

Airedale NHS Foundation Trust

Approved: Council of Governors 17 February 2015

THE AIREDALE NHS FOUNDATION TRUST CONSTITUTION

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1. **Name**

The name of the foundation Trust is Airedale NHS Foundation Trust (the Trust).

2. **Principal purpose**

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

2.2 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.

2.3 The Trust may provide goods and services for any purpose related to:

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

2.3.2 the promotion and protection of public health.

2.4 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.

3. **Powers**

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

3.2 All the powers of the Trust shall be exercised by the Board of Directors on behalf of the Trust.

3.3 Any of these powers may be delegated to a committee of directors or to an executive director.

4. **Membership and constituencies**

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

4.1.1 a Public Constituency; and

4.1.2 a Staff Constituency.

5. **Application for membership**

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

6. **Public Constituency**

6.1 An individual who lives in an area specified in Appendix 1 as an area for a public constituency may become or continue as a member of the Trust.

6.2 Those individuals who live in an area specified as an area for any public constituency are referred to collectively as a Public Constituency.

6.3 The minimum number of members in each area for the Public Constituency is specified in Appendix 1.

7. **Staff Constituency**

7.1 An individual who is employed by the Trust under a contract of employment (which, for the avoidance of doubt includes full and part-time contracts of employment) with the Trust may become or continue as a member of the Trust provided:

7.1.1 he or she is employed by the Trust under a contract of employment which has no fixed term or has a fixed term of at least 12 months;
or

7.1.2 he or she has been continuously employed by the Trust under a contract of employment for at least 12 months.

7.2 Individuals who exercise functions for the purposes of the Trust, otherwise than under a contract of employment with the Trust, may become or continue as members of the staff constituency provided such individuals have exercised these functions continuously for a period of at least 12 months.

7.3 Those individuals who are eligible for membership of the Trust by reason of the previous provisions in paragraphs 7.1 and 7.2 are referred to collectively as the Staff Constituency.

7.4 The Staff Constituency shall be divided into five (5) descriptions of individuals who are eligible for membership of the Staff Constituency, each description of individuals being specified within Appendix 2 and being referred to as a class within the Staff Constituency.

7.5 The minimum number of members in each class of the Staff Constituency is specified in Appendix 2.

Automatic membership by default – staff

- 7.6 An individual who is:
- 7.6.1 eligible to become a member of the Staff Constituency; and
 - 7.6.2 invited by the Trust to become a member of the Staff Constituency and a member of the appropriate class within the Staff Constituency shall become a member of the Trust as a member of the Staff Constituency and appropriate class within the Staff Constituency without an application being made, unless he or she informs the Trust that he or she does not wish to do so.
- 7.7 Automatic membership of the Staff Constituency will apply to the volunteer class who shall be given the option to opt out.

8. Restriction on membership

- 8.1 An individual who is a member of a constituency, or of a class within a constituency, may not while membership of that constituency or class continues, be a member of any other constituency or class.
- 8.2 An individual who satisfies the criteria for membership of the Staff Constituency may not become or continue as a member of any constituency other than the Staff Constituency.
- 8.3 A member of any constituency must be fourteen (14) years of age or over.
- 8.4 Further provisions as to the circumstances in which an individual may not become or continue as a member of the Trust are set out in Appendix 8.

9. Annual Members Meeting

- 9.1 The Trust shall hold an annual meeting of its members (“Annual Members’ Meeting”). The Annual Members’ Meeting shall be open to members of the public.
- 9.2 Further provisions about the Annual Members’ Meeting are set out in Appendix 8 – Annual Members’ Meeting

10. Council of Governors – composition

- 10.1 The Trust is to have a Council of Governors, which shall comprise both elected and appointed governors.
- 10.2 The composition of the Council of Governors is specified in Appendix 3.

10.3 The members of the Council of Governors, other than the appointed members, shall be chosen by election by the members of their constituency or, where there are areas or classes within a constituency, by the members of the area or class within that constituency. The number of governors to be elected by each constituency, or, where appropriate, by each area or class of each constituency, is specified in Appendix 3.

11. **Council of Governors – election of governors**

11.1 Elections for elected members of the Council of Governors shall be conducted in accordance with the Model Election Rules.

11.2 The Model Election Rules, as published from time to time, by the Department of Health form part of this constitution. The Model Election Rules current at the date of the Trust's Authorisation are attached at Appendix 4.

11.3 A subsequent variation of the Model Elections Rules by the Department of Health shall not constitute a variation of the terms of this constitution for the purposes of paragraph 43 of the constitution (amendment of the constitution).

11.4 An election, if contested, shall be by secret ballot.

12. **Council of Governors - tenure**

12.1 An elected governor may hold office for a period of up to three (3) years.

12.2 An elected governor shall cease to hold office if he or she ceases to be a member of the constituency or class by which he or she was elected.

12.3 An elected governor shall be eligible for re-election at the end of his or her term.

12.4 An elected governor shall be eligible for re-election at the end of his or her term, for up to two further periods of up to three (3) years, making a maximum total of nine (9) years in office.

12.5 An elected governor shall not be eligible for re-election if they have already held office for more than six (6) consecutive years.

12.6 Subject to any provision in this Constitution in respect of eligibility or disqualification of Governors, once an elected Governor has reached their maximum term or has been removed under paragraph 13, they shall only be eligible for re-election again after a period of three (3) years.

12.7 The Trust shall conduct annual elections for elected governors during each year (being a period of 12 months commencing on an anniversary of the

Authorisation Date) in respect of each governor whose term of office shall expire at the end of that year, with any governor elected pursuant to such an annual election taking office at the end of that year (i.e. on the next anniversary of the Authorisation Date following such election).

12.8 An appointed governor may hold office for a period of up to nine (9) years.

12.9 An appointed governor shall cease to hold office if the appointing organisation withdraws its sponsorship of him or her.

12.10 An appointed governor shall be eligible for re-appointment at the end of his term.

13. **Council of Governors – disqualification and removal**

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

13.1.1 a person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;

13.1.2 a person who has made a composition or arrangement with, or granted a Trust deed for, his or her creditors and has not been discharged in respect of it;

13.1.3 a person who within the preceding five years has been convicted of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three (3) months (without the option of a fine) was imposed on him or her;

13.1.4 a person who has been convicted of any offence judged “not spent” by the Rehabilitation Offenders Act 1974; or

13.1.5 a person who is a member of Parliament, member of the European Parliament, a member of a local authority in England and Wales or of an equivalent body in Scotland or Northern Ireland.

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

13.3 Further provisions as to the circumstances in which an individual may not become or continue as a member of the Council of Governors are set out in Appendix 5.

14. **Council of Governors – duties of governors**

14.1 The general duties of the Council of Governors are –

- 14.1.1 to hold the non-executive directors individually and collectively to account for the performance of the Board of Directors, and
- 14.1.2 to represent the interests of the members of the Trust as a whole and the interests of the public.
- 14.2 The Trust must take steps to secure that governors are equipped with the skills and knowledge they require in their capacity as such.

15. **Council of Governors – meetings of governors**

- 15.1 The Chair of the Trust (i.e. the Chair of the Board of Directors, appointed in accordance with the provisions of paragraph 24.1 or paragraph 25.1 below) or, in his or her absence the Deputy Chair (appointed in accordance with the provisions of paragraph 26 below), shall preside at meetings of the Council of Governors .
- 15.2 Meetings of the Council of Governors shall be open to members of the public. Members of the public may be excluded from a meeting (whether for the whole or part of such meeting) whenever publicity would be prejudicial to the public interest by reason of the confidential nature of the business to be transacted or for other special reasons arising from the nature of that business following appropriate resolution by the Council of Governors.
- 15.3 The Chair may exclude any member of the public from a meeting of the Council of Governors if he or she is interfering with or preventing the proper conduct of the meeting.

16. **Council of Governors – standing orders**

The standing orders for the practice and procedure of the Council of Governors, as may be varied from time to time, are attached at Appendix 5.

17. **Council of Governors – referral to the Panel**

- 17.1 In this paragraph, the Panel means a panel of persons appointed by Monitor to which a governor of an NHS foundation trust may refer a question as to whether the trust has failed or is failing –
 - 17.1.1 to act in accordance with its constitution, or
 - 17.1.2 to act in accordance with provision made by or under Chapter 5 of the 2006 Act.
- 17.2 A governor may refer a question to the Panel only if more than half of the members of the Council of Governors voting approve the referral.

18. **Council of Governors - conflicts of interest of governors**

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

19. **Council of Governors– travel expenses**

19.1 The Trust may pay travelling and other expenses to members of the Council of Governors at rates determined by the Trust.

20. **Council of Governors – further provisions**

20.1 Further provisions with respect to the Council of Governors are set out in Appendix 5.

21. **Board of Directors – composition**

21.1 The Trust is to have a Board of Directors which shall comprise both executive and non-executive directors.

21.2 The Board of Directors is to comprise:

21.2.1 a non-executive Chair;

21.2.2 no fewer than four other non-executive directors (one of whom shall act as the senior independent director); and

21.2.3 no fewer than four executive directors.

21.3 One of the executive directors shall be the Chief Executive.

21.4 The Chief Executive shall be the Accounting Officer.

21.5 One of the executive directors shall be the Finance Director.

21.6 One of the executive directors is to be a registered medical practitioner or a registered dentist (within the meaning of the Dentists Act 1984).

21.7 One of the executive directors is to be a registered nurse or a registered midwife.

21.8 The non-executive directors and Chair together shall be greater than the total number of executive directors.

22. **Board of Directors – general duty**

22.1 The general duty of the Board of Directors and of each director individually, is to act with a view to promoting the success of the Trust so as to maximise the benefits for the members of the Trust as a whole and for the public.

23. **Board of Directors – qualification for appointment as Chair or another non-executive director**

23.1 A person may be appointed as the Chair or another non-executive director only if –

23.1.1 he or she is a member of the Public Constituency, or

23.1.2 where any of the Trust’s hospitals includes a medical or dental school provided by a university, he or she exercises functions for the purposes of that university, and

23.1.3 he or she is not disqualified by virtue of paragraph 29 below.

23.2 The Chair must on appointment for each and every term of office meet the Independence Criteria and may not have previously served as the Chief Executive of the Trust.

23.3 Every other non-executive director must on appointment and throughout his or her term of office meet the Independence Criteria. In the event a non-executive director, including the Chair, has served on the Board for more than nine (9) years, then the Council of Governors shall appoint a further non-executive director.

23.4 The Independence Criteria are that the Chair on appointment for each and every term of office and every other non-executive director on appointment and throughout his or her term of office must;

23.4.1 not have been an employee of the Trust within the last five (5) years;

23.4.2 not have, or have had within the last three (3) years a material interest in any matter within the meaning of paragraph 6.3 of Appendix 6;

23.4.3 not receive or have received additional remuneration from the Trust (apart from a director’s fee), participate in the Trust’s performance-

related pay scheme (if any) or be or have been a member of the Trust's pension scheme;

- 23.4.4 not have any close family tie with any director, senior employee or professional advisor to the Trust;
- 23.4.5 not have any significant business link with any other director of the Trust including through any involvement in any company or body;
or
- 23.4.6 not have served on the Trust Board of Directors for more than nine (9) years from the date of their first appointment.

24. **Board of Directors – appointment and removal of Chair and/or other non-executive directors**

- 24.1 The Council of Governors at a general meeting of the Council of Governors shall appoint or remove the Chair of the Trust and/or the other non-executive directors.
- 24.2 Appointment of the Chair or of a non-executive director shall require the approval of a majority of the members of the Council of Governors.
- 24.3 Removal of the Chair or another non-executive director shall require the approval of three-quarters of the members of the Council of Governors.
- 24.4 The initial Chair and the initial non-executive directors are to be appointed in accordance with paragraph 25 below.

25. **Board of Directors – appointment of initial Chair and initial other non-executive directors**

- 25.1 The Council of Governors shall appoint the Chair of the applicant NHS Trust as the initial Chair of the Trust if he or she wishes to be appointed.
- 25.2 The power of the Council of Governors to appoint the other non-executive directors of the Trust is to be exercised, so far as possible, by appointing as the initial non-executive directors of the Trust any of the non-executive directors of the applicant NHS Trust (other than the Chair) who wish to be appointed.
- 25.3 The criteria for qualification for appointment as a non-executive director set out in paragraph 23 above (other than disqualification by virtue of paragraph 29 below) do not apply to the appointment of the initial Chair and the initial other non-executive directors in accordance with the procedures set out in this paragraph.

25.4 An individual appointed as the initial Chair or as an initial non-executive director in accordance with the provisions of this paragraph shall be appointed for the unexpired period of his or her term of office as Chair or (as the case may be) non-executive director of the applicant NHS Trust; but if, on appointment, that period is less than 12 months, he or she shall be appointed for 12 months.

26. **Board of Directors – appointment of deputy Chair**

26.1 The Council of Governors at a general meeting of the Council of Governors shall appoint one of the non-executive directors as a deputy Chair. If the Chair is unable to discharge their office as Chair of the Trust, the deputy shall be acting Chair of the Trust.

27. **Board of Directors - appointment and removal of the Chief Executive and other executive directors**

27.1 The non-executive directors shall appoint or remove the Chief Executive.

27.2 The appointment of the Chief Executive shall require the approval of the Council of Governors.

27.3 The initial Chief Executive is to be appointed in accordance with paragraph 28 below.

27.4 A committee consisting of the Chair, the Chief Executive and the other non-executive directors shall appoint or remove the other executive directors. The Chair shall act as the chair of such committee.

28. **Board of Directors – appointment of initial Chief Executive**

28.1 The non-executive directors shall appoint the chief officer of the applicant NHS Trust as the initial Chief Executive of the Trust if he or she wishes to be appointed.

28.2 The appointment of the chief officer of the applicant NHS Trust as the initial Chief Executive of the Trust shall not require the approval of the Council of Governors.

29. **Board of Directors – disqualification**

29.1 The following may not become or continue as a member of the Board of Directors:

29.1.1 a person who does not fall within the definition of an “unfit person” as defined by the Trust’s Provider Licence, the Health and Social

Care Act 2012 (Regulated Activities) Regulations and the Trust's Constitution.

- 29.1.2 a person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;
- 29.1.3 a person who has made a composition or arrangement with, or granted a Trust deed for, his or her creditors and has not been discharged in respect of it;
- 29.1.4 a person who within the preceding five (5) years has been convicted of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three (3) months (without the option of a fine) was imposed on him or her;
- 29.1.5 a person who is a member of the Council of Governors;
- 29.1.6 a person who is the spouse, partner, parent or child of a member of the Board of Directors (including the Chair) of the Trust;
- 29.1.7 a person who is a member of a local authority's Overview and Scrutiny Committee covering health matters;
- 29.1.8 a person who is the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
- 29.1.9 a person whose tenure of office as a chair or as an officer 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;
- 29.1.10 a person who has within the preceding five (5) years been dismissed, otherwise than by reason of redundancy, from any paid employment with a health service body;
- 29.1.11 in the case of a non-executive director, a person who has;
 - 29.1.11.1 refused without reasonable cause to fulfil any training requirement established by the Board of Directors; or
 - 29.1.11.2 refused 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.

- 29.1.12 on the basis of disclosures obtained through an application to the Criminal Records Bureau, they are not considered suitable by the Chairman on the advice of the Trust's director responsible for human resources;
- 29.1.13 they are a person who has had his or her name removed or been suspended from any practicing list by a direction under any applicable legislation or who has otherwise been suspended or disqualified from any healthcare profession, and has not subsequently had his or her name included in such a list or had his or her suspension lifted or qualification reinstated;
- 29.1.14 they have within the preceding five (5) years been:
 - 29.1.14.1 made subject to a Hospital Order under section 37 of the MHA whether or not subject to restrictions under section 41;
 - 29.1.14.2 made subject to an interim Hospital Order under section 38 of the MHA;
 - 29.1.14.3 made subject to a transfer direction under section 48 of the MHA whether or not subject to restrictions under section 49; and/or
 - 29.1.14.4 made subject to an order under the Criminal Procedure (Insanity) Act 1964 as amended;
 - 29.1.14.5 they have previously been or are currently subject to a sex offender order and/or required to register under the Sexual Offences Act 2003 or have committed a sexual offence prior to the requirement to register under current legislation.

30. **Board of Directors – standing orders**

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

31. **Board of Directors - conflicts of interest of directors**

31.1 The duties that a director of the Trust has by virtue of being a director include in particular –

- 31.1.1 a duty to avoid a situation in which the director has (or can have) a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the Trust, and

- 31.1.2 a duty not to accept a benefit from a third party by reason of being a director or doing (or not doing) anything in that capacity.
- 31.2 The duty referred to in sub-paragraph 31.1.1 is not infringed if –
 - 31.2.1 the situation cannot reasonably be regarded as likely to give rise to a conflict of interest, or
 - 31.2.2 the matter has been authorised in accordance with the constitution.
- 31.3 The duty referred to in sub-paragraph 31.1.2 is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.
- 31.4 In sub-paragraph 31.1.2, “third party” means a person other than –
 - 31.4.1 the Trust, or
 - 31.4.2 a person acting on its behalf.
- 31.5 A matter shall be authorised for the purposes of paragraph 31.2.2 if:
 - 31.5.1 the Board of Directors by majority disapplies the provision of the constitution which would otherwise prevent a director from being counted as participating in the decision-making process;
 - 31.5.2 the director's interest cannot reasonably be regarded as likely to give rise to a conflict of interest; or
 - 31.5.3 the director's conflict of interest arises from a permitted cause (as determined by the Board of Directors from time to time).
- 31.6 If a director of the Trust has in any way a direct or indirect interest in a proposed transaction or arrangement with the Trust, the director must declare the nature and extent of that interest to the other directors.
- 31.7 If a declaration under this paragraph proves to be, or becomes, inaccurate, or incomplete, a further declaration must be made.
- 31.8 Any declaration under this paragraph must be made before the Trust enters into the transaction or arrangement.
- 31.9 This paragraph does not require a declaration of an interest of which the director is not aware or where the director is not aware of the transaction or arrangement in question.
- 31.10 A director need not declare an interest –

- 31.10.1 if it cannot be reasonably be regarded as likely to give rise to a conflict of interest,
- 31.10.2 if, or to the extent that, the directors are already aware of it, or
- 31.10.3 if, or to the extent that, it concerns terms of the director's appointment that have been or are to be considered –
 - 31.10.3.1 by a meeting of the Board of Directors, or
 - 31.10.3.2 by a committee of the directors appointed for the purpose under the constitution.

32. **Board of Directors – remuneration and terms of office**

- 32.1 The Council of Governors at a general meeting of the Council of Governors shall decide the remuneration and allowances, and the other terms and conditions of office, of the Chair and the other non-executive directors.
- 32.2 The Trust shall establish a committee of non-executive directors ("Board Appointments and Remuneration and Terms of Office Committee") to decide the remuneration and allowances, and the other terms and conditions of office, of the Chief Executive, other executive directors and other senior staff.
- 32.3 The Trust shall establish a committee of governors and non-executive directors ("Appointments and Remuneration Committee") to decide the remuneration and allowances, and the other terms and conditions of office, of the Chair and the other non-executive directors and submit them to the Council of Governors for their approval.
- 32.4 The Trust may reimburse executive directors' travelling and other costs and expenses incurred in carrying out their duties as the remuneration committee of non-executive directors decides. These are to be disclosed in the annual report.
- 32.5 The remuneration and allowances for directors are to be disclosed in bands in the annual report.

33. **Registers**

- 33.1 The Trust shall have:
 - 33.1.1 a register of members showing, in respect of each member, the constituency to which he or she belongs and, where there are classes or areas within it, the class or area to which he or she belongs;

- 33.1.2 a register of members of the Council of Governors, the class of constituency of which they are a member and an address through which they may be contacted (which may be the Secretary);
- 33.1.3 a register of interests of governors;
- 33.1.4 a register of directors, their capacity on the board and an address through which they may be contacted (which may be their secretary); and
- 33.1.5 a register of interests of the directors.

34. **Admission to and removal from the registers**

- 34.1 The Secretary shall add to the register of members the name of any individual who is accepted as a member of the Trust under the provisions of this constitution as soon as is reasonably practicable and in any event within fourteen (14) days of the Secretary being notified of the requirements for such amendment.
- 34.2 The Secretary shall remove from the register of members the name of any member who ceases to be entitled to be a member under the provisions of this constitution as soon as is reasonably practicable and in any event within fourteen (14) days of the Secretary being notified of the requirement for such amendment.

35. **Registers – inspection and copies**

- 35.1 The Trust shall make the registers specified in paragraph 33 above available for inspection by members of the public, except in the circumstances set out below, or as otherwise prescribed by regulations.
- 35.2 The Trust shall not make any part of its registers available for inspection by members of the public which shows details of any member of the Trust, if the member so requests.
- 35.3 So far as the registers are required to be made available:
 - 35.3.1 they are to be available for inspection free of charge at all reasonable times; and
 - 35.3.2 a person who requests a copy of or extract from the registers is to be provided with a copy or extract.
- 35.4 If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

36. **Documents available for public inspection**
- 36.1 The Trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:
- 36.1.1 a copy of the current constitution;
 - 36.1.2 a copy of the latest annual accounts and of any report of the auditor on them;
 - 36.1.3 a copy of the latest annual report;
 - 36.1.4 a copy of the latest information as to its forward planning; and
 - 36.1.5 a copy of any notice given under section 52 of the 2006 Act.
- 36.2 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.
- 36.3 If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.
- 36.4 The Trust shall also make the following documents relating to a special administration of the Trust available for inspection by members of the public free of charge at all reasonable times:
- 36.4.1 a copy of any order made under section 65D (appointment of Trust special administrator), 65J (power to extend time), 65KC (action following Secretary of State's rejection of final report), 65L (Trusts coming out of administration) or 65LA (Trusts to be dissolved) of the 2006 Act;
 - 36.4.2 a copy of any report under section 65D (appointment of Trust special administrator) of the 2006 Act;
 - 36.4.3 a copy of any information published under section 65D (appointment of Trust special administrator) of the 2006 Act.
 - 36.4.4 a copy of any draft report published under section 65F (administrator's draft report) of the 2006 Act;
 - 36.4.5 a copy of any statement provided under section 65F (administrator's draft report) of the 2006 Act;
 - 36.4.6 a copy of any notice published under section 65F (administrator's draft report), 65G (consultation plan), 65H (consultations requirements), 65J (power to extend time), 65KA (Monitor's decision), 65KB (Secretary of State's response to Monitor's

decision), 65kc (action following Secretary of State's rejection of final report) or 65KD (Secretary of State's response to re-submitted final report) of the 2006 Act;

- 36.4.7 a copy of any statement published or provided under section 65G (consultation plan) of the 2006 Act;
 - 36.4.8 a copy of any final report published under section 65I (administrator's final report);
 - 36.4.9 a copy of any statement published under section 65J (power to extend time) or 65KC (action following Secretary of State's rejection of final report) of the 2006 Act; and
 - 36.4.10 a copy of any information published under section 65M (replacement of Trust special administrator) of the 2006 Act.
- 36.5 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.
- 36.6 If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

37. **Auditor**

- 37.1 The Trust shall have an auditor.
- 37.2 The Council of Governors shall appoint or remove the auditor on the recommendation of the Audit Committee at a general meeting of the Council of Governors.

38. **Audit committee**

- 38.1 The Trust shall establish a committee of non-executive directors which should include at least three (3) independent non-executive directors as an audit committee to perform such monitoring, reviewing and other functions as are appropriate.

39. **Accounts**

- 39.1 The Trust must keep proper accounts and proper records in relation to the accounts.
- 39.2 Monitor may, with the approval of the Secretary of State, give directions to the Trust as to the content and form of its accounts.
- 39.3 The accounts are to be audited by the Trust's auditor.

- 39.4 The Trust shall prepare in respect of each financial year annual accounts in such form as Monitor may with the approval of the Secretary of State direct.
- 39.5 The functions of the Trust with respect to the preparation of the annual accounts shall be delegated to the Accounting Officer.
40. **Annual report, forward plans and non-NHS work**
- 40.1 The Trust shall prepare an Annual Report and send it to Monitor.
- 40.2 The Trust shall give information as to its forward planning in respect of each financial year to Monitor.
- 40.3 The document containing the information with respect to forward planning (referred to above) shall be prepared by the directors.
- 40.4 In preparing the document, the directors shall have regard to the views of the Council of Governors.
- 40.5 Each forward plan must include information about:
- 40.5.1 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
 - 40.5.2 the income it expects to receive from doing so.
- 40.6 Where a forward plan contains a proposal that the Trust carry on an activity of a kind mentioned in sub-paragraph 40.5.1, the Council of Governors must:
- 40.6.1 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
 - 40.6.2 notify the directors of the Trust of its determination.
- 40.7 Where the Trust proposes to increase by 5% or more the proportion of its total income in any financial year attributable to activities other than the provision of goods and services for the purposes of the health service in England it may implement the proposal only if more than half of the members of the Council of Governors of the Trust voting approve its implementation.

41. **Presentation of the annual accounts and reports to the governors and members**

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

41.1.1 the annual accounts;

41.1.2 any report of the auditor on them;

41.1.3 the annual report; and

41.1.4 membership information, including a register of governors' interests and a report on the progress of the membership strategy.

41.2 The documents shall also be presented to the members of the Trust at the Annual Members' Meeting by at least one member of the Board of Directors in attendance.

41.3 The Trust may combine a meeting of the Council of Governors convened for the purposes of sub-paragraph 41.1 with the Annual Members' Meeting

42. **Instruments**

42.1 The Trust shall have a seal.

42.2 The seal shall not be affixed except under the authority of the Board of Directors.

43. **Amendment of the constitution**

43.1 The Trust may make amendments of its constitution only if –

43.1.1 more than half of the members of the Council of Governors of the Trust voting approve the amendments, and

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

43.2 Amendments made under paragraph 43.1 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.

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

- 43.3.1 at least one member of the Council of Governors must attend the next Annual Members' Meeting and present the amendment, and
- 43.3.2 the Trust must give the members an opportunity to vote on whether they approve the amendment.
- 43.4 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.
- 43.5 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.

44. **Mergers etc and significant transactions**

- 44.1 The Trust may only apply for a merger, acquisition, separation or dissolution with the approval of more than half of the members of the Council of Governors
- 44.2 The Trust may enter into a significant transaction only if more than half of the members of the Council of Governors of the Trust voting approve entering into the transaction.
- 44.3 In considering entering into the transaction, the directors shall have regard to the views of the Council of Governors.
- 44.4 In paragraph 44.2, the following words have the following meanings:
 - 44.4.1 "Significant transaction" means a transaction which meets any one of the tests below:
 - 44.4.1.1 the fixed asset test; or
 - 44.4.1.2 the turnover test; or
 - 44.4.1.3 the gross capital test (relating to acquisitions or divestments).
 - 44.4.2 The fixed asset test:
 - 44.4.2.1 is met if the assets which are the subject of the transaction exceed 25% of the fixed assets of the NHS Foundation Trust.
 - 44.4.3 The turnover test:

44.4.3.1 is met if, following the completion of the relevant transaction, the gross income of the NHS Foundation Trust will increase, or decrease by more than 25%.

44.4.4 The gross capital test:

44.4.4.1 is met if the gross capital of the company or business being acquired or divested represents more than 25% of the capital of the trust following completion (where "gross capital" is the market value of the relevant company or business's shares and debt securities, plus the excess of current liabilities over current assets, and the trust's capital is determined by reference to its balance sheet);

44.4.4.2 for the purposes of calculating the tests in this paragraph 44.4, figures used to classify assets and profits must be the figures shown in the latest published audited consolidated accounts.

44.4.5 A transaction:

44.4.5.1 is any agreement (including an amendment to an agreement) entered into by the NHS foundation trust in respect of the acquisition of a business or services or the disposal of a business or service;

44.4.5.2 excludes a transaction in the ordinary course of business (including the renewal, extension or entering into an agreement in respect of healthcare services carried out by the NHS foundation trust);

excludes any agreement or changes to healthcare services carried out by the NHS foundation trust following a reconfiguration of services led by the commissioners of such services; and

44.4.5.3 excludes any grant of public dividend capital or the entering into of a working capital facility or other loan, which does not involve the acquisition or disposal of any fixed asset of the NHS foundation trust.

45. **Indemnity**

45.1 The Trust may provide an indemnity to any member of the Council of Governors, the Board of Directors or the Secretary that if any such person

acts honestly and in good faith such person 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 for the benefit of the Council of Governors and the Board of Directors and the Secretary.

46. **Interpretation and definitions**

46.1 Unless otherwise stated words or expressions contained in this constitution shall bear the same meaning as in the National Health Service Act 2006.

46.2 Words importing the masculine gender only shall include the feminine gender; words importing the singular shall import the plural and vice-versa.

The 2006 Act means the National Health Service Act 2006.

The 2012 Act means the Health and Social Care Act 2012

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

Authorisation Date means the date that the Trust's initial authorisation as an NHS Foundation Trust took effect.

Council of Governors means the Council of Governors (referred to in the 2006 Act as the "Board of Governors") as constituted in accordance with this Constitution.

Financial Year means (a) the period beginning with the date on which the Trust is authorised as a Foundation Trust and ending with the next 31 March; and (b) each successive period of twelve (12) months beginning with 1 April.

Independence Criteria means those criteria set out at paragraph 23.4 above.

Local Authority Member means a governor appointed by one or more local authorities.

MHA means the Mental Health Act 1983.

Monitor means the body corporate known as Monitor, as provided by Section 61 of the 2012 Act.

Partnership Governor means a governor appointed by a partnership organisation.

Secretary	means the secretary of the Trust or any other person appointed by the Trust pursuant to paragraph 3.1 of Appendix 7 to perform the duties of the secretary, including a joint, assistant or deputy secretary.
Senior Independent Director	means the director appointed by the board of directors in consultation with the council of governors.
Voluntary Organisation	means a body, other than a public or local authority, the activities of which are not carried on for profit.

APPENDIX 1

The Public Constituency

Areas Comprising the Public Constituency	Local Authority electoral areas/or local authority electoral areas falling within the following Electoral Wards	Minimum Number of Members	Number of Governors
Bingley	Bingley	100	1
Bingley Rural	Bingley Rural	100	1
Craven	Craven	100	1
Ilkley	Ilkley	100	1
Keighley East	Keighley East	100	1
Keighley Central	Keighley Central	200	2
Keighley West	Keighley West	100	1
Wharfedale	Wharfedale	100	1
Worth Valley	Worth Valley	100	1
Skipton	Skipton East Skipton North Skipton South Skipton West Embsay with Eastby Grassington Upper Wharfedale Barden Fell	200	2
Settle and Mid-Craven	Settle and Ribblesbanks Gargrave and Malhamdale Hellifield and Long Preston Pen y Ghent Bentham Ingleton and Clapham	100	1
South Craven	West Craven Aire Valley with Lothersdale Cowling Glusburn Sutton in Craven	200	2
West Craven	Coates Craven Earby	200	2
Pendle East and Colne	Barrowford Boulsworth Foulridge Horsfield Vivary Bridge Waterside	100	1
Outside catchment area	Rest of England	100	1

APPENDIX 2

The Staff Constituency

The Staff Constituency is divided into five (5) classes as follows:

Class	Minimum number of members	Number of Elected Governors
Doctors and dentists who are registered with their regulatory body to practice.	100	1
Nurses and midwives who are registered with their regulatory body to practice.	200	2
Allied health professionals and scientists who are registered with their regulatory body to practice.	100	1
All registered volunteers (with a minimum of 12 months service)	100	1
All other staff	100	1

Where numbers fall below one hundred (100) that staff class shall cease to be entitled to representation at the Council of Governors. The members of the allied health professionals and scientists staff class are members of the staff constituency whose regulatory body falls within the remit of the Council for Healthcare Regulatory Excellence established by section 25 of the NHS Reform and Health Care Professionals Act 2002, or its successor, except that they are not registered nurses or midwives.

APPENDIX 3

Composition of Council of Governors

The Council of Governors shall comprise **31** governors composed as set out below and as illustrated in the following table:

- Nineteen (19) governors elected by members of the Trust from the Public Constituency with each area appointing the number of governors as set out in the table below.
- Six (6) governors selected by the Staff Constituency, with the following number of governors elected from each class within the Staff Constituency by that class:

Doctors and Dentists who are registered with their regulatory body to practise	1
Nurses and midwives who are registered with their regulatory body to practise	2
Allied health professionals and scientists who are registered with their regulatory body to practise	1
All registered volunteers (with a minimum of 12 months service)	1
All other staff	1
- One (1) governor appointed by each of the following three (3) local authorities or any successor local authority for an area which includes the whole or part of an area forming part of the Public Constituency set out at Appendix 1; Bradford Metropolitan District Council; Craven District Council; and Pendle Borough Council;
- One (1) governor appointed by North Yorkshire County Council;
- One (1) governor appointed by the Keighley Voluntary Services; and
- One (1) governor appointed by the University of Leeds.

Table:

Public Constituency	Number of Public Governor Seats	
Bingley		1
Bingley Rural		1
Craven		1
Ilkley		1
Keighley Central		2
Keighley East		1
Keighley West		1
Worth Valley		1
Wharfedale		1
Skipton		2
Settle and Mid-Craven		1
South Craven		2
West Craven		2
Pendle East and Colne		1
Outside catchment area		1
	Sub Total	19
Staff Constituency	Number of Staff governor Seats	
Doctors and dentists who are registered with their regulatory body to practise		1
Nurses and midwives who are registered with their regulatory body to practise		2
Allied health professionals and scientists who are registered with their regulatory body to practise		1
All registered volunteers with a minimum of 12 months' service)		1
All other staff		1
	Sub Total	6
Appointed Governors' Constituency	Number of Appointed Governor Seats	
Bradford Metropolitan District Council		1
North Yorkshire County Council		1
Craven District Council		1
Pendle Borough Council		1
Keighley Voluntary Services		1
University of Leeds		1
	Sub Total	6
	TOTAL	31

APPENDIX 4
THE MODEL RULES FOR ELECTIONS

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PART 1: INTERPRETATION

1. Interpretation

1.1 In these rules, unless the context otherwise requires:

"2006 Act" means the National Health Service Act 2006;

"corporation" means the public benefit corporation subject to this constitution;

"council of governors" means the council of governors of the corporation;

"declaration of identity" has the meaning set out in rule 21.1;

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

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

"e-voting information" has the meaning set out in rule 24.2;

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

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

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

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

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

"Monitor" means the corporate body known as Monitor as provided by section 61 of the 2012 Act;

"numerical voting code" has the meaning set out in rule 57.2(b);

"polling website" has the meaning set out in rule 26.1;

"postal voting information" has the meaning set out in rule 24.1;

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

"telephone voting facility" has the meaning set out in rule 26.2;

"telephone voting record" has the meaning set out in rule 26.5 (d);

"text message voting facility" has the meaning set out in rule 26.3;

"text voting record" has the meaning set out in rule 26.6 (d);

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

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

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

"voting information" means postal voting information and/or e-voting information

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

PART 2: TIMETABLE FOR ELECTIONS

2. Timetable

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

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

3. Computation of time

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

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

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

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

PART 3: RETURNING OFFICER

4. Returning Officer

- 4.1 Subject to rule 62, 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 62, the returning officer may appoint and pay such staff, including such technical advisers, as he or she considers necessary for the purposes of the election.

6. Expenditure

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

7. Duty of co-operation

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

PART 4: STAGES COMMON TO CONTESTED AND UNCONTESTED ELECTIONS

8. Notice of election

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

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

9. Nomination of candidates

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

9.2 The returning officer:

9.2.1 is to supply any member of the corporation with a nomination form, and

9.2.2 is to prepare a nomination form for signature at the request of any member of the corporation,

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

10. Candidate's particulars

10.1 The nomination form must state the candidate's:

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

11. Declaration of interests

11.1 The nomination form must state:

- (a) any financial interest that the candidate has in the corporation, and
- (b) whether the candidate is a member of a political party, and if so, which party,

and if the candidate has no such interests, the paper must include a statement to that effect.

12. Declaration of eligibility

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

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

13. Signature of candidate

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

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

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

14. Decisions as to the validity of nomination

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

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

- 14.2 The returning officer is entitled to decide that a nomination form is invalid only on one of the following grounds:
- (a) that the paper is not received on or before the final time and date for return of nomination forms, as specified in the notice of the election,
 - (b) that the paper does not contain the candidate's particulars, as required by rule 10;
 - (c) that the paper does not contain a declaration of the interests of the candidate, as required by rule 11,
 - (d) that the paper does not include a declaration of eligibility as required by rule 12, or
 - (e) that the paper is not signed and dated by the candidate, if required by rule 13.
- 14.3 The returning officer is to examine each nomination form as soon as is practicable after he or she has received it, and decide whether the candidate has been validly nominated.
- 14.4 Where the returning officer decides that a nomination is invalid, the returning officer must endorse this on the nomination form, stating the reasons for their decision.
- 14.5 The returning officer is to send notice of the decision as to whether a nomination is valid or invalid to the candidate at the contact address given in the candidate's nomination form. If an e-mail address has been given in the candidate's nomination form (in addition to the candidate's postal address), the returning officer may send notice of the decision to that address.
- 15. Publication of statement of candidates**
- 15.1 The returning officer is to prepare and publish a statement showing the candidates who are standing for election.
- 15.2 The statement must show:
- (a) the name, contact address (which shall be the candidate's postal address), and constituency or class within a constituency of each candidate standing, and
 - (b) the declared interests of each candidate standing,
- as given in their nomination form.
- 15.3 The statement must list the candidates standing for election in alphabetical order by surname.
- 15.4 The returning officer must send a copy of the statement of candidates and copies of the nomination forms to the corporation as soon as is practicable after publishing the statement.

16. Inspection of statement of nominated candidates and nomination forms

- 16.1 The corporation is to make the statement of the candidates and the nomination forms supplied by the returning officer under rule 15.4 available for inspection by members of the corporation free of charge at all reasonable times.
- 16.2 If a member of the corporation requests a copy or extract of the statement of candidates or their nomination forms, the corporation is to provide that member with the copy or extract free of charge.

17. Withdrawal of candidates

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

18. Method of election

- 18.1 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is greater than the number of members to be elected to the council of governors, a poll is to be taken in accordance with Parts 5 and 6 of these rules.
- 18.2 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is equal to the number of members to be elected to the council of governors, those candidates are to be declared elected in accordance with Part 7 of these rules.
- 18.3 If the number of candidates remaining validly nominated for an election after any withdrawals under these rules is less than the number of members to be elected to be council of governors, then:
- (a) the candidates who remain validly nominated are to be declared elected in accordance with Part 7 of these rules, and
 - (b) the returning officer is to order a new election to fill any vacancy which remains unfilled, on a day appointed by him or her in consultation with the corporation.

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

20. The ballot paper

- 20.1 The ballot of each voter (other than a voter who casts his or her ballot by an e-voting method of polling) is to consist of a ballot paper with the

persons remaining validly nominated for an election after any withdrawals under these rules, and no others, inserted in the paper.

20.2 Every ballot paper must specify:

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

20.3 Each ballot paper must have a unique identifier.

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

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

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

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

("declaration of identity")

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

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

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

Action to be taken before the poll

22. List of eligible voters

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

- 22.2 The list is to include, for each member:

(a) a postal address; and,

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

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

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

23. Notice of poll

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

(a) the name of the corporation,

(b) the constituency, or class within a constituency, for which the election is being held,

(c) the number of members of the council of governors to be elected from that constituency, or class with that constituency,

(d) the names, contact addresses, and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,

(e) that the ballot papers for the election are to be issued and returned, if appropriate, by post,

(f) the methods of polling by which votes may be cast at the election by voters in a constituency or class within a constituency, as determined by the corporation in accordance with rule 19.3,

(g) the address for return of the ballot papers,

(h) the uniform resource locator (url) where, if internet voting is a method of polling, the polling website is located;

(i) the telephone number where, if telephone voting is a method of polling, the telephone voting facility is located,

(j) the telephone number or telephone short code where, if text

message voting is a method of polling, the text message voting facility is located,

- (k) the date and time of the close of the poll,
- (l) the address and final dates for applications for replacement voting information, and
- (m) the contact details of the returning officer.

24. Issue of voting information by returning officer

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

- (a) a ballot paper and ballot paper envelope,
- (b) the ID declaration form (if required),
- (c) information about each candidate standing for election, pursuant to rule 57 of these rules, and
- (d) a covering envelope;

("postal voting information").

24.2 Subject to rules 24.3 and 24.4, as soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following information by e-mail and/ or by post to each member of the corporation named in the list of eligible voters whom the corporation determines in accordance with rule 19.3 and/ or rule 19.4 may cast his or her vote by an e-voting method of polling:

- (a) instructions on how to vote and how to make a declaration of identity (if required),
- (b) the voter's voter ID number,
- (c) information about each candidate standing for election, pursuant to rule 57 of these rules, or details of where this information is readily available on the internet or available in such other formats as the Returning Officer thinks appropriate,
- (d) contact details of the returning officer,

("e-voting information").

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

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

for the purposes of the poll.

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

then the returning officer shall only send that information by e-mail.

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

25. Ballot paper envelope and covering envelope

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

- 25.2 The covering envelope is to have:

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

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

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

26. E-voting systems

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

- 26.2 If telephone voting is a method of polling for the relevant election then the returning officer must provide an automated telephone system for the purpose of voting by the use of a touch-tone telephone (in these rules referred to as "the telephone voting facility").

- 26.3 If text message voting is a method of polling for the relevant election then the returning officer must provide an automated text messaging system for the purpose of voting by text message (in these rules referred to as "the text message voting facility").

- 26.4 The returning officer shall ensure that the polling website and internet voting system provided will:

- (a) require a voter to:
 - (i) enter his or her voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;in order to be able to cast his or her vote;
- (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,

- (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (iv) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
 - (v) instructions on how to vote and how to make a declaration of identity,
 - (vi) the date and time of the close of the poll, and
 - (vii) the contact details of the returning officer;
- (c) prevent a voter from voting for more candidates than he or she is entitled to at the election;
 - (d) create a record ("internet voting record") that is stored in the internet voting system in respect of each vote cast by a voter using the internet that comprises of-
 - (i) the voter's voter ID number;
 - (ii) the voter's declaration of identity (where required);
 - (iii) the candidate or candidates for whom the voter has voted; and
 - (iv) the date and time of the voter's vote,
 - (e) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this; and
 - (f) prevent any voter from voting after the close of poll.

26.5

The returning officer shall ensure that the telephone voting facility and telephone voting system provided will:

- (a) require a voter to
 - (i) enter his or her voter ID number in order to be able to cast his or her vote; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;
- (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
 - (iv) instructions on how to vote and how to make a declaration of identity,
 - (v) the date and time of the close of the poll, and

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

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

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

The poll

27. Eligibility to vote

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

28. Voting by persons who require assistance

- 28.1 The returning officer is to put in place arrangements to enable requests for assistance to vote to be made.
- 28.2 Where the returning officer receives a request from a voter who requires assistance to vote, the returning officer is to make such arrangements as he or she considers necessary to enable that voter to vote.

29. Spoilt ballot papers and spoilt text message votes

- 29.1 If a voter has dealt with his or her ballot paper in such a manner that it cannot be accepted as a ballot paper (referred to as a "spoilt ballot paper"), that voter may apply to the returning officer for a replacement ballot paper.
- 29.2 On receiving an application, the returning officer is to obtain the details of the unique identifier on the spoilt ballot paper, if he or she can obtain it.
- 29.3 The returning officer may not issue a replacement ballot paper for a spoilt ballot paper unless he or she:
 - (a) is satisfied as to the voter's identity; and
 - (b) has ensured that the completed ID declaration form, if required, has not been returned.
- 29.4 After issuing a replacement ballot paper for a spoilt ballot paper, the returning officer shall enter in a list ("the list of spoilt ballot papers"):
 - (a) the name of the voter, and
 - (b) the details of the unique identifier of the spoilt ballot paper (if that officer was able to obtain it), and
 - (c) the details of the unique identifier of the replacement ballot paper.
- 29.5 If a voter has dealt with his or her text message vote in such a manner that it cannot be accepted as a vote (referred to as a "spoilt text message vote"), that voter may apply to the returning officer for a replacement voter ID number.
- 29.6 On receiving an application, the returning officer is to obtain the details of the voter ID number on the spoilt text message vote, if he or she can obtain it.
- 29.7 The returning officer may not issue a replacement voter ID number in respect of a spoilt text message vote unless he or she is satisfied as to the voter's identity.
- 29.8 After issuing a replacement voter ID number in respect of a spoilt text message vote, the returning officer shall enter in a list ("the list of spoilt text message votes"):

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

30. Lost voting information

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

30.2 The returning officer may not issue replacement voting information in respect of lost voting information unless he or she:

- (a) is satisfied as to the voter's identity,
- (b) has no reason to doubt that the voter did not receive the original voting information,
- (c) has ensured that no declaration of identity, if required, has been returned.

30.3 After issuing replacement voting information in respect of lost voting information, the returning officer shall enter in a list ("the list of lost ballot documents"):

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

31. Issue of replacement voting information

31.1 If a person applies for replacement voting information under rule 29 or 30 and a declaration of identity has already been received by the returning officer in the name of that voter, the returning officer may not issue replacement voting information unless, in addition to the requirements imposed by rule 29.3 or 30.2, he or she is also satisfied that that person has not already voted in the election, notwithstanding the fact that a declaration of identity if required has already been received by the returning officer in the name of that voter.

31.2 After issuing replacement voting information under this rule, the returning officer shall enter in a list ("the list of tendered voting information"):

- (a) the name of the voter,
- (b) the unique identifier of any replacement ballot paper issued under this rule;
- (c) the voter ID number of the voter.

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

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

Polling by internet, telephone or text

33. Procedure for remote voting by internet

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

34. Voting procedure for remote voting by telephone

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

35. Voting procedure for remote voting by text message

- 35.1 To cast his or her vote by text message the voter will need to gain access to the text message voting facility by sending a text message to the designated telephone number or telephone short code provided in the voter information.

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

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

36. Receipt of voting documents

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

37. Validity of votes

- 37.1 A ballot paper shall not be taken to be duly returned unless the returning officer is satisfied that it has been received by the returning officer before the close of the poll, with an ID declaration form if required that has been correctly completed, signed and dated.
- 37.2 Where the returning officer is satisfied that rule 37.1 has been fulfilled, he or she is to:
- (a) put the ID declaration form if required in a separate packet, and
 - (b) put the ballot paper aside for counting after the close of the poll.
- 37.3 Where the returning officer is not satisfied that rule 37.1 has been fulfilled, he or she is to:
- (a) mark the ballot paper "disqualified",
 - (b) if there is an ID declaration form accompanying the ballot paper, mark it "disqualified" and attach it to the ballot paper,
 - (c) record the unique identifier on the ballot paper in a list of disqualified documents (the "list of disqualified documents"); and
 - (d) place the document or documents in a separate packet.

- 37.4 An internet, telephone or text message vote shall not be taken to be duly returned unless the returning officer is satisfied that the internet voting record, telephone voting record or text voting record (as applicable) has been received by the returning officer before the close of the poll, with a declaration of identity if required that has been correctly made.
- 37.5 Where the returning officer is satisfied that rule 37.4 has been fulfilled, he or she is to put the internet voting record, telephone voting record or text voting record (as applicable) aside for counting after the close of the poll.
- 37.6 Where the returning officer is not satisfied that rule 37.4 has been fulfilled, he or she is to:
- (a) mark the internet voting record, telephone voting record or text voting record (as applicable) "disqualified",
 - (b) record the voter ID number on the internet voting record, telephone voting record or text voting record (as applicable) in the list of disqualified documents; and
 - (c) place the document or documents in a separate packet.

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

- 38.1 Where the returning officer receives an ID declaration form if required but no ballot paper, the returning officer is to:
- (a) mark the ID declaration form "disqualified",
 - (b) record the name of the voter in the list of disqualified documents, indicating that a declaration of identity was received from the voter without a ballot paper, and
 - (c) place the ID declaration form in a separate packet.

39. De-duplication of votes

- 39.1 Where different methods of polling are being used in an election, the returning officer shall examine all votes cast to ascertain if a voter ID number has been used more than once to cast a vote in the election.
- 39.2 If the returning officer ascertains that a voter ID number has been used more than once to cast a vote in the election he or she shall:
- (a) only accept as duly returned the first vote received that was cast using the relevant voter ID number; and
 - (b) mark as "disqualified" all other votes that were cast using the relevant voter ID number

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

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

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

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

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

40. Sealing of packets

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

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

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

PART 6: COUNTING THE VOTES

41. Arrangements for counting of the votes

- 41.1 The returning officer is to make arrangements for counting the votes as soon as is practicable after the close of the poll.
- 41.2 The returning officer may make arrangements for any votes to be counted using vote counting software where:
- (a) the board of directors and the council of governors of the corporation have approved:
 - (i) the use of such software for the purpose of counting votes in the relevant election, and
 - (ii) a policy governing the use of such software, and
 - (b) the corporation and the returning officer are satisfied that the use of such software will produce an accurate result.

42. The count

- 42.1 The returning officer is to:
- (a) count and record the number of:
 - (iii) ballot papers that have been returned; and
 - (iv) the number of internet voting records, telephone voting records and/or text voting records that have been created, and
 - (b) count the votes according to the provisions in this Part of the rules and/or the provisions of any policy approved pursuant to rule 41.2(ii) where vote counting software is being used.
- 42.2 The returning officer, while counting and recording the number of ballot papers, internet voting records, telephone voting records and/or text voting records and counting the votes, must make arrangements to ensure that no person obtains or communicates information as to the unique identifier on a ballot paper or the voter ID number on an internet voting record, telephone voting record or text voting record.
- 42.3 The returning officer is to proceed continuously with counting the votes as far as is practicable.

43. Rejected ballot papers and rejected text voting records

- 43.1 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 43.2 and 43.3, be rejected and not counted.

43.2 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.

43.3 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.

43.4 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 43.2 and 43.3, endorse the words "rejected in part" on the ballot paper and indicate which vote or votes have been counted.

43.5 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.

43.6 Any text voting record:

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

shall, subject to rules 43.7 and 43.8, be rejected and not

counted.

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

43.8 A text voting record on which a vote is marked:

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

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

43.9 The returning officer is to:

- (a) endorse the word "rejected" on any text voting record which under this rule is not to be counted, and
- (b) in the case of a text voting record on which any vote is counted under rules 43.7 and 43.8, endorse the words "rejected in part" on the text voting record and indicate which vote or votes have been counted.

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

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

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

44. Equality of votes

44.1 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

45. Declaration of result for contested elections

- 45.1 In a contested election, when the result of the poll has been ascertained, the returning officer is to:
- (a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the council of governors from the constituency, or class within a constituency, for which the election is being held to be elected,
 - (b) give notice of the name of each candidate who he or she has declared elected:
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on the Airedale NHS Foundation Trust by section 33(4) of the 2006 Act, to the chairman of the NHS Foundation Trust, or
 - (ii) in any other case, to the chairman of the corporation; and
 - (c) give public notice of the name of each candidate whom he or she has declared elected.
- 45.2 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 43.5,
 - (c) the number of rejected text voting records under each of the headings in rule 43.10,
- available on request.

46. Declaration of result for uncontested elections

- 46.1 In an uncontested election, the returning officer is to as soon as is practicable after final day for the delivery of notices of withdrawals by candidates from the election:
- (a) declare the candidate or candidates remaining validly nominated to be elected,
 - (b) give notice of the name of each candidate who he or she has declared elected to the chairman of the corporation, and
 - (c) give public notice of the name of each candidate who he or she has declared elected.

PART 8: DISPOSAL OF DOCUMENTS

47. Sealing up of documents relating to the poll

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

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

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

47.2 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 spoilt ballot papers and the list of spoilt text message votes,
- (c) the list of lost ballot documents, and
- (d) the list of eligible voters,

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

47.3 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.

48. Delivery of documents

48.1 Once the documents relating to the poll have been sealed up and endorsed pursuant to rule 49, the returning officer is to forward them to the chair of the corporation.

49. Forwarding of documents received after close of the poll

49.1 Where:

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

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

50. Retention and public inspection of documents

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

50.2 With the exception of the documents listed in rule 51.1, 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.

50.3 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.

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

51.1 The corporation may not allow:

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

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

corporation.

51.2 A person may apply to the board of directors of the corporation to inspect any of the documents listed in rule 51.1, and the board of directors of the corporation may only consent to such inspection if it is satisfied that it is necessary for the purpose of questioning an election pursuant to Part 11.

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

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

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

51.4 On an application to inspect any of the documents listed in rule 51.1 the board of directors of the corporation must:

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

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

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

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

52. Countermand or abandonment of poll on death of candidate

- 52.1 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.
- 52.2 Where a new election is ordered under rule 45.1, 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.
- 52.3 Where a poll is abandoned under rule 45.1(a), rules 45.4 to 45.7 are to apply.
- 52.4 The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 38 and 39, and is to make up separate sealed packets in accordance with rule 40.
- 52.5 The returning officer is to:
- (a) count and record the number of ballot papers, internet voting records, telephone voting records and text voting records that have been received,
 - (b) seal up the ballot papers, internet voting records, telephone voting records and text voting records into packets, along with the records of the number of ballot papers, internet voting records, telephone voting records and text voting records and
- ensure that complete electronic copies of the internet voting records telephone voting records and text voting records created in accordance with rule 26 are held in a device suitable for the purpose of storage.
- 52.6 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.

52.7 Once the documents relating to the poll have been sealed up and endorsed pursuant to rules 45.4 to 45.6, the returning officer is to deliver them to the chairman of the corporation, and rules 50 and 51 are to apply.

PART 10: ELECTION EXPENSES AND PUBLICITY

Election expenses

53. Election expenses

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

54. Expenses and payments by candidates

54.1 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.

55. Election expenses incurred by other persons

55.1 No person may:

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

55.2 Nothing in this rule is to prevent the corporation from incurring such expenses, and making such payments, as it considers necessary pursuant to rules 56 and 57.

Publicity

56. Publicity about election by the corporation

56.1 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.

- 56.2 Any information provided by the corporation about the candidates, including information compiled by the corporation under rule 57, must be:
- (a) objective, balanced and fair,
 - (b) equivalent in size and content for all candidates,
 - (c) compiled and distributed in consultation with all of the candidates standing for election, and
 - (d) must not seek to promote or procure the election of a specific candidate or candidates, at the expense of the electoral prospects of one or more other candidates.

56.3 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.

57. Information about candidates for inclusion with voting information

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

57.2 The information must consist of:

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

58. Meaning of "for the purposes of an election"

58.1 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.

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

PART 11: QUESTIONING ELECTIONS AND THE CONSEQUENCE OF IRREGULARITIES

59. Application to question an election

- 59.1 An application alleging a breach of these rules, including an electoral irregularity under Part 10, may be made to Monitor for the purpose of seeking a referral to the independent election arbitration panel (IEAP).
- 59.2 An application may only be made once the outcome of the election has been declared by the returning officer.
- 59.3 An application may only be made to Monitor 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.
- 59.4 The application must:
- (a) describe the alleged breach of the rules or electoral irregularity, and
 - (b) be in such a form as the independent panel may require.
- 59.5 The application must be presented in writing within 21 days of the declaration of the result of the election. Monitor will refer the application to the independent election arbitration panel appointed by Monitor.
- 59.6 If the independent election arbitration panel requests further information from the applicant, then that person must provide it as soon as is reasonably practicable.
- 59.7 Monitor shall delegate the determination of an application to a person or panel of persons to be nominated for the purpose.
- 59.8 The determination by the IEAP shall be binding on and shall be given effect by the corporation, the applicant and the members of the constituency (or class within a constituency) including all the candidates for the election to which the application relates.
- 59.9 The IEAP may prescribe rules of procedure for the determination of an application including costs.

PART 12: MISCELLANEOUS

60. Secrecy

60.1 The following persons:

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

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

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

60.2 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.

60.3 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.

61. Prohibition of disclosure of vote

61.1 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.

62. Disqualification

62.1 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.

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

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

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

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

APPENDIX 5

Additional Provisions - Council of Governors

1. Roles and responsibilities of the Council of Governors

1.1 The roles and responsibilities of the Council of Governors, which are to be carried out in accordance with this constitution:

- 1.1.1 To appoint, and if appropriate, to remove the Chair;
- 1.1.2 To appoint, and if appropriate, remove the other non-executive directors;
- 1.1.3 To decide the remuneration and allowances and other terms and conditions of office of the Chair and other non-executive directors;
- 1.1.4 To approve the appointment of the Chief Executive;
- 1.1.5 To appoint, and if appropriate, remove the auditor;
- 1.1.6 Receive the Trust's annual accounts, and any report of the auditor on them, and the annual report;
- 1.1.7 In preparing the Trust's forward plan, the Board of Directors must have regard to the views of the Council of Governors;
- 1.1.8 To decide whether the Trust's private patient work would significantly interfere with the Trust's principal purpose, which is to provide goods and services for the health service in England, or performing the Trust's other functions;
- 1.1.9 To approve any proposed increase in non-NHS income of 5% of the Trust's total income or more in any financial year;
- 1.1.10 to hold the non-executive directors, individually and collectively to account for the performance of the Board of Directors;
- 1.1.11 To represent the interests of members of the Trust as a whole and the interests of the public;
- 1.1.12 To act in the best interests of the Trust and adhere to its values and code of conduct;
- 1.1.13 To regularly feedback information about the Trust, its vision and its performance to the constituencies and stakeholder organisations that either elected or appointed them;

1.1.14 to prepare and review on an annual basis the Trust's membership strategy and its policy for the composition of the Council of Governors and of the non-executive directors; and

1.1.15 when appropriate, to make recommendations for the revision of this constitution.

2. **Appointed Governors**

Local Authority Governors

2.1 The Chief Executive, having consulted with Bradford Metropolitan District Council, North Yorkshire County Council, Craven District Council and Pendle Borough Council or any successor local authority for an area which includes the whole or part of an area forming part of the Public Constituency, is to adopt a process for agreeing the appointment of one (1) Local Authority Governor from each of those local authorities.

Partnership Governors

2.2 The Partnership Governors are to be appointed by the partnership organisations, in accordance with a process agreed with the Chief Executive.

General Provisions

2.3 Appointed Governors:

2.3.1 Appointed Governors shall normally hold office for a period of three (3) years commencing on the date such election is to have effect;

2.3.2 Appointed Governors are eligible for re-appointment at the end of that period;

2.3.3 Appointed Governors may not where re-appointed hold office for longer than nine (9) consecutive years, and shall not be eligible for re-appointment if they have already held office for more than six (6) consecutive years.

2.4 Additional Roles and Responsibilities of Appointed Governors:

Subject always to the overriding principle that the Governors' first responsibility is to the Council of Governors and the Trust

2.4.1 The roles and responsibilities of the Appointed Governors which are to be carried out in accordance with this constitution include:

- 2.4.1.1 To further the relationship between the organisation that the Appointed Governors represent and the Trust;
- 2.4.1.2 to bring to the Council of Governors a greater understanding of the organisation that the Appointed Governors represents;
- 2.4.1.3 to speak with authority for the organisation they represent and be able to explain its policies; and
- 2.4.1.4 to represent the Trust to the organisation they represent.

3. Eligibility to be a Governor

- 3.1 A person may not become a governor of the Trust, and if already holding such office will immediately cease to do so, if:
 - 3.1.1 they are a director of the Trust, or a governor or director of a NHS body as defined in section 28(6) of the 2006 Act (unless they are an appointed governor appointed by the NHS body for which they are a governor or director);
 - 3.1.2 they are the spouse, partner, parent or child of a member of the Board of Directors (including the Chair) of the Trust;
 - 3.1.3 they are a member of a local authority's Overview and Scrutiny Committee covering health matters;
 - 3.1.4 being a member of the Public Constituency they refuse to sign a declaration in the form specified by the Secretary, of particulars of their qualification to vote as a member of the Trust, and that they are not prevented from being a member of the Council of Governors;
 - 3.1.5 they are a vexatious complainant within the meaning of paragraph 1.1.2 in Appendix 8;
 - 3.1.6 on the basis of disclosures obtained through an application to the Criminal Records Bureau, they are not considered suitable by the Chairman on the basis of advice from the Trust's director responsible for human resources;
 - 3.1.7 they have within the preceding two (2) years been dismissed, otherwise than by reason of redundancy or ill health, from any paid employment with a NHS Body;

- 3.1.8 they are a person whose tenure of office as the chair or as a member or director of a NHS Body has been terminated on the grounds that their appointment is not in the interests of the health service, for non-attendance at meetings, or for non-disclosure of a pecuniary interest;
- 3.1.9 they are a person who has had his or her name removed or been suspended from any list (including any performers list maintained by a primary care Trust) prepared under the 2006 Act or under any related subordinate legislation or who has otherwise been suspended or disqualified from any healthcare profession, and has not subsequently had his or her name included in such a list or had his or her suspension lifted or qualification reinstated;
- 3.1.10 they are incapable by reason of mental disorder, illness or injury of carrying out their functions as a Governor and it is anticipated that such incapacity will continue for a period of 6 months or the remainder of the Governor's tenure of office;
- 3.1.11 they have within the preceding five (5) years been:
 - 3.1.11.1 made subject to a Hospital Order under section 37 of the MHA whether or not subject to restrictions under section 41;
 - 3.1.11.2 made subject to an Interim Hospital Order under section 38 of the MHA;
 - 3.1.11.3 made subject to a transfer direction under section 48 of the MHA whether or not subject to restrictions under section 49; and/or
 - 3.1.11.4 made subject to an order under the Criminal Procedure (Insanity) Act 1964 as amended; and/or
- 3.1.12 they have previously been or are currently subject to a sex offender order and/or required to register under the Sexual Offences Act 2003 or have committed a sexual offence prior to the requirement to register under current legislation.

4. **Termination of office and removal of Governors**

- 4.1 A person holding office as a governor shall immediately cease to do so if:
 - 4.1.1 they resign by notice in writing to the Secretary;

- 4.1.2 they fail to attend two (2) consecutive meetings, unless the Chief Executive and Chairman are satisfied that:
 - 4.1.2.1 the absences were due to reasonable causes; and
 - 4.1.2.2 they will be able to start attending meetings of the Council of Governors again within such a period as the other governors consider reasonable.
- 4.1.3 in the case of an elected governor, they cease to be a member of the constituency or class or area of the constituency by which they were elected, which for the avoidance of doubt, includes in respect of a Public Governor a Governor moving their principal residence from one area within the Public Constituency to another;
- 4.1.4 in the case of an Appointed Governor, the appointing organisation terminates the appointment;
- 4.1.5 they have refused without reasonable cause to undertake any training which the Council of Governors requires all governors to undertake;
- 4.1.6 they have failed to sign and deliver to the Secretary a statement in the form required by the Secretary confirming acceptance of the code of conduct for governors; or
- 4.1.7 they have failed to sign and deliver a letter of acceptance in the form required by the Secretary and/or it becomes apparent that any information provided by the person in respect of their eligibility to be a Governor in such letter of acceptance is or becomes inaccurate; or
- 4.1.8 they are removed from the Council of Governors under the following provision:
 - 4.1.8.1 a governor may be removed from the Council of Governors by a resolution approved by not less than three-quarters of the remaining governors present and voting on the grounds that he or she has committed a serious breach of the code of conduct for governors, or he or she has acted in a manner detrimental to the interests of the Trust, and the Council of Governors consider that it is not in the best interests of the Trust for him or her to continue as a governor. The governor concerned may make representations on his or her own behalf to the Council of Governors.

- 4.1.9 a declaration is made pursuant to paragraph 4.4.5 below.
- 4.2 Each Governor shall be responsible for ensuring that they are eligible to become or continue as a governor of the Trust.
- 4.3 If a Governor has been disqualified pursuant to paragraphs 4.1.2, 4.1.5 or 4.1.6 they shall only be eligible for re-election after a period of three (3) years.
- 4.4 Without prejudice to paragraph 4.2 of this Appendix 5:
- 4.4.1 where the Trust is on notice that a governor may be disqualified from membership in accordance with this constitution, the Secretary shall carry out all reasonable enquiries to determine whether or not the member in question is so eligible;
- 4.4.2 the Secretary, following their enquiries pursuant to paragraph 4.4.1 above, if satisfied that the person may be so disqualified, shall give notice in writing to that person that the Trust proposes to declare the person disqualified;
- 4.4.3 in the notice sent by the Secretary pursuant to paragraph 4.4.2 above, the Secretary shall specify the grounds on which it appears to them that the person is disqualified and give that person a period of at least 14 but no more than 28 days in which to make representations, orally or in writing, on the proposed disqualification.
- 4.4.4 Any representations pursuant to paragraph 4.4.3 above shall be made to, and considered by, a committee of the Directors which in this case shall determine the proposal;
- 4.4.5 if no representations pursuant to paragraph 4.4.4 above are received within the specified time or the committee of Directors upholds the proposal to disqualify the governor having heard representations, the Secretary shall immediately declare that the person in question is disqualified and notify him or her in writing to that effect. On such declaration the person's tenure of office shall be terminated and he or she shall cease to act as a governor.

5. **Vacancies amongst Governors**

- 5.1 Where a vacancy arises on the Council of Governors for any reason other than expiry of term of office, the following provisions will apply:
- 5.1.1 where the vacancy arises amongst the Appointed Governors, the Secretary shall request that the appointing organisation appoints a

replacement to hold office for the remainder of the term of office of the governor who is being replaced;

5.1.2 where the vacancy arises amongst the Elected Governor, the Council of Governors shall be at liberty either:

5.1.2.1 to call an election to fill the seat at the next annual election for the remainder of the term of office of the governor who is being replaced; or

5.1.2.2 to invite 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 fall vacant and be subject to election.

6. Expenses and Remuneration of Governors

6.1 The Trust may reimburse governors for travelling and other costs and expenses incurred in carrying out their duties as the Board of Directors decides.

6.2 The Trust may at their discretion decide to reimburse the cost and expense of a governor's carer arrangements necessarily and reasonably incurred in such governor carrying out their duties as the Board of Directors decides.

6.3 In respect of a Staff Governor who is an employee of the Trust, the Board of Directors shall seek to facilitate such employee's reasonable participation as a Staff Governor during normal working hours to the extent reasonably necessary for the performance of their duties as a Staff Governor (including reasonable time off from his or her contracted duties) and shall not make any corresponding deduction from salary.

6.4 Governors are not to receive remuneration from the Trust otherwise than as set out in paragraphs 6.1 and/or 6.2 and/or 6.3 above of this Appendix 5.

7. Governors' Code of Conduct

The Trust may from time to time publish a governors' code of conduct and each governor shall be required to follow and observe such code of conduct's provisions.

APPENDIX 6

Standing Orders for the Practice and Procedure of the Council of Governors

1. Meetings of the Council of Governors

- 1.1 The Council of Governors is to meet a minimum of four (4) 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 (14) days' written notice of the date and place of every meeting of the Council of Governors to all governors. Notice will also be published in a local newspaper or newspapers circulating in the area served by the Trust, and on the Trust's website.
- 1.2 Meetings of the Council of Governors may be called by the Secretary, or by the Chair.
- 1.3 Meetings of the Council of Governors may be called by ten (10) Governors (including at least two (2) elected Governors and two (2) appointed Governors) who give written notice to the Secretary specifying the business to be carried out. The Secretary shall send a written notice to all Governors as soon as possible after receipt of such a request.
- 1.4 The Secretary shall call a meeting on at least seven (7) but not more than twenty eight (28) days' notice.
- 1.5 If the Secretary fails to call such a meeting following notice pursuant to paragraph 1.3 of this Appendix 5 above then the Chair or ten (10) Governors, whichever is the case, shall call such a meeting.
- 1.6 Ten (10) governors including no fewer than six (6) Public Governors, no fewer than two (2) Staff Governors and no fewer than two (2) Appointed Governors shall form a quorum for the Council of Governors.
- 1.7 The Council of Governors may invite the Chief Executive or any other member or members of the Board of Directors, or a representative of the auditor or other advisors to attend a meeting of the Council of Governors.
- 1.8 The Council of Governors may agree that members can participate in its meetings by telephone. Participation in a meeting by telephone shall, where the Council of Governors has agreed to participation in such a manner, be deemed to constitute presence in person at the meeting.
- 1.9 Subject to this constitution and the following provisions of this paragraph, questions arising at a meeting of the Council of Governors shall be decided by a majority of votes.

- 1.10 In case of an equality of votes the person presiding at or chairing the meeting shall have a casting vote.
- 1.11 The Council of Governors may not delegate any of its powers to a committee or sub-committee, but it may appoint committees to assist the Council of Governors in carrying out its functions. The Council of Governors may appoint governors and may invite directors and other persons to serve on such committees. The Council of Governors may, through the Secretary, request that external advisors assist them or any committee they appoint in carrying out its duties.
- 1.12 All decisions taken in good faith at a meeting of the Council of Governors 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 governors attending the meeting.

Proposing Council of Governors' Written Resolutions

- 1.13 The Secretary, the Chairman, or ten (10) governors (including at least two (2) elected governors and two (2) appointed governors) who give written notice to the Secretary specifying the business to be carried out may propose a Council of Governors written resolution.
- 1.14 The following may not be passed as a written resolution: the removal of a non-executive director or chairman; removal of the auditor; or approval of a significant transaction.
- 1.15 A Council of Governors' written resolution is proposed by giving written notice of the proposed resolution to each governor. Notice by post, delivery in person, fax or email shall constitute written notice.
- 1.16 Notice of a proposed Council of Governors written resolution must indicate:
- 1.16.1 the proposed resolution;
 - 1.16.2 how to signify agreement to the resolution; and
 - 1.16.3 the date by which it is proposed that the Council of Governors should adopt it. A proposed written resolution shall lapse if not adopted by the 28th day from circulation.

Electronic Meetings and Voting

- 1.17 Participation in meetings of the Council of Governors may be by telephone. References in this paragraph to eligible governors are to members of the

Council of Governors who would have been entitled to vote on the matter had it been proposed at a meeting of the Council of Governors.

1.18 A decision may not be taken in accordance with this paragraph if the eligible governors would not have formed a quorum at such a meeting.

1.19 Where decisions of the Council of Governors are taken by means other than at a face-to-face meeting or by written resolution, such decisions shall be recorded by the Secretary in permanent written form.

2. **Disclosure of interests**

2.1 Any governor who has a material interest in a matter as defined below shall declare such interest to the Council of Governors and shall withdraw from the meeting and play no part in the relevant discussion or decision and shall not vote on the issue (and if inadvertently they do remain and vote, their vote shall not be counted).

2.2 Any governor 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 governors.

2.3 Subject to the exceptions below, a material interest in a matter is where a governor:

2.3.1 holds any directorship, including non-executive directorship, (with the exception of those of dormant companies) of a company;

2.3.2 holds any interest or position in any firm or company or business;

2.3.3 has any interest in an organisation providing health and social care services to the National Health Service; or

2.3.4 holds any position of authority in a charity or voluntary organisation in the field of health and social care;

and such organisation is, in connection with the matter, trading with the Trust or entering into a financial arrangement with the Trust, or is likely to be considered as a potential contractor to the Trust.

In the case of two persons living together as a couple (whether married or not) the interest of one shall be deemed to be also an interest of the other.

2.4 The exceptions which shall not be treated as material interests are as follows:

2.4.1 shares held in any company where the value of those securities does not exceed £25,000 or the number of shares held does not

exceed 5% of the total number of issued shares in a company whose shares are listed on any public exchange;

- 2.4.2 an employment contract with the Trust held by a Staff Governor;
- 2.4.3 an employment contract with a local authority held by a Local Authority Governor;
- 2.4.4 an employment contract with a partnership organisation held by a Partnership Governor;
- 2.4.5 any travelling or other expenses or allowances payable to a Governor.

3. **Declaration**

An elected governor may not vote at a meeting of the Council of Governors unless, before attending the meeting, they have made a declaration in the form specified by the Secretary of the particulars of their qualification to vote as a member of the Trust and that they are not prevented from being a member of the Council of Governors. An elected governor shall be deemed to have confirmed the declaration upon attending any subsequent meeting of the Council of Governors, and every agenda for meetings of the Council of Governors will draw this to the attention of elected governors.

APPENDIX 7

Standing Orders for the Practice and Procedure of the Board of Directors

- 1. Roles and Responsibilities of the Board of Directors**
- 1.1 The roles and responsibilities of the Board of Directors which are to be carried out in accordance with this constitution include:
 - 1.1.1 to ensure compliance with the constitution, mandatory obligations issued by Monitor and relevant statutory requirements;
 - 1.1.2 to establish a set of values and standards of conduct which are consistent with the Nolan Principles governing standards in public life;
 - 1.1.3 to ensure compliance with the Monitor code of governance and report on the Trust's governance arrangements annually;
 - 1.1.4 to determine the vision, mission and values of the Trust;
 - 1.1.5 to determine the service and financial strategy of the Trust and to monitor the delivery of those strategies;
 - 1.1.6 to ensure the financial viability of the Trust;
 - 1.1.7 to ensure the clinical quality and safety through a system of clinical governance;
 - 1.1.8 to provide services in accordance with agreed contracts;
 - 1.1.9 to ensure that adequate systems are in place to measure and monitor the Trust's effectiveness, efficiency and economy as well as the quality of its healthcare delivery; and
 - 1.1.10 to ensure the Trust cooperates with other NHS bodies, Local Authorities and other stakeholders and relevant organisations with an interest in the health economy.
- 2. The Appointment and Removal of the Chair and/or other Non-Executive Directors**
- 2.1 Subject to paragraph 25.3 of the main body of the constitution only a member of the Public Constituency is eligible for appointment as the Chair or another non-executive director.

- 2.2 The Chair and the other non-executive directors are to be appointed by the Council of Governors using the following procedure:
- 2.2.1 The Council of Governors will maintain a policy for the appointment of the Chair and the other non-executive directors which takes account of the membership strategy, and which the Council of Governors shall review from time to time and not less than every three (3) years.
 - 2.2.2 The Council of Governors may work with an external organisation recognised as expert at appointments to identify the skills and experience required for non-executive directors.
 - 2.2.3 Appropriate candidates will be identified by a selection panel through a process of open competition, which takes account of the policy maintained by the Council of Governors and the skills and experience required.
 - 2.2.4 The selection panel will comprise the Chairman, (who should act as chair of the selection panel), the senior independent director of the board of directors, two (2) elected governors and one (1) appointed governor. A suitably qualified assessor shall be invited to act as an independent assessor to the nominations committee. The nominations committee may co-opt other Governor members to join the selection panel as they see fit. The Chairman shall not be a member of the selection panel in the case of the appointment of a Chairman and the Deputy Chairman shall be invited to join the selection panel in their place.
 - 2.2.5 Save in the case of the initial Chair or initial other non-executive directors the Chair and any other non-executive director may hold office for a period of up to three (3) years and shall, subject to the Independence Criteria be eligible for re-appointment at the end of his or her term.
- 2.3 The removal of the Chair or any other non-executive director shall be a decision of the Council of Governors and shall be carried out in accordance with the following procedures:
- 2.3.1 Written reasons for the proposal shall be provided to the Chair or other non-executive director in question, who shall be given the opportunity to respond to such reasons.
 - 2.3.2 In making any decision to remove a non-executive director (other than the Chair), the Council of Governors shall take into account any annual appraisal carried out by the Chair.

2.3.3 Removal of the Chair or any other non-executive director shall require the approval of three-quarters of the members of the Council of Governors.

2.3.4 If any proposal to remove the Chair or other non-executive director is not approved at a meeting of the Council of Governors, no further proposal can be put forward to remove the Chair or such non-executive director based upon the same reasons within twelve (12) months of the meeting.

3. **Appointments**

3.1 The Board shall appoint the Secretary of the Trust and subject to following good employment practice may also remove a Secretary from that position.

3.2 The Board of Directors shall, following consultation with the Council of Governors, appoint one of the non-executive directors to be the senior independent director. The senior independent director shall make themselves available to members and governors who have concerns that they do not feel they can raise with the Chair or any executive director of the Trust². Recourse to the senior independent director shall not replace the right to instigate the dispute resolution procedures at Appendix 9.

4. **Committees and Delegation**

4.1 The Board of Directors may delegate any of its powers to:

4.1.1 a committee of directors;

4.1.2 an executive director.

4.2 The Board of Directors shall maintain a formal schedule of matters reserved for decision by the Board of Directors.

4.3 The Board of Directors shall appoint an audit committee of non-executive directors to monitor and review the exercise of the auditor's functions.

4.4 The Board of Directors shall appoint a remuneration committee of non-executive directors to recommend the remuneration and allowances, and the other terms and conditions of office, of the executive directors, and Governors.

4.5 The Board of Directors may appoint committees consisting wholly or partly of persons who are not executive directors or non-executive directors of the Trust for any purpose that is calculated or likely to contribute to or assist it in

² As recommended by the NHS Foundation Trust Code of Governance.

the exercise of its powers but it may not delegate the exercise of any of its powers to such committee.

5. Meetings of the Board of Directors

- 5.1 The Board of Directors shall meet sufficiently regularly to discharge its duties effectively.
- 5.2 Save in the case of emergencies or the need to conduct urgent business, the Secretary shall give to all directors at least seven (7) days' written notice of the date and place of every meeting of the Board of Directors.
- 5.3 Meetings of the Board of Directors may be called by the Secretary, or by the Chair.
- 5.4 Meetings of the Board of Directors may be called by one third of 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 within seven (7) days after receipt of such a request.
- 5.5 The Secretary shall call a meeting on at least seven (7) but not more than twenty-eight (28) days' notice.
- 5.6 If the Secretary fails to call a meeting following notice pursuant to paragraph 5.4 of this Appendix 7 then the Chair or one third of directors, whichever is the case, shall call such a meeting.
- 5.7 One third of the members of the Board including no fewer than two (2) executive directors, and no fewer than two (2) non-executive directors (one of whom must be the Chair or the Deputy Chair of the Board and as such has a casting vote) shall form a quorum.
- 5.8 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 any of these manners shall, where the Board of Directors has agreed to participation in such a manner, be deemed to constitute presence in person at the meeting.
- 5.9 The Chair of the Trust or, in their absence, the Deputy Chair of the Board of Directors, is to chair meetings of the Board of Directors.
- 5.10 Subject to the following provisions of this paragraph 7, questions arising at a meeting of the Board of Directors shall be decided by a majority of votes.
- 5.11 In case of an equality of votes the Chair shall have a second and casting vote.

- 5.12 No resolution of the Board of Directors shall be passed if it is opposed by all of the non-executive directors present or by all of the executive directors present.
- 5.13 The Secretary shall keep and maintain a record of the number of meetings of the Board of Directors and the attendance of individual directors
- 5.14 Meetings of the Board of the Directors shall be open to the public. The Board may resolve to exclude members of the public whenever publicity would be prejudicial to the public interest by reason of the confidential nature of the business to be transacted or for other special reasons. When determining whether members of the public should be so excluded, the Board shall consider the provisions of the Public Bodies (Admission to Meetings) Act 1960.

6. **Conflicts of Interest of Directors**

- 6.1 Any director who has a material interest in a matter as defined below shall declare such interest to the Board of Directors and shall withdraw from the meeting and play no part in the relevant discussion or decision and shall not vote on the issue (and if inadvertently they do remain and vote, their vote shall not be counted).
- 6.2 Details of any such interest shall be recorded in the register of the interests of directors.
- 6.3 A material interest in a matter is where a director:
- 6.3.1 holds any directorship of a company;
 - 6.3.2 holds any interest (excluding a holding of shares in a company whose shares are listed on any public exchange where the holding does not exceed 5% of the total issued share capital or the value of such shareholding does not exceed £25,000) or position in any firm or company or business;
 - 6.3.3 has any interest in an organisation providing health and social care services to the National Health Service; or
 - 6.3.4 holds a position of authority in a charity or voluntary organisation in the field of health and social care;

and such organisation is, in connection with the matter, trading with the Trust or entering into a financial arrangement with the Trust, or is likely to be considered as a potential contractor to the Trust.

In the case of two persons living together as a couple (whether married or not) the interest of one shall be deemed to be also an interest of the other.

7. Role of Secretary of the Trust

7.1 The Secretary's role shall include but not be limited to:

7.1.1 advising the Board of Directors and the Council of Governors (through the Chair) of all corporate governance matters;

7.1.2 being available to give advice and support to individual directors, particularly in relation to the induction of new directors and assistance with professional development;

7.1.3 ensuring that the Standing Orders of both the Board of Directors and Council of Governors are complied with; and

7.1.4 ensuring good information flows within the Board of Directors and committees of the Board of Directors and between senior management, non-executive directors and governors.

8. Additional Provisions

This Appendix 7 is to be read in conjunction with the Trust's standing orders, which contain additional provisions.

APPENDIX 8

Annual Members Meetings

1. MEMBERS' MEETINGS
 - 1.1 The trust shall hold a members' meeting for all members (called the "Annual Members' Meeting") within six months of the end of each financial year of the trust.
 - 1.2 Any members' meeting other than the Annual Members' Meeting shall be called a "Special Members' Meeting".
 - 1.3 Both Annual Members' Meetings and any Special Members' Meetings shall be open to all members of the trust, members of the Council of Governors and members of the Board of Directors, together with representatives of the trust's auditors, and to members of the public. The trust 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 any such meeting.
 - 1.4 The Board of Directors may convene an Annual Members' Meeting or a Special Members' Meeting when it thinks fit. The Council of Governors may request the Board of Directors to convene a members' meeting.
 - 1.5 The Board of Directors (or at least one (1) member thereof) shall present to the members at the Annual Members' Meeting:
 - 1.5.1 the annual accounts;
 - 1.5.2 any report of the auditor on them;
 - 1.5.3 the annual report;.
 - 1.5.4 a report on steps taken to secure that (taken as a whole) the actual membership of the trust is representative of those eligible for such membership;
 - 1.5.5 the progress of the membership plan;
 - 1.5.6 the results of any election and appointments to the Council of Governors, and any other reports or documentation it considers necessary or otherwise required by Monitor or the 2006 Act.
 - 1.6 The trust shall give notice of all members' meetings:
 - 1.6.1 by notice in writing to all members;

- 1.6.2 by notice prominently displayed at the trust's headquarters;
- 1.6.3 by notice on the trust's website; and
- 1.6.4 to the Council of Governors, the Board of Directors, and to the trust's auditors,

stating whether the meeting is an Annual Members' Meeting or a Special Members' Meeting including the time, date, place of the meeting, and the business to be dealt with at the meeting at least 14 working days before the date of the relevant members' meeting (or, in the case of an Annual Members' Meeting, at least 21 working days before the date of the relevant meeting).

- 1.7 An accidental omission to give notice of a members' meeting or to send, supply or make available any document or information relating to the meeting, or the non-receipt of any such notice, document or information by a person entitled to receive any such notice, document or information shall not invalidate the proceedings at that meeting.
- 1.8 The Chair or in his absence the Deputy Chair shall preside at all members' meetings of the trust. If neither the Chair nor the Deputy Chair is present, the governors present shall elect one of their number to act as Chair and if there is only one governor present and willing to act that person shall be Chair. If no governor is willing to act as Chair or if no governor is present within fifteen minutes after the time appointed for holding the meeting, the members present and entitled to vote shall choose one of their number to act as Chair.
- 1.9 The quorum for a members' meeting shall be eight (8) members present and entitled to vote. If a quorum is not present within thirty (30) minutes from the time appointed for the meeting, the meeting shall stand adjourned for a minimum of seven (7) days until such time as the Board of Directors determine.
- 1.10 The Chair may, with the consent of a members' meeting at which a quorum is present (and shall, if so directed by the meeting), adjourn a members' meeting from time to time and from place to place or for an indefinite period.
- 1.11 A resolution put to the vote of a members' meeting shall be decided on a show of hands (including without limitation a vote on an amendment to the Constitution in relation to the powers or duties of the Council of Governors (or otherwise with respect to the role that the Council of Governors has as part of the Trust)).

- 1.12 No business shall be transacted at an adjourned meeting other than business which might properly have been transacted at the meeting had the adjournment not taken place.
- 1.13 If the Board of Directors, in its absolute discretion, considers that it is impractical or unreasonable for any reason to hold a members' meeting at the time, date or place specified in the notice calling that meeting, it may move and/or postpone the general meeting to another time, date and/or place.
- 1.14 In the case of a members' meeting is adjourned or postponed for fourteen (14) days or more, at least seven (7) working days' notice shall be given specifying the time and place of the adjourned members' meeting and the general nature of the business to be transacted. Otherwise, it shall not be necessary to give any such notice.
- 1.15 The Board of Directors may make any arrangement and impose any restriction it considers appropriate to ensure the security of a members' meeting.
- 1.16 Any approval to speak at a members' meeting must be given by the Chair. Speeches must be directed to the matter, motion or question under discussion or to a point of order. Unless in the opinion of the Chair it would not be appropriate or desirable to time limit speeches on any topic to be discussed having regard to its nature, complexity or importance, no proposal, speech or any reply may exceed three (3) minutes. In the interests of time, the Chair may, in his or her absolute discretion, limit the number of replies, questions or speeches which are heard at any one members' meeting.
- 1.17 A person who has already spoken on a matter at a members' meeting may not speak again at that meeting in respect of the same matter except (i) in exercise of a right of reply, or (ii) on a point of order, or (iii) at the Chairman's discretion.
- 1.18 The Board of Directors shall cause minutes to be made and kept, in writing, of all proceedings at members' meetings.

APPENDIX 9

Further Provisions

1. Restriction on Membership

1.1 An individual who:

1.1.1 has threatened, harassed, harmed or abused staff, patients and/or visitors of the Trust or the Predecessor Trust; or

1.1.2 has been a vexatious complainant. For the purposes of this paragraph a vexatious complainant is an individual who is found by the Trust (applying the relevant Trust policy) to have abused or used inappropriately the Trust's or the Predecessor Trust's complaints procedure;

shall be refused membership of the Trust or where an existing member shall have his or her membership of the Trust withdrawn.

1.2 Each Member shall be responsible for ensuring that they are eligible to become or continue as a member of the Trust, although where the Trust is on notice that a member may be disqualified from membership in accordance with this constitution, the Secretary shall carry out all reasonable enquiries to determine whether or not the member in question is so eligible.

2. Termination of Membership

2.1 A member shall cease to be a member if:

2.1.1 they resign by notice to the Secretary;

2.1.2 they die;

2.1.3 they are expelled from membership under this constitution;

2.1.4 they cease to be entitled under this constitution to be a member of the Public Constituency (if a member of the Public Constituency) or of any of the classes of the Staff Constituency (if a member of the Staff Constituency); and/or

2.1.5 it appears to the Secretary that they no longer wish to be a member of the Trust, and after enquiries made in accordance with a process approved by the Council of Governors they fail to demonstrate that they wish to continue to be a member of the Trust.

- 2.2 A member may be expelled by a resolution approved by not less than two thirds of the Governors present and voting at a meeting of the Council of Governors. The following procedure is to be adopted:
- 2.2.1 Any member may complain to the Secretary that another member has acted in a way detrimental to the interests of the Trust.
- 2.2.2 If a complaint is made, the Council of Members 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:
- 2.2.2.1 subject to the disputes procedure set out at Appendix 8 paragraph 3 dismiss the complaint and take no further action;
- 2.2.2.2 for a period not exceeding twelve (12) months suspend the rights of the member complained of to attend members meetings and vote under this constitution; or
- 2.2.2.3 arrange for a resolution to expel the member complained of to be considered at the next meeting of the Council of Governors.
- 2.2.3 If a resolution to expel a member is to be considered at a meeting of the Council of Governors, details of the complaint must be sent to the member complained of not less than one (1) month before the meeting with an invitation to answer the complaint and attend the meeting.
- 2.2.4 At the meeting of the Council of Governors the Council of Governors will consider evidence in support of the complaint and such evidence as the member complained of may wish to place before them.
- 2.2.5 If the member complained of fails to attend the meeting of the Council of Governors without due cause the meeting may proceed in their absence.
- 2.2.6 A person expelled from membership will cease to be a member upon the declaration by the Chair of the meeting of the Council of Governors that the resolution to expel them is carried.
- 2.2.7 No person who has been expelled from membership is to be re-admitted except by a resolution carried by the votes of two-thirds

of the Council of Governors present and voting at a meeting of the Council of Governors.

3. Dispute Resolution Procedures

3.1 Every unresolved dispute which arises out of this constitution between the Trust and:

3.1.1 a member;

3.1.2 any aggrieved person who has ceased to be a member within the six (6) months prior to the date of the dispute;

3.1.3 any person bringing a claim under this constitution; or

3.1.4 an office-holder of the Trust;

shall first be discussed informally between the Chief Executive of the Trust and the person listed at 1.1.1 to 1.1.4, (the "Aggrieved Person").

3.2 Where such a dispute cannot be resolved between the Chief Executive and the Aggrieved Person within two (2) weeks of referral of any such dispute to them it may be referred by the Aggrieved Person or the Trust to the Centre for Effective Dispute Resolution which shall appoint a mediator between the Trust and the Aggrieved Person. The costs of such mediation shall be met equally by the Trust and the Aggrieved Person and the Trust may apply any deposit required pursuant to paragraph 3.4 of this Appendix 9 to meet the Aggrieved Person's share of such cost. If the Aggrieved Person and the Trust are unable to resolve such dispute within four (4) weeks of any such referral to mediation then paragraph 3.3 below shall apply.

3.3 If the Aggrieved Person and the Trust fail to resolve the dispute by way of mediation under the provisions of paragraph 3.2 above then the Aggrieved Person and the Trust agree that any such unresolved dispute shall be referred to a single arbitrator agreed by the parties or in the absence of agreement to be nominated by the President for the time being of the Law Society of England and Wales. The arbitrator shall arbitrate any such dispute in accordance with the Arbitration Act 1996. The arbitrator's decision will be final and binding on all parties, including as to who shall meet the cost of such arbitration.

3.4 Any person bringing a dispute must, if required to do so by the Trust, deposit with the Trust a reasonable sum (not exceeding £250) to be determined by the Council of Governors and approved by the Secretary prior to proceeding to mediation pursuant to paragraph 3.2 above. The arbitrator will decide how the costs of the arbitration will be paid and what should be done with the

deposit (if not expended on any mediation as permitted by paragraph 3.2 above).