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**CONSTITUTION OF THE
CALDERDALE AND HUDDERSFIELD NHS FOUNDATION TRUST
(A PUBLIC BENEFIT CORPORATION)**

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CONSTITUTION FOR THE CALDERDALE AND HUDDERSFIELD NHS FOUNDATION TRUST

1 Definitions

- 1.1. Unless the contrary intention appears or the context otherwise requires, words or expressions contained in this constitution bear the same meaning as in the National Health Service Act 2006 as amended by the Health and Social Care Act 2012.
- 1.2. References in this constitution to legislation include all amendments, replacements, or re-enactments made.
- 1.3. Headings are for ease of reference only and are not to affect interpretation.
- 1.4. Words importing the masculine gender only shall include the feminine gender; words importing the singular shall include the plural and vice-versa.
- 1.5. In this constitution:
- | | |
|----------------------------|--|
| “The 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. |
| “The 2006 Act” | means the National Health Service Act 2006 as amended by the Health and Social Care Act 2012. |
| “The 2012 Act” | is the Health and Social Care Act 2012. |
| “The Council of Governors” | means the Membership Council |
| Annual Members Meeting | is defined in paragraph 11 of the constitution. |
| “Appointed Council Member” | means those Council Members appointed by the Appointing Organisations; |

“Appointing Organisations”	means those organisations named in this constitution who are entitled to appoint Council Members;
“Areas of the Trust”	the areas specified in Annexe 1;
“Authorisation”	means an authorisation given by Monitor
“Board of Directors”	means the Board of Directors as constituted in accordance with this constitution;
“Director”	means a member of the Board of Directors;
“Non-Executive Directors”	means the Chairman and Non-Executives on the Board of Directors;
“Elected Council Member”	means those Council Members elected by the public constituency and the staff constituency;
“Financial year”	means: <ul style="list-style-type: none"> (a) a period beginning with the date on which the Trust is authorised and ending with the next 31 March; and (b) each successive period of twelve months beginning with 1 April;
“Monitor”	is the body corporate known as Monitor, as provided by Section 61 of the 2012 Act.
“Local Authority Council Member”	means a Member of the Membership Council appointed by one or more Local Authorities whose area includes the whole or part of the area of the Trust;
“Member”	means a Member of the Trust;

“Membership Council”	means the Membership Council as constituted by this constitution and referred to as the Board of Governors/ Council of Governors in the 2006 Act;
“The NHS Trust”	means the NHS Trust which made the application to become the Trust;
“Other Partnership Council Member”	means a Member of the Membership Council appointed by a Partnership Organisation other than a Primary Care Trust or Local Authority;
“Public Constituency”	means those individuals who live in an area specified as an area for any public constituency are referred to collectively as the Public Constituency;
“Public Council Member”	means a Member of the Membership Council elected by the Members of the public constituency;
“Secretary”	means the Secretary of the Trust or any other person appointed to perform the duties of the Secretary;
“Staff Constituency”	means those individuals who are eligible for trust membership by reason of 8.5-8.9 of this Constitution are referred to collectively as the Staff Constituency;
“Staff Council Member”	means a Member of the Membership Council appointed by the Members of one of the classes of the constituency of the staff membership;
“the Trust”	means the Calderdale & Huddersfield NHS Foundation Trust.

2 **Name and status**

- 2.1. The name of this Trust is to be “Calderdale and Huddersfield NHS Foundation Trust”.

3 **Purpose**

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

4 **Functions**

- 4.1. The function of the Trust is to provide goods and services, including education and training, research, accommodation and other facilities, for purposes related to the provision of health services.
- 4.2. The Trust may also carry on other functions provided any additional resources generated are used to carry on the Trust’s principal purpose better.
- 4.3. The profits or surpluses of the Trust are not to be distributed either directly or indirectly in any way at all among members of the Trust.

5 **Powers**

- 5.1. The powers of the trust are set out in the 2006 Act,
- 5.2. All the powers of the Trust shall be exercised by the Board of Directors on behalf of the trust,

- 5.3. Any of these powers may be delegated to a committee of directors or to an executive director.
- 5.4. The Trust may do anything which appears to it to be necessary or desirable for the purposes of or in connection with its functions.
- 5.5. In particular it may:
 - 5.5.1. acquire and dispose of property;
 - 5.5.2. enter into contracts;
 - 5.5.3. accept gifts of property (including property to be held on Trust for the purposes of the Trust or for any purposes relating to the health service);
 - 5.5.4. employ staff.
- 5.6. Any power of the Trust to pay remuneration and allowances to any person includes the power to make arrangements for providing, or securing the provision of pensions or gratuities (including those payable by way of compensation for loss of employment or loss or reduction of pay).
- 5.7. The Trust may borrow money for the purposes of or in connection with its functions, subject to the limit published by Monitor from time to time.
- 5.8. The Trust may invest money (other than money held by it as Trustee) for the purposes of or in connection with its functions. The investment may include investment by:
 - 5.8.1. forming, or participating in forming bodies corporate;
 - 5.8.2. otherwise acquiring membership of bodies corporate.
- 5.9. The Trust may give financial assistance (whether by way of loan, guarantee or otherwise) to any person for the purposes of or in connection with its function.

6 **Commitments**

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

Representative membership

- 6.2 The Trust shall at all times strive to ensure that taken as a whole its actual membership is representative of those eligible for membership.

- 6.3 The Trust shall at all times have in place and pursue a Membership Strategy which shall be approved by the Membership Council, and shall be reviewed by them from time to time, and at least every 3 years.

Co-operation with other bodies

- 6.4 In exercising its functions the Trust shall co-operate with Local Authorities, Special Health Authorities, , the NHS Commissioning Board, Clinical Commissioning Groups, NHS Trusts, NHS Foundation Trusts and other public bodies serving the community served by the Trust.

Respect for rights of people

- 6.5 In conducting its affairs, the Trust shall respect the rights of members of the community it serves, its employees and people dealing with the Trust as set out in the Charter of Fundamental Rights of the European Union.

Openness

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

7. Framework

- 7.1 The affairs of the Trust are to be conducted by the Board of Directors, the Membership Council and the Members in accordance with this Constitution. The Board of Directors, Membership Council and Members, are to have the roles and responsibilities set out in this Constitution.

7.2 Membership and Constituencies

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

7.2.1 A public constituency

7.2.2 A staff constituency

Board of Directors

- 7.3 The business of the Trust is to be managed by the Board of Directors, who (subject to this Constitution) shall exercise all the powers of the Trust. 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 as to maximise the benefits for the members of the trust as a whole and for the public.

- 7.4 A third party dealing in good faith with the Trust shall not be affected by any defect in the process by which Directors are appointed or any vacancy on the Board of Directors.

Membership Council

Membership Council – duties of Council Members

- 7.5 The roles and responsibilities of the Membership Council are:

- 7.5.1 at a general meeting, to appoint or remove the Chairman and the other Non-Executive Directors;
- 7.5.2 at a general meeting, to approve an appointment (by the non-executive Directors) of the Chief Executive;
- 7.5.3 at a general meeting, to decide the remuneration and allowances, and the other terms and conditions of office, of the Non-Executive Directors;
- 7.5.4 at a general meeting, to appoint or remove the Trust's auditor;
- 7.5.5 at a general meeting, to be presented with the annual accounts, any report of the auditor on them and the annual report;
- 7.5.6 at a general meeting, to appoint or remove any auditor appointed to review and publish a report on any other aspect of the Trust's affairs;
- 7.5.7 to provide their views to the Board of Directors when the Board of Directors is preparing the document containing information about the Trust's forward planning in respect of each financial year;
- 7.5.8 to respond as appropriate when consulted by the Board of Directors in accordance with this Constitution;
- 7.5.9 to undertake such functions as the Board of Directors shall from time to time request;
- 7.5.10 to prepare and from time to time to review the Trust's Membership Strategy, its policy for the composition of

the Membership Council and of the Non-Executive Directors.

7.5.11 The Trust must take steps to secure that the Council Members are equipped with the skills and knowledge they require in their capacity as such

7.6 A third party dealing in good faith with the Trust shall not be affected by any defect in the process by which Members of the Membership Council are appointed or any vacancy on the Membership Council.

8 Members

8.1. The Members of the Trust are those individuals whose names are entered in the register of members. Every Member is either a Member of one of the public constituencies or a Member of the staff constituency.

8.2. Subject to this Constitution, Membership is open to any individual who:

8.2.1. is over 16 years of age,

8.2.2. is entitled under this Constitution to be a Member of the public constituencies, or staff constituency, and

8.2.3. completes or has completed a membership application form in whatever form the Membership Council approves or specifies.

Public Membership

8.3 There are eight public constituencies corresponding to the areas set out in Annex 1 serviced by the Trust. Members of each constituency are to be individuals:

8.3.1 who live in the relevant area of the Trust;

8.3.2 who are not eligible to be Members of the staff constituency; and

8.3.3 who are not Members of another public constituency.

8.4 The minimum number of members of each of the public constituencies is to be 50.

Staff Membership

8.5 There is 1 Staff Constituency for staff Membership. It is to be divided into five classes as follows:

- 8.5.1 doctors or dentists;
- 8.5.2 Allied Health Professionals, Health Care Scientists and Pharmacists;
- 8.5.3 Management, administration and clerical;
- 8.5.4 Ancillary staff;
- 8.5.5 Nurses and midwives.

8.6 Members of the staff constituency are to be individuals:

8.6.1 who are employed under a contract of employment by the Trust and who either:

8.6.1.1 are employed by the Trust under a contract of employment which has no fixed term or a fixed term of at least 12 months, or

8.6.1.2 who have been continuously employed by the Trust or the NHS Trust for at least 12 months; or

8.6.2 who are not so employed but who nevertheless exercise functions for the purposes of the Trust, and have exercised the functions for the purposes of the Trust for at least 12 months.

8.7 Individuals entitled to be Members of the staff constituency are not eligible to be Members of the public constituency.

8.8 The Secretary is to decide to which class a staff member belongs.

8.9 The minimum number of members in each class of the staff membership is to be 20.

9 **Disqualification from membership**

9.1 A person may not be a member of the Trust if, in the opinion of the Membership Council, there are reasonable grounds to believe that they are likely to act in a way detrimental to the interests of the Trust.

10 **Termination of membership**

10.1 A Member shall cease to be a Member if:

10.1.1 they resign by notice to the Secretary;

10.1.2 they die;

- 10.1.3 they are disqualified from Membership by paragraph 9;
- 10.1.4 they cease to be entitled under this Constitution to be a Member of any of the public constituencies or the staff constituency.
- 10.2 A Member may be expelled by a resolution approved by not less than three quarters of the full Membership Council present and voting at a general meeting. The following procedure is to be adopted.
- 10.2.1 Any Member may complain to the Secretary that another Member has acted in a way detrimental to the interests of the Trust.
- 10.2.2 If a complaint is made, the Membership Council may itself consider the complaint having taken such steps as it considers appropriate to ensure that each Member's point of view is heard and may either:
- 10.2.2.1 dismiss the complaint and take no further action; or
- 10.2.2.2 arrange for a resolution to expel the Member complained of to be considered at the next general meeting of the Membership Council.
- 10.2.3 If a resolution to expel a Member is to be considered at a general meeting of the Membership Council, details of the complaint must be sent to the Member complained of not less than one calendar month before the meeting with an invitation to answer the complaint and attend the meeting.
- 10.2.4 At the meeting the Membership Council will consider evidence in support of the complaint and such evidence as the Member complained of may wish to place before them.
- 10.2.5 If the Member complained of fails to attend the meeting without due cause the meeting may proceed in their absence.
- 10.3 A person expelled from Membership will cease to be a Member upon the declaration by the Chairman of the meeting that the resolution to expel them is carried.
- 10.4 No person who has been expelled from Membership is to be re-admitted except by a resolution carried by the votes of three quarters of the Membership Council present and voting at a general meeting.

11 **Members Meetings**

- 11.1 The Trust is to hold a Members meeting (called the Annual Members Meeting) within six months of the end of each financial year. The Annual Members Meeting shall be open to members of the public.
- 11.2 All Members meetings other than annual meetings are called special members meetings.
- 11.3 Members meetings are open to all members of the Trust, members of the Membership Council and the Board of Directors, representatives of the Trust's financial auditors, but not to members of the public. The Membership Council may invite representatives of the media, and any experts or advisors, whose attendance they consider to be in the best interests of the Trust to attend a members meeting.
- 11.4 All Members meetings are to be convened by the Secretary by order of the Chair of the Membership Council or upon a resolution of the Board of Directors.
- 11.5 The Membership Council may decide where a Members meeting is to be held and may also for the benefit of Members:
- 11.5.1 arrange for the annual members meeting to be held in different venues each year;
 - 11.5.2 make provisions for a Members meeting to be held at different venues simultaneously or at different times. In making such provision the Membership Council shall also fix an appropriate quorum for each venue, provided that the aggregate of the quorum requirements shall not be less than the quorum set out below.
- 11.6 At the Annual Members Meeting:
- 11.6.1 the Membership Council shall present to the Members:
 - 11.6.1.1 the annual accounts;
 - 11.6.1.2 any report of the auditor;
 - 11.6.1.3 any report of any other auditor of the Trust's affairs;
 - 11.6.1.4 forward planning information for the next financial year;
 - 11.6.1.5 a report on steps taken to secure that (taken as a whole) the actual membership

of its constituencies is representative of those eligible for such membership;

11.6.1.6 the progress of the Membership Strategy;

11.6.1.7 any proposed changes to the policy for the composition of the Membership Council and of the Non-Executive Directors.

11.6.2 the results of the election and appointment of Membership Council Members will be announced.

11.7 Notice of a Members meeting is to be given:

11.7.1 by notice sent by prepaid second class post to all members;

11.7.2 by notice prominently displayed at the registered office and at all of the Trust's places of business; and

11.7.3 by notice on the Trust's website

at least 14 clear days before the date of the meeting. The notice must:

11.7.4 be given to the Membership Council and the Board of Directors, and to the auditors;

11.7.5 state whether the meeting is an annual or special members meeting;

11.7.6 give the time, date and place of the meeting; and

11.7.7 indicate the business to be dealt with at the meeting.

11.8 Before a members meeting can do business there must be a quorum present. Except where these Rules say otherwise a quorum is 30 members entitled to vote at the meeting.

11.9 It is the responsibility of the Membership Council, the Chairman of the meeting and the Secretary to ensure that at any members meeting:

11.9.1 the issues to be decided are clearly explained;

11.9.2 sufficient information is provided to members to enable rational discussion to take place;

11.9.3 where appropriate, experts in relevant fields or representatives of special interest groups are invited to address the meeting.

- 11.10 The Chairman of the Trust or, in his absence, the Vice-Chairman or, in his absence, the deputy chairman is to chair members meetings.
- 11.11 If no quorum is present within half an hour of the time fixed for the start of the meeting, the meeting shall stand adjourned to the same day in the next week at the same time and place or to such time and place as the Membership Council determine. If a quorum is not present within half an hour of the time fixed for the start of the adjourned meeting, the number of members present during the meeting is to be a quorum.
- 11.12 Subject to this Constitution, a resolution put to the vote at a members meeting shall, except where a poll is demanded or directed, be decided upon by a show of hands.
- 11.13 On a show of hands or on a poll, every member present is to have one vote. On a poll, votes may be given either personally or by proxy under arrangements laid down by the Membership Council, and every member is to have one vote. In case of an equality of votes the Chairman shall decide the outcome.
- 11.14 Unless a poll is demanded, the result of any vote will be declared by the Chairman and entered in the minute book. The minute book will be conclusive evidence of the result of the vote.
- 11.15 A poll may be directed by the Chairman or demanded either before or immediately after a vote by show of hands by not less than one-tenth of the members present at the meeting. A poll shall be taken immediately.

12. **Membership Council**

- 12.1. The Trust is to have Membership Council. It is to consist of Public Council Members, Staff Council Members, Local Authority Council Members and other Partnership Council Members.
- 12.2. The composition of the Membership Council, subject to the 2006 Act, shall seek to ensure that:
- 12.2.1. the interests of the community served by the Trust are appropriately represented;
- 12.2.2. the level of representation of the public constituencies, the staff constituency and the Partnership Organisations strikes an appropriate balance having regard to their legitimate interest in the Trust's affairs;

and to this end, the Membership Council:

- 12.2.3. shall at all times maintain a policy for the composition of the Membership Council which takes account of the Membership Strategy and which specifies the allocation of Public Council Members to particular geographical regions and the allocation of Staff Council Members to particular classes of staff;
 - 12.2.4. shall from time to time and not less than every three years review the policy for the composition of the Membership Council;
 - 12.2.5. shall undertake other tasks as allocated by the Board of Directors;
 - 12.2.6. when appropriate shall propose amendments to this Constitution.
- 12.3. The Membership Council of the Trust is to comprise:
- 12.3.1. up to 16 Public Council Members from 8 public constituencies (2 members from each constituency) set out in Annex 1
 - 12.3.2. up to 6 Staff Council Members from 1 Staff Constituency from the following classes:
 - 12.3.2.1. doctors and dentists (1 member);
 - 12.3.2.2. Allied Health Professionals, Health Care Scientists and Pharmacists (1 member);
 - 12.3.2.3. Management, Administration and Clerical (1 Member);
 - 12.3.2.4. Ancillary Staff (1 Member);
 - 12.3.2.5. Nurses and Midwives (up to 2 members);
 - 12.3.3. 2 Local Authority Council Members, one to be appointed by each of: Calderdale Metropolitan Borough Council and Kirklees Metropolitan Council;
 - 12.3.4. Up to 2 Council Members appointed by Partnership Organisations. The Partnership Organisations shall appoint a Council Member to represent their organisation on the Membership Council. The

Partnership Organisations are identified as Huddersfield University and South West Yorkshire Partnership NHS Foundation Trust.

Elected Council Member

- 12.4. Public Council Members are to be elected by Members of the public constituencies, and Staff Council Members by Members of the staff constituency.
- 12.5. If contested, the elections must be by secret ballot.
- 12.6. The Election procedures including the arrangements governing nominations, the advertisement of candidates, rules regarding canvassing voting, and the election of reserves to fill casual vacancies are to be determined by the election rules (annexe 2).
- 12.7. A Member may not vote at an election for an elected Council Member unless within 21 days before they vote they have made a declaration in the form specified by the Membership Council as to the basis upon which they are entitled to vote as a Member. It is an offence to knowingly or recklessly make such a declaration which is false in a material particular. This provision does not apply to staff Members.

Appointed Council Members

Local Authority Council Members

- 12.8. The Secretary, having consulted each Local Authority whose areas includes the whole or part of the area of the Trust is to adopt a process for agreeing the appointment of Local Authority Councils Member with those Local Authorities.

Partnership Council Members

- 12.9. The Secretary, having consulted each Partnership Organisation is to adopt a process for agreeing the appointment of partnership Council Members with those Partnership Organisations.

Appointment of Chairman, Vice-Chair and Deputy-Chair

- 12.11 The Membership Council shall appoint a Chairman of the Trust. The Board of Directors will appoint one NED to be Vice-Chairman of the Trust. This individual may, through agreement with the Chair take on the role of Senior Independent Non-Executive Director(SID). The Membership

Council shall ratify the appointment of the Vice-Chairman at a General Meeting.

12.11.1 The Chairman and Vice Chair will be the Chair and Vice Chair of both the Membership Council and the Board of Directors. The Membership Council shall appoint at a general meeting one of its public Members to be Deputy Chairman of the Membership Council.

Senior Independent Non – Executive Director (SID)

12.11.2

The Trust has a detailed job description for the SID. The main duties include:

The Senior Independent Director will be available to members of the Foundation Trust and to the Membership Council if they have concerns that contact through the usual channels of Chair, Chief Executive, Finance Director and Company Secretary has failed to resolve or where it would be inappropriate to use such channels. In addition to the duties described here the SID has the same duties as the other Non-Executive Directors.

The SID has a key role in supporting the Chair in leading the Board of Directors and acting as a sounding board and source of advice for the Chair. The SID also has a role in supporting the Chair as Chair of the Membership Council.

While the Membership Council determines the process for the annual appraisal of the chair, the senior independent director is responsible for carrying out the appraisal of the chair on its behalf.

The SID should maintain regular contact with the Membership Councillors and attend meetings of the Membership Council to obtain a clear understanding of Membership Council views on the key strategic performance issues facing the Foundation Trust. The SID should also be available to Membership Councillors as a source of advice and guidance in circumstances where it would not be appropriate to involve the chair; chair's appraisal or setting the chair's objectives for example.

In rare cases where there are concerns about the performance of the chair the SID should provide

support and guidance to the Membership Council in seeking to resolve concerns or in the absence of a resolution in taking formal action. Where the foundation trust has appointed a lead membership councillor the SID should liaise with the lead membership councillor in such circumstances.

In circumstances where the board is undergoing a period of stress the SID has a vital role in intervening to resolve issues of concern. These might include unresolved concerns on the part of the Membership Council regarding the chair's performance; where the relationship between the chair and the chief executive is either too close or not sufficiently harmonious, where the Foundation Trust's strategy is not supported by the whole Board or where key decisions are being made without reference to the Board or where succession planning is being ignored.

In the circumstances outlined above, the SID will work with the chair, other directors and/or governors, to resolve significant issues. Boards of directors and Membership Councillors need to have a clear understanding of when the SID might intervene.

Terms of office for Membership Council Members

12.12 Elected Council Members:

- 12.12.1 shall hold office for a period of three years commencing immediately after the annual members meeting at which their election is announced;
- 12.12.2 subject to the next sub-paragraph are eligible for re-election after the end of that period;
- 12.12.3 may not hold office for more than six consecutive years and shall not be eligible for re-election if they have already held office for more than three consecutive years;
- 12.12.4 cease to hold office if they cease to be a Member of the constituency by which they were elected, or if they are disqualified for any of the reasons set out in this Constitution.

12.12.5 “The Foundation Trust will retain a reserve register of Membership Councillors who have previously held and completed their elected terms of office with the Foundation Trust as per paragraph 12.12.3. The reserve register will exist to ensure that the statutory sub-committees of the Board of Directors can run effectively (i.e, the Remuneration, Nomination and Audit Risk Committees) and that the role of Deputy Chair of the Membership Council can continue. A condition of access to the register will be to cover gaps on the statutory sub-committees and the role of the Deputy Chair. Access to the Register will be exceptional and for a time limited period. No reserve Membership Councillor shall be retained on the reserve list for more than 2 years following completion of their elected terms of office, whether or not they have covered a vacant seat in that period. Membership Councillors can apply to be on the reserve register if they are not re-elected following the first term of their elected office. The normal rules of selection and exclusion for Membership Councillors will apply to reserve Membership Councillors. A majority of the Board of Directors and the Membership Council, who are present when the decision is taken, must agree the movement of a reserve Membership Councillor from the reserve list onto the Membership Council. The reserve Membership Councillor may only serve one term of office on the Membership Council for a 12 month period. No further terms will be available. Decisions of the Board of Directors and Membership Council will be final in respect of access to the reserve register and of holding a reserve position on the Membership Council. No right of review or appeal will exist in respect of decisions made by the Board of Directors and Membership Council. The reserve Membership Councillor may only cover a vacancy that exists following elections. This may be on the Constituency to which they were previously elected and hold terms of office or to a different vacant seat. The rules of good governance will apply at all times and the Board of Directors and Membership Council will have regard to the need to continually refresh their elected and appointed members, whilst ensuring that the business of the Board and Membership Council can continue seamlessly using the best available knowledge and experience”.

12.13 **Appointed Council Members:**

- 12.13.1 shall hold office for a period of 3 years commencing immediately after the annual members meeting at which their appointment is announced;
- 12.13.2 subject to the next sub-paragraph are eligible for re-appointment after the end of that period;
- 12.13.3 may not hold office for longer than 6 consecutive years;
- 12.13.4 shall cease to hold office if the Appointing Organisation terminates their appointment.
- 12.13.5 cease to hold office if they cease to be a Member of the constituency by which they were elected, or if they are disqualified for any of the reasons set out in this Constitution.

Eligibility to be a Council Member

- 12.14 A person may not become a Council Member of the Trust, and if already holding such office will immediately cease to do so if:
 - 12.14.1 they are a Director or Company Secretary of this Trust, a Director of another NHS Trust or a Council Member or Non Executive Director of another NHS Foundation Trust;
 - 12.14.2 they are under 18 years of age;
 - 12.14.3 being a Member of a public constituency, they were entitled to be a Member of the staff constituency until less than one years ago;
 - 12.14.4 they have been adjudged bankrupt or their estate has been sequestrated and in either case they have not been discharged;
 - 12.14.5 they have made a composition or arrangement with, or granted a Trust deed for, their creditors and have not been discharged in respect of it;
 - 12.14.6 they have within the preceding five years been convicted in the British Islands of any offence, and a sentence of imprisonment (whether suspended or not) for a period of three months or more (without the option of a fine) was imposed on them;

- 12.14.7 they have within the preceding two years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 12.14.8 they are a person whose tenure of office as the Chairman 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;

Termination of office and removal of Council Member

- 12.15 A person holding office as a Council Member shall immediately cease to do so if:
 - 12.15.1 they resign by notice in writing to the Secretary;
 - 12.15.2 they fail to attend two meetings in any Financial Year, unless the other Council Members are satisfied that:
 - 12.15.2.1 the absences were due to reasonable causes; and
 - 12.15.2.2 they will be able to start attending meetings of the Trust again within such a period as they consider reasonable.
 - 12.15.3 in the case of an elected Council Member, they cease to be a Member of the constituency by whom they were elected;
 - 12.15.4 in the case of an Appointed Council Member, the Appointing Organisation terminates the appointment;
 - 12.15.5 they have failed to undertake any training which the Membership Council requires all Council Members to undertake;
 - 12.15.6 they have failed to sign and deliver to the Secretary a statement in the form required by the Membership Council confirming acceptance of the code of conduct for Council Members;
 - 12.15.7 they refuse to sign a declaration in the form specified by the Membership Council that they are

a Member of a specific public constituency and are not prevented from being a Member of the Membership Council. This does not apply to Staff members;

- 12.15.8 they are removed from the Membership Council under the following provisions.
- 12.16 A Council Member may be removed from the Membership Council by a resolution approved by not less than three-quarters of the remaining Council Members present and voting at a general meeting of the Membership Council on the grounds that:
- 12.16.1 they have committed a serious breach of the code of conduct; or
- 12.16.2 they have acted in a manner detrimental to the interests of the Trust; and
- 12.16.3 the Membership Council consider that it is not in the best interests of the Trust for them to continue as a Council Member.

Vacancies amongst Council Members

- 12.17 Where a vacancy arises on the Membership Council for any reason other than expiry of term of office, the following provisions will apply.
- 12.18 Where the vacancy arises amongst the Appointed Council Members, the Secretary shall request that the Appointing Organisation appoints a replacement to hold office for the remainder of the term of office.
- 12.19 Where the vacancy arises amongst the elected Council Member, the Membership Council shall be at liberty either:
- 12.19.1 to call an election within three months to fill the seat for the remainder of that term of office, or
- 12.19.2 to invite any elected reserve Council Members or the next highest polling candidate for that seat at the most recent election, who is willing to take office to fill the seat until the next annual election, at which time the seat will become vacant and subject to election for any unexpired period of the term of office.

Expenses and remuneration of Council Member

- 12.20 The Trust may pay travelling and other expenses to Council Members at such rates as it decides. These are to be disclosed in the annual report.
- 12.21 Council Members are not to receive remuneration.

Meetings of the Membership Council

- 12.22 The Membership council is to meet at least three times in each financial year. Save in the case of emergencies or the need to conduct urgent business, the Secretary shall give at least fourteen days written notice of the date and place of every meeting of the Membership Council to all Council Members. Notice will also be published in local media and on the Trust's website.
- 12.23 Meetings of the Membership Council may be called by the Secretary, by the Chairman, by the Board of Directors or by eight Council Members including two Appointed Council Members who give written notice to the Secretary specifying the business to be carried out. The Secretary shall send a written notice to all Council Members as soon as possible after receipt of such a request. The Secretary shall call a meeting on at least fourteen but not more than twenty-eight days' notice to discuss the specified business. If the Secretary fails to call such a meeting then the Chairman or four Council Members, whichever is the case, shall call such a meeting.
- 12.24 All meetings of the Membership Council are to be general meetings open to Members of the public unless the Membership Council decides otherwise in relation to all or part of a meeting for reasons of commercial confidentiality or on other proper grounds. The Chairman may exclude any member of the public from a meeting of the Membership Council if they are interfering with or preventing the proper conduct of the meeting.
- 12.25 Sixteen Membership Council members (including not less than nine Public Council Members, not less than three Staff Council Members and not less than two Appointed Council Members) present in person or by proxy under arrangements approved by the Membership Council shall form a quorum.
- 12.26 The Chairman of the Trust or, in his absence, the Vice-Chairman, or in his absence a Deputy Chairman will chair meetings of the Membership Council.
- 12.27 The Deputy Chairman will be appointed from the public membership at a general meeting. He will act as Chairman of the meeting should the Chairman and the Vice Chairman be in

conflict. The Deputy Chairman will hold the casting vote when he is acting as Chairman.

- 12.28 The Membership Council may invite the Chief Executive or through the Chief Executive any other member or members of the Board of Directors, or a representative of the Trust's auditors or other advisors to attend a meeting of the Membership Council. The Chief Executive and any Executive of the Trust nominated by the Chief Executive shall have the right to attend any meeting of the Membership Council provided that they shall not be present for any discussion of their individual relationship with the Trust.
- 12.29 The Membership Council may agree that its Members can participate in its meetings by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.
- 12.30 Subject to this Constitution including the following provisions of this paragraph, questions arising at a meeting of the Membership Council requiring a formal decision shall be decided by a majority of votes.
- 12.30.1 In case of an equality of votes the Chairman shall decide the outcome.
- 12.30.2 No resolution of the Membership Council shall be passed if it is unanimously opposed by all of the Public Council Members.
- 12.31 All decisions taken in good faith at a meeting of the Membership Council or of any committee shall be valid even if it is discovered subsequently that there was a defect in the calling of the meeting, or the appointment of the Council Members attending the meeting.

Disclosure of interests

- 12.32 Any Council member who has a material interest in a matter as defined below and in Annex 3 shall declare such interest to the Membership Council and it shall be recorded in a register of interests and the Council Member in question:
- 12.32.1 shall not be present except with the permission of the Membership Council in any discussion of the matter, and
- 12.32.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).
- 12.33 Any Council Member who fails to disclose any interest required to be disclosed under the preceding paragraph must permanently

vacate their office if required to do so by a majority of the remaining Council Members.

12.34 A material interest in a matter is any interest (save for the exceptions referred to below) held by a Council Member, or their spouse or partner, in any firm or company or business which, in connection with the matter, is trading with the Trust, or is likely to be considered as a potential trading partner with the Trust. The exceptions which shall not be treated as material interests are as follows:

12.34.1 shares not exceeding 2% of the total shares in issue held in any company whose shares are listed on any public exchange;

12.34.2 an employment contract held by staff Council Members;

12.34.3 an employment contract with a Local Authority held by a Local Authority Council Members;

12.34.4 an employment contract with any Partnership organisation.

12.35 The Membership Council is to adopt its own standing orders for its practice and procedure, in particular for its procedure at meetings.

12.36 Meetings of the Membership Council are to follow an approach that encourages involvement and discussion and may be of a workshop or open space format.

12.37 An Elected Council Member may not vote at a meeting of the Membership Council unless, before attending the meeting, they have made a declaration in the form specified by the Membership Council as to the basis upon which they are entitled to vote as a Member Annex 3 provides guidance. An Elected Council Member shall be deemed to have confirmed the declaration upon attending any subsequent meeting of the Membership Council, and every agenda for meetings of the Membership Council will draw this to the attention of elected Council Members.

13 **Board of Directors**

13.1 The Trust is to have a Board of Directors. It is to consist of Executive and Non-Executive Directors.

13.2 The Constitution is to provide for all the powers of the corporation to be exercisable by the Board of Directors.

13.3 The board is to include:

13.3.1 the following Non-Executive Directors:

13.3.1.1 a Chairman;

13.3.1.2 up to 6 other Non-Executive Directors.

13.3.1.3 It is for the Membership Council at a general meeting to appoint or remove the Chairman and the other Non-Executive Directors. Appointments will be made using the procedure set out in sub-paragraph 13.5.5

13.3.1.4 Removal of a Non-Executive Director requires the approval of three quarters of the full Council Member.

13.3.2 the following Executive Directors:

13.3.2.1 a Chief Executive who shall also be the accounting officer responsible for the submission of the accounts of the Trust to Parliament and any report of the auditor on them. Once laid before Parliament copies will be sent of the documents will be sent to Monitor. It is for the Non-Executive Directors, including the Chairman, to appoint or remove the Chief Executive. Appointment of the Chief Executive requires the approval of the Membership Council;

13.3.2.2 a Finance Director. It is for a committee consisting of the Chief Executive and the Non-Executive Directors, including the Chairman, to appoint the Finance Director;

13.3.2.3 up to 4 other Executive Directors, one of whom is to be a registered member of a medical or a registered dentist (within the meaning of the Dentists Act 1984 (c.24)) and one of whom is to be a registered nurse or midwife (unless this requirement is met by reason of qualifications held by the Chief Executive or Finance Director). It is for a committee consisting of the Chief Executive and a Chairman and the other Non-Executive Directors, to appoint or remove all the Executive Directors.

13.3.2.4 It is for the Board of Directors to appoint one Non-Executive Director to be Vice-Chair of the Trust.

- 13.4 Only a Member of one of the public constituencies is eligible for appointment as a Non-Executive Director.
- 13.5 Non-Executive Directors are to be appointed by the Membership Council using the following procedure.
- 13.5.1 The Membership Council will maintain a policy for the composition of the Non-Executive Directors which takes account of the Membership Strategy, and which they shall review from time to time and not less than every three years.
- 13.5.2 The Board of Directors will work with the external organisations recognised as expert at appointments to identify the skills and experience required for Non-Executive Directors.
- 13.5.3 Appropriate candidates will be identified by the Board of Directors taking into account the policy maintained by the Membership Council and the skills and experience required.
- 13.5.4 Only those candidates meeting the skills and experience identified by the Board of Directors will be eligible for appointment.
- 13.5.5 A sub-committee of the Membership Council (not exceeding 4 persons) including the Chair will interview a short list of candidates and recommend a candidate for appointment by the Membership Council.

Terms of Office

- 13.6 The Chairman and the Non-Executive Directors are to be appointed for a period of three years. The Chair and the Non-Executive Directors will serve for a maximum of two terms. In exceptional circumstances a Non-Executive Director (including the Chair) may serve longer than six years (two three-year terms). Any subsequent appointment will be subject to annual re-appointment. Reviews will take into account the need to progressively refresh the Board whilst ensuring its stability. Provisions regarding the independence of the Non-Executive Director will be strictly observed.

Disqualification

- 13.7 A person may not become or continue as a Director of the Trust if:
- 13.7.1 they are a member of the Membership Council;
- 13.7.2 they have been adjudged bankrupt or their estate has been sequestrated and in either case they have not been discharged;

- 13.7.3 they have made a composition or arrangement with, or granted a Trust deed for, their creditors and have not been discharged in respect of it;
- 13.7.4 they have within the preceding five years been convicted in the British Islands of any offence, and a sentence of imprisonment (whether suspended or not) for a period of three months or more (without the option of a fine) was imposed on them;
- 13.7.5 they are the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
- 13.7.6 in the case of a Non-Executive Director, they are no longer a member of the relevant constituency;
- 13.7.7 they are a person whose tenure of office as a Chairman 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;
- 13.7.8 they have within the preceding two years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 13.7.9 in the case of a Non-Executive Director they have failed to fulfil any training requirement established by the Board of Directors; or
- 13.7.10 they have failed to sign and deliver to the Secretary a statement in the form required by the Board of Directors confirming acceptance of the code of conduct for Directors; or
- 13.7.11 in the case of a Non Executive Director the Membership Council resolves by approval of three quarters of the full Council members, following a recommendation from the Board of Directors supported by evidence, that they have failed to make an appropriate contribution to the work of the Board of Directors.

Committees and delegation

- 13.8 The Board of Directors may delegate any of its powers to a committee of Directors or to an Executive Director.
- 13.9 The Board of Directors shall appoint a committee of Non-Executive Directors to monitor the exercise of the auditor's

functions and perform such monitoring, reviewing and other functions as the Board of Directors shall consider appropriate.

- 13.10 The Board of Directors shall appoint an executive 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 Executive Directors.
- 13.11 The remuneration and allowances, and the other terms and conditions of office, of the Chairman and Non-Executive Directors shall be decided by the Membership Council at a general meeting. The Membership Council may take advice from independent pay advisors whose Terms of Reference will be established and ratified by the Board of Directors and the Membership Council.

Meeting of Directors

- 13.12 Save in the case of emergencies or the need to conduct urgent business, the Secretary shall give at least 14 days written notice of the date and place of every meeting of the Board of Directors to all Directors. Notice will also be published in local media and on the Trust's website.
- 13.13 Meetings of the Board of Directors shall be open to members of the public unless the Board of Directors decides otherwise in relation to all or part of a meeting for reasons of commercial confidentiality or on other proper grounds. The Chairman may exclude any member of the public from a meeting of the Board of Directors if they are interfering with or preventing the proper conduct of the meeting.
- 13.14 Meetings of the Board of Directors are called by the Secretary, or by the Chairman, or by four Directors including two Executive Directors who give written notice to the Secretary specifying the business to be carried out. The Secretary shall send a written notice to all Directors as soon as possible after receipt of such a request. The Secretary shall call a meeting on at least fourteen but not more than twenty-eight days' notice to discuss the specified business. If the Secretary fails to call such a meeting then the Chairman or four Directors, whichever is the case, shall call such a meeting.
- 13.15 Six Directors including not less than three Executive, and not less than three Non-Executive Directors shall form a quorum.
- 13.16 The Board of Directors may agree that its members can participate in its meetings by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.

13.17 The Chairman of the Trust or, in their absence, the Vice-Chair, and in their absence one of the other Non-Executive Directors in attendance is to chair meetings of the Board of Directors.

13.18 Subject to the following provisions of this paragraph, questions arising at a meeting of the Board of Directors requiring a formal decision shall be decided by a majority of votes.

13.18.1 In case of an equality of votes the Chairman shall have a second and casting vote.

13.18.2 No resolution of the Board of Directors shall be passed by a majority composed only of Executive Directors or Non-Executive Directors

13.19 The Board of Directors is to adopt Standing Orders covering the proceedings and business of its meetings. The proceedings shall not however be invalidated by any vacancy of its membership, or defect in a Director's appointment.

Conflicts of Interest of Directors

13.20 Any Director who has a material interest in a matter as defined below and in Annex 3 shall declare such interest to the Board of Directors and it shall be recorded in a register of interests and the Director in question:

13.20.1 shall not be present except with the permission of the Board of Directors in any discussion of the matter, and

13.20.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).

13.21 Any Director who fails to disclose any interest required to be disclosed under the preceding paragraph must permanently vacate their office if required to do so by a majority of the remaining Directors.

13.22 A material interest in a matter is any interest (save for the exceptions referred to below) held by a Director or their spouse or partner in any firm or company or business which, in connection with the matter, is trading with the Trust, or is likely to be considered as a potential trading partner with the Trust, including private healthcare organisations and other foundation trusts as described in Annex 3. The exceptions which shall not be treated as material interests are as follows:

13.22.1 shares not exceeding 2% of the total shares in issue held in any company whose shares are listed on any public exchange.

Expenses

13.23 The remuneration and allowances for Directors are to be disclosed in the annual report.

14 Secretary

14.1 The Trust shall have a Secretary who may be an employee. The Secretary may not be a Council Member, or the Chief Executive or the Finance Director. The Secretary shall be accountable to the Chief Executive and their functions shall include:

14.1.1 acting as Secretary to the Membership Council and the Board of Directors, and any committees;

14.1.2 summoning and attending all members meetings, meetings of the Membership Council and the Board of Directors, and keeping the minutes of those meetings;

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

14.1.4 having charge of the Trust's seal;

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

14.1.6 preparing and sending to Monitor and any other statutory body all returns which are required to be made;

14.1.7 providing support to the Membership Council and the Non-Executive Directors;

14.1.8 overseeing elections conducted under this Constitution;

14.1.9 offering advice to the Membership Council and the Board of Directors on issues of governance and corporate responsibility.

14.2 Minutes of every members meeting, of every meeting of the Membership Council and of every meeting of the Board of Directors are to be kept. Minutes of meetings will be included on the agenda of the next meeting and signed by the Chairman of that meeting. The signed minutes will be conclusive evidence of the events of the meeting.

15 Registers

15.1 The Trust is to have:

15.1.1 a Register of Members showing, in respect of each Member
:

15.1.1.1 Name of Member

15.1.1.2 the constituency to which they belong and (where the Membership Council has decided that the Membership of the Public, or Staff constituencies shall be sub-divided for election purposes) any sub-division of that constituency to which they belong;

15.1.1.3 any address which they have authorised the Trust to use for the purposes of any communications.

15.1.2 a Register of Members of the Membership Council;

15.1.3 a Register of Directors;

15.1.4 a Register of Interests of Council Members;

15.1.5 a Register of Interests of the Directors.

15.2 The Secretary shall add to the Register of Members any individual who becomes a Member of the Trust or remove from the Register of Members the name of any Member who ceases to be entitled to be a Member under the provisions of this Constitution.

16 **Public Documents**

16.1 The following documents of the Trust are to be available for inspection by Members of the public. If the person requesting a copy or extract under this paragraph is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

16.1.1 a copy of the current Constitution;

16.1.2 a copy of the current Authorisation;

16.1.3 a copy of the latest annual accounts and of any report of the auditor on them;

16.1.4 a copy of the report of any other auditor of the Trust's affairs appointed by the Membership Council;

16.1.5 a copy of the latest annual report;

16.1.6 a copy of the latest information as to its forward planning;

16.1.7 a copy of the Trust's Membership Strategy;

16.1.8 a copy of the Trust's policy for the composition of the Membership Council and the Non-Executive Directors;

16.1.9 a copy of any notice given under section 52 of the 2006 Act (Monitor's notice to failing NHS Foundation Trust).

16.2 The Register of Members shall be made available for inspection by members of the public, and will be available free of charge at all reasonable times. Article 2(b) of the Public Benefit Corporation (Register of Members) Regulations 2004 allows for members to request their details are not published as part of the Register of Members.

16.3 Any Member who requests a copy or extract from any of the above documents and registers will be provided with them free of charge.

17 Auditors

17.1 The Trust is to have an auditor and is to provide the auditor with every facility and all information, which he may reasonably require for the purposes of his functions under paragraph 23 of schedule 7 to the 2006 Act.

17.2 The Board of Directors shall nominate an auditor to be appointed by the Membership Council and may resolve that an auditor be appointed to review and publish a report on any other aspect of the Trust's performance. Any such auditor is to be appointed by the Membership Council.

17.3 A person may only be appointed as an auditor if he (or in the case of a firm of each of its members) is a member of one or more of the bodies referred to in paragraph 23(4) of Schedule 7 to the 2006 Act. An officer of the Audit Commission may be appointed with the agreement of the Commission.

17.4 The Membership Council at a general meeting shall appoint or remove the Trust's auditors.

17.5 The auditor is to carry out his duties in accordance with Schedule 7 to the 2006 Act and in accordance with any directions given by Monitor standards, procedures and techniques to be adopted.

18 Audit Committee

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.

19 Accounts

19.1 The Trust must keep proper accounts and proper records in relation to the accounts.

- 19.2 Monitor may with the approval of the Secretary of State give directions to the Trust as to the content and form of its accounts.
- 19.3 The accounts are to be audited by the Trust's auditor.
- 19.4 The following documents will be made available to the Comptroller and Auditor General for examination at his request:
 - 19.4.1 the accounts;
 - 19.4.2 any records relating to them; and
 - 19.4.3 any report of the auditor on them.
- 19.5 The Trust is to prepare in respect of each financial year annual accounts in such form as Monitor may with the approval of the Secretary of State direct.
- 19.6 The annual accounts, any report of the auditor on them, and the annual report are to be presented to the Membership council at a General Meeting.
- 19.7 The Trust shall:
 - 19.7.1 lay a copy of the annual accounts, and any report of the auditor on them, before Parliament; and
 - 19.7.2 once it has done so, send copies of those documents to Monitor.

20 Annual reports and forward plans and non-NHS work

- 20.1 The Trust is to prepare annual reports and send them to Monitor.
- 20.2 The reports are to give:
 - 20.2.1 information on any steps taken by the Trust to secure that (taken as a whole) the actual membership of its constituencies is representative of those eligible for such membership; and
 - 20.2.2 any other information that Monitor requires.
- 20.3 The Trust is to comply with any decision Monitor makes as to:
 - 20.3.1 the form of the reports;
 - 20.3.2 when the reports are to be sent to him;
 - 20.3.3 the periods to which the reports are to relate.
- 20.4 The Trust is to give information as to its forward planning in respect of each financial year to Monitor. The document containing this information is to be prepared by the Directors, and

in preparing the document the Board of Directors shall have regard to the views of the Membership Council.

20.5 Each forward plan must include information about:-

20.5.1 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

20.5.2 the income it expects to receive from doing so.

20.6 Where a forward plan contains a proposal that the trust carry on an activity of a kind mentioned in sub-paragraph 20.5.1 the Membership Council must:-

20.6.1 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

20.6.2 notify the directors of the trust of its determination.

20.7 A trust which 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 purposes of the health service in England may implement the proposal only if more than half of the members of the Membership Council voting to approve its implementation.

21 Indemnity

21.1 Members of the Membership Council and the Board of Directors and the Secretary who act honestly and in good faith will not have to meet out of their personal resources any personal civil liability which is incurred in the execution or purported execution of their functions, save where they have acted recklessly. Any costs arising in this way will be met by the Trust. The Trust may purchase and maintain insurance against this liability for its own benefit and the benefit of members of the Membership Council and Board of Directors and the Secretary.

22 Execution of documents

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

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

23 **Dispute Resolution Procedures**

23.1 Every unresolved dispute which arises out of this Constitution between the Trust and:

23.1.1 a Member; or

23.1.2 any person aggrieved who has ceased to be a Member within the six months prior to the date of the dispute; or

23.1.3 any person bringing a claim under this Constitution; or

23.1.4 an office-holder of the Trust;

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

24 **Amendment Of The Constitution**

24.1 The trust may make amendments of its Constitution only if:-

24.1.1 More than half of the members of the Membership Council of the trust voting approve the amendments; and

24.1.2 More than half of the members of the Board of Directors of the trust voting approve the amendments.

24.2 Amendments made under paragraph 24.1 take effect as soon as the conditions in that paragraph are satisfied, but the amendment has no effect in so far as the constitution would, as a result of the amendment, not accord with schedule 7 of the 2006 Act.

24.3 Where an amendment is made to the constitution in relation to the powers or duties of the Membership Council (or otherwise with respect to the role that the Membership Council has as part of the trust)

24.3.1 At least one member of the Council of Governors must attend the next Annual Members' Meeting and present the amendment; and

24.3.2 The trust must give the members an opportunity to vote on whether they approve the amendment.

24.4 If more than half of the members voting approve the

amendment, the amendment continues to have effect; otherwise, it ceases to have effect and the trust must take such steps as are necessary as a result.

24.5 Amendments by the trust of its constitution are to be notified to Monitor. For the avoidance of doubt, Monitor's functions do not include a power or duty to determine whether or not the constitution, as a result of the amendments, accords with Schedule 7 of the 2006 Act.

25 Mergers etc. and significant transactions

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

25.1.2 The Trust may enter into a significant transaction only if more than half of the members of the Membership Council of the trust voting approve entering into the transaction.

25.1.3 The constitution does not contain any descriptions of the term 'significant transaction' for the purposes of section 51A of the 2006 Act (Significant Transactions).

26 Dissolution Of The Trust

26.1 The Trust may not be dissolved except by order of the Secretary of State for Health, in accordance with the 2006 Act.

27. Head Office and Website

27.1 The Trust's head office for the purpose of this Constitution is at Trust Offices, Huddersfield Royal Infirmary, Acre Street, Lindley, Huddersfield, HD3 3EA, or any other address decided by the Membership Council.

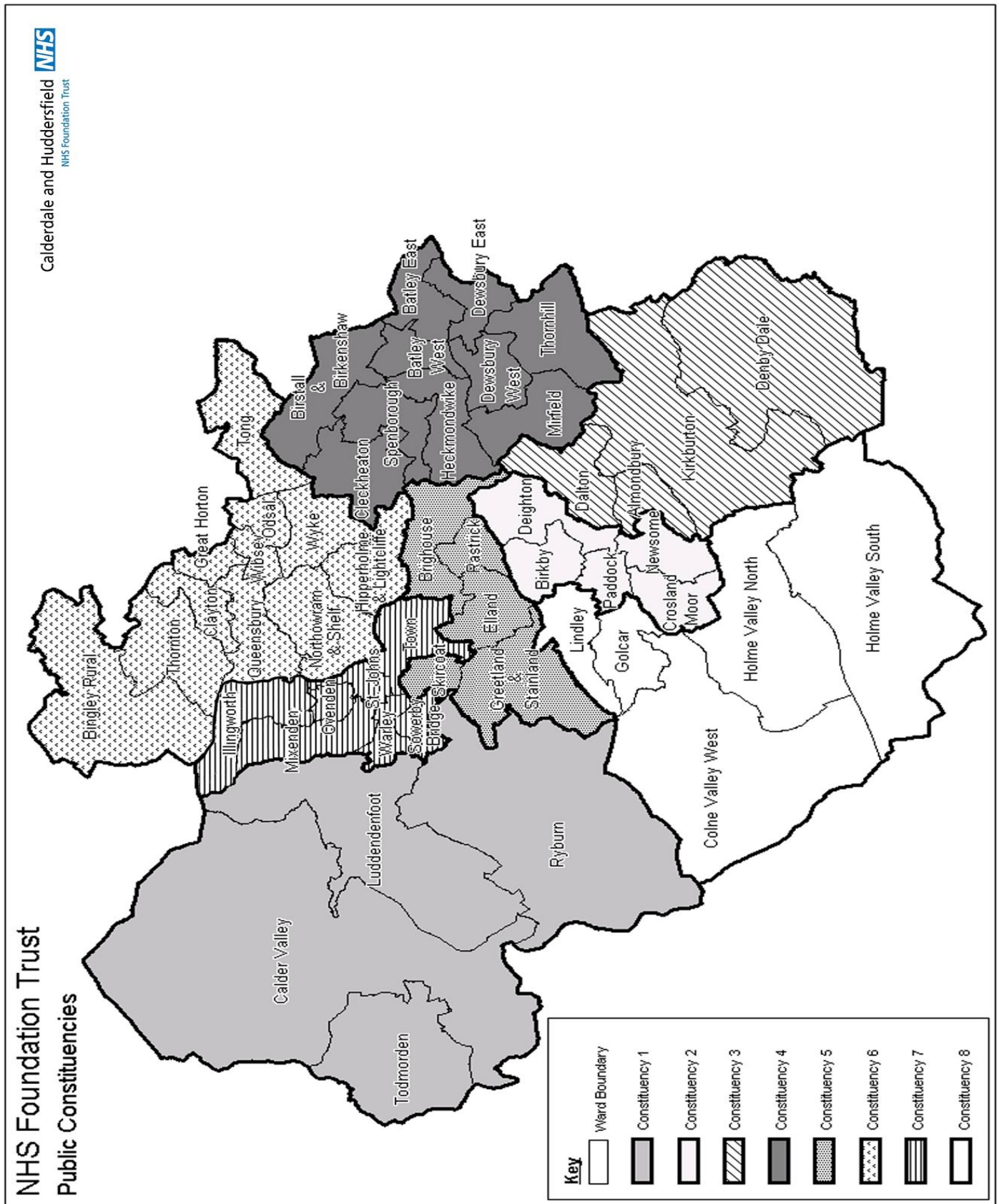
27.2 The Trust will maintain a website, the address of which is www.cht.nhs.uk or any other address decided by the Membership Council.

27.3 The Trust will display its name and website on the outside of its head office and every other place at which it carries on business, and on its business letters, notices, advertisements, other publications.

28. **Notices**

- 28.1 Any notice required by this Constitution to be given shall be given in writing or shall be given using electronic communications to an address for the time being notified for that purpose. "Address" in relation to electronic communications includes any number or address used for the purposes of such communications.
- 28.2 Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. A notice shall be treated as delivered 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, 48 hours after it was sent.

Appendix 1 – Public Constituencies



Constituency	Wards	Population
1	Todmorden	37,487
	Calder Valley	
	Luddendenfoot	
	Ryburn	
2	Birkby	62,501
	Deighton	
	Paddock	
	Crosland Moor	
	Newsome	
3	Dalton	56,161
	Almondbury	
	Kirkburton	
	Denby-Dale	
4	Cleckheaton	144,794
	Birstall & Birkenshaw	
	Spensborough	
	Heckmondwike	
	Batley West	
	Batley East	
	Mirfield	
	Dewsbury West	
	Dewsbury East	
	Thornhill	
5	Skircoat	47,727
	Greetland & Stainland	
	Elland	
	Rastrick	
	Brighouse	
6	Northowram & Shelf	150,326
	Hipperholme & Lightcliffe	
	Bingley Rural	
	Thorton	
	Clayton	
	Queensbury	
	Great Horton	
	Wibsey	
	Oddsall	
	Wyke	
	Tong	
7	Illingworth & Mixenden	63,407
	Ovenden	
	Warley	
	Sowerby Bridge	
	St Johns	
	Town	

Constituency	Wards	Population
8	Lindley	73,412
	Golcar	
	Colne Valley West	
	Holme Valley North	
	Holme Valley South	

Note on Constituencies

Population data and indices of deprivation have been used to formulate the eight constituencies. Constituencies are as close as possible to one eighth of the population of Calderdale and Kirklees, though attempts to reflect Local Authority boundaries and areas of similar deprivation levels mean there is some variation. Constituencies 4 and 6 are noticeably larger because persons in these constituencies mostly use services provided by other NHS Trusts. Each Constituency comprises of several electoral areas for local government elections.

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MODEL ELECTION RULES 2014

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Part 1 Interpretation

1. Interpretation

1.1 In these rules, unless the context otherwise requires:

“corporation” means the public benefit corporation subject to this constitution;

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

“the regulator” means the Independent Regulator for NHS foundation trusts; and

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

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

“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;

“method of polling” means voting either by post, internet, text message or telephone

“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.

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

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 papers 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.

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.

Part 3 Returning Officer

4.1 Subject to rule 66, 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 66, 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

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 papers may be obtained;
- (e) the address for return of nomination papers 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 Each candidate must nominate themselves on a single nomination paper.

9.2 The returning officer:

- (a) is to supply any member of the corporation with a nomination paper, and

(b) is to prepare a nomination paper 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 it can, subject to rule 13, be in an electronic format.

10. Candidate's particulars

10.1 The nomination paper must state the candidate's:

- (a) full name,
- (b) contact address in full, and
- (c) constituency, or class within a constituency, of which the candidate is a member.

11. Declaration of interests

11.1 The nomination paper 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 paper 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 paper 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.

14. Decisions as to the validity of nomination

14.1 Where a nomination paper 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 paper 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 paper 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 papers, 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, as required by rule 13.

14.3 The returning officer is to examine each nomination paper 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 paper, 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 paper.

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, 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 paper.

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 papers to the corporation as soon as is practicable after publishing the statement.

16. Inspection of statement of nominated candidates and nomination papers

16.1 The corporation is to make the statement of the candidates and the nomination papers 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 person requests a copy or extract of the statement of candidates or their nomination papers, 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.

Part 5 Contested elections

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 if eligible voters, within a constituency, or class within a constituency, may, subject to rule 19.4, cast their vote by any combination of the methods of polling.

19.4 The corporation may decide if eligible voters, within a constituency or class within a constituency, for whom an e-mail mailing address is included in the list of eligible voters may only cast their votes by, one or more, e-voting methods of polling.

19.5 If the corporation decides to use an e-voting method of polling then they and the returning officer must satisfy themselves that:

(a) if internet voting is being used, the internet voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the internet voting record of any voter who chooses to cast their vote using the internet voting system.

(b) if telephone voting is being used, the telephone voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the telephone voting record of any voter who choose to cast their vote using the telephone voting system.

(c) if text message voting is being used, the text message voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the text voting record of any voter who choose to cast their vote using the text message voting system.

20. The ballot paper

20.1 The ballot of each voter 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 voters and voter ID number if e-voting is a method of polling,

(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.

Action to be taken before the poll

21. List of eligible voters

21.1 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 26 as soon as is reasonably practicable after the final date for the delivery of notices of withdrawals by candidates from an election.

21.2 The list is to include, for each member, a postal mailing address and if available an e-mail address, where their voting information may be sent.

21.3 The corporation may decide if the voting information is to be sent only by e-mail to those members, in a particular constituency or class within a constituency, for whom an e-mail address is included in the list of eligible voters.

22. Notice of poll

22.1 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) the methods of polling by which votes may be cast at the election by a constituency or class within a constituency as determined by the corporation in rule 19 (3).
- (f) the address for return of the ballot papers, and the date and time of the close of the poll,
- (g) the uniform resource locator (url) where, if internet voting is being used, the polling website is located.
- (h) the telephone number where, if telephone voting is being used, the telephone voting facility is located,
- (i) the telephone number or telephone short code where, if text message voting is being used, the text message voting facility is located,
- (j) the address and final dates for applications for replacement voting information, and
- (k) the contact details of the returning officer.

23. Issue of voting information by returning officer

23.1 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 voting information:

- (a) by post to each member of the corporation named in the list of eligible voters and on the basis of rule 21 able to cast their vote by post:
 - (i) a ballot paper
 - (ii) information about each candidate standing for election, pursuant to rule 61 of these rules,
 - (iii) a covering envelope
- (b) by e-mail or by post, to each member of the corporation named in the list of eligible voters and on the basis of rule 19.4 able to cast their vote only by an e-voting method of polling:
 - (i) instructions on how to vote

- (ii) the eligible voters voter ID number
- (iii) information about each candidate standing for election, pursuant to rule 61 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.
- (iv) contact details of the returning officer.

23.2 The documents are to be sent to the mailing address or e-mail address for each member, as specified in the list of eligible voters.

24. The covering envelope

24.1 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. E-voting systems

25.1 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").

25.2 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").

25.3 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").

25.4 The provision of the polling website and internet voting system, will:

- (a) require a voter, to be permitted to vote, to enter his voter ID number;
- (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.
- (c) prevent a voter voting for more candidates than he is entitled to at the election;
- (d) create a record ("the internet voting record") that is stored in the internet voting system in respect of each vote cast using the internet of-
 - (i) the voter ID number used by the voter;
 - (ii) the candidate or candidates for whom he has voted; and
 - (iii) the date and time of his vote, and
- (e) if their vote has been cast and recorded, provide the voter with confirmation
- (f) prevent any voter voting after the close of poll.

25.5 The provision of a telephone voting facility and telephone voting system, will:

- (a) require a voter to be permitted to vote, to enter his voter ID number;

- (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.
- (c) prevent a voter voting for more candidates than he is entitled to at the election;
- (d) create a record ("the telephone voting record") that is stored in the telephone voting system in respect of each vote cast by telephone of-
 - (i) the voter ID number used by the voter;
 - (ii) the candidate or candidates for whom he has voted; and
 - (iii) the date and time of his vote
- (e) if their vote has been cast and recorded, provide the voter with confirmation;
- (f) prevent any voter voting after the close of poll.

25.6 The provision of a text message voting facility and text messaging voting system, will:

- (a) require a voter to be permitted to vote, to provide his voter ID number;
- (b) prevent a voter voting for more candidates than he is entitled to at the election;
- (c) create a record ("the text voting record") that is stored in the text messaging voting system in respect of each vote cast by text message of:
 - (i) the voter ID number used by the voter;
 - (ii) the candidate or candidates for whom he has voted; and
 - (iii) the date and time of his vote
- (d) if their vote has been cast and recorded, provide the voter with confirmation;
- (e) prevent any voter voting after the close of poll.

The poll

26. Eligibility to vote

26.1 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.

27. Voting by persons who require assistance

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

27.2 Where the returning officer receives a request from a voter who requires assistance to vote, the returning officer is to make such arrangements as they consider necessary to enable that voter to vote.

28. Spoilt ballot papers

28.1 If a voter has dealt with their 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.

28.2 On receiving an application, the returning officer is to obtain the details of the unique identifier on the spoiled ballot paper, if they can obtain it.

28.3 The returning officer may not issue a replacement ballot paper for a spoiled ballot paper unless satisfied as to the voter's identity.

28.4 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) is satisfied as to the voter's identity, 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 spoiled ballot paper.

29. Lost voting information

29.1 Where a voter has not received their voting information by the tenth day before the close of the poll, that voter may apply to the returning officer for replacement voting information.

29.2 The returning officer may not issue replacement voting information for lost voting information unless they:

- (a) are satisfied as to the voter's identity,
- (b) have no reason to doubt that the voter did not receive the original voting information.

29.3 After issuing replacement voting information, the returning officer shall enter in a list ("the list of lost ballots"):

- (a) the name of the voter
- (b) the details of the unique identifier of the replacement ballot paper, and
- (c) if applicable, the voter ID number of the voter.

30. Issue of replacement voting information

30.1 If a person applies for replacement voting information under rule 28 or 29, the returning officer may not issue replacement voting information unless, in addition to the requirements imposed by rule 28.3 or 29.2, they are also satisfied that that person has not already voted in the election.

Polling by internet, telephone or text

31. Procedure for remote voting by internet

31.1 To cast their vote using the internet the voter must gain access to the polling website by keying in the url of the polling website provided in the voting information,

31.2 When prompted to do so, the voter must enter their voter ID number.

31.3 If the internet voting system authenticates the voter ID number the system must give the voter access to the polling website for the election in which the voter is eligible to vote.

31.4 To cast their vote the voter may then key in a mark on the screen opposite the particulars of the candidate or candidates for whom they wish to cast their vote.

31.5 The voter must not be able to access the internet voting facility for an election once their vote at that election has been cast.

32. Voting procedure for remote voting by telephone

32.1 To cast their vote by telephone the voter must gain access to the telephone voting facility by calling the designated telephone number provided on the voter information using a telephone with a touch-tone keypad.

32.2 When prompted to do so, the voter must enter their voter ID number using the keypad.

32.3 If the telephone voting facility authenticates the voter ID number, the voter must be prompted to vote in the election.

32.4 When prompted to do so the voter may then cast his vote by keying in the code of the candidate or candidates, allocated in accordance with rule 61 of these rules, for whom they wish to vote.

32.5 The voter must not be able to access the telephone voting facility for an election once their vote at that election has been cast.

33. Voting procedure for remote voting by text message

33.1 To cast their vote by text the voter must gain access to the text message voting facility by sending a text message to the designated telephone number or telephone short code provided on the voter information.

33.2 The text message sent by the voter must contain their voter ID number and the code for the candidate or candidates, allocated in accordance with rule 61 of these rules, for whom they wish to vote.

33.3 The text message sent by the voter must be structured in accordance with the instructions on how to vote contained in the voter information.

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

34. Receipt of voting documents

34.1 Where the returning officer receives a:

(a) covering envelope, or

(b) any other envelope containing a ballot paper,

before the close of the poll, that officer is to open it as soon as is practicable; and rules 35 and 36 are to apply.

34.2 The returning officer may open any covering envelope for the purposes of rules 35 and 36, 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.

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

35. Validity of votes

35.1 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.

35.2 Where the returning officer is satisfied that rule 35.1 has been fulfilled, the ballot paper is to be put aside for counting after the close of the poll.

35.3 Where the returning officer is not satisfied that rule 35.1 has been fulfilled, they should:

- (a) mark the ballot paper “disqualified”,
- (b) record the unique identifier on the ballot paper in a list (the “list of disqualified documents”); and
- (c) place the document or documents in a separate packet.

35.4 An internet, telephone or text message vote shall not be taken to be duly returned unless the returning officer is satisfied that the internet, telephone or text voting record has been received by the returning officer before the close of the poll.

36. De-duplication of votes

36.1 Where a combination of the methods of polling are being used, 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 an election.

36.2 If the returning officer ascertains that a voter ID number has been used more than once to cast a vote in an election they shall:

- (a) only accept as duly returned the first vote received that contained the duplicated voter ID number
- (b) mark as “disqualified” all other votes containing the duplicated voter ID number

36.3 Where a ballot paper is “disqualified” under this rule the returning officer shall:

- (a) mark the ballot paper “disqualified”,
- (b) record the unique identifier and voter id number on the ballot paper in a list (the “list of disqualified documents”); and
- (c) place the ballot paper in a separate packet.

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

- (a) mark the record as “disqualified”,
- (b) record the voter ID number on the record in a list (the “list of disqualified documents”).
- (c) disregard the record when counting the votes in accordance with these Rules.

37. Sealing of packets

37.1 As soon as is possible after the close of the poll and after the completion of the procedure under rules 35 and 36, the returning officer is to seal the packets containing:

- (a) the disqualified documents, together with the list of disqualified documents inside it,
- (b) the list of spoilt ballot papers,
- (c) the list of lost ballots
- (d) the list of eligible voters, and
- (e) complete electronic copies of records referred to in rule 25 held in a device suitable for the purpose of storage.

Part 6 Counting the votes

Note: the following rules describe how the votes are to be counted manually but it is expected that appropriately audited vote counting software will be used to count votes where a combination of methods of polling is being used and votes are contained as electronic e-voting records and ballot papers.

STV38. Interpretation of Part 6

STV38.1 In Part 6 of these rules:

“ballot” 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:

(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 STV46,

“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 STV43,

“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 ballots 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 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 on which a second or subsequent preference is recorded for the candidate to whom that ballot has been transferred, and

“transfer value” means the value of a transferred vote calculated in accordance with rules STV44.4 or STV44.7.

39. Arrangements for counting of the votes

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

40. The count

40.1 The returning officer is to:

(a) count and record the number of votes that have been returned, and

(b) count the votes according to the provisions in this Part of the rules.

40.2 The returning officer, while counting and recording the number of votes 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 a voter's voter ID number.

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

STV41. Rejected ballot papers

STV41.1 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.

STV41.2 The returning officer is to endorse the word "rejected" on any ballot paper which under this rule is not to be counted.

STV41.3 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 STV41.1

FPP41. Rejected ballot papers

FPP41.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
 - (b) on which votes are given for more candidates than the voter is entitled to vote,
 - (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
 - (d) which is unmarked or rejected because of uncertainty,
- shall, subject to rules FPP41.2 and FPP41.3, be rejected and not counted.

FPP41.2 Where the voter is entitled to vote for more than one candidate, a ballot paper is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.

FPP41.3 A ballot paper on which a vote is marked:

- (a) elsewhere than in the proper place,
 - (b) otherwise than by means of a clear mark,
 - (c) by more than one mark,
- is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the candidates clearly appears, and the way the paper is marked does not itself identify the voter and it is not shown that he or she can be identified by it.

FPP41.4 The returning officer is to:

- (a) endorse the word “rejected” on any ballot paper which under this rule is not to be counted, and
- (b) in the case of a ballot paper on which any vote is counted under rules FPP41.2 and FPP 41.3, endorse the words “rejected in part” on the ballot paper and indicate which vote or votes have been counted.

FPP41.5 The returning officer is to draw up a statement showing the number of rejected ballot papers under the following headings:

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

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

STV42. First stage

STV42.1 The returning officer is to sort the ballots into parcels according to the candidates for whom the first preference votes are given.

STV42.2 The returning officer is to then count the number of first preference votes given on ballots for each candidate, and is to record those numbers.

STV42.3 The returning officer is to also ascertain and record the number of valid ballots.

STV43. The quota

STV43.1 The returning officer is to divide the number of valid ballots by a number exceeding by one the number of members to be elected.

STV43.2 The result, increased by one, of the division under rule STV43.1 (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”).

STV43.3 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 STV44.1 to STV44.3 has been complied with.

STV44. Transfer of votes

STV44.1 Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballots 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 ballots for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV44.2 The returning officer is to count the number of ballots in each parcel referred to in rule

STV44.3 The returning officer is, in accordance with this rule and rule STV45, to transfer each sub-parcel of ballots referred to in rule STV44.1(a) to the candidate for whom the next available preference is given on those papers.

STV44.4 The vote on each ballot transferred under rule STV44.3 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 ballots on which those votes are given, the calculation being made to two decimal places (ignoring the remainder if any).

STV44.5 Where at the end of any stage of the count involving the transfer of ballots, the number of votes for any candidate exceeds the quota, the returning officer is to sort the ballots 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 ballots for any continuing candidate, or
- (b) where no such preference is given, as the sub-parcel of non-transferable votes.

STV44.6 The returning officer is, in accordance with this rule and rule STV45, to transfer each sub-parcel of ballots referred to in rule STV44.5(a) to the candidate for whom the next available preference is given on those ballots.

STV44.7 The vote on each ballot transferred under rule STV44.6 shall be at:

- (a) a transfer value calculated as set out in rule STV44.4(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.

STV44.8 Each transfer of a surplus constitutes a stage in the count.

STV44.9 Subject to rule STV44.10, the returning officer shall proceed to transfer transferable ballots until no candidate who is deemed to be elected has a surplus or all the vacancies have been filled.

STV44.10 Transferable ballots 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.

STV44.11 This rule does not apply at an election where there is only one vacancy.

STV45. Supplementary provisions on transfer

STV45.1 If, at any stage of the count, two or more candidates have surpluses, the transferable ballots 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 ballots 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 ballots of the candidate on whom the lot falls shall be transferred first.

STV45.2 The returning officer shall, on each transfer of transferable ballots under rule STV44:

- (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.

STV45.3 All ballots transferred under rule STV44 or STV45 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 or, as the case may be, all the ballots in that sub-parcel.

STV45.4 Where a ballot is so marked that it is unclear to the returning officer at any stage of the count under rule STV44 or STV45 for which candidate the next preference is recorded, the returning officer shall treat any vote on that ballot as a non-transferable vote; and votes on a ballot 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.

STV46. Exclusion of candidates

STV46.1 If:

- (a) all transferable ballots which under the provisions of rule STV44 (including that rule as applied by rule STV46.11 and this rule are required to be transferred, have been transferred, and
 - (b) subject to rule STV47, 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 STV46.12 applies, the candidates with the then lowest votes).

STV46.2 The returning officer shall sort all the ballots on which first preference votes are given for the candidate or candidates excluded under rule STV46.1 into two sub-parcels so that they are grouped as:

- (a) ballots on which a next available preference is given, and
- (b) ballots on which no such preference is given (thereby including ballots on which preferences are given only for candidates who are deemed to be elected or are excluded).

STV46.3 The returning officer shall, in accordance with this rule and rule STV45, transfer each sub-parcel of ballots referred to in rule STV46.2 to the candidate for whom the next available preference is given on those ballots.

STV46.4 The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.

STV46.5 If, subject to rule STV47, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable ballots, if any, which had been transferred to any candidate excluded under rule STV46.1 into sub-parcels according to their transfer value.

STV46.6 The returning officer shall transfer those ballots in the sub-parcel of transferable ballots with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those ballots (thereby passing over candidates who are deemed to be elected or are excluded).

STV46.7 The vote on each transferable ballot transferred under rule STV46.6 shall be at the value at which that vote was received by the candidate excluded under rule STV46.1.

STV46.8 Any ballots on which no next available preferences have been expressed shall be set aside as non-transferable votes.

STV46.9 After the returning officer has completed the transfer of the ballots in the sub-parcel of ballots with the highest transfer value he or she shall proceed to transfer in the same way the sub-parcel of ballots with the next highest value and so on until he has dealt with each sub-parcel of a candidate excluded under rule STV46.1.

STV46.10 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.

STV46.11 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 STV44.5 to STV44.10 and rule STV45.

STV46.12 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.

STV46.13 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.

STV47. Filling of last vacancies

STV47.1 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.

STV47.2 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.

STV47.3 Where the last vacancies can be filled under this rule, no further transfer of votes shall be made.

STV48. Order of election of candidates

STV48.1 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 STV44.10.

STV48.2 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.

STV48.3 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.

STV48.4 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.

FPP48. Equality of votes

FPP48.1 Where, after the counting of votes is completed, an equality of votes is found to exist between any candidates and the addition of a vote would entitle any of those candidates to be declared elected, the returning officer is to decide between those candidates by a lot, and proceed as if the candidate on whom the lot falls had received an additional vote.

Part 7 Final proceedings in contested and uncontested elections**FPP49. Declaration of result for contested elections**

FPP49.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:

(a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the council of governors from the constituency, or class within a constituency, for which the election is being held to be elected,

(b) give notice of the name of each candidate who they have declared elected:

(i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chairman of the NHS Trust, or

(ii) in any other case, to the chairman of the corporation; and

(c) give public notice of the name of each candidate whom they have declared elected.

FPP49.2 The returning officer is to make:

- (a) the total number of votes given for each candidate (whether elected or not), and
- (b) the number of rejected ballot papers under each of the headings in rule FPP41.5, available on request.

STV49. Declaration of result for contested elections

STV49.1 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 they have declared elected –
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the [insert name] NHS Trust by section 33(4) of the 2006 Act, to the chairman of the NHS Trust, or
 - (ii) in any other case, to the chairman of the corporation, and
- (c) give public notice of the name of each candidate who they have declared elected.

STV49.2 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 **STV41.1**, available on request.

50. Declaration of result for uncontested elections

50.1 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 they have declared elected to the chairman of the corporation, and
- (c) give public notice of the name of each candidate who they have declared elected.

Part 8 Disposal of documents

51. Sealing up of documents relating to the poll

51.1 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,
- (b) the ballot papers endorsed with “rejected in part”,
- (c) the rejected ballot papers, and
- (d) the statement of rejected ballot papers.
- (e) the complete electronic copies of records referred to in rule 25 held in a device suitable for the purpose of storage.

51.2 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,
- (c) the list of lost ballots,
- (d) the list of eligible voters, and
- (e) the complete electronic copies of records referred to in rule 25 held in a device suitable for the purpose of storage.

51.3 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.

52. Delivery of documents

52.1 Once the documents relating to the poll have been sealed up and endorsed pursuant to rule 51, the returning officer is to forward them to the chair of the corporation.

53. Forwarding of documents received after close of the poll

53.1 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 voter information is made too late to enable new ballot papers 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.

54. Retention and public inspection of documents

54.1 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 regulator, cause them to be destroyed.

54.2 With the exception of the documents listed in rule 55.1, 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.

54.3 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

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

55.1 The corporation may not allow the inspection of, or the opening of any sealed packet containing –

- (a) any rejected ballot papers, including ballot papers rejected in part,
- (b) any disqualified documents, or the list of disqualified documents,
- (c) any counted ballot papers, or
- (d) the list of eligible voters,
- (e) the complete electronic copies of records referred to in rule 25 held in a device suitable for the purpose of storage by any person without the consent of the Regulator.

55.2 A person may apply to the Regulator to inspect any of the documents listed in rule 55.1, and the Regulator 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.

55.3 The Regulator'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.

55.4 On an application to inspect any of the documents listed in rule 55.1:

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

FPP56. Countermand or abandonment of poll on death of candidate

FPP56.1 If at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to:

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

FPP56.2 Where a new election is ordered under rule FPP56.1, no fresh nomination is necessary for any candidate who was validly nominated for the election where the poll was countermanded or abandoned but further candidates shall be invited for that constituency or class.

FPP56.3 Where a poll is abandoned under rule FPP56.1(a), rules FPP56.4 to FPP56.7 are to apply.

FPP56.4 The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 35 and 36, and is to make up separate sealed packets in accordance with rule 37.

FPP56.5 The returning officer is to:

- (a) count and record the number of ballot papers that have been received, and
- (b) seal up the ballot papers into packets, along with the records of the number of ballot papers.
- (c) seal up the electronic copies of records that have been received referred to in rule 25 held in a device suitable for the purpose of storage.

FPP56.6 The returning officer is to endorse on each packet a description of:

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

FPP56.7 Once the documents relating to the poll have been sealed up and endorsed pursuant to rules FPP56.4 to FPP56.6, the returning officer is to deliver them to the chairman of the corporation, and rules 54 and 55 are to apply.

STV56. Countermand or abandonment of poll on death of candidate

STV56.1 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) ballots 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) ballots 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.

STV56.2 The ballots which have preferences recorded for the candidate who has died are to be sealed with the other counted ballots pursuant to rule 51.1(a).

Part 10 Election expenses and publicity

57. Election expenses

57.1 Any expenses incurred, or payments made, for the purposes of an election which to the regulator under Part 11 of these rules.

58. Expenses and payments by candidates

58.1 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.

59. Election expenses incurred by other persons

59.1 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 their family any money or property (whether 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.

59.2 Nothing in this rule is to prevent the corporation from incurring such expenses, and making such payments, as it considers necessary pursuant to rules 60 and 61.

Publicity

60. Publicity about election by the corporation

60.1 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.

60.2 Any information provided by the corporation about the candidates, including information compiled by the corporation under rule 61, 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, the expense of the electoral prospects of one or more other candidates.

60.3 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.

61. Information about candidates for inclusion with voting information

61.1 The corporation must compile information about the candidates standing for election, to be distributed by the returning officer pursuant to rule 23 of these rules.

61.2 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 polling method, the numerical voting code, allocated by the returning officer, to each candidate, for the purpose of recording votes on the telephone voting facility or the text message voting facility, and
- (c) a photograph of the candidate.

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

62.1 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.

62.2 The provision by any individual of their own services voluntarily, on their 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

63. Application to question an election

63.1 An application alleging a breach of these rules, including an electoral irregularity under Part 10, may be made to the regulator.

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

63.3 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.

63.4 The application must:

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

63.5 The application must be presented in writing within 21 days of the declaration of the result of the election.

63.6 If the Regulator requests further information from the applicant, then that person must provide it as soon as is reasonably practicable.

63.7 The Regulator shall delegate the determination of an application to a person or persons to be nominated for the purpose of the Regulator.

63.8 The determination by the person or persons nominated in accordance with rule 63.7 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.

63.9 The Regulator may prescribe rules of procedure for the determination of an application including costs.

Part 12 Miscellaneous

64. Secrecy

64.1 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 voter 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.

64.2 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.

64.3 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.

65. Prohibition of disclosure of vote

65.1 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.

66. Disqualification

66.1 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.

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

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

(a) the delivery of the documents in rule 23, or

(b) the return of the ballot papers and declarations of identity,

the returning officer may extend the time between the publication of the notice of the poll and the close of the poll, with the agreement of the Regulator.

UPDATED 20.1.15 (electronic voting)