

Newcastle Hospitals' Annual Members' Meeting

Tuesday 28 September 2021, Virtual Meeting via MS Teams

Formal meeting 3:30pm – 5pm

Welcome and introductions

Professor Sir John Burn,
Chairman

Minutes of the Meeting held on
29 September 2020 and Matters
Arising

Professor Sir John Burn,
Chairman

Review of the Year and Annual
Report for 2020/21

Dame Jackie Daniel,
Chief Executive

Quality and patient safety

Andy Welch, Medical Director and
Angela O'Brien, Director of
Quality and Effectiveness

Annual Accounts for 2020/21

Angela Dragone, Finance Director
and Cameron Waddell, Partner at
Mazars LLP

Trust Constitution Amendment

Professor Sir John Burn,
Chairman

Questions from the floor

Professor Sir John Burn,
Chairman

If you wish to join the meeting via MS Teams can do so by emailing nuth.AGM@nhs.net.
In addition, we request that any questions are emailed in advance to nuth.AGM@nhs.net.



ANNUAL MEMBERS MEETING

DRAFT MINUTES OF THE MEETING HELD ON 29 SEPTEMBER 2020

Present:	Professor Sir J Burn	Chairman
	Dame J Daniel	Chief Executive Officer
	Mr A Welch	Medical Director/Deputy Chief Executive
	Mrs A Dragone	Finance Director
	Mr M Wilson	Chief Operating Officer
	Dr V McFarlane-Reid	Director for Enterprise & Business Development
	Ms M Cushlow	Executive Chief Nurse
	Mr D Stout	Non-Executive Director
	Professor K McCourt	Non-Executive Director
	Mr J Jowett	Non-Executive Director
	Ms J Baker	Non-Executive Director
	Mr K Godfrey	Non-Executive Director
	Mr S Morgan	Non-Executive Director
	Mr B MacLeod	Non-Executive Director
	Mr G Chapman	Non-Executive Director

In attendance:

Mrs C Docking	Assistant Chief Executive
Mrs D Fawcett	Director of Human Resources
Mr G King	Chief Information Officer
Mr C Waddell	Managing Partner, Mazars LLP
Mrs L Hall	Deputy Director of Quality and Safety
Mrs R Carter	Head of Quality Assurance and Clinical Effectiveness
Mrs K Jupp	Trust Secretary
Mrs F Darville	Deputy Trust Secretary <i>[Minutes]</i>

Apologies for Absence:

Mrs A O'Brien	Director of Quality and Effectiveness
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1. WELCOME AND INTRODUCTIONS

The Chairman opened the virtual meeting by welcoming attendees and explained that the meeting would be recorded and would be available via the Trust website following its conclusion. Questions had been requested in advance however none were received and therefore attendees were invited to send questions after the meeting.

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The Chairman went on to introduce the presenters, noting that Louise Hall, Deputy Director of Quality and Safety, and Rachel Carter, Head of Quality Assurance and Clinical Effectiveness, would present the Quality and Patient Safety item in the absence of the Director of Quality and Effectiveness.

The Annual Accounts would be presented by the Trust's Finance Director, Angela Dragone, and Cameron Waddell, Managing Partner of the Trust's External Auditors, Mazars LLP.

2. MINUTES OF THE MEETING HELD 27 SEPTEMBER 2019 AND MATTERS ARISING

The minutes of the meeting were agreed to be a correct record.

Referring to section 8 of the minutes, the Chairman noted the concern raised by Mr and Mrs Percy regarding seating available within the Accident and Emergency Department. The Chairman advised that the matter had been addressed, with new seating installed with wipe clean padding.

The Chairman extended the Trust's condolences to Mrs Percy and family following the recent passing of Mr Percy.

There were no additional matters arising from the minutes.

3. REVIEW OF THE YEAR AND ANNUAL REPORT FOR 2019/20

The Chief Executive delivered the presentation with the following key points to note:

- An infographic demonstrating the Trust's achievements over the year was noted. This included detail regarding the Trust performance in relation to finance and activity, the Trust's patients and staff, and the management of the pandemic.
- The Chief Executive acknowledged that it had been an unprecedented year which had been dramatically altered by the events of the pandemic. Tribute was paid to all Trust staff for their achievement over the year.
- The last Annual Members Meeting held in 2019 saw the launch of the Trust Strategy, which was produced in collaboration and consultation with Trust staff. Over the last year, the strategy was reviewed to ensure that it continued to reflect the Trust's ambitions against the backdrop of the pandemic. The strategy and values continued to be relevant and representative of Newcastle Hospitals. The Trust's strapline 'Healthcare at its best with people at our heart' continued to represent the Trust's ambitions, with quality of care remaining an important priority across the year.
- In May 2019, the Trust was rated 'outstanding' for a second time by the Care Quality Commission (CQC), one of only five organisations in the country to achieve this.
- An update on performance was provided, with the Chief Executive noting that the Trust continued to achieve high levels of performance when compared to its regional and national peers. This was particularly evident in relation to the achievement of the

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Accident and Emergency standards, where the Trust was consistently one of the top performers in the country.

- The Chief Executive acknowledged the impact that COVID-19 has had on performance and the achievement of a number of the mandated performance indicators. She added that the Trust continued to work hard to recover the position.
- The Chief Executive reiterated the importance of the Trust's staff, acknowledging the difficulty experienced by many as result of the pandemic. The important role of the Staff Survey in providing an opportunity for staff to provide feedback on their experience was noted. The results of the staff survey were positive, particularly in relation to staff feeling safe and wellbeing being a key focus for the Trust. This has become increasingly important as the pandemic has progressed.
- The Flu campaign had been the most successful to date, with over 12,700 staff vaccinated.
- A fundamental part of the Trust's Flourish programme continued to be equality, diversity and inclusion. Important progress was made in year, including Newcastle Hospitals placing 40th in the Stonewall Index for 2020. The Trust also held its first Black, Asian, and Minority Ethnic (BAME) conference and Disability conference. The BAME conference considered the output of the Surash-Pearce Report into pay and career progression for BAME staff. The report indicated that further actions were required to improve the position within the Trust.
- The Trust was the first healthcare organisation in the world to declare a climate emergency in June 2019. James Dixon, the Trust's Head of Sustainability, and the Sustainable Healthcare in Newcastle (SHINE) team continue to do valuable work across the organisation. Staff continue to feel passionate about sustainability.
- The Trust embraced digital solutions more fully this year, which included the implementation of the ambitious Paperlite programme. This was undertaken prior to the pandemic but was instrumental in the Trust's management of COVID-19.
- The strength of the Trust's partnerships were outlined, particularly those from across the City of Newcastle, in particular Collaborative Newcastle which was focussed on improving the health, wealth, and wellbeing of the city's residents.
- A Commercial Enterprise Unit was established in year to realise the commercial potential of new and existing enterprise ventures.
- The Trust and partner organisations were awarded Academic Health Science Centre status in year with the formation of Newcastle Health Innovation Partners.
- The Chief Executive outlined the Trust's pandemic experience, noting that the Trust was the first in the country to receive COVID-19 patients into the High Consequence Infectious Diseases unit situated at the Royal Victoria Infirmary (RVI). This signalled the start of the pandemic in the UK.
- The Chief Executive reiterated the work of Trust staff in responding to the pandemic, highlighting their passion, drive and expertise. She added that she had taken the opportunity to meet with teams to listen to their experiences and noted their ongoing dedication to their patients and colleagues.
- The achievements of the Trust during the pandemic were outlined, including the creation of the Nightingale Hospital North East (NHNE). Gratitude was expressed to Martin Wilson, Chief Operating Officer, for establishing the NHNE.

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- The Chief Executive paid tribute to the public for their ongoing support of the NHS during the pandemic and thanked people for their rainbows, claps and gifts during this time which made staff feel valued.

4. QUALITY AND PATIENT SAFETY

The Medical Director/Deputy Chief Executive expressed his gratitude to the Chief Executive and the wider Board of Directors for their unwavering support of staff during the pandemic.

The Medical Director/Deputy Chief Executive reiterated the importance of the achievement of the second 'outstanding' rating by the CQC and noted that a virtual inspection was undertaken by the CQC in August 2020 regarding COVID-19 assurance. The review indicated no concerns regarding the mechanisms in place to keep patients and staff safe. He outlined the importance of ensuring sufficient Personal Protective Equipment (PPE) was available to staff that required it and in undertaking risk assessments.

The Medical Director/Deputy Chief Executive outlined some of the non COVID-19 related activity undertaken during the year, noting in particular that evidence suggested that some cancer and cardiac patients were not presenting early due to fear of attending a hospital. During the second wave, the Trust was cognisant of its responsibility to encourage attendance for serious symptoms, noting the improved prognosis as a result of early presentation.

The Trust's priorities around Healthcare Associated Infections (HCAIs) and the thorough investigation of Serious Incidents would continue as elective activity was restarting.

The Deputy Director of Quality and Safety delivered the presentation with the following key points to note:

- The CQC continued to monitor the Trust for quality and performance following the inspection in May 2019 and as such, the Trust received a bimonthly report covering a range of indicators. In addition, the Trust participated in a range of national audits and quality surveillance programmes.
- The Trust continued to greatly value the feedback provided by patients. The output of the National Inpatient Survey was highlighted as a particular example and included the views of over 650 patients. This assessed the Trust on a broad range of measures, including cleanliness, quality of care, and communication. The Trust scored well and compared favourably both within the region and amongst the Shelford Group, however the survey highlighted some areas for improvement.
- Excellence continued to be celebrated throughout the organisation through the utilisation of the GREATIX reporting tool, which provided an opportunity for staff to share positive experiences which resulted in positive change. The 5,000th GREATIX was recently submitted.

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The Head of Quality Assurance and Clinical Effectiveness provided an update on the transformation and quality improvement work undertaken within the Trust. The following key points were noted:

- The Trust's advances in quality improvement across the year were noted, particularly the establishment of the collaborative partnership with The Institute for Healthcare Improvement (IHI) and the plan to establish a quality improvement faculty within the Trust to build further capability.
- A number of highlights for the year were outlined, including:
 - Advances in Infection Prevention and Control. There had been only one case of MRSA bacteraemia reported in the Trust in year and cases of MSSA had reduced by more than 20%.
 - Orthopaedic Surgeons at the Freeman Hospital became the first in Europe to utilise a technique to identify sarcomas during surgery.
 - A 'Haven' to support families and carers of patients receiving end of life care opened at the RVI.
 - The simulation and training centre opened at the RVI.
 - Patients with severe asthma were able to receive lifesaving treatment at home.
 - Quality Improvement methodology was embedded within the organisation and resulted in a reduction of pressure damage and falls across Trust wards and departments.
- The impact of COVID-19 was outlined, which included the delay of the publication of the Quality Account. Despite this, the Trust continued with its quality priorities and managed to ensure that safe and effective care could be maintained.

5. ANNUAL ACCOUNTS FOR 2019/20

The Finance Director delivered the presentation, with the following key points to note:

- Focus during 2019/20 was placed on ensuring that all financial targets and obligations were met whilst maintaining a strong balance sheet which demonstrated the Trust's strength and resilience. This in turn maintained the confidence of the Trust's partners, attracted investment, and allowed the Trust to further invest in healthcare and maintain control of finances.
- In 2019/20, the Trust delivered to all its financial goals and had a turnover of circa £1.2bn. All financial targets set for the Trust were met or exceeded.
- An overall surplus of circa £12.2m was reported which was added to the Trust's Capital Programme. The cash balance at the close of the financial year was circa £125m.
- This resulted in the Trust achieving a financial risk rating of '1', which demonstrated the organisation's standing as an excellent, low-risk Trust.
- The financial regime for 2019/20 enabled the Trust to respond well to the pandemic. The Trust received circa £21m more than the main contract income and growth was observed in both emergency and specialised services.
- Supported by the Financial Improvement Team, the Trust was able to achieve circa £32m for the Cost Improvement Programme without compromising on patient care, the majority of which on a recurrent basis.

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- Gratitude was expressed to the Trust's Estates and Supplies teams who delivered circa £53.1m in Capital Projects for the Trust Capital programme, which compared to circa £37.4m in the previous year. This resulted in investment in the Trust's estate, backlog maintenance, and the purchase of high cost equipment.
- Major investments were enabled through the Payment by Results (PbR) programme, however the Finance Director acknowledged that the future was likely to be very different due to the emergence of COVID-19. As a result of the pandemic, contracting and PbR arrangements were suspended and a new regime of block contract funding introduced with a fixed cost envelope. This would impact the flexibility the Trust had been afforded in the past and therefore the Trust would need to find alternative routes to grow its services.
- The Trust remained both focussed and well placed to meet the challenges of the future, due to its strong track record and healthy balance sheet. The Board of Directors remained confident that the Trust would continue as a 'going concern'.

The Managing Partner from Mazars LLP delivered the presentation on the outcome of the Trust's external audit, with the following key points noted:

- The Managing Partner outlined the role of the audit to provide the Trust, the Council of Governors and the Foundation Trust members, assurance that the position as outlined by the Finance Director and the reporting in the Annual Report was fair, balanced, and accurate.
- The impact of the pandemic on the execution of the audit was outlined, as well as the implementation of a new financial ledger within the Trust. Despite this, the Annual Accounts and the corresponding audit were delivered by the revised deadline. The process was undertaken smoothly through joint working.
- The Annual Report and Accounts were completed to a high standard and were of high quality, with very few issues requiring amendment.
- There was no evidence that proper arrangements were not in place and therefore Mazars LLP could deliver an unqualified Audit conclusion.

The Chairman proposed the Annual Report and Accounts 2019/20 for approval and adoption, which was universally endorsed by the Board of Directors.

6. QUESTIONS FROM THE FLOOR

As there were no questions, the Chairman took the opportunity to express the gratitude of the Board of Directors and the wider Trust to Mr Keith Godfrey, who was completing his term of office as Non-Executive Director and Senior Independent Director. The Chairman acknowledged Mr Godfrey's tremendous contribution to the NHS in the region, during his career as a consultant prior to his role as Non-Executive Director. Mr Godfrey wished the Trust every success for the future.

The Chairman also extended his gratitude to the Council of Governors for their support over the year and welcomed Dr Vanessa Hammond, Public Governor, as the newly appointed Lead Governor.

7. DATE AND TIME OF NEXT MEETING

The next Annual Members Meeting will take place on Tuesday 28 September 2021 at 3:30pm.

Meeting closed at **14:55pm.**

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ANNUAL MEMBERS MEETING

Date of meeting	28 September 2021						
Title	Proposed amendments to the Trust Constitution: Foundation Trust Membership Staff Opt Out						
Report of	Professor Sir John Burn, Chairman						
Prepared by	Kelly Jupp, Trust Secretary and Fay Darville, Deputy Trust Secretary						
Status of Report	Public	Private	Internal				
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Purpose of Report	For Decision	For Assurance	For Information				
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
Summary	<p>This report details proposed amendments to the Trust's Constitution so that staff become a member of the Trust automatically on commencement of employment rather than via the current 'opt-in' membership basis.</p> <p>In addition a further minor amendment to the Trust Constitution is proposed to provide further clarity over membership numbers.</p>						
Recommendation	To i) receive this report; and ii) put the proposed amendments to the Trust Constitution to a vote at the Annual Members' Meeting.						
Links to Strategic Objectives	People – Supported by Flourish, our cornerstone programme, we will ensure that each member of staff is able to liberate their potential.						
Impact (please mark as appropriate)	Quality	Legal	Finance	Human Resources	Equality & Diversity	Reputation	Sustainability
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Impact detail	Detailed within the report.						
Reports previously considered by	The proposal to change to automatic Staff Membership of the Trust has been considered and supported by the Trust People Committee.						

PROPOSED AMENDMENTS TO THE TRUST CONSTITUTION: FOUNDATION TRUST MEMBERSHIP STAFF OPT OUT

EXECUTIVE SUMMARY

This report outlines the proposal to amend the Trust's Constitution to allow for all staff members to become members of the Foundation Trust on an 'opt out' rather than 'opt in' basis.

The report highlights the rationale for recommending the amendments, detailing the proposed advantages of opening up staff membership to the wider Trust. It also includes the processes required to complete the changes and the ongoing requirements to ensure that data is kept up to date.

Finally, in section 4, the required constitutional changes required to enact the staff opt out basis are outlined.

It is recommended that: i) the report be received; and ii) that the proposed amendments to the Trust Constitution be put to a vote at the Annual Members' Meeting.

PROPOSED AMENDMENTS TO THE TRUST CONSTITUTION: FOUNDATION TRUST MEMBERSHIP STAFF OPT OUT

1. BACKGROUND

The Trust's People, Engagement and Membership Group, a working group of the Council of Governors, are tasked with reviewing the levels of Foundation Trust membership and have noted the relatively low levels of Foundation Trust Membership amongst staff membership within Newcastle Hospitals' when compared to other Trusts.

The Group has therefore recommended that consideration be given to enacting automatic membership for Trust staff. This has been discussed with the Governor Working Group Chairs, the Lead Governor, the Chairman and the Chief Executive, as well as Governors present at the Private Council of Governors workshop held on 19 August 2021, who were all supportive of the recommendation. In order to proceed in implementing the recommendation, a change is required to the Trust Constitution as set out in section 4 below.

A report was presented to the Trust's People Committee on 16 September 2021 for consideration and agreement was sought that a recommendation be made at the Annual Members Meeting to be held on 28 September 2021 to amend the Constitution to enable automatic staff membership of the Foundation Trust.

2. AUTOMATIC MEMBERSHIP BY DEFAULT – STAFF

Newcastle Hospitals' overall Foundation Trust membership is currently circa 8,500, with circa 2,700 being made up by staff members. This falls far below the Trust's total staffing levels.

Staff membership is currently on an 'opt in' basis, with new staff members provided with application forms at Corporate Induction, as well as being available on the Trust's website and in the First Day Kit. By introducing automatic membership for staff, this will ensure that the membership is more reflective and representative of the views of staff. It will also allow for wider participation in the election to the Trust's Council of Governors by allowing a greater number of staff to both stand and vote in the annual elections and vastly improve voter turnout.

A significant number of Trusts already operate an automatic membership model for staff, including Northumbria Healthcare NHS Foundation Trust, Manchester University NHS Foundation Trust, Mid Cheshire NHS Foundation Trust and East London NHS Foundation Trust.

3. PROCESS

The above outlined Trusts adopt an 'opt-out' approach to staff membership, whereby all staff on permanent contracts or on fixed-term contracts that run for 12 months or longer automatically become members. Staff would therefore not be required to complete either the online or paper membership form to become a member and staff would be able to opt out upon request to the Foundation Trust Membership Office.

The process to facilitate this has been discussed and agreed with colleagues from the Trust's Human Resources (HR) team and Civica, the Trust's membership database provider. Following a communications campaign, Trust staff will be given until 19 November 2021 to advise the Corporate Governance team if they do not wish to be a member of the Foundation Trust. On this date, an extract of the Trust's Electronic Staff Record will be provided to Civica to update the membership database.

For staff whose employment ceases with the Trust, they would no longer be a staff member. However, providing they remain resident within the geographical area served by the Trust, they would automatically become eligible to join the public membership if not disqualified from membership for any reasons stipulated in the Constitution.

Staff information that is received/collected would be treated with the strictest of confidence, in keeping with Data Protection Regulations, and would only be processed and used to contact staff members about the Trust's Membership and other related issues.

4. PROPOSED AMENDMENT TO THE BASIS FOR STAFF MEMBERSHIP

In order to establish automatic opt-in of staff into the Trust membership, it is necessary for the following amendments to be made to the Trust Constitution:

Proposed deletion of:

'7.2.1 (c) that they have made an application to the Trust for the Membership of the appropriate Class within the Staff Constituency'

Proposed insertion of:

'7.3 Automatic membership by default – staff

7.3.1 An individual who is:

7.3.1.1 eligible to become a member of the Staff Constituency, and

7.3.1.2 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 member of the appropriate class within the Staff Constituency without an application being made, unless he informs the Trust that he does not wish to do so.'

5. AMENDMENTS TO THE TRUST CONSTITUTION

The current rules on Constitutional amendments are detailed within section 41 of the Constitution, being:

At least one member of the Council of Governors must attend the next Annual Members’ Meeting and present the amendment; and the Trust must give the members an opportunity to vote on whether they approve the amendment.

The Trust may make amendments to this Constitution only if more than half of the members of the Council of Governors voting approve the amendments, and more than half of the members of the Board of Directors voting approve the amendments.

6. PROPOSED AMENDMENT TO CLARIFY MINIMUM STAFF MEMBERSHIP NUMBERS WITHIN THE TRUST CONSTITUTION

It is proposed that a further minor amendment is made to Annex 2 of the Trust Constitution to provide clarity regarding minimum staff members.

In the eighth row, it is proposed to change the ‘Total’ and the figure of ‘330’ to ‘Total Number of Staff Governors’ and the figure to ‘7’. An additional ninth row would then be required to include ‘Minimum Number of Staff Members within the Staff Constituency’ and the figure of ‘1,730’.

The changes have been set out below:

Name	Eligibility	Governors	Minimum Number of members per Class
Medical and Dental	As set out below.	1	50
Nursing and Midwifery	As set out below.	2	100
Health Professionals Council	As set out below.	1	50
Administrative & Clerical, Management and Hospital Chaplains	As set out below.	1	50
Ancillary and Estates	As set out below.	1	50
Volunteers	As set out below.	1	30
Total Number of Staff Governors			7
Minimum Number of Staff Members within the Staff Constituency overall			1,730

7. RECOMMENDATION

The proposed resolution for the amendments is:

“That the Council of Governors amends the Trust Constitution to reflect the proposed changes as outlined within sections 4 and 6 of this report .”

The proposed amendments are shown within tracked changes in the main Constitution document appended to this report.

**Report of Kelly Jupp
Trust Secretary**

**Fay Darville
Deputy Trust Secretary**

21 September 2021

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The Newcastle upon Tyne Hospitals
NHS Foundation Trust

NHS FOUNDATION TRUST

CONSTITUTION

~~287~~ September 2021~~19~~

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**THE NEWCASTLE UPON TYNE
HOSPITALS NHS FOUNDATION TRUST**

(A PUBLIC BENEFIT CORPORATION)

Unless the contrary intention appears or the context otherwise requires, words or expressions contained in this constitution bear the same meaning as in the 2006 Act. References in this constitution to legislation include all amendments, replacements, or re-enactments made.

References to legislation include all regulations, statutory guidance or directions. Headings are for ease of reference only and are not to affect interpretation.

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

1. INTERPRETATION AND DEFINITIONS

1.1 In this constitution:-

“2006 Act”	means the National Health Service Act 2006;
“2012 Act”	means the Health and Social Care Act 2012;
“Accounting Officer”	means the person who from time to time discharges the functions specified in paragraph 25(5) of Schedule 7 to the 2006 Act;
“Annual” Members’ Meeting”	has the meaning set out in paragraph 9;
“Board of Directors”	means the Board of Directors as constituted in accordance with this Constitution and the 2006 Act;
“Chair”	means the person appointed by the Council of Governors under Schedule 7 paragraph 17(1) of the 2006 Act to be the Chair of the Trust;
“Class”	means the division of a Membership Constituency by reference to the description of individuals eligible to be Members of it;
“Council of Governors”	means the Council of Governors as constituted in accordance with this Constitution;
“Deputy Chair”	means the Non-Executive Director appointed by the Council of Governors to exercise the Chair’s functions if the Chair is absent for any reason;
“Director”	means a director on the Board of Directors;
“Financial Year”	means any period of twelve months beginning on 1st April;
“Governor”	Means an individual who has been elected to the position of governor in accordance with the provisions of this Constitution;
“Governor Code of Conduct”	means the code of conduct for Governors as adopted by the Trust from time to time;
“Health Service Body”	has the meaning given in Section 9(4) of the 2006 Act;
“Lead Governor”	means the Governor elected by the Council of Governors as Lead Governor in accordance with paragraph 3 of Annex 5;

“Local Authority Governor”	means a member of the Council of Governors appointed by one or more local authorities whose area includes the whole or part of an area specified in Annex 1Annex 4 as an area for a public constituency;
"Member"	means a Member of the Trust;
“Membership Constituency(ies)”	means (1) the Public Constituency; and/or (2) the Staff Constituency;
“Monitor” or the “regulator”	means the corporate body known as Monitor, as provided by Section 61 of the 2012 Act, which as of 1 April 2017 is part of NHS Improvement;
“NHS Foundation Trust Code of Governance”	means the code of governance for NHS Foundation Trusts published by Monitor;
“Public Constituency”	means the constituency of the Trust constituted in accordance with paragraph 7.1;
“Public Governor”	means a member of the Council of Governors elected by the members of the Public Constituency;
"Secretary"	means the Secretary of the Trust or any other person appointed to perform the duties of the Secretary of the Trust, including a Joint, Assistant or Deputy Secretary under this Constitution;
“Senior Independent Director”	shall have the meaning ascribed in the NHS Foundation Trust Code of Governance;
“Significant Transaction”	has the meaning ascribed in paragraph 42;
“Staff Constituency”	means the constituency of the Trust constituted in accordance with paragraphs 7.2 and 7.3 ;
“Staff Governor”	means a member of the Council of Governors elected by the members of the Staff Constituency;
“Trust”	means The Newcastle upon Tyne Hospitals NHS Foundation Trust;
“University Governor”	means a member of the Council of Governors appointed by a university providing a medical or dental school to a hospital of the Trust or in relation to nursing provision.

2. NAME

2.1 The name of this Trust is “The Newcastle upon Tyne Hospitals NHS Foundation Trust”.

3. PRINCIPAL PURPOSE

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

3.2 The Trust does not fulfil its principal purpose unless, in each Financial Year, its total income from the provision of goods and services for the purposes of the

health service in England is greater than its total income from the provision of goods and services for any other purposes.

- 3.3 The Trust may provide goods and services for any purposes related to:
 - 3.3.1 the provision of services provided to individuals for or in connection with the prevention, diagnosis or treatment of illness; and
 - 3.3.2 the promotion and protection of public health.
- 3.4 The Trust may also carry on activities other than those mentioned in the above paragraph for the purpose of making additional income available in order better to carry on its principal purpose.

4. **POWERS**

- 4.1 The Trust is to have all the powers of an NHS Foundation Trust set out in the 2006 Act.
- 4.2 All the powers of the Trust shall be exercised by the Board of Directors on behalf of the Trust.
- 4.3 Any of these powers may be delegated to a committee of Directors or to an Executive Director.

5. **FRAMEWORK**

- 5.1 The Trust shall have two (2) Membership Constituencies, a Council of Governors and a Board of Directors. The Board of Directors will exercise the powers of the Trust. The Membership Constituencies will elect certain of their Members to the Council of Governors in accordance with this Constitution and other Governors will be appointed by various bodies which are also set out in this Constitution. The Council of Governors will fulfil those functions imposed on it by the 2006 Act and by this Constitution.

6. **MEMBERSHIP AND CONSTITUENCIES**

- 6.1 The Trust is to have two (2) Membership Constituencies:
 - 6.1.1 the Public Constituency constituted in accordance with paragraph 7.1; and
 - 6.1.2 the Staff Constituency constituted in accordance with paragraphs [7.2](#) and [7.3](#);
- 6.2 An individual may become a [Public](#) Member by application to the Trust using the process advertised by the Trust.

7. **APPLICATION FOR MEMBERSHIP**

7.1 **Public Constituency**

- 7.1.1 Members of the Trust who are members of a Public Constituency listed in column 1 of [Annex 1Annex 1](#) are to be individuals:
 - (a) who live in the area specified for the relevant Class in the corresponding entry in column 2 of [Annex 1Annex 1](#);

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- (b) who are not eligible to become a member of the Staff Constituency and are not members of any other Membership Constituency; and
- (c) are not disqualified from membership under paragraph 8.

7.1.2 The minimum number of members in each Class of the Public Constituency is specified in [Annex 1](#).

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7.2 Staff Constituency

7.2.1 An individual who is employed by the Trust under a contract of employment with the Trust may become or continue as a Member provided:

- (a) that they:
 - (i) are employed by the Trust under a contract of employment which has no fixed term or has a fixed term of at least 12 months;
 - (ii) have been continuously employed under a contract of employment with the Trust for at least 12 months; or
 - (iii) work on behalf of a voluntary organisation within the meaning of the 2006 Act or are registered volunteers at the Trust and in either case have continuously exercised functions for the Trust for at least 12 months and whose place of work is at the Trust and who are acknowledged in writing by the Trust as being eligible for Membership in accordance with this paragraph 7.2; and
- (b) that they are not disqualified from Membership pursuant to paragraph 8; ~~and~~
- ~~(c) that they have made an application to the Trust for Membership of the appropriate Class within the Staff Constituency.~~

7.2.2 For the purposes of this paragraph 7, Chapter 1 of Part XIV of the Employment Rights Act 1996 (Continuous Employment) shall apply when determining whether an individual has been continuously employed by the Trust or has continuously exercised functions for the Trust.

7.2.3 The Staff Constituency shall be divided into the following Classes:

- (a) the Medical and Dental Staff Class;
- (b) the Nursing and Midwifery and related Staff Class;
- (c) the Health Professionals Council and related Staff Class;
- (d) the Administrative & Clerical, Management and Hospital Chaplains Staff Class;
- (e) the Ancillary and Estates Staff Class; and

(f) the Volunteers Staff Class.

each description of individuals being specified within [Annex 2Annex 2](#) and being referred to as a Class within the Staff Constituency.

7.2.4 A person who is eligible to be a member of the Staff Constituency in accordance with this Constitution may not become or continue as a member of any other Constituency.

7.2.5 The minimum number of members in each Class of the Staff Constituency is specified in [Annex 2Annex 2](#).

7.3 Automatic membership by default – staff

7.3.1 An individual who is:

7.3.1.1 eligible to become a member of the Staff Constituency, and

7.3.1.2 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 member of the appropriate class within the Staff Constituency without an application being made, unless they inform the Trust that he does not wish to do so.

8. RESTRICTION ON MEMBERSHIP

8.1 An individual who is a member of a Constituency, or of a Class within a Constituency, may not while Membership of that Constituency or Class continues, be a member of any other Constituency or Class.

8.2 An individual who satisfies the criteria for Membership of the Staff Constituency may not become or continue as a member of any Constituency other than the Staff Constituency.

8.3 An individual must be at least 16 years old to become a Member.

8.4 Further provisions as to the circumstances in which an individual may not become or continue as a Member are set out in [Annex 7Annex 7](#).

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.

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 [Annex 3Annex 3](#).

10.3 The members of the Council of Governors, other than the Appointed members, shall be chosen by election by their Constituency or, where there are Classes within a Constituency, by their Class within that Constituency. The number of Governors to be elected by each Constituency, or, where appropriate, by each Class of each Constituency, is specified in [Annex 3Annex 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 NHS Providers, form part of this Constitution. The Model Election Rules current at the date of this Constitution are attached at [Annex Annex 4](#).
- 11.3 A subsequent variation of the Model Election Rules shall not constitute a variation of the terms of this Constitution for the purposes of paragraph 41 of this Constitution (Amendment of the Constitution).
- 11.4 An election, if contested, shall be by secret ballot.

12. COUNCIL OF GOVERNORS – TENURE

- 12.1 Elected Governors
 - 12.1.1 An Elected Governor may hold office for a term of up to 3 years.
 - 12.1.2 An Elected Governor shall cease to hold office if they cease to be a Member of the Constituency or Class by which they were elected.
 - 12.1.3 An Elected Governor shall be eligible for re-election at the end of their term provided that no governor shall hold office for more than a period of 9 years in aggregate.
- 12.2 Appointed Governors
 - 12.2.1 An Appointed Governor may hold office for a term of up to 3 years.
 - 12.2.2 An Appointed Governor shall cease to hold office if the appointing organisation withdraws its sponsorship of them.
 - 12.2.3 An Appointed Governor shall be eligible for re-appointment at the end of their term provided that no Governor shall hold office for more than a period of 9 years in aggregate.

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 in relation to whom a moratorium period under a debt relief order applies (under Part 7A of the Insolvency Act 1986);
 - 13.1.3 a person who has made a composition or arrangement with, or granted a trust deed for, his creditors and has not been discharged in respect of it; or
 - 13.1.4 a person who within the preceding five years has been convicted in the British Islands of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three months (without the option of a fine) was imposed on them.

13.2 Governors must be at least 16 years of age at the date that their term of office commences.

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 [Annex 5Annex 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 as a whole and the interests of the public.

14.2 The Trust must take steps to secure that the 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 23 below) or, in their absence the Senior Independent Director, 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 for special reasons.

15.3 Further provisions as to the exclusion of members of the public are set out in the Council of Governors Standing Orders.

15.4 The provisions of this paragraph shall be without prejudice to the power of the Council of Governors, as exercised by the Chair or other Governors, to exclude, suppress or prevent disorderly conduct or other misconduct at a meeting.

15.5 For the purposes of obtaining information about the Trust's performance of its functions or the Directors' performance of their duties, the Council of Governors may require one or more of the Directors to attend a meeting.

16. **COUNCIL OF GOVERNORS – STANDING ORDERS**

16.1 The Council of Governors, in consultation with the Board of Directors, shall adopt Standing Orders.

16.2 The Standing Orders shall specify the arrangements for excluding Governors from discussion or consideration of any contract, proposed contract or other matter, as appropriate.

17. **COUNCIL OF GOVERNORS – CONFLICTS OF INTEREST OF GOVERNORS**

17.1 If a Governor has a pecuniary, personal or family interest, whether that interest is actual or potential and whether that interest is direct or indirect, in any proposed contract or other matter which is under consideration or is to be considered by the Council of Governors, the Governor shall disclose that interest to the members of the Council of Governors as soon as he becomes aware of it. The Standing Orders for the Council of Governors shall make provision for the disclosure of

interests and arrangements for the exclusion of a Governor declaring any interest from any discussion or consideration of the matter in respect of which an interest has been disclosed.

18. COUNCIL OF GOVERNORS – EXPENSES

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

19. COUNCIL OF GOVERNORS – FURTHER PROVISIONS

19.1 Further provisions with respect to the Council of Governors are set out in [Annex 5](#).

20. BOARD OF DIRECTORS – COMPOSITION

20.1 The Trust is to have a Board of Directors, which shall comprise both Executive and Non-Executive Directors.

20.2 The Board of Directors is to comprise:

20.2.1 a Non-Executive Chair

20.2.2 a minimum of 7 to a maximum of 9 other Non-Executive Directors; and

20.2.3 6 Executive Directors.

20.3 One of the Executive Directors shall be the Chief Executive (who shall also be the Accounting Officer).

20.4 One of the Executive Directors shall be the Finance Director.

20.5 One of the Executive Directors is to be a registered medical practitioner or a registered dentist (within the meaning of the Dentists Act 1984).

20.6 One of the Executive Directors is to be a registered nurse or a registered midwife.

21. BOARD OF DIRECTORS – GENERAL DUTY

21.1 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.

21.2 In exercising their duties, the Board of Directors shall have due regard to the NHS Foundation Trust Code of Governance.

22. BOARD OF DIRECTORS – QUALIFICATION FOR APPOINTMENT AS A NON-EXECUTIVE DIRECTOR

22.1 A person may be appointed as a Non-Executive Director only if:

22.1.1 they are a member of the Public Constituency; or

22.1.2 where any of the Trust's hospitals includes a medical or dental school provided by a university, they exercise functions for the purposes of that university; and

22.1.3 they are not disqualified by virtue of paragraph 27 below or [Annex 6Annex 6](#).

23. BOARD OF DIRECTORS – APPOINTMENT AND REMOVAL OF CHAIR AND OTHER NON-EXECUTIVE DIRECTORS

23.1 The Council of Governors at a general meeting of the Council of Governors shall appoint or remove the Chair of the Trust and the other Non-Executive Directors.

23.2 Removal of the Chair or another Non-Executive Director shall require the approval of three-quarters of the members of the Council of Governors.

23.3 Non-Executive Directors shall be appointed by a duly authorised Nominations Committee.

23.4 The maximum tenure for any Non-Executive Director (including the Chair) shall be 9 years in aggregate.

24. BOARD OF DIRECTORS – APPOINTMENT OF SENIOR INDEPENDENT DIRECTOR

24.1 The Board of Directors shall appoint one of the independent Non-Executive Directors to be the Senior Independent Director in consultation with the Council of Governors, for such a period not exceeding the remainder of their term as a Non-Executive Director, as they may specify on appointing them.

24.2 The Senior Independent Director will be available to Governors if they have concerns that the Chair is unable to resolve.

25. BOARD OF DIRECTORS – APPOINTMENT OF DEPUTY CHAIR

25.1 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.

25.2 Any Director so appointed may at any time resign from the office of Deputy Chair by giving notice in writing to the Chair. The Council of Governors may thereupon appoint another Non-Executive Director as Deputy Chair in accordance with this Constitution.

26. BOARD OF DIRECTORS – APPOINTMENT AND REMOVAL OF THE CHIEF EXECUTIVE AND OTHER EXECUTIVE DIRECTORS

26.1 The Non-Executive Directors shall appoint or remove the Chief Executive.

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

26.3 A committee consisting of the Chair, the Chief Executive and the other Non-Executive Directors shall appoint or remove the other Executive Directors.

27. BOARD OF DIRECTORS – DISQUALIFICATION

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

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

27.1.2 a person in relation to whom a moratorium period under a debt relief order applied (under Part 7A of the Insolvency Act 1986);

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

27.1.4 a person who within the preceding five years has been convicted in the British Islands of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three months (without the option of a fine) was imposed on them.

27.2 Further provisions as to the circumstances in which a person may not become or continue as a member of the Board of Directors are set out in [Annex 6](#)~~Annex 6~~.

28. **BOARD OF DIRECTORS – MEETINGS**

28.1 Meetings of the Board of Directors shall be open to members of the public. Members of the public may be excluded from a meeting for special reasons.

28.2 Before holding a meeting, the Board of Directors must send a copy of the agenda of the meeting to the Council of Governors. As soon as practicable after holding a meeting, the Board of Directors must send a copy of the minutes of the meeting to the Council of Governors.

29. **BOARD OF DIRECTORS – STANDING ORDERS**

29.1 The Board of Directors shall adopt Standing Orders for the practice and procedure of the Board of Directors.

29.2 The Standing Orders shall specify the arrangements for excluding Directors from discussion or consideration of any contract, proposed contract or other matter, as appropriate.

30. **BOARD OF DIRECTORS – CONFLICTS OF INTEREST OF DIRECTORS**

30.1 The duties that a Director of the Trust has by virtue of being a Director include in particular:

30.1.1 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.

30.1.2 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.

30.2 The duty referred to in paragraph 30.1.1 is not infringed if:

30.2.1 the situation cannot reasonably be regarded as likely to give rise to a conflict of interest, or

30.2.2 the matter has been authorised in accordance with this Constitution.

30.3 The duty referred to in paragraph 30.1.2 is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.

30.4 In paragraph 30.1.2, “third party” means a person other than:

30.4.1 the Trust, or

30.4.2 a person acting on its behalf.

- 30.5 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.
- 30.6 If a declaration under this paragraph proves to be, or becomes, inaccurate or incomplete, a further declaration must be made.
- 30.7 Any declaration required by this paragraph must be made before the Trust enters into the transaction or arrangement.
- 30.8 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.
- 30.9 A Director need not declare an interest:
- 30.9.1 if it cannot reasonably be regarded as likely to give rise to a conflict of interest;
 - 30.9.2 if, or to the extent that, the Directors are already aware of it;
 - 30.9.3 if, or to the extent that, it concerns terms of the Director's appointment that have been or are to be considered:
 - (a) by a meeting of the Board of Directors; or
 - (b) by a committee of the Directors appointed for the purpose under this Constitution.

31. BOARD OF DIRECTORS – REMUNERATION AND TERMS OF OFFICE

- 31.1 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.
- 31.2 The Trust shall establish a committee of Non-Executive Directors to decide the remuneration and allowances, and the other terms and conditions of office, of the Chief Executive and other Executive Directors.

32. REGISTERS

- 32.1 The Trust shall have:
- 32.1.1 a Register of Members showing, in respect of each Member, the Constituency to which they belong and, where there are Classes within it, the Class to which they belong;
 - 32.1.2 a Register of Members of the Council of Governors;
 - 32.1.3 a Register of Interests of Governors;
 - 32.1.4 a Register of Directors; and
 - 32.1.5 a Register of Interests of the Directors.

33. REGISTERS – INSPECTION AND COPIES

- 33.1 The Trust shall make the registers specified in paragraph 32 available for inspection by members of the public, except in the circumstances set out below or as otherwise prescribed by regulations.
- 33.2 The Trust shall not make any part of its registers available for inspection by members of the public which shows details of any Member, if they so request.
- 33.3 So far as the registers are required to be made available:
 - 33.3.1 they are to be available for inspection free of charge at all reasonable times; and
 - 33.3.2 a person who requests a copy of or extract from the registers is to be provided with a copy or extract.
- 33.4 If the person requesting a copy or extract is not a Member, the Trust may impose a reasonable charge for doing so.

34. DOCUMENTS AVAILABLE FOR PUBLIC INSPECTION

- 34.1 The Trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:
 - 34.1.1 a copy of the current constitution;
 - 34.1.2 a copy of the latest annual accounts and of any report of the auditor on them; and
 - 34.1.3 a copy of the latest annual report;
- 34.2 The Trust shall also make the following documents relating to a special administration of the Trust available for inspection by members of the public free of charge at all reasonable times:
 - 34.2.1 a copy of any order made under section 65D (appointment of trust special administrator), 65J (power to extend time), 65KC (action following Secretary of State's rejection of final report), 65L (trusts coming out of administration) or 65LA (trusts to be dissolved) of the 2006 Act;
 - 34.2.2 a copy of any report laid under section 65D (appointment of trust special administrator) of the 2006 Act;
 - 34.2.3 a copy of any information published under section 65D (appointment of Trust special administrator) of the 2006 Act;
 - 34.2.4 a copy of any draft report published under section 65F (administrator's draft report) of the 2006 Act;
 - 34.2.5 a copy of any statement provided under section 65F (administrator's draft report) of the 2006 Act;
 - 34.2.6 a copy of any notice published under section 65F (administrator's draft report), 65G (consultation plan), 65H (consultation requirements), 65J (power to extend time), 65KA 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;

- 34.2.7 a copy of any statement published or provided under section 65G (consultation plan) of the 2006 Act;
 - 34.2.8 a copy of any final report published under section 65I (administrator's final report);
 - 34.2.9 a copy of any statement published under section 65J (power to extend time) or 65KC (action following Secretary of State's rejection of final report) of the 2006 Act; and
 - 34.2.10 a copy of any information published under section 65M (replacement of trust special administrator) of the 2006 Act.
- 34.3 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.
- 34.4 If the person requesting a copy or extract is not a Member, the Trust may impose a reasonable charge for doing so.
- 35. AUDITOR**
- 35.1 The Trust shall have an auditor.
 - 35.2 The Council of Governors shall appoint or remove the auditor at a general meeting of the Council of Governors.
 - 35.3 A person may only be appointed as the auditor if they (or, in the case of a firm, each of its members) are a member of one or more of the bodies referred to in paragraph 23(4) of Schedule 7 to the 2006 Act.
 - 35.4 The auditor is to carry out their duties in accordance with Schedule 10 to the 2006 Act.
- 36. AUDIT COMMITTEE**
- 36.1 The Trust shall establish a committee of Non-Executive Directors as an Audit Committee to perform such monitoring, reviewing and other functions as are appropriate.
- 37. ACCOUNTS**
- 37.1 The Trust must keep proper accounts and proper records in relation to the accounts.
 - 37.2 The accounts are to be audited by the Trust's auditor.
 - 37.3 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.
 - 37.4 The functions of the Trust with respect to the preparation of the annual accounts shall be delegated to the Accounting Officer.
 - 37.5 In preparing its annual accounts, the Accounting Officer shall cause the Trust to comply with any directions given by Monitor with the approval of the Secretary of State as to:
 - 37.5.1** the methods and principles according to which the accounts are to be prepared;

37.5.2 the content and form of the accounts,

and shall be responsible for the functions of the Trust as set out in paragraph 25 of Schedule 7 to the 2006 Act.

37.6 The Accounting Officer shall cause the Trust to:

37.6.1 lay a copy of the annual accounts, and any report of the auditor on them, before Parliament; and

37.6.2 once it has done so, send copies of those documents to Monitor within such a period as Monitor may direct.

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

37.7.1 the accounts;

37.7.2 any records relating to them; and

37.7.3 any report of the auditor on them.

38. **ANNUAL REPORTS AND FORWARD PLANS**

38.1 The Trust shall prepare an Annual Report and send it to Monitor.

38.2 The annual reports are to give:

38.2.1 information on any steps taken by the Trust to secure that (taken as a whole) the actual membership of the Public Constituency and of the Classes of the Staff Constituency is representative of those eligible for such Membership; and

38.2.2 any other information which Monitor requires.

38.3 The document containing the information with respect to forward planning (referred to above) shall be prepared by the Directors.

38.4 In preparing the document, the Directors shall have regard to the views of the Council of Governors.

38.5 Each forward plan must include information about:

38.5.1 the activities other than the provision of goods and services for the purpose of the health service in England that the Trust proposes to carry on; and

38.5.2 the income it expects to receive from doing so.

38.6 Where a forward plan contains a proposal that the Trust carry on an activity of a kind mentioned in paragraph 38.5.1 the Council of Governors must:

38.6.1 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 functions; and

38.6.2 notify the Directors of the Trust and its determination.

38.7 A Trust which proposes to increase by 5% or more the proportion of its total income in any Financial Year attributable to activities other than the provision of goods and services for the purpose of the health service in England may implement the proposal only if more than half of the members of the Council of Governors of the Trust voting approve its implementation.

39. PRESENTATION OF THE ANNUAL ACCOUNTS AND REPORTS TO THE GOVERNORS AND MEMBERS

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

39.1.1 the annual accounts;

39.1.2 any report of the auditor on them; and

39.1.3 the annual report.

39.2 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.

39.3 The Trust may combine a meeting of the Council of Governors convened for the purpose of paragraph 39.2 with the Annual Members' Meeting.

40. INSTRUMENTS

40.1 The Trust shall have a seal.

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

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

41. AMENDMENTS OF THE CONSTITUTION

41.1 The Trust may make amendments to this Constitution only if:

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

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

41.2 Amendments made under paragraph 41.1 take effect as soon as the conditions in that paragraph are satisfied, but the amendment has no effect in so far as this Constitution would, as a result of the amendment, not accord with Schedule 7 of the 2006 Act.

41.3 Where an amendment is made to this Constitution in relation 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):

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

- 41.3.2 the Trust must give the members an opportunity to vote on whether they approve the amendment.
- 41.4 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.
- 41.5 Amendments by the Trust to this 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.

42. **MERGERS ETC. AND SIGNIFICANT TRANSACTIONS**

- 42.1 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.
- 42.2 The Trust may enter into a Significant Transaction only if more than half of the members of the Council of Governors voting approve entering into the transaction.
- 42.3 In paragraph, the following words have the following meanings:
 - 42.3.1 "Significant Transaction" means a transaction which meets any one of the tests below:
 - (a) the total asset test; or
 - (b) the total income test; or
 - (c) the capital test (relating to acquisitions or divestments); or
 - (d) the subsidiary test.
 - 42.3.2 The total asset test is met if the assets which are the subject of the transaction exceed 25% of the total assets of the Trust.
 - 42.3.3 The total income test is met if, following the completion of the relevant transaction, the total income of the Trust will increase or decrease by more than 25%.
 - 42.3.4 The capital test 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 total taxpayers' equity).
 - 42.3.5 The subsidiary test is met if the Trust is required to report the formation of, or material change to, a subsidiary of the Trust to NHS Improvement. To avoid doubt, the Trust is not required to engage with the Council of Governors with respect to material changes to its subsidiaries until such time as such changes become reportable to NHS Improvement.

The term "subsidiary" shall have the meaning ascribed by NHS Improvement, which is as follows: *"subsidiary" means a separate, distinct legal entity for the purposes of taxation, regulation and liability*

owned or partly owned by a provider. "Subsidiary" includes companies limited by shares or companies limited by guarantee, limited liability partnerships and community interest companies. For clarity, 'subsidiary' includes joint ventures falling within the definition above.

42.3.6 For the purposes of calculating the tests in this paragraph 42.3 figures used for the Trust assets, total income and taxpayers' equity must be the figures shown in the latest published audited consolidated accounts.

42.4 A transaction:

42.4.1 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 Trust);

42.4.2 excludes any agreement or changes to healthcare services carried out by the Trust following a reconfiguration of services led by the commissioners of such services;

42.4.3 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 Trust.

42.5 The Trust may enter into Material Transactions provided that it has sought the views of the Council of Governors. A "Material Transaction" for the purposes of this paragraph 42.5 shall mean a transaction which meets one of the following tests:

42.5.1 the total asset test; or

42.5.2 the total income test; or

42.5.3 the capital test (relating to acquisitions or divestments).

where the definitions set out in paragraph 42.3 will apply, except that instead of the threshold being 25% it shall be "greater than 10%".

Annex 1

Public Constituency

The Public Constituency shall be divided into the following Classes:

Name	Areas	Governors	Minimum Number of members
Newcastle upon Tyne	All electoral areas within the Newcastle upon Tyne area	9	820
Northumberland and Tyne and Wear excluding Newcastle upon Tyne	All electoral areas within Northumberland and Tyne and Wear area excluding those areas within Newcastle upon Tyne	11	910
North East	All electoral areas within County Durham, Cumbria, Darlington, Tees Valley and Sunderland, and the rest of England	4	270
Total		24	2,000

Annex 2

Staff Constituency

The Staff Constituency shall be divided into the following Classes:

Name	Eligibility	Governors	Minimum Number of members per Class
Medical and Dental	As set out below.	1	50
Nursing and Midwifery	As set out below.	2	100
Health Professionals Council	As set out below.	1	50
Administrative & Clerical, Management and Hospital Chaplains	As set out below.	1	50
Ancillary and Estates	As set out below.	1	50
Volunteers	As set out below.	1	30
<u>Total Number of Staff Governors</u>			<u>7330</u>
<u>7</u>			
<u>Minimum Number of Staff Members within the Staff Constituency overall</u>			<u>1,730</u>

1. The members of the Medical and Dental Staff Class are fully registered medical practitioners within the meaning of the Medical Act 1983 or dentists within the meaning of the Dentists Act 1984 and who are otherwise fully authorised and licensed to practise in England and Wales or who are otherwise designated by the Trust from time to time as eligible to be members of this Staff Class, having regard to the usual definitions applicable at that time for persons carrying on the professions of medical practitioner or dentist, and who are employed by the Trust in that capacity at the date of their application and who at all times remain employed by the Trust in that capacity. Such individuals are not eligible for Membership of any other Staff Class.

2. The members of the Nursing and Midwifery and related Staff Class are individuals who are registered under the Nurses, Midwives and Health Visitors Act 1997 and who are otherwise fully authorised and licensed to practise in England and Wales or are otherwise designated by the Trust from time to time as eligible to be members of this Staff Class, having regard to the usual definitions applicable at that time for persons carrying on the profession of registered nurse or registered midwife, and who are employed by the Trust in that capacity at the date of their application and who at all times remain employed by the Trust in that capacity. Such individuals are not eligible for Membership of any other Staff Class.

3. The members of the Health Professionals Council and related Staff Class are individuals who are members of the Staff Constituency who are not fully registered persons within the meaning of the Medicines Act 1956, but whose regulatory body falls within the remit of the Council for the Regulation of Health Care Professions established by section 25 of the NHS Reform and Health Care Professions Act 2002 and who are not registered with

the Nursing and Midwifery Council, and who are employed by the Trust in that capacity at the date of their application, and who at all times remain employed by the Trust in that capacity. Such individuals are not eligible for Membership of any other Staff Class. Also included within this group are non-professionally registered staff groups.

4. The members of the Administrative & Clerical, Management and Hospital Chaplains Staff Class are individuals who are members of the Staff Constituency who do not come within sections 1, 2 or 3 of this [Annex 2](#) and are designated by the Trust as administrative & clerical, management staff or hospital chaplains, and who at all times remain employed by the Trust in that capacity. Such individuals are not eligible for Membership of any other Staff Class.
5. The members of the Ancillary and Estates Staff Class are individuals who are who are members of the Staff Constituency and are designated by Trust as ancillary and estates staff, and who at all times remain employed by the Trust in that capacity. Such individuals are not eligible for Membership of any other Staff Class.
6. The members of the Volunteers Staff Class are individuals who are who are members of the Staff Constituency who are eligible for Membership pursuant to paragraph 7.2.1(a)(iii) of this Constitution.
7. The minimum number of members required for the Staff Constituency is to be 1,730.

Annex 3

Composition of Council of Governors

Constituency	Number of seats on the Council of Governors
Elected Governors	
Public constituency	24
Newcastle upon Tyne	9
Northumberland and Tyne and Wear excluding Newcastle upon Tyne	11
North East	4
Staff constituency	7
Medical and Dental	1
Nursing and Midwifery	2
Health Professionals Council	1
Administrative & Clerical, Management and Hospital Chaplains	1
Ancillary and Estates	1
Volunteers	1
Appointed Governors	
Newcastle City Council	1
Newcastle University	1
Northumbria University	1
Advising on the Patient Experience (APEX)	1
Community/Charity	1
Total	36

Annex 4

Model Election Rules 2014

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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 Council of Governors 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 64.2(b)
“polling website”	has the meaning set out in rule 26.1;
“postal voting information”	has the meaning set out in rule 24.1;
“telephone short code”	means a short telephone number used for the purposes of submitting a vote by text message;
“telephone voting facility”	has the meaning set out in rule 26.2;

“telephone voting record”	has the meaning set out in rule 26.5 (d);
“text message voting facility”	has the meaning set out in rule 26.3;
“text voting record”	has the meaning set out in rule 26.6 (d);
“the telephone voting system”	means such telephone voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by telephone
“the text message voting system”	means such text messaging voting facility as may be provided by the returning officer for the purpose of enabling voters to cast their votes by text message;
“voter ID number”	means a unique, randomly generated numeric identifier allocated to each voter by the Returning Officer for the purpose of e-voting,
“voting information”	means postal voting information and/or e-voting information

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

PART 2: TIMETABLE FOR ELECTIONS

2. Timetable

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

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

3. Computation of time

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

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

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

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

PART 3: RETURNING OFFICER

4. Returning officer

- 4.1 Subject to rule 69, the returning officer for an election is to be appointed by the corporation.
- 4.2 Where two or more elections are to be held concurrently, the same returning officer may be appointed for all those elections.

5. Staff

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

6. Expenditure

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

7. Duty of co-operation

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

PART 4: STAGES COMMON TO CONTESTED AND UNCONTESTED ELECTIONS

8. Notice of election

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

9. Nomination of candidates

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

9.2 The returning officer:

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

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

10. Candidate's particulars

10.1 The nomination form must state the candidate's:

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

11. Declaration of interests

- 11.1 The nomination form must state any financial interest that the candidate has in the corporation. 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 form 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 form does not contain the candidate's particulars, as required by rule 10;

- (c) that the form does not contain a declaration of the interests of the candidate, as required by rule 11,
 - (d) that the form does not include a declaration of eligibility as required by rule 12, or
 - (e) that the form 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 61 of these rules, and
 - (d) a covering envelope;
- ("postal voting information").

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

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

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

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

for the purposes of the poll.

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

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

25. Ballot paper envelope and covering envelope

- 25.1 The ballot paper envelope must have clear instructions to the voter printed on it, instructing the voter to seal the ballot paper inside the envelope once the ballot paper has been marked.
- 25.2 The covering envelope is to have:
- (a) the address for return of the ballot paper printed on it, and
 - (b) pre-paid postage for return to that address.
- 25.3 There should be clear instructions, either printed on the covering envelope or elsewhere, instructing the voter to seal the following documents inside the covering envelope and return it to the returning officer:
- (a) the completed ID declaration form if required, and
 - (b) the ballot paper envelope, with the ballot paper sealed inside it.

26. E-voting systems

- 26.1 If internet voting is a method of polling for the relevant election then the returning officer must provide a website for the purpose of voting over the internet (in these rules referred to as "the polling website").
- 26.2 If telephone voting is a method of polling for the relevant election then the returning officer must provide an automated telephone system for the purpose of voting by the use of a touch-tone telephone (in these rules referred to as "the telephone voting facility").
- 26.3 If text message voting is a method of polling for the relevant election then the returning officer must provide an automated text messaging system for the purpose of voting by text message (in these rules referred to as "the text message voting facility").
- 26.4 The returning officer shall ensure that the polling website and internet voting system provided will:
- (a) require a voter to:
 - (i) enter his or her voter ID number; and
 - (ii) where the election is for a public or patient constituency, make a declaration of identity;in order to be able to cast his or her vote;
 - (b) specify:
 - (i) the name of the corporation,
 - (ii) the constituency, or class within a constituency, for which the election is being held,
 - (iii) the number of members of the Council of Governors to be elected from that constituency, or class within that constituency,

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

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

in order to be able to cast his or her vote;
 - (b) prevent a voter from voting for more candidates than he or she is entitled to at the election;
 - (c) 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);
 - (iii) the candidate or candidates for whom the voter has voted; and
 - (iv) the date and time of the voter's vote
 - (d) if the voter's vote has been duly cast and recorded, provide the voter with confirmation of this;
 - (e) 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 spoilt text message vote (if that officer was able to obtain it), and

- (c) the details of the replacement voter ID number issued to the voter.

30. Lost voting information

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

31. Issue of replacement voting information

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

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

- 32.1 In respect of an election for a public or patient constituency an ID declaration form must be issued with each replacement ballot paper requiring the voter to make a declaration of identity as outlined in paragraph 21.

Polling by internet, telephone or text

33. Procedure for remote voting by internet

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

34. Voting procedure for remote voting by telephone

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

35. Voting procedure for remote voting by text message

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

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

36. Receipt of voting documents

- 36.1 Where the returning officer receives:
 - (a) a covering envelope, or

- (b) any other envelope containing an ID declaration form if required, a ballot paper envelope, or a ballot paper,

before the close of the poll, that officer is to open it as soon as is practicable; and rules 37 and 38 are to apply.

36.2 The returning officer may open any covering envelope or any ballot paper envelope for the purposes of rules 37 and 38, but must make arrangements to ensure that no person obtains or communicates information as to:

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

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

37. Validity of votes

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

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

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

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

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

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

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

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

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

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

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

- (a) mark the ID declaration form “disqualified”,
- (b) record the name of the voter in the list of disqualified documents, indicating that a declaration of identity was received from the voter without a ballot paper, and
- (c) place the ID declaration form in a separate packet.

39. De-duplication of votes

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

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

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

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

- (a) mark the ballot paper “disqualified”,
- (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:

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

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

40. Sealing of packets

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

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

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

PART 6: COUNTING THE VOTES

41. Interpretation of Part 6

41.1 In Part 6 of these rules:

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

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

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

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

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

“*non-transferable vote*” means a ballot document:

(c) on which no second or subsequent preference is recorded for a continuing candidate,

or

(b) which is excluded by the returning officer under rule 49,

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

(a) “*first preference*” means the figure “1” or any mark or word which clearly indicates a first (or only) preference,

(b) “*next available preference*” means a preference which is the second, or as the case may be, subsequent preference recorded in consecutive order for a continuing candidate (any candidate who is deemed to be elected or is excluded thereby being ignored); and

(c) in this context, a “*second preference*” is shown by the figure “2” or any mark or word which clearly indicates a second preference, and a third preference by the figure “3” or any mark or word which clearly indicates a third preference, and so on,

“*quota*” means the number calculated in accordance with rule 46,

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

“*stage of the count*” means:

(a) the determination of the first preference vote of each candidate,

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

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

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

“*transfer value*” means the value of a transferred vote calculated in accordance with rules 47.4 or 47.7.

42. Arrangements for counting of the votes

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

43. The count

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

44. Rejected ballot papers and rejected text voting records

44.1 Any ballot paper:

- (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
- (b) on which the figure “1” standing alone is not placed so as to indicate a first preference for any candidate,
- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
- (d) which is unmarked or rejected because of uncertainty,

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

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

44.3 Any text voting record:

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

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

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

44.5 The returning officer is to draw up a statement showing the number of ballot papers rejected by him or her under each of the subparagraphs (a) to (d) of rule 44.1 and the number of text voting records rejected by him or her under each of the sub-paragraphs (a) to (c) of rule 44.3.

45. First stage

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

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

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

46. The quota

- 46.1 The returning officer is to divide the number of valid ballot documents by a number exceeding by one the number of members to be elected.
- 46.2 The result, increased by one, of the division under rule 46.1 (any fraction being disregarded) shall be the number of votes sufficient to secure the election of a candidate (in these rules referred to as “the quota”).
- 46.3 At any stage of the count a candidate whose total votes equals or exceeds the quota shall be deemed to be elected, except that any election where there is only one vacancy a candidate shall not be deemed to be elected until the procedure set out in rules 47.1 to 47.3 has been complied with.

47. Transfer of votes

- 47.1 Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballot documents on which first preference votes are given for that candidate into sub- parcels so that they are grouped:
- (a) according to next available preference given on those ballot documents for any continuing candidate, or
 - (b) where no such preference is given, as the sub-parcel of non-transferable votes.
- 47.2 The returning officer is to count the number of ballot documents in each parcel referred to in rule 47.1.
- 47.3 The returning officer is, in accordance with this rule and rule 48, to transfer each sub-parcel of ballot documents referred to in rule 47.1(a) to the candidate for whom the next available preference is given on those ballot documents.
- 47.4 The vote on each ballot document transferred under rule 47.3 shall be at a value (“the transfer value”) which:
- (a) reduces the value of each vote transferred so that the total value of all such votes does not exceed the surplus, and
 - (b) is calculated by dividing the surplus of the candidate from whom the votes are being transferred by the total number of the ballot documents on which those votes are given, the calculation being made to two decimal places (ignoring the remainder if any).
- 47.5 Where at the end of any stage of the count involving the transfer of ballot documents, the number of votes for any candidate exceeds the quota, the returning officer is to sort the ballot documents in the sub-parcel of transferred votes which was last received by that candidate into separate sub-parcels so that they are grouped:
- (a) according to the next available preference given on those ballot documents for any continuing candidate, or
 - (b) where no such preference is given, as the sub-parcel of non-transferable votes.

- 47.6 The returning officer is, in accordance with this rule and rule 48, to transfer each sub-parcel of ballot documents referred to in rule 47.5(a) to the candidate for whom the next available preference is given on those ballot documents.
- 47.7 The vote on each ballot document transferred under rule 47.6 shall be at:
- (a) a transfer value calculated as set out in rule 47.4(b), or
 - (b) at the value at which that vote was received by the candidate from whom it is now being transferred,
- whichever is the less.
- 47.8 Each transfer of a surplus constitutes a stage in the count.
- 47.9 Subject to rule 47.10, the returning officer shall proceed to transfer transferable ballot documents until no candidate who is deemed to be elected has a surplus or all the vacancies have been filled.
- 47.10 Transferable ballot documents shall not be liable to be transferred where any surplus or surpluses which, at a particular stage of the count, have not already been transferred, are:
- (a) less than the difference between the total vote then credited to the continuing candidate with the lowest recorded vote and the vote of the candidate with the next lowest recorded vote, or
 - (b) less than the difference between the total votes of the two or more continuing candidates, credited at that stage of the count with the lowest recorded total numbers of votes and the candidate next above such candidates.
- 47.11 This rule does not apply at an election where there is only one vacancy.

48. Supplementary provisions on transfer

- 48.1 If, at any stage of the count, two or more candidates have surpluses, the transferable ballot documents of the candidate with the highest surplus shall be transferred first, and if:
- (a) The surpluses determined in respect of two or more candidates are equal, the transferable ballot documents of the candidate who had the highest recorded vote at the earliest preceding stage at which they had unequal votes shall be transferred first, and
 - (b) the votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between those candidates by lot, and the transferable ballot documents of the candidate on whom the lot falls shall be transferred first.
- 48.2 The returning officer shall, on each transfer of transferable ballot documents under rule 47:
- (a) record the total value of the votes transferred to each candidate,
 - (b) add that value to the previous total of votes recorded for each candidate and record the new total,

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

48.3 All ballot documents transferred under rule 47 or 49 shall be clearly marked, either individually or as a sub-parcel, so as to indicate the transfer value recorded at that time to each vote on that ballot document or, as the case may be, all the ballot documents in that sub-parcel.

48.4 Where a ballot document is so marked that it is unclear to the returning officer at any stage of the count under rule 47 or 49 for which candidate the next preference is recorded, the returning officer shall treat any vote on that ballot document as a non-transferable vote; and votes on a ballot document shall be so treated where, for example, the names of two or more candidates (whether continuing candidates or not) are so marked that, in the opinion of the returning officer, the same order of preference is indicated or the numerical sequence is broken.

49. Exclusion of candidates

49.1 If:

- (a) all transferable ballot documents which under the provisions of rule 47 (including that rule as applied by rule 49.11) and this rule are required to be transferred, have been transferred, and
- (b) subject to rule 50, one or more vacancies remain to be filled,

the returning officer shall exclude from the election at that stage the candidate with the then lowest vote (or, where rule 49.12 applies, the candidates with the then lowest votes).

49.2 The returning officer shall sort all the ballot documents on which first preference votes are given for the candidate or candidates excluded under rule 49.1 into two sub-parcels so that they are grouped as:

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

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

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

49.5 If, subject to rule 50, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable ballot documents, if any, which had been

transferred to any candidate excluded under rule 49.1 into sub- parcels according to their transfer value.

- 49.6 The returning officer shall transfer those ballot documents in the sub-parcel of transferable ballot documents with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those ballot documents (thereby passing over candidates who are deemed to be elected or are excluded).
- 49.7 The vote on each transferable ballot document transferred under rule 49.6 shall be at the value at which that vote was received by the candidate excluded under rule 49.1.
- 49.8 Any ballot documents on which no next available preferences have been expressed shall be set aside as non-transferable votes.
- 49.9 After the returning officer has completed the transfer of the ballot documents in the sub-parcel of ballot documents with the highest transfer value he or she shall proceed to transfer in the same way the sub-parcel of ballot documents with the next highest value and so on until he has dealt with each sub-parcel of a candidate excluded under rule 49.1.
- 49.10 The returning officer shall after each stage of the count completed under this rule:
- (a) record:
 - (i) the total value of votes, or
 - (ii) the total transfer value of votes transferred to each candidate,
 - (b) add that total to the previous total of votes recorded for each candidate and record the new total,
 - (c) record the value of non-transferable votes and add that value to the previous non-transferable votes total, and
 - (d) compare:
 - (i) the total number of votes then recorded for each candidate together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.
- 49.11 If after a transfer of votes under any provision of this rule, a candidate has a surplus, that surplus shall be dealt with in accordance with rules 47.5 to 47.10 and rule 48.
- 49.12 Where the total of the votes of the two or more lowest candidates, together with any surpluses not transferred, is less than the number of votes credited to the next lowest candidate, the returning officer shall in one operation exclude such two or more candidates.
- 49.13 If when a candidate has to be excluded under this rule, two or more candidates each have the same number of votes and are lowest:
- (a) regard shall be had to the total number of votes credited to those candidates at the earliest stage of the count at which they had an unequal

number of votes and the candidate with the lowest number of votes at that stage shall be excluded, and

- (b) where the number of votes credited to those candidates was equal at all stages, the returning officer shall decide between the candidates by lot and the candidate on whom the lot falls shall be excluded.

50. Filling of last vacancies

- 50.1 Where the number of continuing candidates is equal to the number of vacancies remaining unfilled the continuing candidates shall thereupon be deemed to be elected.
- 50.2 Where only one vacancy remains unfilled and the votes of any one continuing candidate are equal to or greater than the total of votes credited to other continuing candidates together with any surplus not transferred, the candidate shall thereupon be deemed to be elected.
- 50.3 Where the last vacancies can be filled under this rule, no further transfer of votes shall be made.

51. Order of election of candidates

- 51.1 The order in which candidates whose votes equal or exceed the quota are deemed to be elected shall be the order in which their respective surpluses were transferred, or would have been transferred but for rule 47.10.
- 51.2 A candidate credited with a number of votes equal to, and not greater than, the quota shall, for the purposes of this rule, be regarded as having had the smallest surplus at the stage of the count at which he obtained the quota.
- 51.3 Where the surpluses of two or more candidates are equal and are not required to be transferred, regard shall be had to the total number of votes credited to such candidates at the earliest stage of the count at which they had an unequal number of votes and the surplus of the candidate who had the greatest number of votes at that stage shall be deemed to be the largest.
- 51.4 Where the number of votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between them by lot and the candidate on whom the lot falls shall be deemed to have been elected first.

PART 7: FINAL PROCEEDINGS IN CONTESTED AND UNCONTESTED ELECTIONS

52. Declaration of result for contested elections

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

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

52.2 The returning officer is to make:

- (a) the number of first preference votes for each candidate whether elected or not,
- (b) any transfer of votes,
- (c) the total number of votes for each candidate at each stage of the count at which such transfer took place,
- (d) the order in which the successful candidates were elected, and
- (e) the number of rejected ballot papers under each of the headings in rule 44.1,
- (f) the number of rejected text voting records under each of the headings in rule 44.3,

available on request.

53. Declaration of result for uncontested elections

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

- (a) declare the candidate or candidates remaining validly nominated to be elected,
- (b) give notice of the name of each candidate who he or she has declared elected to the Chair 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

54. Sealing up of documents relating to the poll

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

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

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

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

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

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

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

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

55. Delivery of documents

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

56. Forwarding of documents received after close of the poll

56.1 Where:

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

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

57. Retention and public inspection of documents

- 57.1 The corporation is to retain the documents relating to an election that are forwarded to the chair by the returning officer under these rules for one year, and then, unless otherwise directed by the Board of Directors of the corporation, cause them to be destroyed.
- 57.2 With the exception of the documents listed in rule 58.1, the documents relating to an election that are held by the corporation shall be available for inspection by members of the public at all reasonable times.
- 57.3 A person may request a copy or extract from the documents relating to an election that are held by the corporation, and the corporation is to provide it, and may impose a reasonable charge for doing so.

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

- 58.1 The corporation may not allow:
 - (a) the inspection of, or the opening of any sealed packet containing:
 - (i) any rejected ballot papers, including ballot papers rejected in part,
 - (ii) any rejected text voting records, including text voting records rejected in part,
 - (iii) any disqualified documents, or the list of disqualified documents,
 - (iv) any counted ballot papers, internet voting records, telephone voting records or text voting records, or
 - (v) the list of eligible voters, or
 - (b) access to or the inspection of the complete electronic copies of the internet voting records, telephone voting records and text voting records created in accordance with rule 26 and held in a device suitable for the purpose of storage,

by any person without the consent of the Board of Directors of the corporation.
- 58.2 A person may apply to the Board of Directors of the corporation to inspect any of the documents listed in rule 58.1, and the Board of Directors of the corporation may only consent to such inspection if it is satisfied that it is necessary for the purpose of questioning an election pursuant to Part 11.

58.3 The Board of Directors of the corporation's consent may be on any terms or conditions that it thinks necessary, including conditions as to:

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

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

58.4 On an application to inspect any of the documents listed in rule 58.1 the Board of Directors of the corporation must:

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

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

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

PART 9: DEATH OF A CANDIDATE DURING A CONTESTED ELECTION

59. Countermand or abandonment of poll on death of candidate

- 59.1 If, at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to:
- (a) publish a notice stating that the candidate has died, and
 - (b) proceed with the counting of the votes as if that candidate had been excluded from the count so that:
 - (i) ballot documents which only have a first preference recorded for the candidate that has died, and no preferences for any other candidates, are not to be counted, and
 - (ii) ballot documents which have preferences recorded for other candidates are to be counted according to the consecutive order of those preferences, passing over preferences marked for the candidate who has died.
- 59.2 The ballot documents which have preferences recorded for the candidate who has died are to be sealed with the other counted ballot documents pursuant to rule 54.1(a).

PART 10: ELECTION EXPENSES AND PUBLICITY

Election expenses

60. Election expenses

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

61. Expenses and payments by candidates

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

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

62. Election expenses incurred by other persons

62.1 No person may:

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

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

Publicity

63. Publicity about election by the corporation

63.1 The corporation may:

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

as it considers necessary.

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

- (a) objective, balanced and fair,

- (b) equivalent in size and content for all candidates,
- (c) compiled and distributed in consultation with all of the candidates standing for election, and
- (d) must not seek to promote or procure the election of a specific candidate or candidates, at the expense of the electoral prospects of one or more other candidates.

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

64. Information about candidates for inclusion with voting information

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

64.2 The information must consist of:

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

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

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

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

PART 11: QUESTIONING ELECTIONS AND THE CONSEQUENCE OF IRREGULARITIES

66. Application to question an election

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

PART 12: MISCELLANEOUS

67. Secrecy

67.1 The following persons:

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

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

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

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

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

68. Prohibition of disclosure of vote

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

69. Disqualification

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

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

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

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

- (a) the delivery of the documents in rule 24, or

(b) the return of the ballot papers,

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

Annex 5

Additional Provisions – Council of Governors

1. Elected Governors

- 1.1 A Member of the Public Constituency may not vote at an election for a public Governor unless at the time of voting they have made and returned a declaration in the form specified in [Annex Annex 4](#), paragraph 21, that they are qualified to vote as a Member of the relevant Class/are of the Public Constituency.
- 1.2 A Member of the Patient and Carer Constituency may not vote at an election for a patient and carer Governor unless at the time of voting they have made and returned a declaration in the form specified in [Annex Annex 4](#), paragraph 21, that they are qualified to vote as a member of the Patient and Carer Constituency.

2. Appointed Governors

- 2.1 The Trust Secretary, having consulted the Chair and the relevant organisation who is eligible to appoint Governors, are to adopt a process for agreeing with each relevant organisation the appointment of the Governor appointed by it.

For the purposes of this paragraph 2 of this [Annex 5Annex 5](#) “relevant organisation” shall mean any local authority, university or other partnership organisation who is eligible to appoint a Governor to the Council of Governors.

3. Lead Governor

- 3.1 The Council of Governors shall elect one of the elected Governors as the Lead Governor in accordance with the conditions of appointment set out in the Lead Governor role description approved by the Council of Governors.
- 3.2 The Lead Governor shall have the responsibilities, and perform the tasks, set out in the Lead Governor role description.

4. Further provisions as to eligibility to be a Governor

- 4.1 In addition to paragraph 13 of this Constitution, a person may not become or continue as a Governor if:
- 4.1.1 they are not a Member;
 - 4.1.2 in the case of a public Governor, or patient and carer Governor, or staff Governor they cease to be a Member of the Constituency or Class from which they were elected;
 - 4.1.3 in the case of an appointed Governor, if the organisation which appointed them terminates that appointment;
 - 4.1.4 they have been required to notify the police of their name and address as a result of being convicted or cautioned under the Sexual Offences Act 2003 or other applicable legislation or their name appears a Barred List as defined in the Safeguarding Vulnerable Groups Act 2006;
 - 4.1.5 they (or an organisation which they were a director of) have been found guilty of an offence under the Modern Slavery Act 2015;

- 4.1.6 they (or an organisation which they were a director of) have been found guilty of an offence under the Bribery Act 2010 or any other applicable law relating to fraud, financial crime or terrorist financing;
- 4.1.7 they are the spouse, partner, parent, child of, or occupant of the same household as a Director or a member of the Council of Governors;
- 4.1.8 they are a member of a local authority's Overview and Scrutiny Committee covering health matters;
- 4.1.9 they are a Director;
- 4.1.10 they are a Governor, Non-Executive Director (including the chair) or, Executive Director (including the chief executive officer) of another Health Service Body, unless they are appointed by an appointing organisation which is a Health Service Body or the Chair agrees to them becoming, or continuing as, a Governor of the Trust in exceptional circumstances;
- 4.1.11 they have within the preceding two years been dismissed, otherwise than by reason of redundancy or ill health, from any paid employment with a Health Service Body;
- 4.1.12 they are a person whose tenure of office as a Chair or as a member or Director of a Health Service Body has been terminated on the grounds that their appointment is not in the interests of the NHS, for non-attendance at meetings, or for non-disclosure of a pecuniary interest;
- 4.1.13 they have previously been removed as a Governor pursuant to paragraph 5 of this [Annex 5](#)Annex 5;
- 4.1.14 they have previously been removed by as a Governor from another NHS Foundation Trust by resolution of the Council of Governors of that NHS Foundation Trust;
- 4.1.15 they have failed to sign and deliver to the Trust Secretary a statement in the form required by the Trust Secretary confirming acceptance of the Code of Conduct for Governors or any required non-disclosure agreement;
- 4.1.16 they lack capacity within the meaning of the Mental Capacity Act 2005 to carry out all the duties and responsibilities of a Governor;
- 4.1.17 they are the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
- 4.1.18 they have had their name removed from a list maintained under regulations pursuant to sections 91 (Persons performing primary medical services), 106 (Persons performing primary dental services), 123 (Persons performing primary ophthalmic services), or 146 (Persons performing local pharmaceutical services) of the 2006 Act, or the equivalent lists maintained by Local Health Boards in Wales

- under the National Health Service (Wales) Act 2006, and they have not subsequently had their name included in such a list;
- 4.1.19 they are deemed a vexatious or persistent complainant or litigant against the Trust without reasonable cause; or
- 4.1.20 they have failed to repay (without good cause) any amount of monies properly owed to the Trust.
- 4.2 All non-staff candidates for election to the Council of Governors and prospective appointees to the Council of Governors will undergo Disclosure and Barring Service checks. The Chair will after taking appropriate advice determine instances in which criminal records will preclude election or appointment to the Council of Governors.
- 4.3 A person holding office as a Governor shall immediately cease to do so if:
- 4.3.1 they resign by notice in writing to the Trust Secretary;
- 4.3.2 they become disqualified from office under paragraph 13 of this Constitution or under paragraph 4.1 of this [Annex 5](#)Annex 5;
- 4.3.3 they fail to attend two meetings of the Council of Governors in a period of one financial year unless the Lead Governor, Chair and Trust Secretary are satisfied that:
- 4.3.3.1 the absence was due to a reasonable cause; and
- 4.3.3.2 they will be able to start attending meetings of the Trust again within such a period as they consider reasonable.
- 4.3.4 they have refused to undertake any training which the Council of Governors requires all Governors to undertake unless the Lead Governor, Chair and Trust Secretary are satisfied that the refusal was due to a reasonable cause; or
- 4.3.5 they are removed from the Council of Governors by a resolution passed under paragraph 5 below.
- 4.4 For the purposes of 4.3.3.1 and 4.3.4:
- 4.4.1 an absence will ordinarily be considered to be due to a reasonable cause if it is due to:
- 4.4.1.1 a conflict with work or personal commitments in circumstances where the Trust has changed the date of the meeting of the Council of Governors at short notice;
- 4.4.1.2 ill health (provided that the Governor in question, or someone on their behalf, has advised the Trust Secretary of such circumstances as soon as reasonably practicable); or
- 4.4.1.3 a personal or family emergency.
- 4.4.2 For the avoidance of doubt, work commitments will not be considered a reasonable cause unless the Trust has changed the date of the meeting of the Council of Governors at short notice.

4.4.3 Instances of ill health will be reviewed on a case-by-case basis in consultation between the Lead Governor, Trust Secretary, the Chair and the affected Governor with a view of acting in the best interests of the Trust.

4.5 Where a Governor becomes disqualified for appointment under this paragraph 4 or paragraph 13 of this Constitution, they shall notify the Trust Secretary in writing without delay upon becoming aware the grounds for disqualification. Any failure to notify the Trust Secretary of grounds for disqualification pursuant to this paragraph 4.5 shall result in such individual becoming ineligible to become a Governor at any future point.

4.6 If it comes to the notice of the Trust Secretary that at the time of their appointment or later a Governor is disqualified, they shall immediately declare that the person in question is disqualified and notify them in writing to that effect.

5. Removal of Governor from office

5.1 A Governor may be removed from the Council of Governors by a resolution approved at a meeting of the Council of Governors by not less than three-quarters of the Governors present and voting on the grounds that:

5.1.1 they have committed a serious breach of the Governor Code of Conduct; or

5.1.2 they have acted in a manner detrimental to the interests of the Trust or otherwise bring the Trust into disrepute; or

5.1.3 the Council of Governors consider that it is not in the best interests of the Trust for them to continue as a Governor, for example because:

5.1.3.1 the individual's continuation as a Governor would likely prejudice the ability of the Trust to fulfil its principle purpose or discharge its duties and functions;

5.1.3.2 the individual's continuation as a Governor would likely prejudice the Trust's work with other persons or body within whom it is engaged or may be engaged in the provision of goods and services;

5.1.3.3 the individual's continuation as a Governor would be likely to adversely affect public confidence in the goods and services provided by the Trust;

5.1.3.4 it would not be in the best interests of the Council of Governors for the individual to continue as a Governor / the individual has caused or is likely to cause prejudice to the proper conduct of the Council of Governors affairs; or

5.1.3.5 the individual has failed to comply with the values and principles of the NHS, the Trust or this Constitution.

5.2 The Council of Governors will agree a process for investigating complaints against Governors which may lead to a removal of a Governor under this paragraph 5.

6. Vacancies amongst Governors

- 6.1 Where a vacancy arises on the Council of Governors for any reason other than expiry of term of office, the following provisions will apply.

Appointed Governors

- 6.2 Where the vacancy arises amongst the appointed Governors, the Trust Secretary shall request that the appointing organisation appoints a replacement to hold office for the remainder of the term of office or to commence a new term of office.

Elected Governors

- 6.3 Where the vacancy arises amongst the elected Governors, the Council of Governors shall be at liberty either:

6.3.1 to call an election within three months to fill the seat for the remainder of that term of office;

6.3.2 to call an election to fill the seat for a new term of office;

6.3.3 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 subject to election for any unexpired period of the term of office;

6.3.4 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 subject to election for a new term of office; or

6.3.5 if the unexpired period of the term of office is less than twelve months, to leave the seat vacant until the next elections are held.

- 6.4 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 in the appointment or election of the Governors attending the meeting.

7. Maximum Tenure

- 7.1 A Governor may not serve on the Council of Governors for more than 9 years in aggregate during their lifetime. For the avoidance of doubt, this covers all Constituencies such that once a Governor has served for 9 years in any one Constituency or across a mixture of several Constituencies they are no longer eligible to stand for election in any Constituency or be appointed to the Council of Governors.

Annex 6

Additional Provisions – Board of Directors

1. Disqualification of Directors

- 1.1 In addition to paragraph 27 of this Constitution, a person may not become or continue as a Director if:
- 1.1.1 they have been required to notify the police of their name and address as a result of being convicted or cautioned under the Sexual Offences Act 2003 or other applicable legislation or their name appears a Barred List as defined in the Safeguarding Vulnerable Groups Act 2006;
 - 1.1.2 they (or an organisation which they were a director of) have been found guilty of an offence under the Modern Slavery Act 2015;
 - 1.1.3 they (or an organisation which they were a director of) have been found guilty of an offence under the Bribery Act 2010 or any other applicable law relating to fraud, financial crime or terrorist financing;
 - 1.1.4 they are the spouse, partner, parent, child of, or occupant of the same household as a Director or a member of Council of Governors;
 - 1.1.5 they are a member of a local authority's Overview and Scrutiny Committee covering health matters;
 - 1.1.6 they are a Governor of the Trust;
 - 1.1.7 they are a Governor, Non-Executive Director (including the Chair) or, executive Director (including the chief executive officer) of another Health Service Body, unless:
 - 1.1.7.1 in the case of an executive Director other than the Chief Executive, the Chair, following consultation with the Chief Executive;
 - 1.1.7.2 in the case of the Chief Executive, the Chair, following consultation with the Board of Directors;
 - 1.1.7.3 in the case of a Non-Executive Director other than the Chair, the Chair following consultation with the Council of Governors; or
 - 1.1.7.4 in the case of the Chair, the Senior Independent Director, following consultation with the Board of Directors and the Council of Governors,agrees to them becoming, or continuing as, a Director;
 - 1.1.8 they are a person whose tenure of office as a Chair or as a member or Director of a Health Service Body has been terminated on the grounds that their appointment is not in the interests of the NHS, for non-attendance at meetings, or for non-disclosure of a pecuniary interest;

- 1.1.9 in the case of a Non-Executive Director, they have refused, without reasonable cause, to fulfil any training requirement established by the Board of Directors;
 - 1.1.10 they lack capacity within the meaning of the Mental Capacity Act 2005 to carry out all the duties and responsibilities of a Director;
 - 1.1.11 they are the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
 - 1.1.12 they have had their name removed from a list maintained under regulations pursuant to sections 91 (Persons performing primary medical services), 106 (Persons performing primary dental services), 123 (Persons performing primary ophthalmic services), or 146 (Persons performing local pharmaceutical services) of the 2006 Act, or the equivalent lists maintained by Local Health Boards in Wales under the National Health Service (Wales) Act 2006, and they have not subsequently had their name included in such a list;
 - 1.1.13 they are deemed a vexatious or persistent complainant or litigant against the Trust without reasonable cause;
 - 1.1.14 they have failed to repay (without good cause) any amount of monies properly owed to the Trust; or
 - 1.1.15 they fail to satisfy the fit and proper persons requirements for Directors as detailed in Regulation 5 of The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, as may be amended from time to time.
- 1.2 Where a Director becomes disqualified for appointment under paragraph 1 of this Annex or paragraph 27 of this Constitution, they shall notify the Trust Secretary in writing of such disqualification.
 - 1.3 If it comes to the notice of the Trust Secretary that at the time of their appointment or later the Director is so disqualified, they shall immediately declare that the Director in question is disqualified and notify them in writing to that effect.
 - 1.4 Where a Director is disqualified his or her tenure of office shall automatically terminate and they shall cease to hold office with immediate effect.

2. Expenses

- 2.1 The Trust may reimburse executive Directors travelling and other costs and expenses incurred in carrying out their duties at such rates as the Appointments and Remuneration Committee decides. These are to be disclosed in the annual report.

Annex 7

Further Provisions – Members

1. Restriction on membership

1.1 In addition to paragraph 8 of this Constitution, the following restrictions on Membership apply:

1.1.1 The following will not be eligible to become or continue a Member:

1.1.1.1 they have been required to notify the police of their name and address as a result of being convicted or cautioned under the Sexual Offences Act 2003 or other applicable legislation or their name appears a Barred List as defined in the Safeguarding Vulnerable Groups Act 2006;

1.1.1.2 an individual who exhibits inappropriate conduct (as agreed by a majority of the Governors present and voting at a meeting of the Council of Governors), including those who have been identified as the perpetrators of a serious incident involving violence, assault or harassment against Trust staff; and/or

1.1.1.3 a person who is a deemed a vexatious or persistent complainant or litigant against the Trust without reasonable cause (as agreed by a majority of the Governors present and voting at a meeting of the Council of Governors).

2. Termination of Membership

2.1 A Member shall cease to be a Member if:

2.1.1 they resign by notice in writing to the Trust Secretary;

2.1.2 they cease to be eligible to continue to as a Member under paragraph 1.1.1 of this [Annex 7](#) or paragraph 8 of this Constitution;

2.1.3 they are expelled from Membership under paragraph 1.1 of this [Annex 7](#); or

2.1.4 they die.