where more than one individual is appointed jointly to a post of director, those individuals shall count for the purposes of this paragraph 18 as one person.
- 18.6 One of the executive directors shall be the finance director.

- 18.7 One of the executive directors is to be a registered medical practitioner or a registered dentist (within the meaning of the Dentists Act 1984).
- 18.8 One of the executive directors is to be a registered nurse or a registered midwife.
- 18.9 A fifth voting executive director shall be a designate from the remaining executive director cohort.

19. Board of Directors – qualification for appointment as a non-executive director

A person may be appointed as a non-executive director only if –

- 19.1 They are a member of the public constituency of the trust, and
- 19.2 They meet the fit and proper persons requirements outlined within Regulation 5: Fit and Proper Persons: Directors of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 including all future amendments to the regulation.
- 19.3 They are not disqualified by virtue of paragraph 23 below.

20. Board of Directors – appointment and removal of chair and other non-executive directors

- 20.1 The Council of Governors has the responsibility to appoint or remove the chair and other non-executive directors. The Council of Governors will request that the nominations committee undertakes such activities, and provide a recommendation for the whole of the Council of Governors to consider and agree, this would be undertaken at a general meeting of the Council of Governors.
- 20.2 Removal of the chair or another non-executive director shall require the approval of three-quarters of the members of the Council of Governors.
- 20.3 The appointment of the chair and non-executive directors will be for an initial term of 3 years, further extensions for the chair will be taken to the nominations committee by the chief executive or the company secretary on behalf of the chief executive, and further extensions for the non-executive directors will be taken by the chair. The extensions will be in line with the code of governance.
- 20.4 The Council of Governors has the power to appoint associate non-executive directors in a non-voting capacity as deemed necessary to support the work of the Board of Directors. The appointment process will be delegated to the nominations committee.

21. Board of Directors – appointment of deputy chair and senior independent director

- 21.1 The Board of Directors shall recommend to the Council of Governors, at a general meeting of the Council of Governors, that one of the non-executive directors is appointed as a deputy chair.
- 21.2 Any non-executive director so appointed may at any time resign from the office of deputy chair by giving notice in writing to the chair.

- 21.3 Where the chair of the trust has ceased to hold office, or they are unable to perform their duties owing to illness or any other cause, the deputy chair shall act as chair until a new chair is appointed or the existing chair has resumed their duties. References to the chair in this constitution shall, so long as there is no chair able to perform the relevant duties, be deemed to include references to the deputy chair.
- 21.4 Following consultation with the Council of Governors the Board of Directors shall inform the Council of Governors, at a general meeting of the Council of Governors, that one of the non-executive directors is appointed as a senior independent director.
- 21.5 Any non-executive director so appointed may at any time resign from the office of senior independent director by giving notice in writing to the chair.

22. Board of Directors - appointment and removal of the chief executive and other executive directors

- 22.1 The non-executive directors shall appoint or remove the chief executive. All appointments must satisfy the requirements of Regulation 5: Fit and Proper Persons: Directors of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 including all future amendments to the regulation.
- 22.2 The appointment of the chief executive shall require the approval of the Council of Governors.
- 22.3 A committee consisting of the chair, the chief executive and the other non-executive directors shall appoint or remove the other executive directors. All appointments must satisfy the requirements of Regulation 5: Fit and Proper Persons: Directors of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 including all future amendments to the regulation.

23. Board of Directors – disqualification

- 23.1 The following may not become or continue as a member of the Board of Directors:
- 23.1.1 A person who has within the preceding 2 years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 23.1.2 A person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged.
- 23.1.3 The person is the subject of a bankruptcy restrictions order or an interim bankruptcy restrictions order or an order to like effect made in Scotland or Northern Ireland.
- 23.1.4 The person is a person to whom a moratorium period under a debt relief order applies under Part VIIA (debt relief orders) of the Insolvency Act 1986(1).
- 23.1.5 A person who has made a composition or arrangement with, or granted a trust deed for, their creditors and has not been discharged in respect of it.

- 23.1.6 A person who is subject to an unexpired disqualification order made under the Company Directors' Disqualification Act 1986.
 - 23.1.7 The person is included in the children's barred list or the adults' barred list maintained under section 2 of the Safeguarding Vulnerable Groups Act 2006, or in any corresponding list maintained under an equivalent enactment in force in Scotland or Northern Ireland.
 - 23.1.8 The person is prohibited from holding the relevant office or position, or in the case of an individual from carrying on the regulated activity, by or under any enactment.
 - 23.1.9 A person who within the preceding 5 years has been convicted in the British Islands and/or the European Union of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than 3 months (without the option of a fine) was imposed on them.
 - 23.1.10 A person has been responsible for, privy to, contributed to or facilitated any serious misconduct or mismanagement (whether unlawful or not) in the course of carrying on a regulated activity or providing a service elsewhere which, if provided in England, would be a regulated activity.
 - 23.1.10 A non-executive director who is no longer a member of the public constituency.
 - 23.1.11 A person who is unable or unwilling to sign an annual declaration that they continue to meet the Care Quality Commission's Fit and Proper Persons regulations.
- 23.2 The trust may suspend or agree leave of absence in the event of any investigation into matters associated with an executive director.

24. Board of Directors – standing orders

- 24.1 The standing orders for the practice and procedure of the Board of Directors, as may be varied from time to time, are attached at Annex 7.

25. Board of Directors - conflicts of interest of directors

- 25.1 Each director has 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. This duty is not infringed if the situation cannot reasonably be regarded as likely to give rise to a conflict of interest, or if the matter has been authorised in accordance with this constitution.
- 25.2 Each director has 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. This duty is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.
- 25.3 If a director is aware that they have in any way a direct or indirect interest in a proposed transaction or arrangement with the trust, they shall disclose the nature and extent of that interest to the other directors as soon as they are aware of it and in all cases, before the trust enters into the transaction or arrangement. If any

declaration proves to be or becomes inaccurate or incomplete, the director shall make a further declaration.

- 25.4 A director need not declare an interest:
- 25.4.1 if it cannot reasonably be regarded as likely to give rise to a conflict of interest;
 - 25.4.2 if, or to the extent that, all the directors are already aware of it;
 - 25.4.3 if, or to the extent that, it concerns terms of the director's appointment that have been or are to be considered;
 - (a) by a meeting of the Board of Directors; or
 - (b) by a committee of the directors appointed for that purpose under this constitution.
- 25.5 The Board of Directors shall adopt standing orders specifying the arrangements for excluding directors from discussion or consideration of the contract or other matter as appropriate.

26. Board of Directors – remuneration and terms of office

- 26.1 The Council of Governors has the responsibility to review the remuneration and allowances, and the other terms and conditions of office, of the chair and other non-executive directors, but shall delegate this responsibility to the nominations committee, who will report back to the whole of the Council of Governors for final approval at a general meeting of the Council of Governors.
- 26.2 The trust shall establish a remuneration committee of non-executive directors to decide the remuneration and allowances, and the other terms and conditions of office, of the chief executive and other executive directors.

27. Registers

The trust shall have:

- 27.1 a register of members showing, in respect of each member, the constituency to which he belongs and, where there are classes within it, the class to which he belongs;
- 27.2 a register of members of the Council of Governors;
- 27.3 a register of interests of governors;
- 27.4 a register of directors; and
- 27.5 a register of interests of the directors.

28. Registers – inspection and copies

- 28.1 The trust shall make the registers specified in paragraph 27 available for inspection by members of the public, except in the circumstances set out below or as otherwise prescribed by regulations.

- 28.2 The trust shall not make any part of its registers available for inspection by members of the public which shows details of:
- 28.2.1 any member of the trust, if the member so requests.
- 28.3 So far as the registers are required to be made available:
- 28.3.1 they are to be available for inspection free of charge at all reasonable times; and
- 28.3.2 a person who requests a copy or extract from the registers is to be provided with a copy or extract.
- 28.4 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.

29. Documents available for public inspection

- 29.1 The trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:
- 29.1.1 a copy of the current constitution;
- 29.1.2 a copy of the latest annual accounts and of any report of the auditor on them;
- 29.1.3 a copy of the latest annual report; and
- 29.2 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:
- 29.2.1 a copy of any order made under section 65D (appointment of trust special administrator), 65J (power to extend time), 65KC (action following Secretary of State's rejection of final report), 65L (trusts coming out of administration) or 65LA (trusts to be dissolved) of the 2006 Act;
- 29.2.2 a copy of any report laid under section 65D (appointment of trust special administrator) of the 2006 Act;
- 29.2.3 a copy of any information published under section 65D (appointment of trust special administrator) of the 2006 Act;
- 29.2.4 a copy of any draft report published under section 65F (administrator's draft report) of the 2006 Act;
- 29.2.5 a copy of any statement provided under section 65F (administrator's draft report) of the 2006 Act;
- 29.2.6 a copy of any notice published under section 65F (administrator's draft report), 65G (consultation plan), 65H (consultation requirements), 65J (power to extend time), 65KA (Regulator's decision), 65KB (Secretary of State's response to Regulator's decision), 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;

- 29.2.7 a copy of any statement published or provided under section 65G (consultation plan) of the 2006 Act;
 - 29.2.8 a copy of any final report published under section 65I (administrator's final report) of the 2006 Act;
 - 29.2.9 a copy of any statement published under section 65J (power to extend time) or 65KC (action following Secretary of State's rejection of final report) of the 2006 Act; and
 - 29.2.10 a copy of any information published under section 65M (replacement of trust special administrator) of the 2006 Act.
- 29.3 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.
- 29.4 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.

30. Auditor

- 30.1 The trust shall have an auditor.
- 30.2 The Council of Governors shall appoint or remove the auditor to the trust. The Council of Governors will request that the governor external audit working group undertake this activity, and provide a recommendation to the whole Council of Governors to consider and agree at a general meeting of the Council of Governors.

31. Audit committee

- 31.1 The trust shall establish a committee of non-executive directors as an audit committee to perform such monitoring, reviewing and other functions as are appropriate.

32. Accounts

- 32.1 The trust must keep proper accounts and proper records in relation to the accounts.
- 32.2 The Regulator may with the approval of the Secretary of State give directions to the trust as to the content and form of its accounts.
- 32.3 The accounts are to be audited by the trust's auditor.
- 32.4 The trust shall prepare in respect of each financial year annual accounts in such form as the Regulator may with the approval of the secretary of state direct.
- 32.5 The functions of the trust with respect to the preparation of the annual accounts shall be delegated to the Accounting Officer.
- 32.6 The trust shall:

- 32.6.1 lay a copy of the annual accounts, and any report of the auditor on them, before Parliament;
- 32.6.2 send copies of those documents to the Regulator within such period as the Regulator may direct; and
- 32.6.3 send copies of any accounts prepared pursuant to paragraph 33.2, and any report of an auditor on them to the Regulator within such period as the Regulator may direct.

33. Annual report, forward plans and non NHS work

- 33.1 The trust shall prepare annual reports and send them to the Regulator and parliament.
- 33.4 The trust shall give information as to its forward planning in respect of each financial year to the Regulator.
- 33.5 The document containing the information with respect to forward planning (referred to above) shall be prepared by the directors who in doing so shall have regard to the views of the Council of Governors.
- 33.6 In preparing the document, the directors shall have regard to the views of the Council of Governors.
- 33.7 The forward planning information must include information about –
 - 33.7.1 the activities other than the provision of goods and services for the purposes of the health service in England that the trust proposes to carry on, and
 - 33.7.2 the income it expects to receive from doing so.
- 33.8 Where the forward planning information contains a proposal that the trust carry on an activity of a kind mentioned in sub-paragraph 33.7.1 the Council of Governors must –
 - 33.8.1 determine whether it is satisfied that the carrying on of the activity will not to any significant extent interfere with the fulfilment by the trust of its principal purpose or the performance of its other functions, and
 - 33.8.2 notify the directors of the trust of its determination.
- 33.9 Where the trust proposes to increase by 5% or more the proportion of its total income in any financial year attributable to activities other than the provision of goods and services for the purpose of the health service in England may implement the proposal only if more than half of the members of the Council of Governors of the trust voting approve its implementation.

34. Presentation of the annual accounts and reports to the governors and members

34.1 The following documents are to be presented to the Council of Governors at a general meeting of the Council of Governors:

34.1.1 the annual accounts;

34.1.2 any report of the auditor on them;

34.1.3 the annual report.

34.2 The documents shall also be presented to the members of the trust at the Annual Members' Meeting by at least one member of the Board of Directors in attendance. The trust may combine a meeting of the Council of Governors convened for the purposes of paragraph 34.1 with the Annual Members' Meeting.

34.4 Where an amendment has been made to this 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), at least one governor shall attend the next Annual Members' Meeting to be held, at which the governor shall present the amendment and the members shall be entitled to vote on whether they approve the amendment.

34.5 If more than half the members voting to approve the amendment, the amendment shall continue to have effect; otherwise it shall cease to have effect and the trust shall take such steps as are necessary as a result.

35. Significant Transactions

35.1 North Tees & Hartlepool NHS Foundation Trust may enter into a significant transaction only if more than half of the members of the Council of Governors voting approve entering in to the transaction. The threshold for a significant transaction differs depending upon whether the transaction relates to UK or non UK healthcare investment or disinvestment.

35.2 There are three types of transactions that may trigger the significant transaction threshold:

35.2.1 investment/disinvestment in income – Where the income attributable to the asset or the contract associated with the transaction is greater than 25% when divided by the income of the trust. (For non-healthcare/international transactions the threshold is reduced by 50% for investments only).

35.2.2 acquisition or disinvestment of assets of the business – Where the gross assets subject to the transaction is greater than 25% when divided by the gross assets of the trust.

35.2.3 investment of a capital nature - Where the gross capital of the company or business being acquired/divested is greater than 25% when divided by the total capital of the trust following completion of the effects on the total capital of the trust resulting from the transaction.

36. Instruments

- 36.1 The trust shall have a seal.
- 36.2 The seal shall not be affixed except under the authority of the Board of Directors.
- 36.3 The seal shall be kept by the company secretary.
- 36.4 Where it is necessary that a document shall be sealed, the seal shall be affixed in the presence of two senior managers of the trust duly authorised by the chief executive and not also from the originating department or directorate, and shall be attested by them.
- 36.5 The chief executive shall keep a register in which they, or another manager of the trust authorised by them, shall enter a record of the sealing of every document.
- 36.6 A report of all sealing shall be made to the Board of Directors at least quarterly. The report shall contain the description of the document and the date of sealing.
- 36.7 In land transactions, the signing of certain supporting documents may be delegated to managers as set out clearly in the scheme of delegation. Such delegation shall not include the main or principal documents effecting the transfer (for example, the sale/purchase agreement, lease, contracts for construction works and main warranty agreements) or any document which must be executed as a deed.

37. Interpretation and definitions

- 37.1 Unless otherwise stated, words or expressions contained in this constitution shall bear the same meaning as in the National Health Service Act 2006 and amended by the Health and Social Care Act 2012.
- 37.3 In the case of a dispute in relation to the interpretation of this constitution, the chair's decision will be final.

the 2006 Act is the National Health Service Act 2006.

the 2012 Act is the Health and Social Care Act 2012.

the Accounting Officer is the person who from time to time discharges the functions specified in paragraph 25(5) of Schedule 7 to the 2006 Act.

Board of Directors means the board of directors as constituted in accordance with the terms of this constitution.

constitution means this constitution and all annexes to it.

Council of Governors means the council of governors as constituted in accordance with the terms of this constitution.

The Regulator is the body corporate known as Monitor, as provided by section 61 of the 2012 Act or its successor.

voluntary organisation is a body, other than a public or local authority, the activities of which are not carried on for profit.

38. Amendment to constitution

38.1 The trust may make amendments to this constitution only if:

38.1.1 more than half the members of the Council of Governors voting, approve the amendments.

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

38.2 Amendments take effect as soon as the conditions in paragraph 38.1 are satisfied, but an amendment shall have no effect in so far as the constitution would, as a result of the amendment, not accord with Schedule 7 of the 2006 Act.

38.3 The trust shall inform the Regulator of amendments to the constitution.

38.4 If an amendment relates to the powers or duties of the Council of Governors (or is otherwise with respect to the role that the Council of Governors has as part of the trust), paragraphs 34.4 and 34.5 of the constitution shall apply.

39. Law and guidance

This constitution must be read in conjunction with all relevant law and any relevant guidance issued by the Regulator or the Secretary of State for Health.

40. Acquisition, Merger, Separation and Dissolution

The Trust may only apply for a merger, acquisition, separation or dissolution with the approval of more than half of the members of the Council of Governors.

ANNEX 1

THE PUBLIC CONSTITUENCY

Name of Constituency	Area	Minimum Number of Members	Number of Governors
Stockton	Stockton	52	11
Hartlepool	Hartlepool	28	6
Easington	Easington	10	2
Sedgefield	Sedgefield*	10	2
Other Areas	Any area of England other than Stockton, Hartlepool, Easington or Sedgefield	1	1

Each of these areas comprises local authority wards and parliamentary constituencies for the purpose of local government elections in England. (*Sedgefield comprises those local authority electoral wards and parliamentary constituencies which are geographically aligned to the trust's catchment area).

The trust will ensure that (taken as a whole) the actual membership of its public constituency is representative of those eligible for such membership.



ANNEX 2

THE STAFF CONSTITUENCY

The minimum number of members required for the staff constituency is to be 50.

ANNEX 3

COMPOSITION OF COUNCIL OF GOVERNORS

1. Council of Governors structure

1.1 The Council of Governors of the trust shall include:

1.1.1 21 public governors selected by the public constituency;

1.1.2 1 other areas public governor elected by the public constituency;

1.1.3 6 staff governors elected by the staff constituency;

1.1.4 11 Governors appointed by stakeholders comprising;

1.1.4.1 3 partnership governors from regional universities;

1.1.4.2 2 clinical commissioning groups (CCGs) governors;

1.1.4.3 3 local authority governors;

1.1.4.4 3 healthwatch representatives.

1.2 It would be the trust's responsibility to write to each of the above to invite representation on the trust's Council of Governors.

1.3 The public governors must total more than half of the total membership of the Council of Governors.

1.4 The chair of the Trust shall chair the Council of Governors.

2. Public governors

2.1 Members of the public constituency may elect any of their number to be a public governor.

2.2 If contested, the election must be by secret ballot.

2.3 The model rules for elections, including:

2.3.1. the specified forms of, and period for, declarations to be made by candidates standing for office and members as a condition of voting; and

2.3.2 the process if the election is uncontested.

are set out in Annex 4.

2.4 A person may not stand for election to the Council of Governors as a public governor unless they have made a declaration in the form specified in and within the time period stated in Annex 4. The particulars of their qualification to vote as a member of the public constituency for which the election is being held and the fact that they are not prevented from being a member of the Council of Governors

by paragraph 8 to Schedule 7 of the 2006 Act or by paragraph 1 of Annex 8 below (disqualification) need to be stated. It is an offence to knowingly or recklessly make a declaration under section 60 of the 2006 Act which is false in a material particular.

3. Staff governors

3.1 Members of the staff constituency may elect any of their number to be a staff governor.

3.2 If contested, the election must be by secret ballot.

3.3 The model rules for elections, including:

3.3.1 the specified forms of, and periods for, declaration to be made by candidates standing for office and members as a condition of voting; and

3.3.2 the process if the election is uncontested

are set out in Annex 4.

3.4 A person may not stand for election to the Council of Governors as a staff governor unless they have made a declaration, in the form specified in and within the time stated in Annex 4, that they are not prevented from being a member of the Council of Governors by paragraph 8 to Schedule 7 of the 2006 Act or by paragraph 1 of Annex 8 below (disqualification).

4 Appointed Governors

4.1 The following organisations (“Partnership Organisations”) are specified for the purposes of sub-paragraph 9(7) of Schedule 7 to the 2006 Act and may each appoint one member of the Council of Governors:

5 Partnership organisations

5.1 The organisations which are partnership organisations are the;

5.1.1 University of Newcastle upon Tyne;

5.1.2 University of Sunderland; and

5.1.3 University of Teesside.

5.2 Partnership governors will be appointed by the partnership organisations in accordance with the process agreed with the company secretary.

6. Clinical commissioning group (CCG) governors

6.1 The following Clinical commissioning groups (CCGs) may each appoint one CCG governor:

6.1.1 NHS Tees Valley Clinical Commissioning Group; and

6.1.2 NHS County Durham Clinical Commissioning Group.

6.2 These governors will be appointed in accordance with a process to be agreed between the trust and the CCG.

7. Local authority governors

7.1 The following local authorities may each appoint one Local Authority governor:

7.1.1 Hartlepool Borough Council;

7.1.2 Stockton on Tees Borough Council; and

7.1.3 Durham County Council.

7.2 These governors will be appointed in accordance with a process to be agreed between the local authority and the trust.

8. Healthwatch governors

8.1 The following healthwatch organisations may each appoint one Healthwatch governor:

8.1.1 Healthwatch Stockton on Tees

8.1.2 Healthwatch Hartlepool

8.1.3 Healthwatch County Durham

8.2 These governors will be appointed in accordance with a process to be agreed between the healthwatch organisation and the trust.

ANNEX 4

THE MODEL RULES FOR ELECTIONS

North Tees and Hartlepool NHS Foundation Trust (Council of Governors)

Rules for the Conduct of Elections for Public and Staff Governors

PART 1: INTERPRETATION

1. Interpretation

PART 2: TIMETABLE FOR ELECTION

2. Timetable
3. Computation of time

PART 3: RETURNING OFFICER

4. Returning officer
5. Staff
6. Expenditure
7. Duty of co-operation

PART 4: STAGES COMMON TO CONTESTED AND UNCONTESTED ELECTIONS

8. Notice of election
9. Nomination of candidates
10. Candidate's particulars
11. Declaration of interests
12. Declaration of eligibility
13. Signature of candidate
14. Decisions as to validity of nomination forms
15. Publication of statement of nominated candidates
16. Inspection of statement of nominated candidates and nomination forms
17. Withdrawal of candidates
18. Method of election

PART 5: CONTESTED ELECTIONS

19. Poll to be taken by ballot
20. The ballot paper
21. The declaration of identity (public and patient constituencies)

Action to be taken before the poll

22. List of eligible voters
23. Notice of poll

24. Issue of voting information by returning officer
25. Ballot paper envelope and covering envelope
26. E-voting systems

The poll

27. Eligibility to vote
28. Voting by persons who require assistance
29. Spoilt ballot papers and spoilt text message votes
30. Lost voting information
31. Issue of replacement voting information
32. ID declaration form for replacement ballot papers (public and patient constituencies)
33. Procedure for remote voting by internet
34. Procedure for remote voting by telephone
35. Procedure for remote voting by text message

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

36. Receipt of voting documents
37. Validity of votes
38. Declaration of identity but no ballot (public and patient constituency)
39. De-duplication of votes
40. Sealing of packets

PART 6: COUNTING THE VOTES

41. Interpretation of Part 6
42. Arrangements for counting of the votes
43. The count
44. Rejected ballot papers and rejected text voting records
45. First stage
46. The quota
47. Transfer of votes
48. Supplementary provisions on transfer
49. Exclusion of candidates
50. Filling of last vacancies
51. Order of election of candidates

PART 7: FINAL PROCEEDINGS IN CONTESTED AND UNCONTESTED ELECTIONS

52. Declaration of result for contested elections
53. Declaration of result for uncontested elections

PART 8: DISPOSAL OF DOCUMENTS

- 54. Sealing up of documents relating to the poll
- 55. Delivery of documents
- 56. Forwarding of documents received after close of the poll
- 57. Retention and public inspection of documents
- 58. Application for inspection of certain documents relating to election

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

- 59. Countermand or abandonment of poll on death of candidate

PART 10: ELECTION EXPENSES AND PUBLICITY

Expenses

- 60. Election expenses
- 61. Expenses and payments by candidates
- 62. Expenses incurred by other persons

Publicity

- 63. Publicity about election by the corporation
- 64. Information about candidates for inclusion with voting information
- 65. Meaning of “for the purposes of an election”

PART 11: QUESTIONING ELECTIONS AND IRREGULARITIES

- 66. Application to question an election

PART 12: MISCELLANEOUS

- 67. Secrecy
- 68. Prohibition of disclosure of vote
- 69. Disqualification
- 70. Delay in postal service through industrial action or unforeseen event

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 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;

“*The Regulator*” means the corporate body known as the Regulator or any successor as provided by section 61 of the 2012 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.

PART 2: TIMETABLE FOR ELECTIONS

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.

PART 4: STAGES COMMON TO CONTESTED AND UNCONTESTED ELECTIONS

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 providedto 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 61 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.

The 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 spoiled 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 spoiled ballot paper, the returning officer shall enter in a list ("the list of spoiled ballot papers"):

- (a) the name of the voter, and
- (b) the details of the unique identifier of the spoiled 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 "spoiled 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 spoiled 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 spoiled 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 spoiled text message vote, the returning officer shall enter in a list ("the list of spoiled text message votes"):

- (a) the name of the voter, and
- (b) the details of the voter ID number on the spoiled 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 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”,

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

- (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 spoilt ballot papers and the list of spoilt 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.

41. Interpretation of Part 6

41.1 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 49,

“*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 46,

“*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 47.4 or 47.7.

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.

44. Rejected ballot papers and rejected text voting records

44.1 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.

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

44.3 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.

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

44.5 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 44.1 and the number of text voting records rejected by him or her under each of the subparagraphs (a) to (c) of rule 44.3.

45. First stage

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

45.2 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.

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

46. The quota

46.1 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.

46.2 The result, increased by one, of the division under rule 46.1 (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”).

46.3 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 47.1 to 47.3 has been complied with.

47. Transfer of votes

47.1 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.

47.2 The returning officer is to count the number of ballot documents in each parcel referred to in rule 47.1.

- 47.3 The returning officer is, in accordance with this rule and rule 48, to transfer each sub-parcel of ballot documents referred to in rule 47.1(a) to the candidate for whom the next available preference is given on those ballot documents.
- 47.4 The vote on each ballot document transferred under rule 47.3 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).
- 47.5 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.
- 47.6 The returning officer is, in accordance with this rule and rule 48, to transfer each sub-parcel of ballot documents referred to in rule 47.5(a) to the candidate for whom the next available preference is given on those ballot documents.
- 47.7 The vote on each ballot document transferred under rule 47.6 shall be at:
- (a) a transfer value calculated as set out in rule 47.4(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.
- 47.8 Each transfer of a surplus constitutes a stage in the count.
- 47.9 Subject to rule 47.10, 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.
- 47.10 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.

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

48. Supplementary provisions on transfer

48.1 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.

48.2 The returning officer shall, on each transfer of transferable ballot documents under rule 47:

- (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.

48.3 All ballot documents transferred under rule 47 or 49 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.

48.4 Where a ballot document is so marked that it is unclear to the returning officer at any stage of the count under rule 47 or 49 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.

49. Exclusion of candidates

49.1 If:

- (a) all transferable ballot documents which under the provisions of rule 47 (including that rule as applied by rule 49.11) and this rule are required to be transferred, have been transferred, and
- (b) subject to rule 50, 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 49.12 applies, the candidates with the then lowest votes).

49.2 The returning officer shall sort all the ballot documents on which first preference votes are given for the candidate or candidates excluded under rule 49.1 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).

49.3 The returning officer shall, in accordance with this rule and rule 48, transfer each sub-parcel of ballot documents referred to in rule 49.2 to the candidate for whom the next available preference is given on those ballot documents.

49.4 The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.

49.5 If, subject to rule 50, 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 49.1 into sub-parcels according to their transfer value.

49.6 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).

- 49.7 The vote on each transferable ballot document transferred under rule 49.6 shall be at the value at which that vote was received by the candidate excluded under rule 49.1.
- 49.8 Any ballot documents on which no next available preferences have been expressed shall be set aside as non-transferable votes.
- 49.9 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 49.1.
- 49.10 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.
- 49.11 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 47.5 to 47.10 and rule 48.
- 49.12 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.
- 49.13 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.

50. Filling of last vacancies

- 50.1 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.
- 50.2 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.
- 50.3 Where the last vacancies can be filled under this rule, no further transfer of votes shall be made.

51. Order of election of candidates

- 51.1 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 47.10.
- 51.2 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.
- 51.3 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.
- 51.4 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.

PART 7: FINAL PROCEEDINGS IN CONTESTED AND UNCONTESTED ELECTIONS

52. Declaration of result for contested elections

52.1 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 North Tees and Hartlepool 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.

52.2 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 44.1,
- (f) the number of rejected text voting records under each of the headings in rule 44.3,

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 the Regulator has declared that the vote was invalid.

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

59. Countermand or abandonment of poll on death of candidate

59.1 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.

59.2 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).

PART 10: ELECTION EXPENSES AND PUBLICITY

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 the Regulator 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,
- (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”), and
- (c) a photograph of the candidate.

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.

PART 11: QUESTIONING ELECTIONS AND THE CONSEQUENCE OF IRREGULARITIES

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 the Regulator 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 the Regulator 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. The Regulator will refer the application to the independent election arbitration panel appointed by The Regulator.
- 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 The Regulator 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 5

ADDITIONAL PROVISIONS – COUNCIL OF GOVERNORS

- 1 A person may not vote at an election for a public governor unless within the specified period they have made a declaration in the specified form stating the particulars of their qualification to vote as a member of the constituency for which an election is being held. It is an offence to knowingly or recklessly to make such a declaration which is false in a material particular.
2. CCG governors, local authority governors, healthwatch governors and partnership governors, as the case may be, shall cease to hold office where the relevant appointing organisation notifies the company secretary of the withdrawal of their appointment of them.
3. Subject to paragraph 3A below and in addition to those criteria listed in paragraph 12.1 of the constitution a person may not become or continue as a governor of the trust if:
 - 3.1 They have within the preceding 2 years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body.
 - 3.2 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 non-attendance at meetings, or for non-disclosure of a pecuniary interest.
 - 3.3 They are an executive or non-executive director of the trust, or a non-executive director, chair or chief executive or executive director of another NHS organisation.
 - 3.4 They have been removed from membership of a professional body or from a list of registered medical, dental, nursing or other health care practitioners as a result of disciplinary action or any conclusion that the continued inclusion of that person's name on any such list or membership of any such professional body would be prejudicial to the efficiency of the services to which the professional body or list relates and has not subsequently been re-instated to membership or such a list.
 - 3.5 They are incapable by reason of mental disorder, illness or injury of managing and administering their property and affairs.
 - 3.6 The Council of Governors reasonably considers that they are unfit to discharge the functions of a governor.
 - 3.7 They have been disqualified from membership of their profession by the professional or regulatory body.
 - 3.8 They bring the trust into disrepute or their actions are detrimental to the interests of the trust.
 - 3.9 They have had their name placed on the registers of Schedule 1 offenders pursuant to the Sex Offenders Act 1977 and/or the Children's and Young Person's Act 1993.
 - 3.10 They fail to confirm acceptance of the Council of Governors code of conduct, and/or a breach of the code of conduct.

- 3.11 They are a member of parliament.
- 3A. Further to paragraph 3, a person may not become or continue as a public governor if they are a governor in another NHS organisation.
- 3B. Where a person has been elected or appointed to be a governor and they become disqualified for appointment under paragraph 12.1 of the constitution and/or paragraph 3 or 3A above they shall notify the company secretary in writing of such disqualification.
- 3C. If it comes to the notice of the trust at the time of their appointment or later that the governor is so disqualified, the trust shall immediately declare that the person in question is disqualified and notify them in writing to that effect.
- 3D. Upon receipt of any such notification, that person's tenure of office, if any, shall be terminated and they shall cease to act as a governor.
- 3E. The nominations committee on behalf of the Council of Governors will decide whether a governors position should be terminated in the event of any of the above actions occurring or a breach of the Council of Governors code of conduct has occurred. The sub-committee shall subsequently call a general meeting of the Council of Governors to approve their decision for the removal of a governor.
- 3F A staff governor who is suspended from staff duties for any reason will also be suspended from their role as a governor for the duration of their suspension. Whilst a staff governor is under investigation, they cannot attend meetings of the Council of Governors in any capacity, but missing any meetings of the Council of Governors will not count as failure to attend for the purpose of 4.2 below.

4. Termination of Tenure

- 4.1 A governor may resign from office at any time during the term of that office by giving notice in writing to the company secretary.
- 4.2 If a governor fails to attend for 3 consecutive meetings of the Council of the Governors their tenure of office is to be immediately terminated unless the other governors are satisfied that:
- 4.2.1 the absence was due to a reasonable cause; and
 - 4.2.2 they will be able to start attending meetings of the Council of Governors again within such a period as they consider reasonable.
- 4.3 In the event that the governor failed to attend further meetings they may be terminated after consideration by the nominations committee.

5. Temporary Vacancies

- 5.1 The validity of any act of the trust is not affected by any vacancy among the governors or by any defect in the appointment of any governor.
- 5.2 A temporary vacancy is a vacancy that arises because a governor does not complete their term of office for any reason. A vacancy that arises because the

term of office of a governor has expired and they have not been re-elected or re-appointed is not a temporary vacancy.

5.3 Where there is a temporary vacancy for whatever reason:

5.3.1 If the vacancy is for an elected governor, the next highest polling candidate at the most recent elections to fill the seat will be invited to take up the seat within 3 months of the preceding elections for the remainder of the period of office at which time he may seek re-election;

5.3.2 If the vacancy is for an appointed governor, the appointing organisations will be requested to appoint a replacement to hold office for the remainder of the term in accordance with the agreed appointment processes.

5.4 Where membership of the Council of Governors ceases for one of the reasons set out in paragraph 12.1 of the constitution or paragraph 3 or 3A above, public, and staff governors shall be replaced by by-elections, in accordance with the model rules for elections set out in Annex 4, and CCG governors, local authority governors, healthwatch governors and partnership governors are to be replaced in accordance with the processes agreed pursuant to the terms of this constitution.

6. Roles and responsibilities of Council of Governors at a general meeting

6.1 In addition to those powers contained elsewhere in this constitution the roles and responsibilities of the governors at a general meeting are:

6.2 To approve the remuneration and allowances, and the other terms and conditions of office, of the non-executive directors.

6.3 To appoint or remove the trust's auditor.

6.4 To both consider and be presented with the annual accounts, any report of the auditor on them, and the annual report at the annual general meeting of the trust.

6.5 To give the views of the Council of Governors to the directors for the purposes of the preparation (by the directors) of the document containing information as to the trust's forward planning in respect of each financial year to be given to the Regulator.

6.6 To respond as appropriate when consulted by the directors in accordance with this constitution.

6.7 The Regulator

6.9 Such other duties as may be agreed with the directors from time to time.

6.10 At the annual general meeting, the Council of Governors are to receive and consider the annual accounts, any report of the auditor on them, and the annual report.

6.11 A governor elected to the Council of Governors by the public constituency or the staff constituency may not vote at a meeting of the Council of Governors unless, within one month of election or by the date of the next Council of Governors Meeting after their election (whichever is the sooner) they have made a declaration in the form found at Annex 4 that they are a member of the public constituency, or the staff constituency and are not prevented from being a member of the Council of

Governors by paragraph 8 of Schedule 7 to the 2006 Act or is otherwise prevented under this constitution.

6.12 Committees and Sub-Committees

6.12.1 the Council of Governors may appoint committees consisting of its members to assist it in carrying out its functions. A committee appointed under this paragraph may appoint a sub-committee.

6.12.2 these committees or sub-committees may, where appropriate and reasonable, call upon outside advisers to help them in their tasks.

6.13 Code of conduct

The Council of Governors shall at all times comply with the provisions of the trust's Council of Governors code of conduct as varied by the Board of Directors from time to time.

ANNEX 6

STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE COUNCIL OF GOVERNORS

1. Meetings of the Council of Governors

- 1.1 Admission of the public and the press - The public and representatives of the press shall be afforded facilities to attend all formal meetings of the Council of Governors but shall be required to withdraw upon the Council of Governors resolving as follows:

"That representatives of the press and other members of the public be excluded from the remainder of this meeting because the confidential nature of the business to be transacted is such that publicity would be prejudicial to the public interest".

- 1.2 The chair (or deputy chair) shall give such directions as they think fit in regard to the arrangements for meetings and accommodation of the public and representatives of the press such as to ensure that the Council of Governors' business shall be conducted without interruption and disruption and, without prejudice to the power to exclude on grounds of the confidential nature of the business to be transacted, the public will be required to withdraw upon the Council of Governors resolving as follows:

"That in the interests of public order the public withdraw from the meeting for (the period to be specified) to enable the Council of Governors to complete business without the presence of the public".

- 1.3 Nothing in these standing orders shall require the Council of Governors to allow members of the public or representatives of the press to record proceedings in any manner whatsoever, other than writing, or to make any oral report of proceedings as they take place without the prior agreement of the Council of Governors.

- 1.4 Calling meetings - ordinary meetings of the Council of Governors shall be held at such times and places as the Board of Directors may determine.

- 1.5 The chair may call a meeting of the Council of Governors at any time. If the chair refuses to call a meeting after a requisition for that purpose, signed by at least one-third of the whole number of governors, has been presented to them, or if, without so refusing, the chair does not call a meeting within 7 days after such requisition has been presented to them, at the trust's headquarters, such one third or more governors may forthwith call a meeting.

- 1.6 Notice of meetings - Before each meeting of the Council of Governors, a notice of the meeting, specifying the business proposed to be transacted at it, and signed by the chair or by an officer of the trust authorised by the chair to sign on their behalf shall be delivered to every governor, or sent by post to the usual place of residence of such governor, so as to be available to them at least 6 days before the meeting.

- 1.7 Lack of service of the notice on any governor shall not affect the validity of a meeting.
- 1.8 In the case of a meeting called by governors in default of the chair, the notice shall be signed by those governors and no business shall be transacted at the meeting other than that specified in the notice.
- 1.9 Failure to serve such a notice on more than 3 governors will invalidate the meeting. A notice shall be presumed to have been served at the time at which the notice would be delivered in the ordinary course of the post, and by electronic means.
- 1.10 Setting the agenda - The Council of Governors may determine that certain matters shall appear on every agenda for a meeting of the Council of Governors and shall be addressed prior to any other business being conducted. Such matters may be identified within these standing orders or following subsequent resolution shall be listed in an appendix to the standing orders.
- 1.11 A governor desiring a matter to be included on an agenda shall make their request in writing to the chair at least 14 days before the meeting, subject to standing order 1.8. Requests made less than 8 days before a meeting may be included on the agenda at the discretion of the chair, and if agreed would be taken under any other business.
- 1.12 Chair of meeting - At any meeting of the trust, the chair, if present, shall preside. If the chair is absent from the meeting the deputy chair, if there is one and they are present, shall preside. If the chair and deputy chair are absent, the senior independent director or the lead governor shall preside.
- 1.13 If the chair is absent from a meeting temporarily on the grounds of a declared conflict of interest the deputy chair, if present, shall preside. If the chair and deputy chair are absent, or are disqualified from participating, the senior independent director or the lead governor shall preside.
- 1.14 Annual public meeting - The trust will publicise and hold an annual public meeting.
- 1.15 Notices of motion - A governor of the trust desiring to move or amend a motion shall send a written notice there of at least 10 days before the meeting to the chair, who shall insert in the agenda for the meeting all notices so received subject to the notice being in compliance with these standing orders. This paragraph shall not prevent any motion being moved during the meeting, without notice on any business mentioned on the agenda subject to standing order 1.8.
- 1.16 Withdrawal of motion or amendments - A motion or amendment once moved and seconded may be withdrawn by the proposer with the concurrence of the seconder and the consent of the chair.
- 1.17 Motion to rescind a resolution - Notice of motion to amend or rescind any resolution (or the general substance of any resolution) which has been passed within the preceding 6 calendar months shall bear the signature of the governors who gives it and also the signature of 3 other governors. When any such motion has been disposed of by the trust, it shall not be competent

for any governor other than the chair to propose a motion to the same effect within 3 months; however the chair may do so if he considers it appropriate.

- 1.18 Motions - The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment there to.
- 1.19 When a motion is under discussion or immediately prior to discussion it shall be open to a governor to move:
- an amendment to the motion;
 - the adjournment of the discussion or the meeting;
 - that the meeting proceed to the next business;
 - the appointment of an ad hoc committee to deal with a specific item of business;
 - that the motion be now put.

No amendment to the motion shall be admitted if, in the opinion of the chair of the meeting, the amendment negates the substance of the motion.

- 1.20 Chair's ruling - Statements of governors made at meetings of the trust shall be relevant to the matter under discussion at the material time and the decision of the chair of the meeting on questions of order, relevance, regularity and any other matters shall be observed at the meeting.
- 1.21 Voting - Save where all public governors present are unanimous in opposing a motion, every question at a meeting shall be determined by a majority of the votes of the governors present and voting on the question and, in the case of any equality of votes, the person presiding shall have a second or casting vote. In the event that a motion is opposed by all public governors present, that motion shall not be passed.
- 1.22 All questions put to the vote shall, at the discretion of the chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the governors present so request, and the chair agrees such a request.
- 1.23 If at least one-third of the governors present so request, the voting (other than by paper ballot) on any question may be recorded to show how each governor present voted or abstained.
- 1.24 If a governor so requests, their vote shall be recorded by name upon any vote (other than by paper ballot).
- 1.25 In no circumstances may an absent governor vote by proxy. Absence is defined as being absent at the time of the vote.
- 1.26 Minutes - The minutes of the proceedings of a meeting shall be drawn up and submitted for agreement at the next ensuing meeting where, if approved at the meeting, they will be signed by the person presiding at it.

- 1.27 No discussion shall take place upon the minutes except upon their accuracy or where the chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the meeting subsequent to the meeting to which the minutes relate.
- 1.28 Where providing a record of a public meeting the minutes shall be made available to the public (required by the code of practice on openness in the NHS).
- 1.29 Suspension of standing orders - Except where this would contravene any statutory provision any one or more of the standing orders may be suspended at any meeting, provided that at least two-thirds of the Council of Governors are present, including one staff governor and one public governor, and that a majority of those present vote in favour of suspension.
- 1.30 A decision to suspend standing orders shall be recorded in the minutes of the meeting.
- 1.31 A separate record of matters discussed during the suspension of standing orders shall be made and shall be available to the governors.
- 1.32 No formal business may be transacted while standing orders are suspended.
- 1.33 The audit committee shall review every decision to suspend standing orders.
- 1.34 Variation and amendment of standing orders - These standing orders shall be amended only if:
- a notice of motion under standing order 1.15 has been given;
 - no fewer than half the total of the trust's public governors vote in favour of amendment;
 - at least two-thirds of the governors are present; and
 - the variation proposed does not contravene a statutory provision.
- 1.35 Record of attendance - The names of the governors present at the meeting shall be recorded in the minutes.
- 1.36 Quorum - No business shall be transacted at a meeting of the Council of Governors unless at least one-third of the whole number of the governors are present, including at least 4 public governors.
- 1.37 If a governor has been disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest (see standing order 4.5) they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business.

1.38 The Council of Governors will receive, discuss and approve any proposed amendments to the constitution presented to them at a general meeting of the Council of Governors.

2. **Committees**

2.1 Appointment of committees - The Council of Governors may appoint committees of the Council of Governors, consisting wholly or partly of governors.

2.2 A committee appointed under standing order 2.1 may appoint sub-committees consisting wholly or partly of members of the committee (whether or not they include governors).

2.3 These standing orders, as far as they are applicable, shall apply with appropriate alteration to meetings of any committees or sub-committees established by the Council of Governors.

2.4 Each such committee or sub-committee shall have such terms of reference and powers in relation to the business of the Council of Governors, and be subject to such conditions (as to reporting back to the Council of Governors), as the Council of Governors shall decide. Such terms of reference shall have effect as if incorporated into the standing orders.

2.5 Committees may not delegate their executive powers to a sub-committee unless expressly authorised by the Council of Governors.

2.6 Confidentiality - A member of a committee shall not disclose a matter dealt with by, or brought before, the committee without its permission until the committee shall have reported to the Council of Governors or shall otherwise have concluded on that matter.

2.7 A governor or a member of a committee shall not disclose any matter reported to the Council of Governors or otherwise dealt with by the committee, notwithstanding that the matter has been reported or action has been concluded, if the Council of Governors or committee shall resolve that it is confidential.

3. **Declarations of interests and register of interests**

3.1 Declaration of interests - The trust's constitution requires governors to declare interests which are relevant and material to the Council of Governors of which they are a member. All governors should declare such interests, and are required to review these each year.

3.2 Interests which should be regarded as "relevant and material" are:

3.2.1 directorships, including non-executive directorships held in public or private limited companies (with the exception of those of dormant companies);

3.2.2 ownership or part-ownership of public or private limited companies, businesses, majority or controlling share holdings in organisations or consultancies likely or possibly seeking to do business with the NHS;

- 3.2.3 a position of authority in a charity or voluntary organisation in the field of health and social care;
- 3.2.4 any connection with a voluntary or other organisation contracting for NHS services.
- 3.2.5 any family connections with any of the above or any other NHS, voluntary, public or private body which provides services to the trust.
- 3.4 If governors have any doubt about the relevance of an interest, this should be discussed with the chair.
- 3.5 At the time governors' interests are declared, they should be recorded in the Council of Governors minutes of the relevant meeting. Any changes in interests should be declared at the next Council of Governors' meeting following the change occurring.
- 3.6 Governors' directorships of companies likely or possibly seeking to do business with the NHS should be published in the Council of Governors' annual report. The information should be kept up to date for inclusion in succeeding annual reports.
- 3.7 During the course of a Council of Governors' meeting, if a conflict of interest is established, the governor concerned should withdraw from the meeting and play no part in the relevant discussion or decision.
- 3.8 For the purposes of this standing order 3 there is no requirement for the interests of governors' spouses or partners to be declared. Note that standing order 4 which is based on the Health Authorities (Membership and Procedure) Regulations 1996 requires that the interest of governors' spouses, if living together, in contracts should be declared.
- 3.9 Register of interests - The chief executive will ensure that a register of interests is established to record formally declarations of interests of governors. In particular the register will include details of all directorships and other relevant and material interests which have been declared by governors, as defined in standing order 3.2.
- 3.10 These details will be kept up to date by means of an annual review of the register in which any changes to interests declared during the preceding 12 months will be incorporated.
- 3.11 The register will be available to the public and the chief executive will take reasonable steps to bring the existence of the register to the attention of the local population and to publicise arrangements for viewing it. To view the register, contact should be made to the company secretary.

4. **Disability of governors in proceedings on account of pecuniary interest**

- 4.1 Subject to the following provisions of this standing order, if a governor has any pecuniary interest, direct or indirect, in any contract, proposed contract or other matter and is present at a meeting of the Council of Governors at which the contract or other matter is the subject of consideration, they shall at the meeting and as soon as practicable after its commencement disclose the fact and shall not take part in the consideration or discussion of the contract or other matter or vote on any question with respect to it.
- 4.2 The secretary of state and/or the Regulator may, subject to such conditions as they may think fit to impose, remove any disability imposed by this standing order in any case in which it appears to either of them in the interests of the NHS that the disability shall be removed.
- 4.3 The Council of Governors shall exclude a governor from a meeting of the trust while any contract, proposed contract or other matter in which they have a pecuniary interest, is under consideration.
- 4.4 Any expenses payable to a governor by virtue of the consortium shall not be treated as a pecuniary interest for the purpose of this standing order.
- 4.5 For the purpose of this standing order the chair or a governor shall be treated, subject to standing order 4.2 and standing order 4.6, as having indirectly a pecuniary interest in a contract, proposed contract or other matter, if:
- 4.5.1 they are, or a nominee of theirs, is a director of a company or other body, not being a public body, with which the contract was made or is proposed to be made or which has a direct pecuniary interest in the other matter under consideration;
- or
- 4.5.2 they are a partner of, or is in the employment of a person with whom the contract was made or is proposed to be made or who has a direct pecuniary interest in the other matter under consideration; and in the case of married persons living together the interest of one spouse shall, if known to the other, be deemed for the purposes of this standing order to be also an interest of the other.
- 4.6 A governor shall not be treated as having a pecuniary interest in any contract, proposed contract or other matter by reason only:
- 4.6.1 of their membership of a company or other body, if they have no beneficial interest in any securities of that company or other body;
- 4.6.2 of an interest in any company, body or person with which they are connected as mentioned in standing order 4.5 which is so remote or insignificant that it cannot reasonably be regarded as likely to influence a governor in the consideration or discussion of or in voting on, any question with respect to that contract or matter.
- 4.7 Where a governor:

- 4.7.1 has an indirect pecuniary interest in a contract, proposed contract or other matter by reason only of a beneficial interest in securities of a company or other body;
- 4.7.2 the total nominal value of those securities does not exceed £5,000 or one-hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less;
- 4.7.3 if the share capital is of more than one class, the total nominal value of shares of any one class in which they have a beneficial interest does not exceed one-hundredth of the total issued share capital of that class.

This standing order shall not prohibit them from taking part in the consideration or discussion of the contract or other matter or from voting on any question with respect to it without prejudice however to their duty to disclose their interest.

- 4.8 Standing order 4 applies to a committee or sub-committee of the Council of Governors as it applies to the Council of Governors and applies to any member of any such committee or sub-committee (whether or not they are also a governor) as it applies to a governor.

5 Role and Responsibilities of the Council of Governors

- 5.1 The Council of Governors shall:
 - 5.1.1 hold the non-executive directors individually and collectively to account for the performance of the Board of Directors; and
 - 5.1.2 represent the interests of the members of the trust as a whole and the interests of the public.
- 5.2 The roles and responsibilities of the governors are at a general meeting or otherwise to:
 - 5.2.1 give the views of the Council of Governors to the directors for the purposes of the preparation (by the directors) of the document containing information as to the trust's forward planning in respect of each financial year to be given to the Regulator;
 - 5.2.2 require one or more directors to attend a meeting of the Council of Governors for the purpose 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); and/or
 - 5.2.3 respond as appropriate when consulted by the directors.
- 5.3 The governors also have the specific role and function of:
 - 5.3.1 providing views to the Board of Directors on the strategic direction of the trust;
 - 5.3.2 developing membership; and

5.3.3 representing the interests of the members.

- 5.4 If the Regulator has appointed a panel for advising governors, a governor may refer a question to that panel as to whether the trust has failed or is failing to act in accordance with this constitution or Chapter 5 of the 2006 Act. A governor may only refer a question under this paragraph if more than half of the members of the Council of Governors voting approve the referral.
- 5.5 The trust will take steps to ensure that governors are equipped with the skills and knowledge they require in their capacity as governors of this trust.

ANNEX 7

STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE BOARD

OF DIRECTORS

1. General Duty

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.

2. Meetings of the Board of Directors

2.1 Admission of the public and the press – Meetings of the Board of Directors shall be open to the public and press, but members of the public and press shall be required to withdraw upon the Board of Directors resolving as follows:

"That representatives of the press and other members of the public be excluded from the remainder of this meeting because the confidential nature of the business to be transacted is such that publicity would be prejudicial to the public interest".

2.2 The chair (or deputy chair) shall give such directions as they think fit in regard to the arrangements for meetings and accommodation of the public and representatives of the press such as to ensure that the Board of Directors' business shall be conducted without inappropriate interruption and disruption and, without prejudice to the power to exclude on grounds of the confidential nature of the business to be transacted, the public will be required to withdraw upon the Board of Directors resolving as follows:

"That in the interests of public order the public withdraw from the meeting for (the period to be specified) to enable the Board of Directors to complete business without the presence of the public".

2.3 Nothing in these standing orders shall require the Board of Directors to allow members of the public or representatives of the press to record proceedings in any manner whatsoever, other than writing, or to make any oral report of proceedings as they take place without the prior agreement of the Board of Directors.

2.4 Calling meetings - Ordinary meetings of the Board of Directors shall be held at such times and places as the Board of Directors may determine.

2.5 The chair may call a meeting of the Board of Directors at any time. If the chair refuses to call a meeting after a requisition for that purpose, signed by at least one-third of the whole number of the Board of Directors, has been presented to them, or if, without so refusing, the chair does not call a meeting within 7 days after such requisition has been presented to them, at the trust's headquarters, such one third or more directors may forthwith call a meeting.

2.6 Notice of meetings - Before each meeting of the Board of Directors, a notice of the meeting, specifying the business proposed to be transacted at it, and signed by the chair or by an officer of the trust authorised by the

chair to sign on their behalf shall be delivered to every director, or sent by post to the usual place of residence of such director, so as to be available to them at least 5 clear days before the meeting.

- 2.7 Subject to standing order 2.9, lack of service of the notice on any director shall not affect the validity of a meeting.
- 2.8 In the case of a meeting called by directors in default of the chair, the notice shall be signed by those directors and no business shall be transacted at the meeting other than that specified in the notice.
- 2.9 Failure to serve such a notice on more than three directors will invalidate the meeting. A notice shall be presumed to have been served at the time at which the notice would be delivered in the ordinary course of the post.
- 2.10 Setting the agenda - The Board of Directors may determine that certain matters shall appear on every agenda for a meeting of the Board of Directors and shall be addressed prior to any other business being conducted. Such matters may be identified within these standing orders or following subsequent resolution shall be listed in an appendix to the standing orders.
- 2.11 Before holding a meeting, the Board of Directors will send a copy of the agenda (but not supporting papers) to the Council of Governors.
- 2.12 A director desiring a matter to be included on an agenda shall make their request in writing to the chair at least 5 clear days before the meeting, subject to standing order 1.8. Requests made less than 5 days before a meeting may be included on the agenda at the discretion of the chair.
- 2.13 Chair of meeting - At any meeting of the trust, the chair, if present, shall preside. If the chair is absent from the meeting the deputy chair, if there is one and they are present, shall preside. If the chair and deputy chair are absent the directors present shall choose a non-executive director from among them to preside.
- 2.14 If the chair is absent from a meeting temporarily on the grounds of a declared conflict of interest the deputy chair, if present, shall preside. If the chair and deputy chair are absent, or are disqualified from participating, the directors present shall choose a non-executive director from among them to preside.
- 2.15 Notices of motion - A director of the trust desiring to move or amend a motion shall send a written notice thereof at least 10 clear days before the meeting to the chair, who shall insert in the agenda for the meeting all notices so received subject to the notice being permissible under the appropriate regulations. This paragraph shall not prevent any motion or amendment being moved during the meeting, without notice on any business mentioned on the agenda subject to standing order 2.9.
- 2.16 Withdrawal of motion or amendments - A motion or amendment once moved and seconded may be withdrawn by the proposer with the concurrence of the seconder and the consent of the chair.

- 2.17 Motion to rescind a resolution - Notice of motion to amend or rescind any resolution (or the general substance of any resolution) which has been passed within the preceding 6 calendar months shall bear the signature of the directors who gives it and also the signature of three other directors. When any such motion has been disposed of by the trust, it shall not be competent for any director other than the chair, or such other director as the chair may at their discretion agree, to propose a motion to the same effect within 3 months; however the chair may do so if they consider it appropriate.
- 2.18 Motions - The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment there to.
- 2.19 When a motion is under discussion or immediately prior to discussion it shall be open to a director to move:
- an amendment to the motion;
 - the adjournment of the discussion or the meeting;
 - that the meeting proceed to the next business;
 - the appointment of an ad hoc committee to deal with a specific item of business;
 - that the motion be now put.
- No amendment to the motion shall be admitted if, in the opinion of the chair of the meeting, the amendment negates the substance of the motion.
- 2.20 Chair's ruling - Statements of directors made at meetings of the trust shall be relevant to the matter under discussion at the material time and the decision of the chair of the meeting on questions of order, relevance, regularity and any other matters shall be observed at the meeting.
- 2.21 Voting - Save where all voting directors present are unanimous in opposing a motion, every question at a meeting shall be determined by a majority of the votes of the directors present and voting on the question.
- 2.22 All questions put to the vote shall, at the discretion of the chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the directors present so request.
- 2.23 If at least one-third of the directors present so request, the voting (other than by paper ballot) on any question may be recorded to show how each director present voted or abstained.
- 2.24 If a director so requests, their vote shall be recorded by name upon any vote (other than by paper ballot).
- 2.25 In no circumstances may an absent director vote by proxy. Absence is defined as being absent at the time of the vote.

- 2.26 Minutes - The minutes of the proceedings of a meeting shall be drawn up and submitted for agreement at the next ensuing meeting where they will be signed by the person presiding at it.
- 2.27 No discussion shall take place upon the minutes except upon their accuracy or where the chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the next meeting.
- 2.28 Minutes of all public meetings shall be made available to the public (required by the code of practice on openness in the NHS) on the trust's website.
- 2.29 The agendas and minutes of the public board meetings shall be sent to all members of the Council of Governors.
- 2.30 Suspension of standing orders - Except where this would contravene any statutory provision any one or more of the standing orders may be suspended at any meeting, provided that at least two-thirds of the Board of Directors are present and that a majority of those present vote in favour of suspension.
- 2.31 A decision to suspend standing orders shall be recorded in the minutes of the meeting.
- 2.32 A separate record of matters discussed during the suspension of standing orders shall be made and shall be available to the directors.
- 2.33 No formal business may be transacted while standing orders are suspended.
- 2.34 The audit committee shall review every decision to suspend standing orders.
- 2.35 Variation and amendment of Standing Orders - These standing orders shall be amended only if:
- a notice of motion under standing order 1.14 has been given;
 - no fewer than half the total of the trust's directors vote in favour of amendment;
 - at least two-thirds of the directors are present;
 - the variation proposed does not contravene a statutory provision.
- 2.36 Record of attendance - The names of the directors present at the meeting shall be recorded in the minutes.
- 2.37 Quorum - No business shall be transacted at a meeting of the Board of Directors unless at least one-third of the whole number of the voting directors are present including at least one executive director and one non-executive director. Where appropriate a director may join the meeting by video conference or telephone.

- 2.38 If a director has been disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest (see standing order 4.5) they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business.
- 2.39 Where a directors post is shared jointly by more than one individual:
- 2.39.1 any or all of those persons may attend or take part in meetings of the Board of Directors;
 - 2.39.2 if several of those individuals are present at a meeting they may cast 1 vote between them on any matter being considered if they agree;
 - 2.39.3 if several of those individuals are present at a meeting no vote shall be cast on any matter being considered if they disagree; and
 - 2.39.4 the presence of any number of those individuals is to count as the presence of one director for the purposes of determining whether the required quorum is present at a meeting of the Board of Directors.
- 2.40 The Board of Directors will ensure the constitution is kept up to date and will, where necessary update the constitution and bring proposals to the Council of Governors for approval.

3. Committees

- 3.1 Appointment of committees - The Board of Directors may establish committees of the Board of Directors, consisting wholly or partly of directors.
- 3.2 A committee appointed under standing order 2.1 may establish sub-committees consisting wholly or partly of members of the committee (whether or not they include directors).
- 3.3 These standing orders, as far as they are applicable, shall apply with appropriate alteration to meetings of any committees or sub-committee established by the Board of Directors.
- 3.4 Each such committee or sub-committee shall have such terms of reference and powers and be subject to such conditions (as to reporting back to the Board of Directors), as the Board of Directors shall decide. Such terms of reference shall have effect as if incorporated into the standing orders.
- 3.5 Committees may not delegate their executive powers to a sub-committee unless expressly authorised by the Board of Directors.
- 3.6 Confidentiality - A member of a committee shall not disclose a matter dealt with by, or brought before, the committee without its permission until the

committee shall have reported to the Board of Directors or shall otherwise have concluded on that matter in accordance with the terms of reference of that committee.

- 3.7 A director or a member of a committee shall not disclose any matter reported to the Board of Directors or otherwise dealt with by the committee, notwithstanding that the matter has been reported or action has been concluded, if the Board of Directors or committee shall resolve that it is confidential.

4. **Declarations of interests and register of interests**

- 4.1 Declaration of interests - The trust's constitution requires directors to declare interests which are relevant and material to the Board of Directors and any committee or sub-committee of which they are a member. All existing directors should declare such interests. Any directors appointed subsequently should do so on appointment.
- 4.2 Interests which should be regarded as "relevant and material" are:
- 4.2.1 directorships, including non-executive directorships held in public or private limited companies (with the exception of those of dormant companies);
 - 4.2.2 ownership or part-ownership (which shall be deemed to include majority or controlling shareholdings) of public or private limited companies, businesses or consultancies likely or possibly seeking to do business with the NHS;
 - 4.2.3 a position of authority in a charity or voluntary organisation in the field of health and social care;
 - 4.2.4 any connection with a voluntary or other organisation contracting for NHS services.
- 4.3 If directors have any doubt about the relevance of an interest, this should be discussed with the chair.
- 4.4 At the time directors' interests are declared, they should be recorded in the Board of Directors minutes of the relevant meeting. Any changes in interests should be declared at the next Board of Directors' meeting following the change occurring.
- 4.5 Directors' directorships of companies likely or possibly seeking to do business with the NHS should be published in the Board of Directors' annual report. The information should be kept up to date for inclusion in succeeding annual reports.
- 4.6 During the course of a Board of Directors' meeting, if a conflict of interest is established, the director concerned should withdraw from the meeting and play no part in the relevant discussion or decision.
- 4.7 There is no requirement for the interests of directors' spouses or partners to be declared. Note however that standing order 3 which is based on the Health Authorities (Membership and Procedure) Regulations 1996

requires that the interest of directors' spouses, if living together, in contracts should be declared.

- 4.8 Register of interests - The chief executive will ensure that a register of interests is established to record formally declarations of interests of directors. In particular the register will include details of all directorships and other relevant and material interests which have been declared by directors, as defined in standing order 3.2.
- 4.9 These details will be kept up to date by means of an annual review of the register in which any changes to interests declared during the preceding 12 months will be incorporated.
- 4.10 The register will be available to the public and the chief executive will take reasonable steps to bring the existence of the register to the attention of the local population and to publicise arrangements for viewing it.
- 4.11 Where a director has a direct or indirect interest in a proposed transaction or arrangement with the trust, they should declare the nature and extent of the interest to the other directors.

If the declaration proves to be, or becomes, inaccurate or incomplete, a further declaration must be made.

Such declaration must be made before the Foundation trust enters into the transaction or arrangements.

Exceptions to the need to make a declaration apply where:

- the director is not aware of the interest or of the transaction or arrangement;
- the interest cannot reasonably be regarded as likely to give rise to a conflict of interest;
- the directors are already aware of the interest;
- the interest concerns terms of the director's appointment that have been or are to be considered by a meeting of the Board of Directors or by a committee of the directors appointed for the purpose under the constitution.

5. **Disability of directors in proceedings on account of pecuniary interest**

- 5.1 Subject to the following provisions of this standing order, if a director has any pecuniary interest, direct or indirect, in any contract, proposed contract or other matter and is present at a meeting of the Board of Directors at which the contract or other matter is the subject of consideration, they shall at the meeting and as soon as practicable after its commencement disclose the fact and shall not take part in the consideration or discussion of the contract or other matter or vote on any question with respect to it.
- 5.2 The secretary of state and/or the Regulator may, subject to such conditions as they may think fit to impose, remove any disability imposed by this

standing order in any case in which it appears to each of them in the interests of the NHS that the disability shall be removed.

- 5.3 The Board of Directors shall exclude a director from a meeting of the trust while any contract, proposed contract or other matter in which they have a pecuniary interest, is under consideration.
- 5.4 Any expenses payable to a director in accordance with this constitution shall not be treated as a pecuniary interest for the purpose of this standing order.
- 5.5 For the purpose of this standing order the chair or a director shall be treated, subject to standing order 5.2 and standing order 5.6, as having indirectly a pecuniary interest in a contract, proposed contract or other matter, if:
- 5.5.1 they, or a nominee of theirs, is a director of a company or other body, not being a public body, with which the contract was made or is proposed to be made or which has a direct pecuniary interest in the other matter under consideration;
- or
- 5.5.2 they are a partner of, or are in the employment of a person with whom the contract was made or is proposed to be made or who has a direct pecuniary interest in the other matter under consideration;
- and in the case of married persons, civil partners and or people living together the interest of one spouse shall, if known to the other, be deemed for the purposes of this standing order to be also an interest of the other.
- 5.6 A director shall not be treated as having a pecuniary interest in any contract, proposed contract or other matter by reason only:
- 5.6.1 of their membership of a company or other body, if they have no beneficial interest in any securities of that company or other body;
- 5.6.2 of an interest in any company, body or person with which they are connected as mentioned in standing order 5.5 above which is so remote or insignificant that it cannot reasonably be regarded as likely to influence a director in the consideration or discussion of or in voting on, any question with respect to that contract or matter.
- 5.7 Where a director:
- 5.7.1 has an indirect pecuniary interest in a contract, proposed contract or other matter by reason only of a beneficial interest in securities of a company or other body, and
- 5.7.2 the total nominal value of those securities does not exceed £5,000 or one-hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less, and

5.7.3 if the share capital is of more than one class, the total nominal value of shares of any 1 class in which he has a beneficial interest does not exceed one-hundredth of the total issued share capital of that class;

this standing order shall not prohibit them from taking part in the consideration or discussion of the contract or other matter or from voting on any question with respect to it without prejudice however to their duty to disclose their interest.

5.8 Appointment to corporate or unincorporated associations

5.8.1 any director of the trust shall take directorships or other roles in corporate or unincorporated associations when nominated to do so by the Board of Directors;

5.8.2 unless otherwise determined by the Board of Directors, and subject to any statutory provisions to the contrary, all delegated powers and limits detailed in these standing orders and any other standing orders of the trust applying to individual directors shall also apply when they are acting in the capacity of a director, partner or leader in corporate or unincorporated associations approved by the Board of Directors.

5.9 Standing order 5 applies to a committee or sub-committee of the Board of Directors as it applies to the Board of Directors and applies to any member of any such committee or sub-committee (whether or not they are also a director) as it applies to a director.

6. Delegation of powers

6.1 Subject to Standing Order 5.2, the non-executive directors shall not be granted nor shall they seek to exercise any individual executive powers on behalf of the trust. The non-executive directors may exercise collective authority when acting as members of or when chairing a committee or sub-committee of the trust which has delegated powers.

6.2 Subject to any directions as may be given by the Regulator, the Board of Directors may make arrangements for the exercise, on behalf of the Board of Directors, of any of its functions by a committee or sub-committee appointed in accordance with standing order 2, or by a committee of directors or an executive director as delegated by the Board of Directors of the trust, in each case subject to such restrictions and conditions as the Board of Directors deems appropriate.

6.3 The chair has certain delegated executive powers and must comply with the terms of their appointment and these standing orders in respect of exercising such delegated executive powers.

6.4 Subject to standing order 5.7, certain powers and decisions may only be exercised by the Board of Directors in formal session. Such powers and decisions are set out in the trust's "schedule of matters reserved to the board" document.

- 6.5 Further provisions relating to the delegation of the Board of Directors' powers are set out in the trust's "reservation of powers to the board and delegation of powers" document.
- 6.6 Directors shall exercise their authority in accordance with the terms of the constitution and the following documents:
- 6.6.1 Standing financial instructions;
 - 6.6.2 Reservation of powers to the board and delegation of powers;
 - 6.6.3 Schedule of matters reserved to the board;
 - 6.6.4 Scheme of delegation.
- All of which are to have effect as if incorporated into these standing orders.
- 6.7 The powers which the Board of Directors has reserved to itself may in an emergency or for an urgent decision be exercised by the chief executive and the chair after having consulted at least two non-executive directors. The exercise of such powers by the chief executive and chair shall be reported to the next meeting of the Board of Directors for formal ratification.
- 6.8 Those functions of the trust which have not been reserved to the Board of Directors or expressly delegated shall be exercised on behalf of the Board of Directors by the chief executive. The chief executive shall determine which function they will perform personally and shall nominate officers of the trust to exercise the remaining functions for which the chief executive will retain accountability to the trust.
- 6.9 The chief executive shall prepare the scheme of delegation which shall be subject to the approval of the Board of Directors. The chief executive may periodically propose amendments to the scheme of delegation which shall be subject to the approval of the Board of Directors.
- 6.10 The powers of the trust established under statute shall be exercised by the Board of Directors meeting in public, except as otherwise provided for in the constitution.

7. Finance director

- 7.1 The trust's finance director shall be responsible for the provision of the financial advice to the trust and to its directors and for the supervision of financial control and accounting systems.

8. Chair

- 8.1 The chair shall be responsible for the leadership of the Board of Directors and the Council of Governors.
- 8.2 The chair shall take responsibility either directly or indirectly for and oversee the induction of the non-executive directors, their portfolios of interests and assignments and their performance.

- 8.3 The chair shall work closely with the chief executive and shall ensure that key and appropriate issues are discussed by the Board of Directors and/or the Council of Governors (as appropriate) in a timely manner, with all the necessary information and advice being made available to the Board of Directors and/or the Council of Governors (as appropriate) to inform debate and subsequent resolutions.

9. **Policy statements and procedures**

- 9.1 The Board of Directors and/or duly appointed committees/sub-committees will from time to time agree and approve policy statements and/or procedures which will apply to activities undertaken by the trust and to all or specific groups of staff employed, and subcontractors, agents, suppliers and consultants engaged by or exercising functions on behalf of, the trust. The decisions to approve such policy statements and procedures shall be recorded in an appropriate minute of the relevant meeting of the Board of Directors, committee or sub-committee and will be deemed, where appropriate, to be an integral part of the constitution.

- 9.2 The following policy statement and procedures of the trust:

9.2.1 the standards of business conduct for trust staff policy; and

9.2.2 the disciplinary policy and procedure

shall have an effect as if incorporated into these standing orders.

ANNEX 8

FURTHER PROVISIONS

1. Disqualification for membership

1.1 A person may not be a member of the trust if they:

1.1.1 are under the age of 16 years;

1.1.2 have been convicted of any offence of violence against or dishonesty in relation to a member of the trust's staff or the trust itself or;

1.1.3 if the Council of Governors reasonably considers that they:

1.1.3.1 are unable or unfit to discharge the functions of a member;

1.1.3.2 may bring the trust into disrepute; and

1.1.3.3 has habitually and persistently and without reasonable grounds instituted complaints against the trust.

and the Council of Governors so resolves at a general meeting. No person who has been prevented or expelled from membership under this paragraph 1.1.3 shall be readmitted except by a resolution carried by the votes of two-thirds of the Council of Governors present and voting at a general meeting.

1.1.4 It is the responsibility of the members to ensure their eligibility and not the trust, but if the trust is on notice that a member may be disqualified from membership, they shall carry out all reasonable enquiries to establish if this is the case. Members must be proactive and notify the trust immediately upon becoming aware of any issues concerning their or any member's eligibility.

2. Termination of membership

2.1 A member shall cease to be a member if they:

2.1.1 resign by notice to the company secretary;

2.1.2 fulfil any of the criteria set out at 1.1 above.

3. Board of Directors' termination of tenure and disqualification

3.1 A non-executive director may resign from that office at any time during their term of office by giving notice to the company secretary.

3.2 A director shall cease to be a director if:

3.2.1 in the case of a non-executive director, they are no longer a member of the public constituency;

- 3.2.2 they are a person whose tenure of office as a chair or as a member of or director of a health service body has been terminated on the grounds that their appointment is not in the interests of public service, for non-attendance at meetings, or for non-disclosure of a pecuniary interest;
- 3.2.3 they have been removed from membership of a professional body or from a list of registered medical, dental, nursing or other health care practitioners as a result of disciplinary action or any conclusion that the continued inclusion of that person's name on any such list or membership of any such professional body would be prejudicial to the efficiency of the services to which the professional body or list relates and has not subsequently been reinstated to membership or such a list;
- 3.2.4 they have within the preceding 2 years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 3.2.5 they fail to meet the fit and proper persons requirements outlined within Regulation 5: Fit and Proper Persons: Directors of the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 including all future amendments to the regulation;
- 3.2.6 they become a member of the Council of Governors.

4. **Other**

4.1 Indemnity

- 4.1.1 members of the Council of Governors and Board of Directors who act honestly and in good faith will not have to meet out of their personal resources any personal civil liability which is incurred and in the execution or purported execution of their council or board functions, save where they have acted recklessly. Any costs arising in this way will be met by the trust.

4.2 Dispute resolution procedures

- 4.2.1 Any unresolved dispute which arises out of this constitution between the trust and -
 - 4.2.1.1 a member; or
 - 4.2.1.2 any person aggrieved who has ceased to be a member within the six months prior to the date of the dispute; or
 - 4.2.1.3 any person bringing a claim under this constitution; or
 - 4.2.1.4 an office-holder of the Trust;

is to be submitted to an arbitrator agreed by the parties to the dispute. The arbitrator's decision will be binding and conclusive on all parties concerned.