

## AGENDA

An Extraordinary meeting of the Council of Governors  
to be held on Wednesday, 6 May 2026 at 16:00 to 17:00 hours  
To be held via MS Teams - [Join the meeting](#)

For the purpose of transacting the business set out below:

No.	Agenda item	Format	Purpose	Time
<b>1. CORE BUSINESS ITEMS</b>				
1.1	<b>Welcome and Apologies for absence</b> Alan Downey, Group Chair	Verbal	Information	<b>16:00</b>
1.2	<b>Staff Charter and Values</b> Alan Downey, Group Chair	Attached	Information	
1.3	<b>Declarations of Interest</b> Alan Downey, Group Chair	Verbal	Information	
<b>2. ITEMS FOR APPROVAL</b>				
2.1	<b>Appointment of Group Chief Executive</b> Alan Downey, Group Chair and David Sharif, Group Director of Assurance	Verbal	Approval	<b>16:05</b>
2.2	<b>Appointment of Non-Executive Directors</b> Alan Downey, Group Chair and David Sharif, Group Director of Assurance	CoG(26)050 Attached	Approval	<b>16:20</b>
2.3	<b>Trust Constitution Updates</b> David Sharif, Group Director of Assurance	CoG(26)051 Attached	Approval	<b>16:35</b>
<b>3. OTHER</b>				
3.1	<b>Any Other Urgent Business</b> Alan Downey, Group Chair	Verbal	Information	<b>16:50</b>
<b>4. DATE OF THE NEXT MEETING</b>				
4.1	The next meetings of the Council of Governors will be held:  Council of Governors Business Meeting Thursday 16 July 2026 from 14:00 - 17:00 hours Venue – Scunthorpe (TBC)			

## PROTOCOL FOR CONDUCT OF COUNCIL OF GOVERNOR BUSINESS

- **Members should contact the Chair** as soon as an actual or potential conflict is identified. **Definition of interests** - A set of circumstances by which a reasonable person would consider that an individual's ability to apply judgement or act, in the context of delivering, commissioning, or assuring taxpayer funded health and care services is, or could be, impaired or influenced by another interest they hold. Source: NHSE - Managing Conflicts of Interest in the NHS
- In accordance with Standing Order 2.4.3 (at Annex 6 of the Trust Constitution), any Governor wishing to submit an agenda item must notify the Chair's Office in writing at least **10 clear days prior to the meeting at which it is to be considered**. Requests made less than 10 clear days before a meeting may be included on the agenda at the discretion of the Chair.
- Governors are asked to raise any questions on which they require information or clarification in advance of meetings. This will allow time for the information to be gathered and an appropriate response provided.

  
**Humber Health Partnership**

# Staff charter

<b>COMPASSION</b>	<b>HONESTY</b>	<b>RESPECT</b>	<b>TEAMWORK</b>
<p>Put the safety and care of patients and colleagues at the heart of everything you do</p> <p>Listen to your colleagues and patients, understand, empathise and take action to help</p> <p>Treat everyone with kindness and support those who need assistance or guidance</p> <p>Do the right thing, even if this is more difficult to do</p>	<p>Take responsibility for your actions, decisions and behaviours</p> <p>Report concerns about safety, quality and negative behaviours as quickly as possible</p> <p>Communicate constantly and clearly at all times ; create and respond to a constant loop of honest feedback</p> <p>Be open about mistakes, apologise, learn and improve</p>	<p>Trust and appreciate your colleagues - say thank you and well done</p> <p>Talk to everyone in a respectful and polite manner and listen when others want to speak</p> <p>Understand and appreciate the perspectives, choices and beliefs of others and never discriminate against anyone</p> <p>Respect and use each others' strengths; act respectfully by giving, receiving and acting on constructive feedback</p>	<p>Meet regularly as a whole team , discuss goals, actions and ideas for improvement. Commit to being good team members</p> <p>Include all colleagues in key discussions about the team or service</p> <p>Tackle poor behaviours as they arise</p> <p>Agree high professional standards as a team; give yourselves time to reflect on how to constantly improve</p>



## **Appointment of non-executive directors**

Some of the proposed changes to the NLaG constitution (those affecting sections 23.1 and 23.2 in conjunction with a 'rest of England' constituency) will facilitate a new approach to the appointment of non-executive directors (NEDs). This paper explains the new approach, how it differs from the current arrangement, and the benefits that are expected to result. The new approach will need to be approved by the NLaG Council of Governors and also by the HHP Board and NHS England.

### **Current arrangement**

The HHP Board sits as committees in common, the NEDs having been appointed to the boards of one or other of the constituent trusts, Hull University Teaching Hospitals NHS Trust (HUTH) and Northern Lincolnshire and Goole NHS Foundation Trust (NLaG).

The HUTH constitution requires the appointment of a Chair and up to six NEDs, including one appointed by Hull University.

The NLaG constitution requires the appointment of a Chair plus five NEDs.

This gives a complement of up to 11 NEDs on the Humber Health Partnership (HHP) Board. This is an unusually large number and would, if all the NED posts were filled, lead to unbalanced board meetings, given that there are only five voting executive directors. It is challenging to create a high-performing unitary board if the execs are heavily outnumbered by the NEDs.

A further disadvantage of the current arrangement is that the executives are all group appointments, whereas the NEDs are appointed to one or other of the two trust boards. This does not appear to cause a major problem in practice, but it would be better if all executives and NEDs were appointed on the same basis.

The majority of the NED posts are currently unfilled: there are only four NEDs in post, including the Vice Chair. This is the result of resignations, terms of office coming to an end, and the failure of Hull University to nominate a NED. The vacant posts need to be filled in order to comply with the constitutions of the two trusts.

### **Proposed new approach**

The proposal is that in future all NEDs (with the exception of the Hull University appointed NED) should be appointed to the boards of both trusts. This will reduce the complement to a more manageable number: five NEDs (one of whom will be the Vice Chair), plus the university NED. With the exception of the university NED, these will be 'de facto' group NEDs, having an equal loyalty to both trusts and therefore a primary loyalty to the group as a whole.

This arrangement requires only minor amendments to the constitutions of either trust. It does, however, require the agreement of both NHSE and the NLaG Council of Governors.

It has the additional advantage that it can be unwound easily in the event of a conflict of interest between the boards of the two trusts. This could arise, for example, if

there were a proposal to make major changes to the group structure. In such a case, each NED would be required to stand down from the board of one or other trust.

This proposal has been discussed with the HHP Chief Executive, the NEDs currently in post, and the NLaG Lead governor and Deputy lead governor. All have expressed their support.

The current NEDs have raised concerns about their workload. Their burden will be eased by the appointment of an additional group NED and the university NED. It is, however, timely to review the NEDs' workload with a view to ensuring that they focus on the most important matters and that they are not overburdened. If the conclusion of that review is that greater NED bandwidth is needed than can be provided by five group NEDs plus the university NED, there is the option of appointing one or more associate NEDs.

### **Making the appointment of group NEDs**

If the proposed way forward is agreed by the Council of Governors, the HHP Board and NHS England, it will be necessary to appoint five group NEDs and to ask Hull University to nominate a NED. It is for discussion and decision whether to appoint the existing NEDs as group NEDs, or to ask them to apply for the group NED roles alongside external candidates.

### **Remuneration**

#### *NEDs*

Currently HUTH NEDs are paid £13,000 and NLaG NEDs are paid £13,735.

National guidance on the remuneration of group NEDs is that they should be paid £13,000 with the option of an additional complexity payment of up to £5,000 for sitting on both boards (total up to £18,000).

How much the group NEDs should be paid is a matter for discussion and decision by the NLaG Governors and NHS England.

#### *Vice Chair*

The vice chair is currently paid £32,275.

National guidance is that vice chairs typically receive an additional £10,000 above standard NED pay (total up to £28,000).

It will be necessary to decide whether the current Vice Chair should retain his current salary on a mark time basis and whether any future vice chair appointment should be in line with the national guidance. Again, this is a matter for discussion and agreement by the NLaG Governors and NHS England.

### **Summary of decisions to be made**

- Whether to appoint all NEDs (with the exception of the Hull University NED) to the boards of both trusts, thereby creating de facto group NEDs. This will reduce the complement of NEDs from a maximum of 11 to a maximum of five

(including the Vice Chair).

- Whether the existing NEDs should be appointed as group NEDs without competition, or whether all group NED posts should be advertised.
- The appropriate level of remuneration for NEDs and Vice Chair.

## Chief Executive's Office

# TRUST CONSTITUTION

Reference:	DCM001
Version:	8.0
This version issued:	dd/mm/26
Result of last review:	Major changes
Date approved by owner (if applicable):	N/A
Date approved:	dd/mm/2026 and dd/mm/2026
Approving body:	Trust Board / Council of Governors
Date for review:	April 2029
Owner:	Alan Downey, Group Chair / Lyn Simpson, Group Chief Executive
Document type:	Miscellaneous
Number of pages:	123 (including front sheet)
Author / Contact:	David Sharif, Group Director of Assurance

Northern Lincolnshire and Goole NHS Foundation Trust actively seeks to promote equality of opportunity. The Trust seeks to ensure that no employee, service user, or member of the public is unlawfully discriminated against for any reason, including the "protected characteristics" as defined in the Equality Act 2010. These principles will be expected to be upheld by all who act on behalf of the Trust, with respect to all aspects of Equality.

---

**CONTENTS PAGE**

<b>Section.....</b>	<b>Page</b>
1. Name .....	5
2. Principal Purpose .....	5
3. Powers.....	5
4. Membership and Constituencies.....	5
5. Application for Membership .....	6
6. Public Constituency .....	6
7. Staff Constituency .....	6
8. Restriction on Membership.....	7
9. Annual Members' Meeting.....	7
10. Council of Governors – Composition.....	7
11. Council of Governors – Election of Governors .....	7
12. Council of Governors – Tenure .....	8
13. Council of Governors – Disqualification and Removal .....	8
14. Termination of office and Removal of Governors .....	9
15. Council of Governors – Duties of Governors .....	10
16. Council of Governors – Meetings of Governors.....	10
17. Council of Governors – Standing Orders .....	11
18. Council of Governors – Referral to the Panel for Advising Governors .....	11
19. Council of Governors – Conflicts of Interest of Governors.....	11
20. Council of Governors – Expenses.....	11
21. Trust Board – Composition.....	12
22. Trust Board – General Duty .....	12
23. Trust Board – Qualification for Appointment as a Non-Executive Director (including the Chair).....	12
24. Trust Board – Appointment and Removal of Chair and other Non-Executive Directors.....	13

---

25.	Trust Board – Appointment of Vice Chair .....	14
26.	Trust Board – Appointment and Removal of the Chief Executive and other Executive Directors .....	14
27.	Trust Board – Disqualification .....	14
28.	Trust Board – Meetings .....	14
29.	Trust Board of Directors – Standing Orders.....	15
30.	Trust Board – Liability of Directors .....	15
31.	Trust Board – Conflicts of Interest of Directors .....	15
32.	Trust Board of Directors – Remuneration and Terms of Office.....	16
33.	Committees in Common and Pooled Funds .....	17
34.	Registers .....	17
35.	Registers – Inspection and Copies .....	17
36.	Documents Available for Public Inspection.....	18
37.	Appointing & Removing the NHS Foundation Trust’s External Auditor.....	19
38.	Audit, Risk and Governance Committee .....	19
39.	Accounts .....	20
40.	Annual Report, Forward (Operational) Plans and non-NHS Work.....	20
41.	Presentation of the Annual Accounts and Reports to the Governors and Members.....	21
42.	Resolution of Disputes.....	21
43.	Instruments .....	21
44.	Amendment of the Constitution .....	22
45.	Significant Transactions .....	22
46.	Interpretation and definitions .....	23
	<b>ANNEX 1 – THE PUBLIC CONSTITUENCIES .....</b>	<b>28</b>
	<b>ANNEX 2 – THE STAFF CONSTITUENCY .....</b>	<b>30</b>
	<b>ANNEX 3 – COMPOSITION OF COUNCIL OF GOVERNORS .....</b>	<b>31</b>
	<b>ANNEX 4 – THE MODEL RULES FOR ELECTIONS .....</b>	<b>34</b>
	<b>ANNEX 5 – ADDITIONAL PROVISIONS – COUNCIL OF GOVERNORS.....</b>	<b>74</b>

---

**ANNEX 6 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE COUNCIL OF GOVERNORS ..... 80**

**ANNEX 7 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE TRUST BOARD ..... 98**

**ANNEX 8 – FURTHER PROVISIONS ..... 121**

**1. Name**

- 1.1 The name of the foundation Trust is Northern Lincolnshire and Goole NHS Foundation Trust ("the Trust").

**2. Principal Purpose**

- 2.1. The principal purpose of the Trust is the provision of goods and services for the purposes of the health service in England (the "Principal Purpose").
- 2.2. The Trust does not fulfil its Principal Purpose unless, in each financial year, its total income from the provision of goods and services for the purposes of the health service in England is greater than its total income from the provision of goods and services for any other purposes.
- 2.3. The Trust may provide goods and services for any purposes related to:
- 2.3.1. The provision of services provided to individuals for or in connection with the prevention, diagnosis or treatment of illness; and
- 2.3.2. The promotion and protection of public health.
- 2.4. Subject to the requirements of paragraph 40.2, the Trust may also carry on activities other than those mentioned in paragraph 2.3 for the purpose of making additional income available in order to better carry on its Principal Purpose.

**3. Powers**

- 3.1. The powers of the Trust are set out in the 2006 Act, and within the Health and Care Act 2022, subject to any restrictions in its Licence.
- 3.2. All the powers of the Trust shall be exercised by the Trust Board on behalf of the Trust.
- 3.3. Any of these powers may be delegated to a committee of directors or to an executive director.

**4. Membership and Constituencies**

- 4.1 The Trust shall have members, each of whom shall be a member of one of the following constituencies:
- 4.1.1 a public constituency and
- 4.1.2 a staff constituency.

**5. Application for Membership**

- 5.1. An individual who is eligible to become a member of the Trust may do so on application to the Trust.
- 5.2. Applications for membership shall be dealt with by the Trust in accordance with the provisions of Annex 8.

**6. Public Constituency**

- 6.1. An individual who lives in an area specified in Annex 1 as an area for a public constituency may become or continue as a member of the Trust.
- 6.2. Those individuals who live in an area specified as an area for any public constituency are referred to collectively as the public constituency.
- 6.3. The minimum number of members in each area specified as an area for a public constituency is specified in Annex 1.

**7. Staff Constituency**

- 7.1. An individual who is employed by the Trust under a contract of employment with the Trust may become or continue as a member of the Trust provided that:
  - 7.1.1. he or she is employed by the Trust under a contract of employment which has no fixed term or has a fixed term of at least twelve months; or
  - 7.1.2. he or she has been continuously employed by the Trust under a contract of employment for at least twelve months.
- 7.2. Individuals who exercise functions for the purposes of the Trust, otherwise than under a contract of employment with the Trust, may become or continue as members of the staff constituency provided such individuals have exercised those functions continuously for a period of at least twelve months.
- 7.3. Those individuals who are eligible for membership of the Trust by reason of the previous provisions are referred to collectively as the staff constituency.
- 7.4. The minimum number of members in the staff constituency is specified in Annex 2.
- 7.5. An individual who is:
  - 7.5.1. eligible to become a member of the staff constituency, and

**7.5.2.** invited by the Trust to become a member of the staff constituency, shall become a member of the Trust without an application being made, unless they inform the Trust that they do not wish to do so, in accordance with the process more fully set out in Annex 8.

## **8. Restriction on Membership**

**8.1.** An individual who is a member of a constituency may not while membership of that constituency continues, be a member of any other constituency.

**8.2.** An individual who satisfies the criteria for membership of the staff constituency may not become or continue as a member of any constituency other than the staff constituency.

**8.3.** Further provisions as to the circumstances in which an individual may not become or continue as a member of the Trust are set out in Annex 8.

## **9. Annual Members' Meeting**

**9.1.** The Trust shall hold an annual members' meeting which shall be open to members of the public. Further provisions about the annual members meeting are set out Annex 6.

## **10. Council of Governors – Composition**

**10.1.** The Trust shall 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 3.

**10.3.** The members of the Council of Governors, other than the appointed members, shall be chosen by election by their constituency. The number of governors to be elected by each constituency is specified in Annex 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 Rules for Elections, as may be varied from time to time.

**11.2.** Staff members must liaise with the Trust Secretary and then consult their Line Manager prior to nominating themselves as a Staff Governor. [Note: this is to ensure that staff members have discussed the Governor role commitments with their Line Manager.]

**11.3.** The Model Rules for Elections, as may be varied from time to time, form part of this Constitution and are attached at Annex 4.

- 11.4.** A variation of the Model Rules by the Department of Health and Social Care shall not constitute a variation of the terms of this Constitution. For the avoidance of doubt, the Trust cannot amend the Model Rules.
- 11.5.** An election, if contested, shall be by secret ballot.
- 11.6.** In the event that a vacancy is not filled by election, or a vacancy arises, the Council of Governors, by agreement at a meeting, may co-opt to that vacancy from a reserved list (as paragraph 11.7) until the next Governor elections, but the co-optee must be from the same constituency as the vacancy.
- 11.7.** A reserved list from the most recent Governor elections will be maintained to allow succession planning and for use as co-optees until the next election process.

## **12. Council of Governors – Tenure**

- 12.1.** Subject to the transitional provisions, governors, both elected and nominated, shall hold office for three years and will be eligible for re-election or re-appointment as applicable at the end of that period.
- 12.2.** A Governor may hold office for no more than three consecutive terms of three years, unless approved by the Council of Governors. An elected Governor may not immediately stand for election again on completion of the maximum term of nine years.
- 12.3.** Should a governor's term of office end before the annual governor election process, the term of office may be extended by the Chair or Trust Secretary.
- 12.4.** An elected governor shall cease to hold office if they cease to be a member of the constituency by which they were elected.
- 12.5.** An appointed governor shall cease to hold office if the appointing organisation withdraws its sponsorship and / or terminates the appointment.

## **13. Council of Governors – Disqualification and Removal**

- 13.1.** The following may not become or continue as a member of the Council of Governors:
- 13.1.1.** a person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;
- 13.1.2.** a person who has made a composition or arrangement with, or granted a Trust deed for, creditors and has not been discharged in respect of it;
- 13.1.3.** 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.

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

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

#### **14. Termination of office and Removal of Governors**

**14.1.** A governor shall immediately cease to hold office if:

**14.1.1.** They resign by notice in writing to the Trust Secretary.

**14.1.2.** They fail to attend half of the council meetings in any financial year, unless the other governors are satisfied that:

- the absences were due to a reasonable cause and
- they will start attending council meetings within such a period as the governors consider reasonable.

**14.2.** In the case of an elected governor, they cease to be a member of the constituency by whom they were elected.

**14.3.** In the case of an appointed governor, the appointing organisation withdraws its sponsorship or terminates the appointment.

**14.4.** Without good reason the governor has failed to undertake any training required by the Council of Governors and / or fails to engage with the development review process for governors as agreed by the Council of Governors.

**14.5.** They have failed to sign and deliver to the Chair a statement in the form required by the Council of Governors confirming acceptance of the code of conduct and / or complete the Disclosure and Barring Service process within the specified time period.

**14.6.** They refuse to sign a declaration, in the form specified by the Council of Governors, that they are a member of one of the public constituencies or one of the classes of staff constituency as the case might be and are not prevented from being a member of the Council of Governors.

**14.7.** Any of the exclusion criteria listed in Annex 5 become applicable.

**14.8.** They are removed from the Council of Governors by a resolution, approved by a two-thirds majority of the remaining governors, that:

**14.8.1.** they have committed a serious breach of the code of conduct;

**14.8.2.** they have acted in a manner detrimental to the interests of the Trust,

**14.8.3.** the Council of Governors considers that it is not in the best interests of the Trust for that person to continue as governor.

**14.9.** Where there is any disagreement as to whether the proposal for removal of a governor is justified, an independent assessor agreeable to both parties shall be requested to consider the evidence and conclude whether the proposed removal is reasonable or otherwise.

## **15. Council of Governors – Duties of Governors**

**15.1.** The general duties of the Council of Governors are:

**15.1.1.** to hold the Non-Executive Directors individually and collectively to account for the performance of the Trust Board;

**15.1.2.** to represent the interests of the members of the Trust as a whole and the interests of the public within the Trust constituencies and wider integrated health and care system area; and

**15.1.3.** to assist with collaborative place-based system working.

**15.2.** The Trust must take steps to secure that the governors are equipped with the skills and knowledge they require in their capacity as such.

**15.3.** While the business of the Council of Governors is primarily conducted through or with the support of digital platforms, the Trust commits to provide full support to Governors (and candidates to be Governors) who feel unable to use digital platforms to engage in the business of the Council of Governors.

## **16. Council of Governors – Meetings of Governors**

**16.1.** The Chair or, in the absence of the Chair, the Vice Chair or, in the absence of the Vice Chair, any other Non-Executive Director, shall preside at meetings of the Council of Governors.

**16.2.** Meetings of the Council of Governors shall be open to members of the public except as provided for in Annex 6.

**16.3.** For the purposes of obtaining information about the Trust's performance of its functions or the directors' performance of their duties (and deciding whether to propose a vote on the Trust's or directors' performance), the Council of Governors may require one or more of the directors to attend a meeting.

## **17. Council of Governors – Standing Orders**

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

## **18. Council of Governors – Referral to the Panel for Advising Governors**

**18.1.** The Panel is both independent and national and is appointed by NHSE. Its role is to answer questions raised by the governors of an NHS foundation Trust about whether the Trust has failed or is failing to act in accordance with:

**18.1.1.** its own Constitution; or

**18.1.2.** Chapter 5 of the NHS Act 2006.

**18.2.** A governor may refer a question to the Panel only if more than half of the members of the Council of Governors voting approve the referral. Evidence of the vote will need to be provided to the Panel before it can consider a question from governors. The Panel's remit is to support governors in fulfilling their role in representing the interests of their members and the public. Best interests are served by governors seeking to resolve any questions or issues with their Trust chair and other Non-Executive Directors before posing a question to the Panel. However, the Panel is available as a free resource in the event of continued uncertainty.

## **19. Council of Governors – Conflicts of Interest of Governors**

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

## **20. Council of Governors – Expenses**

**20.1.** The Trust shall pay travelling and other expenses to members of the Council of Governors at rates determined by the Trust.

**21. Trust Board – Composition**

- 21.1.** The Trust Board which shall comprise both Executive and Non-Executive Directors:
- 21.1.1.** a Non-Executive Chair;
  - 21.1.2.** five other Non-Executive Directors; and
  - 21.1.3.** five Executive Directors.
- 21.2.** One of the Executive Directors shall be the Chief Executive.
- 21.3.** The Chief Executive shall be the accounting officer.
- 21.4.** One of the Executive Directors shall be the Chief Financial Officer.
- 21.5.** One of the Executive Directors shall be a registered medical practitioner or a registered dentist (within the meaning of the Dentists Act 1984 (amendment order 2005)).
- 21.6.** One of the Executive Directors shall be a registered nurse or a registered midwife.

**22. Trust Board – General Duty**

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

**23. Trust Board – Qualification for Appointment as a Non-Executive Director (including the Chair)**

- 23.1.** A person may be appointed as a Non-Executive Director only if:
- 23.1.1.** they are a member of a public constituency, or
  - 23.1.2.** they can demonstrate close personal or professional links with one or more of the public constituencies, or
  - 23.1.3.** they serve as a Non-Executive Director with another NHS body with which the Trust has entered into a Memorandum of Understanding, or
  - 23.1.4.** 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
  - 23.1.5.** they are not disqualified by virtue of paragraph 27 below.

**24. Trust Board – Appointment and Removal of Chair and other Non-Executive Directors**

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

**24.2.** The Council of Governors shall appoint a Chair who is independent. This provision shall exclude anyone who:

- is a former Chief Executive of the Trust.
- has been an employee of the NHS foundation Trust within the last five years.
- has, or has had within the last three years, a material business relationship with the NHS foundation Trust either directly, or as a partner, shareholder, director or senior employee of a body that has such a relationship with the NHS foundation Trust.
- has received or receives additional remuneration from the NHS foundation Trust apart from a director's fee, participates in the NHS foundation Trust's performance-related pay scheme, or is a member of the NHS foundation Trust's pension scheme;
- has close family ties with any of the NHS foundation Trust's advisers, directors or senior employees;
- holds cross directorships or has significant links with other directors through involvement in other companies or bodies;
- has served on the board for more than nine years from the date of his or her first appointment;
- is an appointed representative of the NHS foundation Trust's university medical or dental school.

[These criteria shall apply only on appointment, thereafter the test of independence is not appropriate in relation to the Chair.]

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

**24.4.** Subject to a Memorandum of Understanding, a Non-Executive Director from another NHS body, may undertake the role of Non-Executive Director at the Trust.

**25. Trust Board – Appointment of Vice 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 Vice Chair.
- 25.2.** The Vice Chair may undertake the role of Vice Chair or equivalent, in accordance with a Memorandum of Understanding with another NHS body.

**26. Trust Board – 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. This shall be a subject of the first general meeting after the selection process and prior to the appointment being made.
- 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. Trust Board – Disqualification**

- 27.1.** The following shall not become or continue as a member of the Trust Board:
- 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 who has made a composition or arrangement with, or granted a Trust deed for, creditors and has not been discharged in respect of it;
- 27.1.3.** 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;
- 27.1.4.** a person who does not satisfy all of the 'fit and proper person' requirements set out in regulation 5(3) of The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014, or/
- 27.1.5.** a person who falls within the additional grounds for disqualification set out at Annex 8.

**28. Trust Board – Meetings**

- 28.1.** Meetings of the Trust Board 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 Trust Board must send a copy of the agenda of the meeting to the Council of Governors. As soon as practicable after holding a meeting, the Trust Board must send a copy of the minutes of the meeting to the Council of Governors.
- 28.3.** The Chair (or Vice Chair) shall give such directions as they think fit in regard to the arrangements for meetings and accommodation of the public such as to ensure that business shall be conducted without interruption and disruption.
- 28.4.** There may be times and reasons why the Trust Board meetings are held 'virtually online' and not in person. The Chair (or Vice Chair) will decide these times in consultation with the Chief Executive.

## **29. Trust Board of Directors – Standing Orders**

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

## **30. Trust Board – Liability of Directors**

- 30.1.** The Trust shall indemnify Non-Executive Directors in respect of any personal civil liability they incur as a result of carrying out their duties, provided that they have acted honestly, in good faith and without recklessness.
- 30.2.** The Trust shall indemnify executive directors in respect of any personal civil liability they incur as a result of carrying out their duties, provided that they have acted honestly, in good faith, without recklessness and within the remit of their contractual duties as set out by the Trust.

## **31. Trust Board – Conflicts of Interest of Directors**

- 31.1.** The duties that a director of the Trust has by virtue of being a director include in particular:
- 31.1.1.** a duty to avoid a situation in which the director has (or can have) a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the Trust; and
- 31.1.2.** a duty not to accept a benefit from a third party by reason of being a director or doing (or not doing) anything in that capacity.
- 31.2.** The duty referred to in sub-paragraph 31.1.1 is not infringed if:
- 31.2.1.** the situation cannot reasonably be regarded as likely to give rise to a conflict of interest; or
- 31.2.2.** the matter has been authorised in accordance with the Constitution.

**31.3.** The duty referred to in sub-paragraph 33.1.2 is not infringed if acceptance of the benefit cannot reasonably be regarded as likely to give rise to a conflict of interest.

**31.4.** In sub-paragraph 33.1.2, “third party” means a person other than:

**31.4.1.** the Trust; or

**31.4.2.** a person acting on its behalf.

**31.5.** If a director of the Trust has in any way a direct or indirect interest in a proposed transaction or arrangement with the Trust, the director must declare the nature and extent of that interest to the other directors.

**31.6.** If a declaration under this paragraph proves to be, or becomes, inaccurate, incomplete, a further declaration must be made.

**31.7.** Any declaration required by this paragraph must be made before the Trust enters into the transaction or arrangement.

**31.8.** 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.

**31.9.** A director need not declare an interest:

**31.9.1.** if it cannot reasonably be regarded as likely to give rise to a conflict of interest;

**31.9.2.** if, or to the extent that, the Trust Board are already aware of it;

**31.9.3.** if, or to the extent that, it concerns terms of the director’s appointment that have been or are to be considered:

- by a meeting of the Trust Board; or
- by a committee of the directors appointed for the purpose under the Constitution.

## **32. Trust Board of Directors – Remuneration and Terms of Office**

**32.1.** The Council of Governors at a general meeting of the Council of Governors, following a recommendation by the Appointments & Remuneration Committee for Non-Executive Directors (including Chair, Vice Chair and Senior Independent Director), shall decide the remuneration and allowances, and the other terms and conditions of office, of the Group Chair and the other Non-Executive Directors.

**32.2.** The Trust shall establish a committee of Non-Executive Directors (the 'Remuneration and Terms of Service Committee') to decide the remuneration and allowances, and the other terms and conditions of office, of the Chief Executive and other Executive Directors.

### **33. Committees in Common and Pooled Funds**

**33.1.** The Trust may form Committees in Common, with two or more providers, to make joint arrangements and pool funds. [Note: Providers means: Trusts, Foundation Trusts, NHSE, Integrated Care Boards and Local Authorities].

### **34. Registers**

**34.1.** The Trust shall have:

**34.1.1.** a register of members showing, in respect of each member, the constituency to which they belong;

**34.1.2.** a register of members of the Council of Governors;

**34.1.3.** a register of interests of governors;

**34.1.4.** a register of directors; and

**34.1.5.** a register of interests of the directors.

**34.2.** The process of admission to and removal from the register shall be as set out in Annex 8.

### **35. Registers – Inspection and Copies**

**35.1.** The Trust shall make the registers specified in paragraph 35 above available for inspection by members of the public, except in the circumstances set out below or as otherwise prescribed by regulations.

**35.2.** The Trust shall not make any part of its registers available for inspection by members of the public which shows details of any member of the Trust, if the member so requests.

**35.3.** So far as the registers are required to be made available:

**35.3.1.** they are to be available for inspection free of charge at all reasonable times; and

**35.3.2.** a person who requests a copy of or extract from the registers is to be provided with a copy or extract.

**35.4.** If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

## **36. Documents Available for Public Inspection**

**36.1.** The Trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:

**36.1.1.** a copy of the current Constitution;

**36.1.2.** a copy of the latest annual accounts and of any report of the auditor on them; and

**36.1.3.** a copy of the latest annual report and quality account;

**36.1.4.** a copy of the latest Care Quality Commission report and ratings. The Care Quality Commission report will also be available / published on the Care Quality Commission website.

**36.2.** 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:

**36.2.1.** 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;

**36.2.2.** a copy of any report laid under section 65D (appointment of Trust special administrator) of the 2006 Act;

**36.2.3.** a copy of any information published under section 65D (appointment of Trust special administrator) of the 2006 Act;

**36.2.4.** a copy of any draft report published under section 65F (administrator's draft report) of the 2006 Act;

**36.2.5.** a copy of any statement provided under section 65F (administrator's draft report) of the 2006 Act;

**36.2.6.** 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 (NHSE's decision), 65KB (Secretary of State's response to NHSE's decision), 65KC (action following Secretary of State's rejection of final report) or 65KD (Secretary of State's response to re-submitted final report) of the 2006 Act;

**36.2.7.** a copy of any statement published or provided under section 65G (consultation plan) of the 2006 Act;

- 36.2.8.** a copy of any final report published under section 65I (administrator's final report);
- 36.2.9.** 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
- 36.2.10.** a copy of any information published under section 65M (replacement of Trust special administrator) of the 2006 Act.
- 36.3.** Any person who requests a copy of or extract from any of the above documents is to be provided with a copy.
- 36.4.** If the person requesting a copy or extract is not a member of the Trust, the Trust may impose a reasonable charge for doing so.

### **37. Appointing & Removing the NHS Foundation Trust's External Auditor**

- 37.1.** The Trust shall have an external auditor.
- 37.2.** The Council of Governors shall appoint or remove the external auditor at a general meeting of the Council of Governors.
- 37.3.** When appointing or removing the external auditor, governors must consider the criteria set out in the 'National Audit Office – Code of Audit Practice. In all matters regarding the appointment, re-appointment, removal, remuneration and terms of engagement of the external auditor, and in discharging its responsibilities in this regard as referred to above, the Council of Governors will be advised by the audit committee.
- 37.4.** Should the Council of Governors not accept the recommendation of the audit committee then the Trust Board shall ensure that the annual report both includes a statement from the audit committee explaining the recommendation and also sets out the reasons why the Council of Governors has taken a different position.
- 37.5.** Should the Council of Governors remove the auditor contrary to the advice of the audit committee then the Chair will advise NHSE in writing of the reasons behind the decision.

### **38. Audit, Risk and Governance Committee**

- 38.1.** The Trust shall establish a committee of Non-Executive Directors as an audit, risk and governance committee to perform such monitoring, reviewing and other functions as are appropriate.
- 38.2.** The Council of Governors may appoint up to one governor (and one governor deputy to cover in their absence) as **observers**.

**39. Accounts**

- 39.1. The Trust shall keep proper accounts and proper records in relation to the accounts.
- 39.2. NHSE may with the approval of the Secretary of State give directions to the Trust as to the content and form of its accounts.
- 39.3. The accounts shall be audited by the Trust's auditor.
- 39.4. The Trust shall prepare in respect of each financial year annual accounts in such form as NHSE may, with the approval of the Secretary of State, direct.
- 39.5. The functions of the Trust with respect to the preparation of the annual accounts shall as set out in paragraph 25 of schedule 7 of the 2006 Act, shall be delegated to the Accounting Officer.

**40. Annual Report, Forward (Operational) Plans and non-NHS Work**

- 40.1. The Trust shall prepare an annual report and send it to NHSE.
- 40.2. The Trust shall give information as to its forward (operational) planning in respect of each financial year to NHSE.
- 40.3. The document containing the information with respect to forward (operational) planning (referred to in paragraph 40.2 above) shall be prepared by the directors.
- 40.4. In preparing the said document with respect to forward (operational) planning, the directors shall have regard to the views of the Council of Governors.
- 40.5. Each forward (operational) plan must include information about:
  - 40.5.1. the activities other than the provision of goods and services for the purposes of the health service in England that the Trust proposes to carry on; and
  - 40.5.2. the income it expects to receive from doing so.
- 40.6. Where a forward (operational) plan contains a proposal that the Trust carry on an activity of a kind mentioned in sub-paragraph 40.5.1 the Council of Governors must:
  - 40.6.1. determine whether it is satisfied that the carrying on of the activity will not to any significant extent interfere with the fulfilment by the Trust of its Principal Purpose or the performance of its other functions; and
  - 40.6.2. notify the directors of the Trust of its determination.

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

#### **41. Presentation of the Annual Accounts and Reports to the Governors and Members**

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

**41.1.1.** the annual accounts;

**41.1.2.** any report of the auditor on them; and

**41.1.3.** the annual report.

**41.2.** The documents shall also be presented to the members of the Trust at the annual members' meeting by at least one member of the Trust Board of Directors in attendance.

**41.3.** The Trust may combine a meeting of the Council of Governors convened for the purposes of sub-paragraph 41.1 with the annual members' meeting.

#### **42. Resolution of Disputes**

**42.1.** Should a disagreement arise between the Trust Board of Directors and the Council of Governors, such as would impair the decision making process or the successful operation of the Trust, then the Chair shall convene a joint meeting of the two bodies to consider the issue in dispute.

**42.2.** Should this meeting not resolve the issue then the Chair shall have the authority to make a decision on behalf of the Trust. This decision, and the reasons supporting it, will be communicated in writing to all members of both the Trust Board of Directors and the Council of Governors.

#### **43. Instruments**

**43.1.** The Trust shall have a seal.

**43.2.** The seal shall not be affixed except under the authority of the Trust Board of Directors and as delegated to the Trust Secretary.

**44. Amendment of the Constitution**

**44.1.** The Trust may make amendments of its Constitution only if:

**44.1.1.** More than half of the members of the Council of Governors of the Trust voting approve the amendments; and

**44.1.2.** More than half of the members of the Trust Board of Directors of the Trust voting approve the amendments.

**44.2.** Amendments made under paragraph 44.1 take effect as soon as the conditions in that paragraph are satisfied, but the amendment has no effect in so far as the Constitution would, as a result of the amendment, not accord with schedule 7 of the 2006 Act.

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

**44.3.1.** At least one member of the Council of Governors must attend the next annual members' meeting and present the amendment; and

**44.3.2.** The Trust must give the members an opportunity to vote on whether they approve the amendment.

**44.4.** If more than half of the members voting approve the amendment, the amendment will continue to have effect; otherwise, it will cease to have effect and the Trust must take such steps as are necessary as a result.

**44.5.** Amendments by the Trust of its Constitution are to be notified to NHSE. For the avoidance of doubt, NHSE's function 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.

**45. Significant Transactions**

**45.1.** 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 – not just half the number that attends the meeting at which the decision is taken.

**45.2.** The Trust may enter into a Significant Transaction only if more than half of the members of the Council of Governors of the Trust voting approve of the Trust entering into the transaction.

**45.3.** “Significant Transaction” means:

**45.3.1.** the acquisition of, or an agreement to acquire, whether contingent or not, assets the value of which is more than 25% of the value of the Trust's gross assets before the acquisition; or

**45.3.2.** the disposition of, or an agreement to dispose of, whether contingent or not, assets of the Trust the value of which is more than 25% of the value of the Trust's gross assets before the disposition; or

**45.3.3.** a transaction that has or is likely to have the effect of the Trust acquiring rights or interests or incurring obligations or liabilities, including contingent liabilities, the value of which is more than 25% of the value of the Trust's gross assets before the transaction.

**45.4.** For the purpose of this paragraph:

**45.4.1.** "gross assets" means the total of fixed assets and current assets;

**45.4.2.** in assessing the value of any contingent liability for the purposes of subparagraph 45.3.3, the directors:

- must have regard to all circumstances that the directors know, or ought to know, affect, or may affect, the value of the contingent liability; and
- may rely on estimates of the contingent liability that are reasonable in the circumstances; and
- may take account of the likelihood of the contingency occurring.

**45.5.** Where the Trust is considering organisational transactions (mergers and acquisitions, transfer and dissolutions) or non-organisational transactions (significant capital investments, joint ventures and private finance initiatives), early engagement with NHSE is required. This process aims to reduce costs and allow Trusts to identify issues prior to committing significant resources to a particular transaction. Further guidance on the process for Trusts to follow when considering such transactions is outlined in the NHSE, Assuring and supporting complex change, Statutory transactions, including mergers and acquisitions, October 2022.

**45.6.** Where the Trust is undertaking significant transactions / proposals, a report should be presented to the Council of Governors.

## **46. Interpretation and definitions**

**46.1.** Unless a contrary intention is evident or the context requires otherwise, words or expressions contained in this Constitution shall bear the same meaning as in the 2006 Act.

- 
- 46.2.** Words importing the masculine gender only shall include the feminine gender; words importing the singular shall import the plural and vice-versa.
- 46.3.** References in this Constitution to legislation include all amendments, replacements or re-enactments made in references to paragraph numbers or references to paragraphs of this Constitution unless the context provides otherwise.
- 46.4.** References to legislation include all regulations and statutory guidance.
- 46.5.** Headings are for ease of reference only and are not to affect interpretation.
- 46.6.** If there is a conflict between the provisions of this Constitution and the provisions of any document referred to herein then the provisions of this Constitution shall prevail unless the law requires otherwise.
- 46.7.** References to this paragraph are to paragraphs in this Constitution.
- 46.8.** All Annexes referred to in this Constitution form part of it.

**46.9.** In this Constitution:

<b>“accounting officer”</b>	is the person who from time to time discharges the functions specified in paragraph 25(5) in Schedule 7 to the 2006 Act
<b>“annual members’ meeting”</b>	means the annual meeting of all the members
<b>“appointed governors”</b>	means the local authority governors and the partnership organisation governors
<b>“authorisation”</b>	means the authorisation for the Trust to become an NHS foundation Trust given by Monitor at that time*  [*Monitor became part of NHS Improvement as of 1 April 2016]  [*NHS Improvement became part of NHS England as of 1 July 2022]
<b>“Trust Board of Directors”</b>	means the Trust Board of Directors of the Trust as constituted in accordance with this Constitution and referred to in paragraph 21
<b>“Group Chair”</b>	means the Group Chair of the Trust and Group as appointed in accordance with the Constitution
<b>“Chief Executive”</b>	means the Chief Executive (and Accounting Officer) of the Trust appointed in accordance with paragraph 27

<b>“constituencies”</b>	means the public constituencies and the staff constituency of the Trust
<b>“Constitution”</b>	means this constitution of the Trust
<b>“Council of Governors”</b>	means the Council of Governors of the Trust as constituted in accordance with this Constitution
<b>“deputy lead governor”</b>	means the deputy of the lead governor
<b>“director”</b>	means a director on the Trust Board of Directors
<b>“elected governors”</b>	means the public and staff governors respectively
<b>“election rules”</b>	means the election rules set out in Annex 4 and which are to be used in connection with the election of the elected governors
<b>“executive director”</b>	means an executive director of the Trust
<b>“financial year”</b>	means:- <ul style="list-style-type: none"><li>(a) the period beginning with the date on which the Trust is authorised and ending with the next 31st March; and</li><li>(b) each successive period of twelve months beginning with 1<sup>st</sup> April</li></ul>
<b>“governor”</b>	means a governor on the Council of Governors and being either an elected governor or an appointed governor
<b>“group”</b>	refers to the partnership established with Hull University Teaching Hospitals NHS Trust under a Memorandum of Understanding
<b>“integrated care board”</b>	means a statutory NHS organisation with responsibility for developing a plan for meeting the health needs of the population, managing the NHS budget and arranging for the provision of health services in a geographical area
<b>“integrated care system”</b>	means the partnership between NHS organisations, local councils and others, who take collective responsibility for managing resources, delivering NHS standards, and improving the health of the population they serve

<b>“lead governor”</b>	means the main governor contact in a few specific circumstances in which NHSE may need to contact the council of governors or the other way round (further details on this role are provided within the Standing Orders of the Council of Governors at Annex 6, 1.9)
<b>“Licence”</b>	means the Trust's licence granted by NHSE at the time under the 2012 Act
<b>“member”</b>	means a member of the Trust as determined in accordance with this Constitution
<b>“members’ meetings”</b>	means a meeting of the members
<b>“membership”</b>	means membership of the Trust through being a member of one of the constituencies
<b>“model election rules”</b>	means the model form rules for the conduct of elections published from time to time by the Department of Health and Social Care and as currently set out in Annex 4
<b>“NHSE”</b>	means the regulator for the purposes of the 2006 Act
<b>“Non-Executive Directors”</b>	means a Non-Executive Director of the Trust
<b>“partnership organisation governor”</b>	means a member of the Council of Governors appointed by a partnership organisation referred to in Annex 3
<b>“partnership organisations”</b>	means organisations designated as partnership organisations for the purposes of this Constitution and referred to in Annex 3
<b>“public constituencies”</b>	means that part of the Trust’s membership consisting of members from the area of the public constituency as described in Annex 1
<b>“public governor”</b>	means a member of the Council of Governors elected by the members of a public constituency
<b>“qualifying local authorities”</b>	means those Councils referred to in Annex 3 all of which are Councils for an area which includes the whole or part of the area of the Trust
<b>“qualifying local authority governors”</b>	means a member of the Council of Governors appointed by qualifying local authorities and referred to in Annex 3

<b>“Trust Secretary”</b>	means the Trust Secretary [this role is undertaken within NLAG by the Group Director of Assurance] of the Trust or any other person appointed to perform the duties of a ‘company secretary’
<b>“senior independent director”</b>	means the Non-Executive Director appointed as an alternative point of contact for governors and directors when they have concerns that have not been resolved through the normal channels of Chair, Chief Executive, Chief Financial Officer or Trust Secretary or for which such contact is inappropriate
<b>“staff constituency”</b>	means that part of the Trust’s membership consisting of staff of the Trust and other persons as described in paragraph 7
<b>“staff governor”</b>	means a member of the Council of Governors elected by the staff constituency
<b>“the 2006 Act”</b>	means the National Health Service Act 2006
<b>“the 2022 Act”</b>	means the Health and Care Act 2022
<b>“the Trust”</b>	means the Northern Lincolnshire and Goole NHS Foundation Trust
<b>“transitional provisions”</b>	means those provisions relating to the terms of office of the initial governors as set out in Annex 3
<b>“Vice Chair”</b>	means the Vice Chair of the Trust

**ANNEX 1 – THE PUBLIC CONSTITUENCIES**

<b>Name of the Public Constituency</b>	<b>Area of the public constituency by Electoral Wards</b>	<b>Minimum number of members</b>	<b>Number of Governors to be elected</b>
<b>North Lincolnshire</b>	The Wards of: Ashby Central; Ashby Lakeside; Axholme Central; Axholme North; Axholme South; Barton; Bottesford; Brigg & Wolds; Broughton & Scawby; Brumby; Burringham & Gunness; Burton upon Stather & Winterton; Crosby & Park; Ferry; Frodingham; Kingsway with Lincoln Gardens; Messingham; Ridge; Town.	500	5
<b>North East Lincolnshire</b>	The Wards of: Croft Baker; East Marsh; Freshney; Haverstoe; Heneage; Humberston & New Waltham; Immingham; Park; Scartho; Sidney Sussex; South; Waltham; West Marsh; Wolds; Yarborough.	500	5
<b>Goole &amp; Howdenshire</b>	The Wards of Goole North; Goole South; Howden; Howdenshire; Snaith, Airmyn & Rawcliffe and Marshlands.	200	3

<b>East &amp; West Lindsey</b>	<p>The Wards of:</p> <p>BinBrook; Fulstow; Grimoldby; Holme; Holton Le Clay and North Thoresby; Legbourne; Louth North Holme; Louth Priory and St James; Louth St Margaret's; Louth St Mary's, Louth St Michael's; Louth Trinity; Mablethorpe; Marshchapel and Somercotes;;; Sutton on Sea; Tetney; Withern and Theddlethorpe.</p> <p>Caistor and Yarborough; Gainsborough East; Gainsborough North; Gainsborough South West; Hemswell; Kelsey Wold; Scotter and Blyton;Waddingham and Spital; Wold View.</p>	200	3
<b>Rest of England</b>	<p>The rest of England excluding the areas above</p>	10	0

## **ANNEX 2 – THE STAFF CONSTITUENCY**

There are no classes within the staff constituency. The minimum number of members in the staff constituency is 150.

## **ANNEX 3 – COMPOSITION OF COUNCIL OF GOVERNORS**

### **1. Introduction**

**1.1** The Council of Governors shall comprise governors who are:

**1.1.1** elected by the respective constituencies in accordance with the provisions of this constitution; and

**1.1.2** appointed in accordance with paragraph 2 below.

**1.2** The Council of Governors shall at all times be constituted so that more than half the Council of Governors shall consist of governors who are elected by members of the Trust other than those who are members of the staff constituency.

### **2. Bodies entitled to appoint a member of the Council of Governors**

**2.1** The following bodies in this paragraph 2 shall be entitled to appoint a governor or governors (as the case may be) to the Council of Governors as provided for in this paragraph 2.

#### **2.2 Qualifying Local Authorities**

There are four qualifying local authorities covering the areas specified within the Trust's Constitution as a public constituency, as follows:

- East Riding of Yorkshire
- Lincolnshire
- North East Lincolnshire
- North Lincolnshire

**2.3** There will be four local authority seats on the Council of Governors for the four qualifying local authorities.

**2.4** A governor appointed under paragraph 2.3 above shall then serve on the Council of Governors for the period stipulated in the Constitution.

#### **2.5 Partnership Organisations**

##### **2.5.1 Place Health and Care Partnerships (North Lincolnshire and North East Lincolnshire)**

**2.5.1.1** Place Health and Care Partnerships for North Lincolnshire and North East Lincolnshire shall be entitled to appoint one governor each in accordance with a process of appointment agreed by them with the Trust. The absence of any such agreed process of appointment shall not preclude the said Place Partnerships from appointing their governors provided the appointment is duly made in accordance with the Place Partnerships' own internal processes.

- 2.5.1.2** If a Place Partnership named in paragraph 2.5.1.1 above declines or fails to appoint a governor within three months of being requested to do so by the Trust, the Trust shall in its absolute discretion be entitled to invite any of those other Place Partnerships to whom it provides goods and services to appoint a governor in substitution for the Place Partnerships detailed which has failed or declined to do so.
- 2.5.1.3** If the invitation referred to in paragraph 2.5.1.1 above is accepted by a member or officer of either Place Partnership, they shall be appointed as governor. Any Place Partnership appointment that has previously failed, shall cease to be entitled to do so. The Trust shall give notice of that invitation to NHS England.
- 2.5.1.4** Subject to paragraph 2.5.1.5 below, if the invitation is not accepted within a reasonable period or such period as may have been specified in the invitation, the Trust shall invite any other such Place Partnership to appoint a governor until the invitation, is accepted and a governor is appointed.
- 2.5.1.5** Any governor appointed under paragraphs 2.5.1.3 and 2.5.1.4 above shall serve on the Council of Governors for the period stipulated in the constitution. At the end of that period the Trust shall in its absolute discretion decide whether to permit that which had first failed or declined to appoint a governor to do so for the next period of office or to invite the Place Partnership which had appointed a governor in substitution to do so.
- 2.5.2** Notwithstanding the foregoing provisions of this paragraph, the Trust shall in its absolute discretion be entitled to:
- 2.5.2.1** give not less than six months' notice to the Place Partnership referred to in paragraphs 2.5.1.1 above (or any substituted Place Partnership appointed under paragraphs 2.5.1.2 and 2.5.1.4 above) terminating their right to appoint a governor and upon the expiration of that notice period or such other date as the Trust and the relevant Place Partnership may agree that Place Partnership right to appoint a governor shall be terminated and the period of office of the governor appointed by that Place Partnership shall also come to an end on that date; and
- 2.5.2.2** appoint another Place Partnership for which the Trust provides goods and services to replace that Place Partnership to which notice has been given under paragraph 2.5.3 above save that these provisions shall at all times be operated so as to ensure that the number of Place Partnership entitled to appoint a governor remains as provided for in paragraph 2.5.1.1 and 2.5.1.2 above.

## 2.6 The Composition of the Council of Governors

The composition of the Council of Governors shall be as set out in Table 1 below

**Table 1:**

	<b>Electing/Appointing Body</b>	<b>Number of Governors</b>
<b>1.</b>	<b>Public Constituency Governors</b>	
<b>1.1</b>	North East Lincolnshire Constituency	5
<b>1.2</b>	North Lincolnshire Constituency	5
<b>1.3</b>	East and West Lindsey Constituency	3
<b>1.4</b>	Goole & Howdenshire Constituency	3
<b>2.</b>	<b>Staff Governors</b>	4
<b>3.</b>	<b>Partnership Organisations</b>	
<b>3.1</b>	North East Lincolnshire Health and Care Partnership	1
<b>3.2</b>	North Lincolnshire Health and Care Partnership	1
<b>4.</b>	<b>Qualifying Local Authority Governors</b>	
<b>4.1</b>	East Riding of Yorkshire	1
<b>4.2</b>	Lincolnshire	1
<b>4.3</b>	North East Lincolnshire	1
<b>4.4</b>	North Lincolnshire	1
	<b>Total number of governors</b>	<b>26</b>

## **ANNEX 4 – THE MODEL RULES FOR ELECTIONS**

(Paragraph 11 of the Trust Constitution refers)

### **Part 1 – Interpretation**

1. Interpretation

### **Part 2 – Timetable for election**

2. Timetable
3. Computation of time

### **Part 3 – Returning officer**

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

### **Part 4 - Stages Common to Contested and Uncontested Elections**

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

### **Part 5 – Contested elections**

19. Poll to be taken by ballot
20. The ballot paper
21. The declaration of identity

### **Action to be taken before the poll**

22. List of eligible voters
23. Notice of poll
24. Issue of voting information by returning officer
25. Ballot paper envelope and covering envelope
26. E-voting systems

**The poll**

27. Eligibility to vote
28. Voting by persons who require assistance
29. Spoilt ballot papers
30. Lost voting information
31. Issue of replacement voting information
32. Declaration of identity for replacement ballot information
33. Procedure for remote voting by internet
34. Procedure for remote voting by telephone
35. Procedure for remote voting by text

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

36. Receipt of voting documents
37. Validity of votes
38. De-duplication of votes
39. Declaration of identity but no ballot paper
40. Sealing of packets

**Part 6 – Counting the votes**

41. Single Transferable Vote (STV) - Interpretation of Part 6
42. Arrangements for counting of the votes
43. The count
44. STV - Rejected ballot papers
45. First Past the Post (FPP) - Rejected ballot papers
46. STV - First stage
47. STV - The quota
48. STV - Transfer of votes
49. STV - Supplementary provisions on transfer
50. STV - Exclusion of candidates
51. STV - Filling of last vacancies
52. STV - Order of election of candidates
53. FPP - Equality of votes

**Part 7 – Final proceedings in contested and uncontested elections**

54. STV - Declaration of result for contested elections
55. FPP - Declaration of result for contested elections
56. Declaration of result for uncontested elections

**Part 8 – Disposal of documents**

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

**Part 9 – Death of a candidate during a contested election**

- 62. STV- Countermand or abandonment of poll on death of candidate
- 63. FPP - Countermand or abandonment of poll on death of candidate

**Part 10 – Election expenses and publicity Expenses**

- 64. Election expenses
- 65. Expenses and payments by candidates
- 66. Expenses incurred by other persons

**Publicity**

- 67. Publicity about election by the corporation
- 68. Information about candidates for inclusion with voting information
- 69. Meaning of “for the purposes of an election”

**Part 11 - Questioning elections and irregularities**

- 70. Application to question an election

**Part 12 - Miscellaneous**

- 71. Secrecy
- 72. Prohibition of disclosure of vote
- 73. Disqualification
- 74. Delay in postal service through industrial action or unforeseen event

## Part 1 – Interpretation

### 1. Interpretation

1.1 In these rules, unless the context otherwise requires:

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

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

“the regulator” means the Independent Regulator for NHS foundation trusts; and “the 2006 Act” means the National Health Service Act 2006;

“e-voting” means voting using the internet;

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

“method of polling” means voting either by post or internet;

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

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

## Part 2 – Timetable for election

### 2. Timetable

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

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

**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;
- (d) the details of any nomination committee that has been established by the corporation;
- (e) the address and times at which nomination papers may be obtained;
- (f) the address for return of nomination papers and the date and time by which they must be received by the returning officer;
- (g) 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; and,
- (h) the date and time of the close of the poll in the event of a contest,

### 9. Nomination of candidates

9.1 Each candidate must nominate themselves on a single nomination paper.

9.2 The returning officer:

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

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

### 10. Candidate's particulars

10.1 The nomination paper must state the candidate's:

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

**11. Declaration of interests****11.1** The nomination paper must state:

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

**12. Declaration of eligibility****12.1** The nomination paper must include a declaration made by the candidate:

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

**13. Signature of candidate****13.1** The nomination paper must be signed and dated by the candidate, in a manner prescribed by the returning officer, indicating that:

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

**14. Decisions as to the validity of nomination****14.1** Where a nomination paper is received by the returning officer in accordance with these rules, the candidate is deemed to stand for election unless and until the returning officer:

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

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

**16. Inspection of statement of nominated candidates and nomination papers**

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

**17. Withdrawal of candidates**

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

**18. Method of election**

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

**Part 5 – Contested elections****19. Poll to be taken by ballot**

- 19.1** The votes at the poll must be given by secret ballot.
- 19.2** The votes are to be counted and the result of the poll determined in accordance with Part 6 of these rules.
- 19.3** The corporation may decide if eligible voters, within a constituency, or class within a constituency, may, subject to rule 19.4, cast their vote by any combination of the methods of polling.
- 19.4** The corporation may decide if eligible voters, within a constituency or class within a constituency, for whom an e-mail mailing address is included in the list of eligible voters may only cast their votes by, one or more, e-voting methods of polling.
- 19.5** If the corporation decides to use an e-voting method of polling then they and the returning officer must satisfy themselves that:
- (a) if internet voting is being used, the internet voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the internet voting record of any voter who chooses to cast their vote using the internet voting system.
  - (b) if telephone voting is being used, the telephone voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the telephone voting record of any voter who choose to cast their vote using the telephone voting system.
  - (c) if text message voting is being used, the text message voting system to be used for the purpose of the election is configured in accordance with these rules and that it will accurately record the text voting record of any voter who choose to cast their vote using the text message voting system.

**20. The ballot paper**

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

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

**20.3** Each ballot paper must have a unique identifier.

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

## **21. The declaration of identity (public constituencies)**

**21.1** In respect of an election for a public constituency a declaration of identity must be issued with all ballot information.

**21.2** The declaration of identity is to include a declaration:

- (a) that the voter is the person to whom the ballot information was addressed;
- (b) that the voter has not marked or returned any other voting paper in the election; and,
- (c) for a member of the public constituency, of the particulars of that member's qualification to vote as a member of the constituency or class within a constituency for which the election is being held.

**21.3** The declaration of identity is to include space for:

- (a) the name of the voter;
- (b) the address of the voter;
- (c) the voter's signature; and,
- (d) the date that the declaration was made by the voter.

**21.4** The voter must be required to return the declaration of identity together with the ballot information, or complete the electronic declaration prior to voting electronically.

**21.5** The declaration of identity must caution the voter that, if it is not returned with the ballot paper, or if it is returned without being correctly completed, or if it is not completed prior to electronic voting, the voter's ballot paper 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 postal mailing address and if available an e-mail address, where their voting information may be sent.
- 22.3** The corporation may decide if the voting information is to be sent only by e-mail to those members, in a particular constituency or class within a constituency, for whom an e-mail address is included in the list of eligible voters.

**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) the methods of polling by which votes may be cast at the election by a constituency or class within a constituency as determined by the corporation in rule 19.3;
  - (f) the address for return of the ballot papers, and the date and time of the close of the poll;
  - (g) the uniform resource locator (url) where, if internet voting is being used, the polling website is located;
  - (h) the telephone number where, if telephone voting is being used, the telephone voting facility is located;
  - (i) the telephone number or telephone short code where, if text message voting is being used, the text message voting facility is located;
  - (j) the address and final dates for applications for replacement voting information; and,
  - (k) the contact details of the returning officer.

**24. Issue of voting information by returning officer**

**24.1** As soon as is reasonably practicable on or after the publication of the notice of the poll, the returning officer is to send the following voting information to each member of the corporation named in the list of eligible voters:

- (a) by post to each member of the corporation named in the list of eligible voters and on the basis of rule 22 able to cast their vote by post:
  - (i) a ballot paper and ballot paper envelope;
  - (ii) a declaration of identity (if required);
  - (iii) information about each candidate standing for election, pursuant to rule 68 of these rules; and,
  - (iv) a covering envelope.
  
- (b) by e-mail or by post, to each member of the corporation named in the list of eligible voters and on the basis of rule 19.4 able to cast their vote only by an e-voting method of polling:
  - (i) instructions on how to vote;
  - (ii) the eligible voter's voter ID number;
  - (iii) 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;
  - (iv) contact details of the returning officer.

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

**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 declaration of identity 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 provision of the polling website and internet voting system will:
- (a) require a voter, to be permitted to vote, to enter his voter ID number;
  - (b) specify:
    - (i) the name of the corporation;
    - (ii) the constituency, or class within a constituency, for which the election is being held;
    - (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency;
    - (iv) the names and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates;
    - (v) instructions on how to vote.
  - (c) prevent a voter voting for more candidates than they are entitled to at the election;
  - (d) create a record ("the internet voting record") that is stored in the internet voting system in respect of each vote cast using the internet of:
    - (i) the voter ID number used by the voter;
    - (ii) the candidate or candidates for whom he has voted; and,
    - (iii) the date and time of his vote;
  - (e) if their vote has been cast and recorded, provide the voter with confirmation;
  - (f) prevent any voter voting after the close of poll.
- 26.5** The provision of a telephone voting facility and telephone voting system, will:
- (a) require a voter to be permitted to vote, to enter his voter ID number;
  - (b) specify:
    - (i) the name of the corporation,
    - (ii) the constituency, or class within a constituency, for which the election is being held

- (iii) the number of members of the council of governors to be elected from that constituency, or class within that constituency,
    - (iv) instructions on how to vote.
  - (c) prevent a voter voting for more candidates than he is entitled to at the election;
  - (d) create a record ("the telephone voting record") that is stored in the telephone voting system in respect of each vote cast by telephone of:
    - (i) the voter ID number used by the voter;
    - (ii) the candidate or candidates for whom he has voted; and
    - (iii) the date and time of his vote
  - (e) if their vote has been cast and recorded, provide the voter with confirmation;
  - (f) prevent any voter voting after the close of poll.
- 26.6** The provision of a text message voting facility and text messaging voting system, will:
  - (a) require a voter to be permitted to vote, to provide his voter ID number;
  - (b) prevent a voter voting for more candidates than he is entitled to at the election;
  - d) create a record ("the text voting record") that is stored in the text messaging voting system in respect of each vote cast by text message of:
    - (i) the voter ID number used by the voter;
    - (ii) the candidate or candidates for whom he has voted; and
    - (iii) the date and time of his vote
  - (e) if their vote has been cast and recorded, provide the voter with confirmation;
  - (f) prevent any voter 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 they consider necessary to enable that voter to vote.

## **29. Spoilt ballot papers**

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

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

**29.3** The returning officer may not issue a replacement ballot paper for a spoilt ballot paper unless:

- (a) satisfied as to the voter’s identity; or,
- (b) the declaration of identity, 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 confirmation of the voter’s identity;
- (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.

## **30. Lost voting information**

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

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

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

**30.3** After issuing replacement voting information, the returning officer shall enter in a list (“the list of lost ballots”):

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

**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, they are 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 a replacement ballot paper under this rule, the returning officer shall enter in a list ("the list of tendered ballot papers"):
- (a) the name of the voter; and,
  - (b) the details of the unique identifier of the replacement ballot paper issued under this rule.

**32. Declaration of identity for replacement voting information (public constituencies)**

- 32.1** In respect of an election for a public constituency a declaration of identity must be issued with all replacement ballot information.
- 32.2** The declaration of identity is to include a declaration:
- (a) that the voter has not voted in the election with any ballot information other than the ballot information being returned or completed with the declaration; and,
  - (b) of the particulars of that member's qualification to vote as a member of the public constituency, or class within a constituency, for which the election is being held.
- 32.3** The declaration of identity is to include space for:
- (a) the name of the voter;
  - (b) the address of the voter;
  - (c) the voter's signature; and,
  - (d) the date that the declaration was made by the voter.
- 32.4** The voter must be required to return or electronically complete the declaration of identity together with the ballot paper.
- 32.5** The declaration of identity must caution the voter that if it is not returned with the ballot paper, or if it is returned without being correctly completed, or electronically completed prior to e-voting, the replacement ballot information may be declared invalid.

**Polling by internet, telephone or text****33. Procedure for remote voting by internet**

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

**34. Voting procedure for remote voting by telephone**

- 34.1** To cast their vote by telephone the voter must gain access to the telephone voting facility by calling the designated telephone number provided on the voter information using a telephone with a touch-tone keypad.
- 34.2** When prompted to do so, the voter must enter their voter ID number using the keypad.
- 34.3** If the telephone voting facility authenticates the voter ID number, the voter must be prompted to vote in the election.
- 34.4** When prompted to do so the voter may then cast his vote by keying in the code of the candidate or candidates, allocated in accordance with Part Five of these rules, for whom they wish to vote.
- 34.5** The voter must not be able to access the telephone voting facility for an election once their vote at that election has been cast.

**35. Voting procedure for remote voting by text message**

- 35.1** To cast their vote by text the voter must gain access to the text message voting facility by sending a text message to the designated telephone number or telephone short code provided on the voter information.
- 35.2** The text message sent by the voter must contain their voter ID number and the code for the candidate or candidates, for whom they wish to vote.

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

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

#### **36. Receipt of voting documents**

**36.1** Where the returning officer receives a:

- (a) covering envelope; or,
- (b) any other envelope containing a declaration of identity 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 ballot paper covering 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 a declaration of identity 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, they should:

- (a) put the declaration of identity 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, they should:

- (a) mark the ballot paper “disqualified”;
- (b) if there is a declaration of identity accompanying the ballot paper, mark it as “disqualified” and attach it the ballot paper;
- (c) record the unique identifier on the ballot paper in a list (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, telephone or text voting record has been received by the returning officer before the close of the poll.

**38. De-duplication of votes**

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

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

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

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

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

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

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

**39. Declaration of identity but no ballot paper (public constituency) –** Where the returning officer receives a declaration of identity if required but no ballot paper:

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

#### 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 declarations of identity if required;
- (c) the list of spoiled ballots;
- (d) the list of lost ballots;
- (e) the list of eligible voters;
- (e) the list of tendered ballots; and,
- (f) complete electronic copies of records referred to in rule 26 held in a device suitable for the purpose of storage.

#### Part 6 – Counting the votes

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

#### 41. Single Transferable Vote (STV) - Interpretation of Part 6

In part 6 of these rules:

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

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

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

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

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

“non-transferable vote” means a ballot:

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

(b) which is excluded by the returning officer under rule 49 - STV below;

“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 - STV below;

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

“stage of the count” means:

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

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

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

“transfer value” means the value of a transferred vote calculated in accordance with rules 47.4 - STV or 47.7 - STV below

## **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.

**43. The count**

43.1 The returning officer is to:

- (a) count and record the number of votes that have been returned; and,
- (b) count the votes according to the provisions in this Part of the rules.

**43.2** The returning officer, while counting and recording the number of votes and counting the votes, must make arrangements to ensure that no person obtains or communicates information as to the unique identifier on a ballot paper or a voter's voter ID number.

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

**44. STV - Rejected ballot papers**

**44.1** STV - 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** STV – The returning officer is to endorse the word "rejected" on any ballot paper which under this rule is not to be counted.

**44.3** STV - 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 - STV

**44. First Past the Post (FPP) - Rejected ballot papers**

**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 votes are given for more candidates than the voter is entitled to vote;
- (b) on which anything is written or marked by which the voter can be identified except the unique identifier; or,

(c) which is unmarked or rejected because of uncertainty;

shall, subject to rules 44.2- FPP and 44.3 - FPP, be rejected and not counted.

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

**44.3** FPP - A ballot paper on which a vote is marked:

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

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

**44.4** FPP - The returning officer is to:

- (a) endorse the word “rejected” on any ballot paper which under this rule is not to be counted; and
- (b) in the case of a ballot paper on which any vote is counted under rules 44.2 - FPP and 44.3 - FPP, endorse the words “rejected in part” on the ballot paper and indicate which vote or votes have been counted.

**44.5** FPP - The returning officer is to draw up a statement showing the number of rejected ballot papers under the following headings:

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

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

## **45. STV - First stage**

**45.1** STV - The returning officer is to sort the ballots into parcels according to the candidates for whom the first preference votes are given.

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

**45.3** STV - The returning officer is to also ascertain and record the number of valid ballots.

**46. STV - The quota**

**46.1** STV - The returning officer is to divide the number of valid ballots by a number exceeding by one the number of members to be elected.

**46.2** STV - The result, increased by one, of the division under rule 46.1 - STV (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** STV - 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 - STV to 47.3 - STV has been complied with.

**47. STV - Transfer of votes**

**47.1** STV - Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballots on which first preference votes are given for that candidate into sub- parcels so that they are grouped:

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

**47.2** STV - The returning officer is to count the number of ballots in each parcel referred to in rule.

**47.3** STV - The returning officer is, in accordance with this rule and rule 48 - STV, to transfer each sub-parcel of ballots referred to in rule 47.1(a) - STV to the candidate for whom the next available preference is given on those papers.

**47.4** STV - The vote on each ballot transferred under rule 47.3 - STV shall be at a value (“the transfer value”) which:

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

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

**48. STV - Supplementary provisions on transfer**

- 48.1** STV - If, at any stage of the count, two or more candidates have surpluses, the transferable ballots of the candidate with the highest surplus shall be transferred first, and if:
- (a) The surpluses determined in respect of two or more candidates are equal, the transferable ballots of the candidate who had the highest recorded vote at the earliest preceding stage at which they had unequal votes shall be transferred first; and,
  - (b) the votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between those candidates by lot, and the transferable ballots of the candidate on whom the lot falls shall be transferred first.
- 48.2** STV - The returning officer shall, on each transfer of transferable ballots under rule 47 - STV:
- (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** STV - All ballots transferred under rule 47 - STV or 48 - STV shall be clearly marked, either individually or as a sub-parcel, so as to indicate the transfer value recorded at that time to each vote on that ballot or, as the case may be, all the ballots in that sub-parcel.
- 48.4** STV - Where a ballot is so marked that it is unclear to the returning officer at any stage of the count under rule 47 - STV or 48 - STV for which candidate the next preference is recorded, the returning officer shall treat any vote on that ballot as a non-transferable vote; and votes on a ballot shall be so treated where, for example, the names of two or more candidates (whether continuing candidates or not) are so marked that, in the opinion of the returning officer, the same order of preference is indicated or the numerical sequence is broken.

**49. STV - Exclusion of candidates****49.1** STV - If:

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

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

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

**49.3** STV - The returning officer shall, in accordance with this rule and rule 48 - STV, transfer each sub-parcel of ballots referred to in rule 49.2 - STV to the candidate for whom the next available preference is given on those ballots.**49.4** STV - The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.**49.5** STV - If, subject to rule 50 - STV, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable ballots, if any, which had been transferred to any candidate excluded under rule 49.1 - STV into sub- parcels according to their transfer value.**49.6** STV - The returning officer shall transfer those ballots in the sub-parcel of transferable ballots with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those ballots (thereby passing over candidates who are deemed to be elected or are excluded).**49.7** STV - The vote on each transferable ballot transferred under rule STV49.6 shall be at the value at which that vote was received by the candidate excluded under rule STV49.1.**49.8** STV - Any ballots on which no next available preferences have been expressed shall be set aside as non-transferable votes.

**49.9** STV - After the returning officer has completed the transfer of the ballots in the sub-parcel of ballots with the highest transfer value he or she shall proceed to transfer in the same way the sub-parcel of ballots with the next highest value and so on until he has dealt with each sub-parcel of a candidate excluded under rule STV49.1.

**49.10** STV - 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** STV - 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 - STV 47.10 - STV and rule 48 - STV.

**49.12** STV - 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** STV - 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. STV - Filling of last vacancies**

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

**51. STV - Order of election of candidates**

**51.1** STV - 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 - STV.

**51.2** STV - 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** STV - 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** STV - 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.

**51. FPP - Equality of votes**

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

**Part 7 – Final proceedings in contested and uncontested elections****52. STV - Declaration of result for contested elections**

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

- (a) declare the candidates who are deemed to be elected under Part 6 of these rules as elected;
- (b) give notice of the name of each candidate who they have declared elected:
  - (i) where the election is held under a proposed Constitution pursuant to powers conferred on the Northern Lincolnshire and Goole Foundation NHS Trust by section 33(4) of the 2006 Act, to the Chair of the NHS 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 they have declared elected.

**52.2** STV - 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;
- (b) 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 STV- 44.1, available on request.

**52. FPP - Declaration of result for contested elections**

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

- (a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the council of governors from the constituency, or class within a constituency, for which the election is being held to be elected;
- (b) give notice of the name of each candidate who they have declared elected:
  - (i) where the election is held under a proposed constitution pursuant to powers conferred on the Northern Lincolnshire and Goole Foundation NHS Trust by section 33(4) of the 2006 Act, to the Chair of the NHS Trust, or

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

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

**52.2** FPP - The returning officer is to make:

- (a) the total number of votes given for each candidate (whether elected or not); and,
- (b) the number of rejected ballot papers under each of the headings in rule 44.5 - FPP, 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 they have declared elected to the Chair of the corporation; and,
- (c) give public notice of the name of each candidate who they have 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;
- (b) the ballot papers endorsed with “rejected in part”;
- (c) the rejected ballot papers;
- (d) papers; and,
- (e) the complete electronic copies of records referred to in rule 26 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 spoilt ballot papers;
- (c) the list of lost ballots;
- (d) the list of eligible voters;
- (e) the complete electronic copies of records referred to in rule 26 held in a device suitable for the purpose of storage; and,
- (f) the list of tendered ballot papers.

**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 54, 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 voter information is made too late to enable new ballot papers to be issued.

The returning officer is to put them in a separate packet, seal it up, and endorse and forward it to the 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 regulator, 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 the inspection of, or the opening of any sealed packet containing:

- (a) any rejected ballot papers, including ballot papers rejected in part;
- (b) any disqualified documents, or the list of disqualified documents;
- (c) any counted ballot papers;
- (d) any declarations of identity;
- (e) the list of eligible voters; or,
- (f) the complete electronic copies of records referred to in rule 26 held in a device suitable for the purpose of storage by any person without the consent of the Regulator.

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

**58.3** The Regulator's consent may be on any terms or conditions that it thinks necessary, including conditions as to:

- (a) persons;
- (b) time;
- (c) place and mode of inspection;
- (d) production or opening, and the corporation must only make the documents available for inspection in accordance with those terms and conditions.

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

- (a) in giving its consent, the regulator, and
- (b) making the documents available for inspection, the corporation, must ensure that the way in which the vote of any particular member has been given shall not be disclosed, until it has been established:
  - (i) that their vote was given; and,
  - (ii) that the regulator has declared that the vote was invalid.

**Part 9 – Death of a candidate during a contested election****59. STV - Countermand or abandonment of poll on death of candidate**

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

- (a) publish a notice stating that the candidate has died; and,

(b) proceed with the counting of the votes as if that candidate had been excluded from the count so that:

- (i) ballots which only have a first preference recorded for the candidate that has died, and no preferences for any other candidates, are not to be counted; and,
- (ii) ballots which have preferences recorded for other candidates are to be counted according to the consecutive order of those preferences, passing over preferences marked for the candidate who has died.

**59.2** STV - The ballots which have preferences recorded for the candidate who has died are to be sealed with the other counted ballots pursuant to rule 54.1(a).

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

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

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

**59.2** FPP - Where a new election is ordered under rule 59.1 - FPP, no fresh nomination is necessary for any candidate who was validly nominated for the election where the poll was countermanded or abandoned but further candidates shall be invited for that constituency or class.

**59.3** FPP - Where a poll is abandoned under rule 59.1(a) - FPP, rules 59.4 - FPP to 59.7 - FPP are to apply.

**59.4** FPP - The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 37 and 38, and is to make up separate sealed packets in accordance with rule 39.

**59.5** FPP - The returning officer is to:

- (a) count and record the number of ballot papers that have been received; and,
- (b) seal up the ballot papers into packets, along with the records of the number of ballot papers;
- (c) seal up the electronic copies of records that have been received referred to in rule 26 held in a device suitable for the purpose of storage.

**59.6** FPP - The returning officer is to endorse on each packet a description of:

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

**59.7** FPP - Once the documents relating to the poll have been sealed up and endorsed pursuant to rules 59.4 - FPP to 59.6 - FPP, the returning officer is to deliver them to the Chair of the corporation, and rules 57 and 58 are to apply.

## **Part 10 – Election expenses and publicity**

### **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 to the regulator under Part 11 of these rules.

### **61. Expenses and payments by candidates**

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

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

### **62. Election expenses incurred by other persons**

**62.1** No person may:

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

**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, the expense of the electoral prospects of one or more other candidates.

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

**64. Information about candidates for inclusion with voting information**

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

**64.2** The information must consist of:

- (a) a statement submitted by the candidate of no more than 250 words;
- (b) a photograph of the candidate;
- (c) an optional video statement may also be submitted.

**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 their own services voluntarily, on their own time, and free of charge is not to be considered an expense for the purposes of this Part.

## **Part 11 – Questioning elections and the consequence of irregularities**

### **66. Application to question an election**

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

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

**66.3** An application may only be made to the Regulator by:

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

**66.4** The application must:

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

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

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

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

**66.8** The determination by the person or persons nominated in accordance with rule 64.7 shall be binding on and shall be given effect by the corporation, the applicant and the members of the constituency (or class within a constituency including all the candidates for the election to which the application relates.

**66.9** The Regulator 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 voter information or who has or has not voted;
  - (ii) the unique identifier on any ballot paper;
  - (iii) the voter ID number allocated to any voter;
  - (iv) the candidate(s) for whom any member has voted.

**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 and declarations of identity;

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

**ANNEX 5 – ADDITIONAL PROVISIONS – COUNCIL OF GOVERNORS****1. Council of Governors: Terms of Office (see also Section 13)****1.1** A Governor:**1.1.1** shall cease to hold office if:

- (a) they cease to be a Member of a Trust constituency or, in the case of an Appointed Governor, if the body which appointed them withdraws its appointment at any time;
- (b) their term of office is terminated in accordance with paragraph 3 below and/or they are disqualified from or are otherwise ineligible to hold office as a Governor; or

**1.1.2** they resign by notice in writing to the Trust.

**1.2** Notwithstanding the provisions of paragraph 1.1.1(a) above, a Public Governor elected by a Public Constituency who ceases to be eligible to be a Member of that Public Constituency but who is eligible to be and forthwith becomes a Member of another Public Constituency shall not by virtue of paragraph 1.1.1(a) above cease to hold office but shall continue in office as Public Governor for the Constituency which elected them for the remainder of the term for which he was elected.

**2. Council of Governors: Nomination of, Disqualification and Removal**

**2.1** In addition to those provisions in Section 13 of the Constitution, the following persons shall not become or continue to be eligible as a member of the Council of Governors:

**2.1.1** anyone who is a director or chair of the Trust or a governor of another healthcare Trust or equivalent NHS funded provider.

**2.1.2** persons defined as a vexatious complainant or litigant, as determined by the Trust Chair, Chief Executive and Trust Secretary (two out of the three have to agree).

**2.1.3** staff and appointed governors with current disciplinary action, ongoing investigations, or who have a disciplinary sanction still in force will not be permitted to be elected, or if already elected carry out the role of a governor.

**2.1.4** members who have been dismissed otherwise than by reason of redundancy or ill health from any paid employment with a health service body.

- 2.1.5** whilst the Trust will not automatically reject nominations for potential governors based on previous adverse employment / relationships issues with the Trust or other organisations, it does reserve the right to reject / not support applications if it believes that such an appointment would not support the Trust's culture or values. This decision will be made by Trust Chair, Chief Executive and Trust Secretary (two out of the three have to agree). Each case will be considered on a case by case basis.
- 2.1.6** persons whose name appears or is added to the Sex Offenders Register, of Schedule 1 Offenders pursuant to the Sexual Offences Act 2003 (as amended) and / or the Children and Young Person's Act 1933-and updated in 2008.
- 2.1.7** a person whose tenure of office as the Chair, governor or director of a health service body has been terminated on the grounds that the appointment was not in the interests of the health service, for non-attendance at meetings, or for non-disclosure of a pecuniary interest.
- 2.1.8** anyone who is suffering from a mental disorder and is either admitted to hospital in pursuance of an application for admission for treatment under the Mental Health Act 1983 or is subject to an order made by a court having jurisdiction in matters concerning mental disorder for detention or for the appointment of a receiver; and is, therefore, incapable by reason of mental disorder of carrying out the duties of a governor.
- 2.1.9** has failed to make, or has falsely made, any declaration as required to be made under Section 60 of the 2006 Act or has spoken or voted in a meeting on a matter in which they have direct or indirect pecuniary or nonpecuniary interest and they are judged to have acted so by a majority of not less than 75% of the Council of Governors at a meeting;
- 2.1.10** NHSE has exercised its powers to remove them as a Governor of the Trust or has suspended them from office or has disqualified them from holding office as a Governor of the Trust for a specified period or NHSE has exercised any of those powers in relation to them on any other occasion whether in relation to the Trust or some other NHS Foundation Trust;
- 2.1.11** has within the preceding five years been convicted in the British Islands of any offence, and a sentence of imprisonment (whether suspended or not) for a period of three months or more (without the option of a fine) was imposed on them;
- 2.1.12** their term of office is terminated pursuant to paragraph 3 below;
- 2.1.13** is a Member of a Staff Class and any professional registration relevant to his eligibility to be a Member of that Staff Class has been suspended for a continuous period of more than six months;
- 2.1.14** the relevant organisation which they represents ceases to exist;

**2.1.15** is a member of the UK Parliament;

**2.1.16** is a Director of the Trust.

**2.2** Where a person has been elected or appointed to be a Governor and they become disqualified from that appointment they shall notify the Trust Secretary in writing of such disqualification as soon as practicable and in any event within 14 days of first becoming aware of those matters which rendered them disqualified.

**2.3** If it comes to the notice of the Trust that a Governor is disqualified, the Trust shall immediately declare them disqualified and shall give them notice in writing to that effect as soon as practicable.

**2.4** Upon the giving of notice under paragraphs 2.2 and 2.3 above, that person's tenure of office as a Governor shall thereupon be terminated and they shall cease to be a Governor and their name shall be removed from the Register of Governors.

**2.5** If a complaint is received against a member of the Council of Governors, it shall be referred to the Chair who will address the complaint appropriately based on a case by case basis in liaison with the Trust Secretary and/or Director of People as necessary.

**2.5.1** the Chair upon receipt of the complaint may carry out an investigation and may suspend the Governor from duties. If the outcome of the investigation is to terminate the Governor, the process is set out under paragraph 3. [Note: the investigation will be determined on a case by case basis].

### **3. Council of Governors: Termination of Office**

**3.1** A governor shall immediately cease to hold office if:

**3.1.1** they resign by notice in writing to the Trust Secretary;

**3.1.2** they fail to attend half of the council meetings in any financial year, unless the other governors are satisfied that:

(a) the absences were due to a reasonable cause and

(b) they will start attending council meetings within such a period as the governors consider reasonable.

**3.1.3** in the case of an elected governor, they cease to be a member of the constituency by whom they were elected.

**3.1.4** in the case of an appointed governor, the appointing organisation withdraws its sponsorship or terminates the appointment.

- 3.1.5** without good reason the governor has failed to undertake any training required by the Council of Governors and/or fails to engage with the development review process for governors as agreed by the Council of Governors.
- 3.1.6** they have failed to sign and deliver to the Chair a statement in the form required by the Council of Governors confirming acceptance of the code of conduct and/or complete the Disclosure and Barring Service process within the specified time period.
- 3.1.7** they refuse to sign a declaration, in the form specified by the Council of Governors, that they are a member of one of the public constituencies or one of the classes of staff constituency as the case might be and are not prevented from being a member of the Council of Governors.
- 3.1.8** they are removed from the Council of Governors by a resolution, approved by a two-thirds majority of the remaining governors, that:
- (a) they have committed a serious breach of the code of conduct;
  - (b) he or she has acted in a manner detrimental to the interests of the Trust,
  - (c) the Council of Governors considers that it is not in the best interests of the Trust for that person to continue as governor.
- 3.1.9** where there is any disagreement as to whether the proposal for removal of a governor is justified, an independent assessor agreeable to both parties shall be requested to consider the evidence and conclude whether the proposed removal is reasonable or otherwise.
- 3.1.10** upon a Governor resigning under paragraph 3.1.1 above or upon the Council of Governors resolving to terminate a Governor's tenure of office in accordance with the above provisions, that Governor shall cease to be a Governor and their name shall be forthwith removed from the Register of Governors.
- 3.1.11** the Standing Orders adopted by the Council of Governors may contain provisions governing its procedure for termination under these provisions and for a Governor to appeal against the decision terminating his tenure of office, except in the case of 3.1.8a above.
- 3.1.12** a Governor who resigns or whose tenure of office is terminated under this paragraph 3 shall not be eligible to stand for re-election for a period of three years from the date of their resignation or removal from office or the date upon which any appeal against their removal from office is disposed of whichever is the later except by resolution carried by a majority of the Council of Governors present and voting at a general meeting. Any re-election would take into account time served as a Governor so that a maximum term would not exceed nine years.

**3.1.13** where a Governor's membership of the Council of Governors ceases for one of the reasons set out in paragraph 2 or paragraph 3, Elected Governors shall be replaced in accordance with paragraphs 4.1 to 4.2 below and, in the case of Appointed Governors, the Trust shall invite the relevant appointing body to appoint a new Governor to hold office for the remainder of the term of office in accordance with the processes referred to in Annex 3 within 30 days of the vacancy having arisen.

#### **4. Council of Governors: Vacancies – Elected Governors**

- 4.1** In the event of an appointed stakeholder governor not serving out their full term of office the Council of Governors shall require the organisation concerned to appoint a replacement at the earliest opportunity.
- 4.2** In the event of an elected governor not serving out their full term of office the Chair may, where the unexpired term is less than twelve months, choose to leave the seat vacant until the next scheduled election unless the vacancy is in a public constituency and the vacancy means that the governors elected by the public constituencies no longer constitute more than half the members of the Council of Governors. In that event and in all other cases save as provided for in this paragraph the Chair shall be at liberty either:
- 4.2.1** to call an election within three months to fill the seat for the remainder of that term of office, or
- 4.2.2** to invite the next highest polling candidate for that seat at the most recent election to fill the seat and be co-opted onto the Council of Governors 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. At the annual election, it shall be the last candidate elected to the constituency involved who will serve the unexpired period of the term of office for that constituency.

#### **5. Council of Governors: Role**

- 5.1** The Council of Governors and each Governor shall act in the best interests of the Trust at all times and with proper regard to the provisions of the NHS Foundation Trust Code of Governance and any code of conduct for the Council of Governors.
- 5.2** Subject to the requirement specified in paragraph 5.1 above, each Governor shall exercise their own skill and judgement in their conduct of the Trust's affairs and shall in their stewardship of the Trust's affairs bring as appropriate the perspective of the constituency or organisation by which s/he was elected or appointed, as the case may be. Public governors are expected to represent all members and the public, and not to promote a single issue or cause.
- 5.3** Subject to the further provisions of this Constitution and without in any way derogating from them, the Council of Governors shall;

- 5.3.1** hold the Non-Executive Directors to account in assisting the Trust Board of Directors in setting the strategic direction of the Trust and targets for the Trust's performance and in monitoring the Trust's performance in terms of achieving those strategic aims and targets which have been set; and
- 5.3.2** observe the activities of the Trust with the view to ensuring that they are being conducted in a manner consistent with this Constitution.

## **6. Council of Governors: Meetings**

- 6.1** The Council of Governors shall hold not less than four general meetings each financial year. However, in extremis (see paragraph 16 of the Trust Constitution), the Chair may decide to suspend Council of Governors' meetings.
- 6.2** The Council of Governors may appoint committees or sub-committees, consisting of its members, which are relevant and proportionate, to advise and assist it in the discharge of its functions. The outcomes of such committees will be in the form of recommendations to be presented to the Council of Governors. Recommendations presented to the Council of Governors therefore provide a second layer of oversight on a particular matter of interest by governor peers.

## **7. Council of Governors: Declarations**

- 7.1** A Member of a Public Constituency standing for election as Governor must make a declaration for the purposes of Section 60 of the 2006 Act in the form specified below stating the particulars of their qualification to vote as a Member and that they are not prevented from being a member of the Council of Governors by virtue of any provisions of this Constitution.
- 7.2** The specified form of declaration shall be set out on the Nomination Form referred to in the Election Scheme.

## **8. Council of Governors: Lead Governor**

- 8.1** No person may serve as the Lead Governor for more than a total of six years.
- 8.2** A person elected as the Lead Governor shall cease to be eligible to continue serving as the Lead Governor if they cease to be a Governor or Member and the Lead Governor's term of office may be terminated by a majority of not less than 75% of the Governors present and voting at a meeting of the Council of Governors.
- 8.3** Further provisions can be found in the Council of Governors Standing Orders.

## **ANNEX 6 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE COUNCIL OF GOVERNORS**

### **1. General Overview and Introduction to the Council of Governors**

- 1.1 The Council of Governors shall be constituted in accordance with the requirements of the constitution.
- 1.2 Provisions concerning the nomination and election to the Council of Governors are set out in the Constitution and the election rules. A member may not be nominated as a candidate for election to the Council of Governors unless he or she conforms to the requirements set out in the Constitution.
- 1.3 Governors shall comply with the code of conduct set out in Standing Order 4.
- 1.4 A member of the Council of Governors shall be disqualified from taking up office, or if in office shall vacate the office, in the circumstances set out in the Constitution. A governor shall cease to hold office when required to do so by the Council of Governors.
- 1.5 In accordance with the Constitution the Chair will chair the Council of Governors.
- 1.6 Standing Orders, including those concerning agenda, quorum, voting and the taking of minutes at Council of Governors meetings are set out in Standing Order 2 and in the Constitution.
- 1.7 Members of the Council of Governors shall not be remunerated but may receive expenses e.g. travel expenses in accordance with the relevant Trust policies and guidance.

### **1.8 Functions and Responsibilities of the Council of Governors**

- 1.8.1 The function of the Council of Governors is to exercise the rights set out in the Constitution and the powers (if any) delegated from time to time by the Trust Board and to act in accordance with these procedures. The Council's roles and responsibilities are set out in Standing Order 3 and the trust shall provide sufficient resources to enable the Council of Governors to discharge its responsibilities.

### **1.9 Lead Governor**

- 1.9.1 The Council of Governors shall select a public governor to undertake the role of Lead Governor of the Northern Lincolnshire and Goole NHS Foundation Trust. The Lead Governor shall be chosen by the Council of Governors, which will also approve the process for the appointment.

**1.9.1** The process for the selection and appointment of the Lead Governor shall be as follows:

- The Lead Governor shall be elected by their peers at the last general meeting of the Council of Governors prior to expiry of the incumbent Lead Governor's term of office. Where there is to be a change of incumbent, the newly elected Lead Governor shall hold office as shadow Lead Governor whilst the incumbent Lead Governor completed their term in office. Where a ballot is required, all Governors present shall be entitled to vote. The Chair (or Vice Chair if presiding as Chair of the Council of Governors meeting in question) shall not participate in the ballot but shall have a casting vote in the event of a tie.
- At least one calendar month before the date of the meeting of the Council of Governors, the Trust Secretary shall contact all Governors by e-mail inviting nominations together with a short election statement in support of their nomination.
- Where more than one nomination is received, ballot papers showing the names of all the nominated candidates shall be distributed with the papers for the meeting and a secret ballot shall be conducted at the meeting. The Trust Secretary, or their nominee, shall act as returning officer and shall announce the results of the election before the close of the meeting when completed ballot papers will be made available for scrutiny by Governors as required. Where there is only one nomination, the Council of Governors shall be asked to ratify the appointment.
- Once elected, the shadow Lead Governor's terms as Lead Governor shall commence upon the expiry of the incumbent Lead Governor's term of office.

**1.9.2** The appointment as Lead Governor shall be for a period of three years or until:

- the end of that Governor's current term of office whichever is the sooner; or
- they resign the position of Lead Governor by giving notice to the Chair in writing; or
- they are removed from the position of Lead Governor by a resolution passed by a two thirds majority of the remaining governors at a general meeting of the Council of Governors;
- with the option of re-election after that period if that governor is re-elected on to the Council of Governors. Continuation in the role will not be automatic on re-election to the Council.

**1.9.3** The Trust Secretary shall be responsible for notifying NHSE of a change of Lead Governor.

**1.9.4** The responsibilities of the Lead Governor shall be:

- To lead the Council of Governors in circumstances where it may not be considered appropriate for the Chair or another one of the Non-Executive Directors to lead (e.g. chairing a meeting to discuss the appointment of a new chair) and to act as the point of contact with the independent panel referred to in the Trust Constitution Section 18, where a question is referred to that panel in accordance with that paragraph;
- To chair the Membership and Public Engagement & Assurance Group and Appointments and Remuneration Committee;
- On behalf of the Council of Governors, to attend monthly meetings with the Chair and the Trust Secretary;
- On behalf of the Council of Governors, to raise issues for discussion at the Trust Board;
- To assist the Chair in facilitating the flow of information between the Trust Board and the Council of Governors.
- To work with the Trust Chair to draft the Council of Governors commentary for inclusion in the Quality Report.

**1.9.5** Further details on the role of the Lead Governor including the role criteria and desirable personal qualities can be found in the Trust document ‘Criteria & Process for the Appointment of a Lead Governor’.

## **1.10 Appointment of Deputy Lead Governor**

**1.10.1** The process for the appointment of the Deputy Lead Governor shall follow the rules outlined in Section 1.9.2.

**1.10.2** The responsibilities of the Deputy Lead Governor are in line with the Lead Governor role.

## **1.11 Trust Secretary**

**1.11.1** The functions of Trust Secretary; most particularly monitoring of the trust’s compliance with the law, Standing Orders and the regulatory framework, are a corporate responsibility shared by the directors but with the lead role being assumed by the Trust Secretary. The Trust Secretary has a significant role to play in the administration of corporate governance. In accordance with the Trust Board Standing Orders at Annex 7 the Chief Executive and the Chief Financial Officer have responsibility for advising the Chair on the interpretation of Standing Orders and the Standing Financial Instructions. The specific duties and responsibilities of the Trust Secretary are outlined below.

**1.11.2** Acts as 'Company Secretary' to the Council of Governors and Trust Board of Directors:

- ensuring good information flows within the Trust Board and its committees and between senior management, Non-Executive Directors and the governors;
- ensuring that meetings of the Trust Board, Council of Governors and committees thereof run efficiently and effectively, that they are properly recorded and that Directors and Governors receive appropriate support and timely information;
- ensure that board procedures of both the Trust Board and the Council of Governors are complied with;
- advise the Trust Board and the Council of Governors (through the chairperson) on all corporate governance matters;
- in conjunction with Executive and Non-Executive Directors, ensure that the Trust complies with all relevant legislation and the Terms of its Provider Licence';
- be available to give advice and support to individual directors, particularly in relation to the induction of new directors and assistance with professional development;
- in conjunction with the Chair and Lead Governor ensuring the ongoing development of the Council of Governors;
- responsible for the management of the membership office;
- as / if required, provide a source of advice and support independent of the Executive on any matters of concern relating to the governance of the organisation.

**1.11.3** All directors and governors have access to the advice and services of the Trust Secretary. Both the appointment and removal of the Trust Secretary is a matter for the Chief Executive and Chair jointly.

**1.12 Disputes**

**1.12.1** The Chair shall, in the first instance, arbitrate in any dispute concerning the interpretation of or arising out of these procedures. The Chair shall enforce any code of conduct approved by the Trust Board. Any unresolved dispute shall be determined in accordance with the Constitution as if references to any dispute in relation to the Constitution include any dispute in relation to these procedures.

**1.13 Validity of Procedures**

**1.13.1** The procedures set out in this document are made in accordance with the Constitution. They shall only be altered on a recommendation of the Council of Governors and with the approval of the Trust Board. Changes to these procedures shall not be recommended that would make them inconsistent with the Constitution or the 2006 Act. Where there is any inconsistency between these procedures and the Constitution, the Constitution shall prevail.

## **2 Standing Orders for Council of Governors Meetings**

### **2.1 Calling Meetings**

2.1.1 The Council of Governors is to meet at least three times in each financial year (excluding the annual members meeting) at such times and places as the Council of Governors may determine.

2.1.2 Meetings of the Council of Governors may be called by the Chair, or by six governors including not less than three public governors who give written notice to the Chair specifying the business to be carried out.

### **2.2 Admission of the Public**

All meetings of the Council of Governors are to be general meetings open to members of the public unless the Council of Governors decides otherwise in relation to all or part of a meeting for reasons of commercial confidentiality or on other proper grounds. The Chair may exclude any member of the public from a meeting of the Council of Governors if they are interfering with or preventing the proper conduct of the meeting.

## **2.3 Notice of Meetings**

- 2.3.1** Save in the case of emergencies or the need to conduct urgent business, the Chair's office will give at least 14 days written notice of the date and place of every meeting of the Council of Governors to all governors. Notice will also be published on the trust's website.
- 2.3.2** After the receipt of a request to call a meeting the Chair's office shall send written notice to all governors, specifying the business to be carried out, as soon as possible after the receipt of such a request. The Chair shall call a meeting on at least fourteen but not more than twenty-eight days' notice to discuss the specified business. If the Chair fails to call such a meeting then four governors may call such a meeting.
- 2.3.3** The notice of the meeting shall be delivered to every governor by email so as to be available to the governor at least five clear days before the meeting.
- 2.3.4** In the case of a meeting called by the governors in default of the Chair, those governors shall sign the notice and no business shall be transacted at the meeting other than that specified in the notice.
- 2.3.5** Failure to serve such a notice on more than 25 governors will invalidate the meeting.

## **2.4 Setting the Agenda**

- 2.4.1** The Trust may determine that certain matters shall appear on every agenda for a meeting of the Council of Governors and shall be addressed prior to any other business being conducted.
- 2.4.2** In accordance with the Constitution every agenda for meetings of the Council of Governors will draw to the attention of the elected governors the declaration governors are required to make in Standing Order 5 stating that they are qualified to vote as a member of the trust and that they are not prevented from being a member of the Council of Governors. An elected governor shall be deemed to have confirmed the declaration upon attending any subsequent meeting of the meeting of the Council of Governors.
- 2.4.3** Any governor wishing to submit an agenda item must notify the Trust Secretary in writing at least ten clear working days prior to the meeting at which it is to be considered. Requests made less than ten clear days before a meeting may be included on the agenda at the discretion of the Group Chair.

## **2.5 Chair of the Meeting**

- 2.5.1** The Group Chair or, in the absence of the Group Chair, the Vice Chair or, in the absence of the Vice Chair, one of the other Non-Executive Directors is to preside at meetings of the Council of Governors.
- 2.5.2** If the person presiding at any such meeting has a conflict of interest in relation to the business being discussed then the governors present will choose one of their number to chair that part of the meeting.

**2.5.3** If a vote concerns matters relating to the Chair and / or Non-Executive Directors, neither the Chair nor any other Non-Executive Director should preside over the meeting. In this instance, the governors present will choose **one of their number to chair the meeting and to have the casting vote.**

## **2.6 Annual Members Meeting**

**2.6.1** The trust will publicise and hold an annual members meeting in accordance with the Constitution.

**2.6.2** The following documents shall be presented to the members of the trust at the annual members' meeting by at least one member of the Trust Board:

- (a) the annual accounts;
- (b) any report of the auditor on the annual accounts; and
- (c) the annual report.

**2.6.3** The trust may combine a meeting of the Council of Governors convened for the purposes of being presented with the documents in sub-paragraph 2.6.2 with the annual members' meeting.

**2.6.4** Members (Executive or suitable Deputy, Non-Executive Directors and Associate Non-Executive Directors) of the Trust Board shall attend the Annual Members' Meeting unless agreed in advance with the Trust Chair.

## **2.7 Motions**

**2.7.1** Motions may only be submitted by a governor and must be received by the Chair's office in writing at least one week prior to the meeting at which they are to be considered.

**2.7.2** Emergency motions may only be submitted by a governor and must be received by the Chair before the commencement of the meeting. Acceptance of such motions for inclusion on the agenda will be at the discretion of the Chair.

**2.7.3** Any other business should be notified to the Chair at the commencement of the meeting. Acceptance of such items of business for inclusion on the agenda will be at the discretion of the Chair.

**2.7.4** Notice of a motion to rescind a previous minute must be received by the Chair's office at least 21 days before the meeting and must be signed by a majority of members. Such a motion should not be taken until at least 30 minutes after the start of the meeting.

**2.7.5** An amendment that does not directly negate a resolution may be moved by any member. No further amendments may be moved until the first amendment is disposed of. If an amendment is passed it shall become part of the substantive motion and subject to further amendment.

**2.7.6** The mover of a motion under Standing Order 2.7.1 or 2.7.2 above shall have a maximum of five minutes to move and three minutes to reply. Once a motion has been moved no member shall speak more than once or for more than three minutes.

## **2.8 Chair's Ruling**

**2.8.1** Statements of governors made at meetings of the trust shall be relevant to the matter under discussion at the material time and the decision of the Chair of the meeting on questions of order, relevancy, regularity and any other matters shall be observed at the meeting.

## **2.9 Voting**

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

**2.9.2** Subject to the Constitution, questions arising at a meeting shall be determined by a majority of the votes of the governors present and voting on the question and, in the case of any equality of votes, the person presiding shall have a second or casting vote.

**2.9.3** All questions put to the vote shall, at the discretion of the Chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the governors present so request.

**2.9.4** In no circumstances may an absent governor vote by proxy. Absence is defined as being absent at the time of the vote.

**2.9.5** No resolution of the Council of Governors shall be passed if the public governors present unanimously oppose it.

## **2.10 Attendance**

**2.10.1** Governors who are unable to attend the Council of Governors meeting should advise the Chair's office in advance of the meeting so that their apologies may be submitted.

**2.10.2** The Council of Governors may agree that its members can participate in its meetings by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.

**2.10.3** The Council of Governors may invite the Chief Executive or any other member or members of the Trust Board, or a representative of the trust's auditors or other advisors to attend a meeting of the Council of Governors.

**2.10.4** The Council of Governors may require one or more directors to attend a meeting of the Council of Governors for the purpose of obtaining information about the trust's performance of its functions or the directors' performance of their duties (and deciding whether to propose a vote on the trust's or directors' performance).

## **2.11 Minutes**

**2.11.1** The minutes of the proceedings of a meeting shall be drawn up and submitted for agreement at the next ensuing meeting. The person presiding at it will sign them.

**2.11.2** No discussion shall take place upon the minutes except upon their accuracy or where the Chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the next meeting.

**2.11.3** Minutes shall be circulated in accordance with the governors' wishes. Where providing a record of a public meeting the minutes shall be made available to the public.

## **2.12 Record of Attendance**

**2.12.1** The names of the governors present at the meeting shall be recorded in the minutes.

## **2.13 Suspension of Standing Orders**

**2.13.1** Except where this would contravene any statutory provision, any one or more of the Standing Orders may be suspended at any meeting, provided that at least two-thirds of the Council of Governors members are present, and that a majority of those present vote in favour of suspension.

**2.13.2** A decision to suspend Standing Orders shall be recorded in the minutes of the meeting.

**2.13.3** A separate record of matters discussed during the suspension of Standing Orders shall be made and shall be available to the governors.

**2.13.4** No formal business may be transacted while Standing Orders are suspended.

## **2.14 Variation and Amendment of Standing Orders**

**2.14.1** These Standing Orders shall be amended only if the requirements provided for in the Constitution for variation of the Constitution have been met and if:

- (a) a majority of the governors voting at a quorate meeting of the Council of Governors agrees to the amendment;
- (b) the amendment has been authorised by a majority of directors voting at a quorate meeting of the Trust Board;
- (c) the variation proposed does not contravene a statutory provision.

Any amendments to these Standing Orders shall be reported to NHSE.

**2.14.2** Where an amendment is made in relation to the powers or duties of the Council of Governors (or otherwise with respect to the role that the Council of Governors has as part of the trust) at least one 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.

**2.14.3** 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.

## **2.15 Quorum**

**2.15.1** Nine governors including not less than five public governors shall form a quorum.

**2.15.2** Any governor who has been disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest shall no longer count towards the quorum. If a quorum is then not available for the discussion and / or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business.

**2.15.3** In accordance with the Constitution, if at any meeting there is no quorum within an appropriate period of time (to be determined by the Chair of the meeting) from the start of the meeting it shall stand adjourned for six clear days and written notice of the date, place and time of the adjourned meeting shall be given to all governors. Upon reconvening, those present shall constitute a quorum.

## **2.16 Appointment of Committees**

**2.16.1** The Council of Governors may establish such committees as it requires to conduct its business. Membership of these committees shall be open to all governors.

**2.16.2** Each committee shall have such terms of reference and powers and be subject to such conditions (as to reporting back to the council) as the Council of Governors shall decide. Such terms of reference shall be read in conjunction with these Standing Orders.

**2.16.3** As and when vacancies arise on each committee, governors shall be invited to express an interest in standing for appointment. Where elections are required, they shall be held at the first meeting of the Council of Governors after the vacancy has arisen. Governor members will be elected by the Council of Governors until the end of their term of office as a governor although will be entitled to express an interest in standing for re-appointment if they are re-elected as a governor.

### **3 Governors – Roles and Responsibilities**

**3.1** In addition to those duties specified in the constitution, it is the role of the Council of Governors and of each governor:

**3.1.1** To act at all times in the best interests of the Trust.

**3.1.2** To represent the interests of the membership and partner organisations.

**3.1.3** To feedback information about the trust to the membership and partner organisations.

**3.1.4** To use their best endeavours to ensure Northern Lincolnshire and Goole NHS Foundation Trust remains a leading acute trust.

**3.1.5** To ensure the Council of Governor meetings are held in accordance with policy and Standing Orders.

**3.1.6** To comply with and implement the code of conduct for the Council of Governors as set out in Standing Order 4.

**3.2** To be consulted on and make recommendations to the Trust Board on the development of the membership strategy.

**3.3** To respond as appropriate when consulted by the Trust Board in accordance with the Constitution.

**3.4** To undertake such functions as the Trust Board shall from time to time request.

**3.5** To consider the annual accounts, any report of the auditor on them and the annual report.

**3.6** To set up committees and working groups; for example, membership strategy, assurance, quality.

**3.7** To attend regular Council of Governor meetings.

- 3.8 To attend the annual members meeting.
- 3.9 The specific duties of governors are:
  - 3.9.1 amending the constitution;
  - 3.9.2 approving the appointment of the Chief Executive;
  - 3.9.3 appointing and removing the Chair and other Non-Executive Directors;
  - 3.9.4 appointing and removing the NHS foundation trust's external auditor;
  - 3.9.5 receiving the NHS foundation trust's annual accounts and annual report;
  - 3.9.6 receiving the Trust's forward (operational) plan;
  - 3.9.7 taking decisions on 'significant transactions';
  - 3.9.8 taking decisions on non-NHS income.

## **4 Code of Conduct for the Council of Governors and the Nolan Principles**

### **4.1 Introduction**

- 4.1.1 This code seeks to outline appropriate conduct for governors, and addresses both the requirements of office and their personal behaviour. Ideally any penalties for non-compliance would never need to be applied. However, a code is considered an essential guide for governors, particularly those who are newly elected.
- 4.1.2 The code seeks to expand on or complement the Constitution. Copies will be made available for the information of all governors and for those considering seeking election to the trust's Council of Governors.
- 4.1.3 Members seeking election to the Council of Governors should sign a declaration to confirm that they will comply with the code in all respects and that, in particular, they support the Trust's objectives.

## 4.2 Qualifications for Office

4.2.1 Members of the Council of Governors must continue to comply with the qualifications required to hold elected office throughout their period of tenure as defined in the Constitution. The Chair should be advised of any changes in circumstances, which disqualify the governor from continuing in office. An example of this would be a public governor becoming an employee of the trust.

## 4.3 Code of Conduct Role and Functions

4.3.1 In addition to their duties set out in the Constitution, and specifically in relation to matters of conduct, governors should:

4.3.1.1 adhere to the Trust's rules and policies and support its objectives, in particular those of retaining foundation status and developing a successful organisation;

4.3.1.2 act in the best interests of the Trust at all times;

4.3.1.3 contribute to the workings of the Council of Governors in order for it to fulfil its role and functions as defined in the Constitution;

4.3.1.4 recognise that their role is a collective one. They exercise collective decision making in the meeting room, which is recorded in the minutes. Outside the meeting room a governor has no more rights and privileges than any other member;

4.3.1.5 note that the functions allotted to the Council of Governors are not of a managerial nature.

## 4.4 Confidentiality

4.4.1 All governors are required to respect the confidentiality of the information they are made privy to as a result of their membership of the Council of Governors.

## 4.5 Conflict of Interests

4.5.1 Governors should act with the utmost integrity and objectivity and in the best interests of the trust in performing their duties. They should not use their position for personal advantage or seek to gain preferential treatment. Any governor who has a material interest in a matter as defined by the Constitution, shall declare such interest to the Council of Governors and:

- shall not vote on any such matters;
- shall not be present except with the permission of the Council of Governors in any discussion of the matter.

**4.5.2** If in any doubt the governor should seek advice from the Chair and / or Trust Secretary. It is important that conflicts of interest are addressed and are seen to be actioned in the interests of the trust and all individuals concerned.

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

**4.5.4** The Register of Governors Interests will feature as a standing item on the agenda of each meeting of the Council of Governors.

#### **4.6 Council of Governors Meetings**

**4.6.1** Governors have a responsibility to attend meetings of the Council of Governors. When this is not possible they should submit an apology to the Chair's office in advance of the meeting stating the reason for non-attendance. The reason for non-attendance will be recorded in the minutes of the meeting.

**4.6.2** In accordance with the Constitution, absence from the Council of Governor meetings without good reason established to the satisfaction of the Council of Governors is grounds for disqualification. If a governor fails to attend half of the meetings of the Council of Governors in any financial year his or her tenure of office is to be immediately terminated unless the other governors are satisfied that the absence was due to a reasonable cause and he or she will be able to start attending meetings of the Trust again within such a period as they consider reasonable.

**4.6.3** Governors are expected to attend for the duration of the meeting.

#### **4.7 Personal Conduct**

**4.7.1** Governors are required to adhere to the highest standards of conduct in the performance of their duties. In respect of their interaction with others, they are required to:

**4.7.1.1** adhere to good practice in respect of the conduct of meetings and respect the views of their fellow elected members;

**4.7.1.2** be mindful of conduct which could be deemed to be unfair or discriminatory;

**4.7.1.3** treat the Trust's executives and other employees with respect and in accordance with the Trust's policy in this respect;

**4.7.1.4** recognise that the Council of Governors and management have a common purpose, i.e. the success of the Trust and adopt a team approach;

**4.7.1.5** conduct themselves in such a manner as to reflect positively on the Trust. When attending external meetings or any other events at which they are present, it is important for governors to be ambassadors for the trust.

## **4.8 Accountability**

**4.8.1** Governors are accountable to the membership and should demonstrate this by attending members' meetings and other key events, which provide opportunities to interface with their electorate in order to understand their views.

## **4.9 Induction and Development**

**4.9.1** Training is essential for governors, in respect of the effective performance of their current role. Governors are required to adhere to the Trust's policy in all respects.

## **4.10 Visits to Trust Premises**

**4.10.1** Where governors wish to visit the premises of the Trust in a formal capacity as opposed to individuals in a personal capacity, the Council of Governors should liaise with the Membership Office to make the necessary arrangements.

## **4.11 Non-Compliance with the Code of Conduct**

**4.11.1** Non-compliance with the code may result in action being taken as follows:

- Where misconduct takes place, the Chair shall be authorised to take such action as may be immediately required, including the exclusion of the person concerned from a meeting.
- Where such misconduct is alleged, it shall be open to the Council of Governors to decide, by simple majority of those in attendance, to lay a formal charge of misconduct:
  - notifying the governor in writing of the charge/s, detailing the specific behaviour, which is considered to be detrimental to the Trust, and inviting and considering their response within a defined timescale.
  - inviting the governor to address the Council of Governors in person if the matter cannot be resolved satisfactorily through correspondence;
  - deciding, by simple majority of those present and voting, whether to uphold the charge of conduct detrimental to the trust;
  - imposing such sanctions as shall be deemed appropriate. Such sanctions will range from the issuing of a written warning as to the member's future conduct and consequences, non-payment of expenses to the removal of the governor from office.

**4.11.2** A governor may be removed from the Council of Governors by a resolution approved by not less than two-thirds of the remaining governors present and voting at a general meeting of the Council of Governors.

**4.11.3** This code of conduct does not limit or invalidate the right of the governor or the trust to act under the Constitution.

## **4.12 Nolan Principles – the seven principles of public life**

**4.12.1** Governors should act in accordance with the Nolan Principles, namely:

**Selflessness:** Holders of public office should take decisions solely in terms of the public interest. They should not do so to gain financial or other material benefit for themselves, their family or their friends.

**Integrity:** Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

**Objectivity:** In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choice on merit.

**Accountability:** Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

**Openness:** Holders of public office should be as open as possible about all the decisions and actions they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

**Honesty:** Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

**Leadership:** Holders of public office should promote and support these principles by leadership and example.

## **5 Declarations of Interests and Register of Interests**

### **5.1 Declarations**

**5.1.1** In accordance with the Constitution and the 2006 Act and in recognition of the codes of conduct and accountability issued by the Department of Health and Social Care the trust is required to maintain a register of interests of governors. The governors must declare any relevant and material interest, whether direct or indirect, in any contract, proposed contract or other matter which is under consideration by the Council of Governors.

**5.1.2** Interests, which should be regarded as 'relevant and material' are:

- Directorships, including non-executive Directorships held in private companies or PLCs (with the exception of those of dormant companies) likely or possibly seeking to do business with the NHS.
- Ownership, part-ownership or directorship of private companies, businesses or consultancies likely or possibly seeking to do business with the NHS.
- Majority or controlling share-holdings in organisations likely or possibly seeking to do business with the NHS.
- A position of authority in a charity or voluntary organisation in the field of health or social care.
- Any connection with a voluntary or other organisation contracting for NHS services or commissioning NHS services.
- Any connection with an organisation, entity or company considering entering into or having entered into a financial arrangement with the trust, including but not limited to, lenders or banks.

**5.1.3** The Trust will interpret the phrase 'relevant and material' in accordance with guidance issued from time to time by the Independent Regulator.**5.1.4** If governors have any doubt about the relevance of an interest, this should be discussed with the Chair.**5.1.5** The exceptions, which shall not be treated as material interests are as follows:

- shares not exceeding 2% of the total shares in issue held in any company whose shares are listed on any public exchange.
- an employment contract held by staff governors.
- an employment contract with the Humber and North Yorkshire Integrated Care Board or an organisation in membership of a Place Health and Care Partnership held by a Place Partnership governor.
- an employment contract with a local authority held by a local authority governor.
- an employment contract with a partnership organisation held by a partnership governor.

## **5.2 Register of Interests**

**5.2.1** The Trust Secretary will ensure that a register of interests is established to record formally declarations of interests of governors. In particular the register will include details of all directorships and other relevant and material interests, which governors have declared.

**5.2.2** These details will be kept up to date and governors must disclose any relevant and material interest as soon as they are aware of it.

**5.2.3** The register will be available for inspection by members of the public free of charge.

## **5.3 Disclosure**

**5.3.1** Any governor who has a material interest as defined above shall declare such interest to the Council of Governors and:

- shall not be present except with the permission of the Council of Governors in any discussion with relevance to the interest;
- shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).

## **ANNEX 7 – STANDING ORDERS FOR THE PRACTICE AND PROCEDURE OF THE TRUST BOARD**

### **1 Introduction**

- 1.1.** The Northern Lincolnshire and Goole NHS Foundation Trust (the Trust) is a public benefit corporation authorised by the Independent Regulator of NHS foundation Trusts under the National Health Service Act 2006.
- 1.2.** The principal purpose of the Trust is set out in the 2012 and 2022 Act, and the Trust Constitution.
- 1.3.** The Trust is required to adopt Standing Orders for the regulation of its proceedings and business.
- 1.4.** The powers of the Trust are set out in section 3 of the Trust Constitution.
- 1.5.** The Trust has specific powers to contract in its own name and to act as a corporate Trustee. In the latter role it is accountable to the Charity Commission for those funds deemed to be charitable as well as to NHSE. The Trust also has a common law duty as a bailee for patients' property held by the Trust on behalf of patients.

### **2 Delegation of Powers**

- 2.1** The Trust has resolved that certain powers and decisions may only be exercised or made by the Trust Board in formal session. These powers and decisions are set out in the Scheme of Delegation.
- 2.2** Under the Standing Orders 7.2 relating to the Arrangements for the Exercise of Functions the Trust Board may exercise its powers to make arrangements for the exercise, on behalf of the Trust, of any of its functions by a committee or sub-committee appointed by virtue of Standing Order 8 or by an Executive Director, in each case subject to such restrictions and conditions as the Trust Board thinks fit or as NHSE may direct.
- 2.3** Delegated powers are covered in the Scheme of Delegation, which has effect as if incorporated into the Standing Orders.

### **3 Interpretation and Scope**

#### **3.1 Interpretation**

- 3.1.1** Save as permitted by law, and subject to the Constitution, at any meeting the Chair of the Trust shall be the final authority on the interpretation of Standing Orders on which they shall be advised by the Chief Executive and in the case of Standing Financial Instructions by the Chief Financial Officer.

**3.1.2** Any expression to which a meaning is given in the Health Service Acts or in the Regulations or Orders made under the Acts shall have the same meaning in this interpretation and in addition:

**“Accounting Officer”** shall be the officer responsible and accountable for funds entrusted to the Trust. They shall be responsible for ensuring the proper stewardship of public funds and assets. For this Trust it shall be the Chief Executive.

**“Trust”** means the Northern Lincolnshire and Goole NHS Foundation Trust.

**“Board”** shall mean the Chair, Non-Executive Directors, and the Executive Directors.

**“Budget”** shall mean a resource, expressed in financial terms, proposed by the board for the purpose of carrying out, for a specific period, any or all of the functions of the Trust;

**“Chair”** is the person appointed by the Council of Governors to lead the board and to ensure that it successfully discharges its overall responsibility for the Trust as a whole. The expression “the Chair of the Trust” shall be deemed to include the Vice Chair of the Trust if the Chair is absent from the meeting or is otherwise unavailable.

**“Chief Executive”** shall mean the chief executive officer of the Trust.

**“Chief Financial Officer”** shall mean the chief financial officer of the Trust.

**“Committee”** shall mean a committee appointed by the Trust.

**“Committee Members”** shall be persons formally appointed by the Trust to sit on or to chair specific committees.

**“Director”** shall mean a person appointed as a director in accordance with the Constitution and includes the Chair.

**“Funds Held On Trust”** shall mean those funds which the Trust holds at its date of incorporation, receives on distribution by statutory instrument, or chooses subsequently to accept. Such funds may or may not be charitable.

**“Motion”** means a formal proposition to be discussed and voted on during the course of a meeting.

**“Non-Executive Director”** means a director, including the Chair, who does not hold an executive office of the Trust.

**“Nominated Officer”** means an officer charged with the responsibility for discharging specific tasks within Standing Orders and Standing Financial Instructions.

**“Officer”** means an employee of the Trust.

**“Senior Independent Director”** means the Non-Executive Director appointed as an alternative point of contact for governors and directors when they have concerns that have not been resolved through the normal channels of Chair, Chief Executive, Chief Financial Officer or Trust Secretary or for which such contact is inappropriate.

**“Vice Chair”** means the Non-Executive Director appointed by the Trust to take on the Chair’s duties if the Chair is absent for any reason

### **3.2 Scope**

**3.2.1** All business shall be conducted using these Standing Orders in the name of the Trust.

**3.2.2** All funds received in Trust shall be in the name of the Trust as corporate Trustee. In relation to funds held on Trust, powers exercised by the Trust as corporate Trustee shall be exercised separately and distinctly from those powers exercised as a Trust.

**3.2.3** The Trust has resolved that certain powers and decisions may only be exercised by the board in formal session. These powers and decisions are set out in the “Reservation of Powers to the Board” and have effect as if incorporated into the standing orders.

## **4 Appointment to the Board**

### **4.1 Composition of the Trust Board**

**4.1.1** In accordance with the NHS 2006 Act and the Trust Constitution the composition of the board of the Trust shall comprise a Chair, five Non-Executive Directors, and five Executive Directors including the Chief Executive, Chief Financial Officer, a registered medical practitioner and a registered nurse or midwife.

**4.1.2** The Trust, on occasion, may seek to appoint Associate Non-Executive Directors to address specific identified skills gaps or allow succession planning. Associate Non-Executive Directors are non-voting members of the Trust Board.

### **4.2 Appointment of the Chair and Non-Executive Directors**

**4.2.1** The Trust has resolved that certain powers and decisions may only be exercised by the board in formal session. These powers and decisions are set out in the “Reservation of Powers to the Board” and have effect as if incorporated into the Standing Orders.

**4.2.2** In accordance with the Trust Constitution, the appointment and removal of the Chair and the other Non-Executive Directors is the prerogative of the Council of Governors. Where a Non-Executive Director vacancy arises, the Appointment & Remuneration Committee, on behalf of the Council of Governors, with the Joint Chair and / or Vice Chair, will assess and seek opinion from the Trust Board on the skills and experience required.

**4.2.3** For the appointment of a Chair the Trust shall appoint a nominations panel (of the Appointments & Remuneration Committee for Non-Executive Directors) which will include the Senior Independent Director (or another Non-Executive Director in the case of a conflict of interests) and at least three governors to interview applicants and make a recommendation to the Council of Governors.

**4.2.4** In the case of other Non-Executive Directors, the Trust shall appoint a nominations panel which will include the Chair, and at least three governors to interview applicants and to make a recommendation to the Council of Governors.

### **4.3 Appointment of an Associate Non-Executive Director**

**4.3.1** In accordance with the Trust Constitution, the appointment and removal of an Associate Non-Executive Director is the prerogative of the Council of Governors. Where an Associate Non-Executive Director vacancy arises, the Appointment & Remuneration Committee, on behalf of the Council of Governors, with the Joint Chair and / or Vice Chair, will assess and seek opinion from the Trust Board on the skills and experience required.

**4.3.2** For the appointment of an Associate Non-Executive Director the Trust shall appoint a nominations panel (of the Appointments & Remuneration Committee for Non-Executive Directors) which will include the Senior Independent Director (or another Non-Executive Director in the case of a conflict of interests) and at least three governors to interview applicants and make a recommendation to the Council of Governors.

## **4.4**

**4.4 Terms of Office of the Chair and Non-Executive Directors**  
**4.4.1** Unless the Council of Governors decides otherwise from time to time the Chair and the Non-Executive Directors are to be appointed for a term of three years and will be eligible for reappointment for two further terms of three years. Any proposed term beyond nine years (e.g. three three-year terms) for a Non-Executive Director shall be subject to annual re-appointment, rigorous review, and shall take into account the need for progressive refreshing of the board.

### **4.5 Terms of Office of an Associate Non-Executive Director**

**4.5.1** Unless the Council of Governors decides otherwise from time to time Associate Non-Executive Directors are to be appointed for a term of one year and may be eligible for reappointment for an additional two, one-year terms.

**4.5.2** Associate Non-Executive Directors are a non-voting members of the Trust Board.

### **4.6 Performance Appraisal of the Group Chair**

4.6.1`The Non-Executive Directors shall meet without the Group Chair at least annually to evaluate the Group Chair's performance as part of a process of appraisal which has been agreed with the Council of Governors.

#### **4.7Appointment of Vice Chair**

4.7.1`For the purpose of enabling the proceedings of the Trust to be conducted in the absence of the Group Chair, the Council of Governors will appoint a Non-Executive Director to be Vice Chair for such a period, not exceeding the remainder of the term as Non-Executive Director of the Trust, as it may specify on making the appointment. If the Group Chair is unable to discharge the office of Group Chair of the Trust/Group, the Vice Chair shall be Acting Chair of the Trust.

4.7.2Any Non-Executive Director so elected may at any time resign from the office of Vice Chair by giving notice in writing to the Group Chair and the Council of Governors may thereupon appoint another Non-Executive Director as Vice Chair.

#### **4.8 Powers of Vice Chair**

4.8.1 Where the Chair of the Trust has died or has otherwise ceased to hold office or where they have been unable to perform their duties as Chair owing to illness, absence from England and Wales or any other cause, references to the Chair in these Standing Orders shall, so long as there is no Chair able to perform their duties, be taken to include references to the Vice Chair.

#### **4.9 Appointment of Senior Independent Director**

4.9.1 The NHS Foundation Trust Code of Governance recommends that the Board of Directors should appoint a Non-Executive Director as the Senior Independent Director as an alternative point of contact for governors and directors when they have concerns that have not been resolved through the normal channels of Chair, Chief Executive, Chief Financial Officer or Trust Secretary or for which such contact is inappropriate.

4.9.2 The criteria and process for the appointment of a Senior Independent Director is set out in Appendix A of the Terms of Reference and Membership of the Appointments & Remuneration Committee for Non-Executive Directors.

#### **4.10 Executive Directors – Additional Appointments**

4.10.1 With the approval of the Trust Board, a Group Executive Director may accept not more than one appointment as a Non-Executive Director of another NHS foundation Trust or an organisation of comparable size and complexity.

4.10.2 An Executive Director may not accept an appointment as Chair of another NHS Foundation Trust or an organisation of comparable size and complexity, except in the case of a Trust which is the subject of a Memorandum of Understanding.

### **5 Executive Directors – Joint Appointments**

5.1 The Trust recognises that as partnership and collaborative working is further developed with partners, opportunities may arise to introduce joint executive roles. Such opportunities are managed in accordance with section 7 ('Joint Roles with Other Trusts') of the 'Principles Framework for Determining the Remuneration & Terms of Service for the Chief Executive and Executive Directors' document (managed by the Remuneration and Terms of Service Committee).

### **6 Practice and Procedure of Meetings**

**6.0.1** All business meetings of the Trust Board shall be conducted in the name of the Trust.

#### **6.1 Annual Members' Meeting**

**6.1.1** In accordance with the Trust Constitution the Trust will hold a members meeting (the "annual members' meeting") within nine months of the end of the financial year.

## **6.2 Calling Meetings / Extraordinary Meetings**

- 6.2.1** The Chair may call a meeting of the Trust Board at any time. The Chair shall send a written notice to all directors as soon as possible after the receipt of such a request. The Chief Executive or four directors may request the Chair to call a meeting giving written notice of the business to be carried out. If the Chair fails to call such a meeting then the Chief Executive, or four directors, whichever is the case, may forthwith call a meeting.
- 6.2.2** The ordinary meetings of the Trust Board shall, unless otherwise be determined, be held on a nominated day each month or at such other times as the board may determine and at such places as the board may determine.
- 6.2.3** Meetings of the Trust Board shall be open to the public, unless and to the extent that the Trust Board has resolved that members of the public should be excluded from a meeting due to special reasons.
- 6.2.4** The Chair (Vice Chair in the absence of the Chair) shall give such directions as the Chair thinks fit in regard to the arrangements for meetings and accommodation of the public and representatives of the press such as to ensure that the Trust Board's business shall be conducted without interruption and disruption.
- 6.2.5** Nothing in these Standing Orders shall require the Trust Board to allow members of the public or representative of the press to record proceedings in any manner whatsoever, other than writing, or to make an oral report of proceedings as they take place without the prior agreement of the Trust Board.

## **6.3 Notice of Meetings**

- 6.3.1** Save in the case of emergencies or the need to conduct urgent business, the Chairman's office shall give to all directors at least fourteen days written notice of the date and place of every meeting of the Trust Board.
- 6.3.2** Before each meeting of the Trust Board, a notice of the meeting, specifying the business proposed to be transacted at it shall be delivered to every director, or sent by post to the usual place of residence of such director, so as to be available to every director at least three clear days before the meeting.
- 6.3.3** Lack of service of the notice on any director shall not affect the validity of a meeting.

**6.3.4** In the case of a meeting called by directors or the Chair, in default of the Chief Executive, the notice shall be signed by those directors or the Chair and no business shall be transacted at the meeting other than that specified in the notice.

**6.3.5** Failure to serve such a notice on more than two directors will invalidate the meeting. A notice shall be presumed to have been served at the time at which the notice would be delivered in the ordinary course of the post.

#### **6.4 Notice of Agenda Items**

**6.4.1** The Trust may determine that certain matters shall appear on every agenda for a meeting of the Trust Board and shall be addressed prior to any other business being conducted, which will have effect as though incorporated into the Standing Orders.

**6.4.2** A director wishing to propose an agenda item or motion should send written notice eight clear days before the meeting to the Chair who shall insert the item or motion in the agenda for the meeting. Requests made less than eight days before a meeting may be included on the agenda at the discretion of the Chair.

**6.4.3** Notwithstanding the intent of the previous paragraph urgent business may be raised at a meeting of the board provided the director wishing to raise such business has given notice to the Chair not later than the day preceding the meeting or in exceptional circumstances not later than one hour before the meeting. In either case, the Chair (or in their absence the Vice Chair) shall determine in consultation with the Chief Executive, the urgency of the proposed business and whether it should be discussed, deferred to the next meeting, or dealt with by the Chief Executive.

**6.4.4** Before holding a meeting, the Trust Board shall send a copy of the agenda to the Council of Governors.

#### **6.5 Chair of Meeting**

**6.5.1** At any meeting of the Trust Board, the Chair, if present, shall preside.

**6.5.2** If the Chair is absent from the meeting the Vice Chair, if present, shall preside. If the Chair and Vice Chair are absent such Non-Executive Directors as the directors' present shall choose shall preside.

**6.5.3** If the Chair is absent from the meeting temporarily on the grounds of a declared conflict of interest the Vice Chair, if present, shall preside. If Chair and Vice Chair are absent, or are disqualified from participating, such Non-Executive Directors as the directors' present shall choose shall preside.

## 6.6 Motions

**6.6.1** A director of the Trust wishing to propose an agenda item, or move or amend a motion shall send a written notice thereof at least eight clear days before the meeting to the Chair, who shall insert in the agenda for the meeting all notices so received subject to the notice being permissible under the appropriate regulations. This paragraph shall not prevent any motion being moved during the meeting, without notice, on any business mentioned on the agenda subject to Standing Order 6.5.

**6.6.2** A motion or amendment once moved and seconded may be withdrawn by the proposer with the concurrence of the seconder and the consent of the Chair.

**6.6.3** Notice of motion to amend or rescind any resolution (or the general substance of any resolution) which has been passed within the preceding six calendar months shall bear the signature of the director(s) who gives it and also the signature of four other directors. When any such motion has been disposed of by the Trust, it shall not be competent for any director other than the Group Chair to propose a motion to the same effect within six months.

**6.6.4** When a motion is under discussion or immediately prior to discussion it shall be open to a director to move:

**6.6.4.1** An amendment to the motion.

**6.6.4.2** The adjournment of the discussion or the meeting.

**6.6.4.3** That the meeting proceed to the next business. (\*)

**6.6.4.4** The appointment of an ad hoc committee to deal with a specific item of business.

**6.6.4.5** That the motion be now put to a vote. (\*)

In the case of sub-paragraphs denoted by (\*) above to ensure objectivity motions may only be put by a director who has not previously taken part in the debate and who is eligible to vote.

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

**6.6.6** The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment thereto.

## 6.7 Group Chair's Ruling

**6.7.1** Statements of directors made at meetings of the board shall be relevant to the matter under discussion at the material time. The decision of the Group Chair of the meeting on questions of order, relevancy and regularity (including procedure on handling motions) and their interpretation of the Standing Orders, shall be final. In this interpretation they shall be advised by the

Executive and in the case of Standing Financial Instructions by the Chief Financial Officer.

## **6.8 Voting**

- 6.8.1** Every question at a meeting can be determined by a majority of the votes of the directors present and voting on the question and, in the case of any equality of votes, the person presiding shall have a second or casting vote.
- 6.8.2** All questions put to the vote shall, at the discretion of the Group Chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the directors present so request.
- 6.8.3** If at least one-third of the directors' present so request, the voting (other than by paper ballot) on any question may be recorded to show how each director present voted or abstained.
- 6.8.4** If a director so requests, their vote shall be recorded by name upon any vote (other than by paper ballot).
- 6.8.5** In no circumstances may an absent director vote by proxy. Absence is defined as being absent at the time of the vote.
- 6.8.6** Any director or member of a committee of the directors may participate in a meeting of the Trust Board or such committee by means of a conference telephone or similar communications equipment whereby all persons participating in the meeting can hear each other and participation in the meeting in this manner shall be deemed to constitute presence in person at such meeting.
- 6.8.7** A resolution in writing signed by all of the directors entitled to receive notice of a meeting of the Trust Board shall be as valid and effectual as if it had been passed at a meeting of the board of directors duly convened and held and may consist of several documents in the like form each signed by one or more directors.
- 6.8.8** A resolution in electronic form sent to all of the directors entitled to receive notice of a meeting of the board of directors by electronic communication (for the purposes of this provision "electronic communication" means a communication transmitted (whether from one person to another, from one device to another or from a person to a device or vice versa) (a) by means of an electronic communications network; or (b) by other means but while in an electronic form) to the electronic addresses notified to the Trust by each of the directors, shall be as valid and effectual as if it had been passed at a meeting of the Trust Board duly convened and held provided that each and every director entitled to receive a notice of a meeting of the Trust Board responds by electronic communication to the electronic address from which the resolution in electronic form was transmitted from, confirming their acceptance of the resolution.

**6.8.9** An acting director who has been appointed formally by the appropriate appointments committee in accordance with the Constitution to carry out a vacant director's duties during a period of temporary incapacity, shall be entitled to exercise the voting rights of the director.

**6.8.10** An officer attending the board to represent an executive director during a period of incapacity or temporary absence without being formally appointed to the board may not exercise the voting rights of the executive director. An officer's status when attending a meeting shall be recorded in the minutes.

## **6.9 Minutes**

**6.9.1** The minutes of the proceedings of a meeting shall be drawn up and submitted for agreement at the next ensuing meeting where they will be signed by the person presiding at it.

**6.9.2** The names of the directors' present at the meeting shall be recorded in the minutes. No discussion shall take place upon the minutes except upon their accuracy or where the Chair considers discussion appropriate. Any amendment to the minutes shall be agreed and recorded at the next meeting.

**6.9.3** It is the responsibility of each individual director to ensure that, where they have concerns which cannot be resolved about the running of the foundation Trust or a proposed action, those concerns are recorded in the board minutes.

**6.9.4** Minutes shall be circulated in accordance with directors' wishes.

**6.9.5** A copy of the minutes shall be provided by the Trust Board to the Council of Governors as soon as practicable after the meeting to which they relate.

## **6.10 Quorum**

**6.10.1** No business shall be transacted at a meeting of the Trust Board unless at least six of the directors are present including not less than three executive directors (one of whom must be the Chief Executive or Chief Financial Officer) and three Non-Executive Directors.

**6.10.2** An officer in attendance for an executive director but without formal acting up status may not count towards the quorum.

**6.10.3** If a director has been disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest (see Standing Orders 10 and 11) they shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or the passing of a resolution on any matter, that matter may not be discussed further or voted upon at that meeting. Such a position shall be recorded in the minutes of the meeting. The meeting must then proceed to the next business. The above requirement for at least three executive directors to form part of the quorum shall not apply where the executive directors are excluded from a meeting (for example when the board considers the recommendations of the Remuneration and Terms of Service Committee).

**6.10.4** Directors can participate in meetings by telephone or through the use of video conferencing facilities, where such facilities are available. Participation in a meeting through any of these methods shall be deemed to constitute presence in person at the meeting.

## **6.11 Personal Conduct (part of Standards of Business Conduct Policy section)**

**6.11.1** Directors are required to adhere to the highest standards of conduct in the performance of their duties. In respect of their interaction with others, they are required to:

- adhere to good practice in respect of the conduct of meetings and respect the views of their colleagues;
- be mindful of conduct which could be deemed to be unfair or discriminatory;
- treat the Trust's Council of Governors and Trust employees with respect and in accordance with the Trust's policy;
- recognise that the Trust Board and the Council of Governors have a common purpose, i.e. the success of the Trust, and adopt a team approach;
- conduct themselves in such a manner as to reflect positively on the Trust. When attending external meetings or any other events at which they are present, it is important for directors to be ambassadors for the Trust.

## **7 Suspension of Standing Orders**

**7.1** Except where this would contravene any statutory provision, Standing Orders may be suspended at any meeting, provided that:

**7.1.1** at least two thirds of the board are present including one executive director and one Non-Executive Director,

**7.1.2** a majority of those present vote in favour of a suspension;

**7.1.3** the variation proposed does not contravene any statutory provision or direction made by NHSE.

**7.2** A decision to suspend Standing Orders shall be recorded in the minutes of the meeting.

**7.3** A separate record of matters discussed during the suspension of Standing Orders shall be made and should be available to the directors.

**7.4** No formal business shall be transacted while Standing Orders are suspended.

**7.5** The Audit, Risk and Governance Committee shall review every decision to suspend Standing Orders.

## **8 Reservation of Powers and Delegation of Functions**

### **8.1 Reservation of Powers**

**8.1.1** The Trust has resolved that certain powers and decisions may only be exercised by the Board in formal session, held in accordance with Standing Order 6. These powers and decisions are set out in the “Reservation of Powers to the Board and Delegation of Powers” and have effect as if incorporated into the Standing Orders.

### **8.2 Arrangements for the Exercise of Functions by Delegation**

**8.2.1** The Trust Board may make arrangements for the exercise, on behalf of the Trust, of any of its functions by a committee or sub-committee, appointed by virtue of Standing Order 9.5 below or by a director or an officer of the Trust in each case subject to such restrictions and conditions as the board thinks fit.

### **8.3 Emergency Powers**

**8.3.1** The powers which the Trust Board has retained to itself within these Standing Order 8.1 may in emergency be exercised by the Chief Executive and the Chair after having consulted at least two Non-Executive Directors.

**8.3.2** The exercise of such powers by the Chief Executive and the Chair shall be reported to the next formal meeting of the board for ratification.

### **8.4 Delegation to Committees**

**8.4.1** The Trust Board shall agree from time to time to the delegation of executive powers to be exercised by executive committees or assurance sub-committees of the Trust Board, which it has formally constituted.

**8.4.2** The Constitution and terms of reference of these committees, or sub-committees, and their specific executive powers shall be approved by the Trust Board.

## **8.5 Delegation to Officers**

- 8.5.1** Those functions of the Trust which have not been retained as reserved by the Trust Board or delegated to a committee or committee of the Trust Board shall be exercised on behalf of the Trust Board by the Chief Executive. The Chief Executive shall determine which functions they will perform personally and shall nominate officers to undertake the remaining functions for which they will still retain accountability to the Trust Board.
- 8.5.2** The Chief Executive shall prepare a Scheme of Delegation identifying their proposals which shall be considered for approval by the Trust Board, subject to any amendment agreed during the discussion. The Chief Executive may periodically propose amendment to the Scheme of Delegation which shall be considered for approval by the Trust Board as indicated above.
- 8.5.3** Nothing in the Scheme of Delegation shall impair the discharge of the direct accountability to the board of the Chief Financial Officer or other executive director to provide information and advise the Trust Board in accordance with any statutory requirements or the requirements of the Independent Regulator.
- 8.5.4** The arrangements made by the Trust Board as set out in the Scheme of Delegation shall have effect as if incorporated in these Standing Orders.

## **9 Committees**

### **9.1 Appointment of Committees and Sub-Committees**

- 9.1.1** Subject to Standing Order 8.4 and such directions as may be given by the Constitution, the Trust may appoint committees of the Trust, consisting wholly or partly of directors of the Trust or wholly of persons who are not directors of the Trust.
- 9.1.2** A committee appointed under Standing Order 8.4 may, subject to such directions as may be given by the Trust, appoint sub-committees consisting wholly or partly of members of the committee (whether or not they include directors of the Trust) or wholly of persons who are not members of the Trust committee (whether or not they include directors of the Trust).
- 9.1.3** The Standing Orders of the Trust, as far as they are applicable, shall apply with appropriate alteration agreed by the Trust Board to meetings of any committees or sub-committee established by the Trust.
- 9.1.4** Each such committee or sub-committee shall have such terms of reference and powers and be subject to such conditions (as to reporting back to the board), as the board shall decide.
- 9.1.5** Committees may not delegate their executive powers to a sub-committee unless expressly authorised by the board.

**9.1.6** The Board Committees will be made up of Non-Executive Directors and Executive Directors as core members and other staff as deemed appropriate being 'in attendance'. Except the Audit, Risk and Governance Committee and Remuneration and Terms of Service Committee must only have Non-Executive Directors as core members.

**9.1.7** Where the Trust is required to appoint persons to a committee and/or to undertake statutory functions as required by the independent regulator, and where such appointments are to operate independently of the Trust such appointment shall be made in accordance with applicable statute and regulations and with guidance issued by the independent regulator.

**9.1.8** The following committees shall be established:

**(a) Audit Committee**

The Trust Board shall establish an Audit Committee to be known as the Audit, Risk and Governance Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of reference of the Committee have effect as if incorporated into these Standing Orders.

**(b) Remuneration Committee**

The board shall establish a Remuneration Committee, to be known as the Remuneration and Terms of Service Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of reference of the Committee have effect as if incorporated into the Standing Orders.

**(c) Charitable Funds Committee**

The Trust Board shall establish a Charitable Funds Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of reference of the Committee have effect as if incorporated into the Standing Orders.

**(d) Finance Committee**

The Trust Board shall establish a Finance Committee to be known as the Finance, Estates & Performance Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of reference of the Committee have effect as if incorporated into these Standing Orders.

**(e) Quality & Safety Committee**

The Trust Board shall establish a Quality & Safety Committee to be known as the Group Quality and Safety Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of reference of the Committee have effect as if incorporated into the Standing Orders.

**(f) Workforce Committee**

The Trust Board shall establish a Workforce Committee to be known as the Group Workforce, Education and Culture Committee which shall meet at least quarterly and be answerable to, and report to, the Trust Board. The terms of

reference of the Committee have effect as if incorporated into the Standing Orders.

**(g) Committees In Common**

The Trust Board shall establish any other joint permanent or ad-hoc committee in common as may be required. It is not necessarily a requirement that these other committees report directly to the Trust Board, but in all cases the reporting arrangements will be defined in their terms of reference.

**(h) Other Committees**

The Trust Board shall establish any other permanent or ad-hoc committees as may be required. It is not necessarily a requirement that these other committees report directly to the Trust Board, but in all cases the reporting arrangements will be defined in their terms of reference.

**9.2 Confidentiality**

**9.2.1** A member of a committee shall not disclose a matter dealt with by, or brought before, the committee without its permission until the committee shall have reported to the board or shall otherwise have concluded on that matter.

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

**10 Declaration of Interests and Register of Interests**

**10.1** Pursuant to Section 20 of Schedule 7 of the 2006 Act, a register of Directors' interests must be kept by the Trust.

**10.2** Pursuant to Section 152 of the 2012 Act, Directors have a duty:

**10.2.1** 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.

**10.2.2** not to accept a benefit from a third party by reason of being a director or doing (or not doing) anything in that capacity.

**Declarations of Interests**

**10.3.1** Trust Board directors are required to declare relevant and material interests. Any directors appointed subsequently should do so on appointment.

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

**10.3.2.1** Directorships, including Non-Executive Directorships held in private companies or PLCs (with the exception of those of dormant companies) likely or possibly seeking to do business with the NHS.

- 10.3.2.2** Ownership, part-ownership or directorates of private companies, businesses or consultancies likely or possibly seeking to do business with the NHS;
- 10.3.2.3** Majority or controlling share-holdings in organisations likely or possibly seeking to do business with the NHS;
- 10.3.2.4** A position of authority in a charity or voluntary organisation in the field of health and social care;
- 10.3.2.5** Any connection with a voluntary or other organisation contracting for NHS services or commissioning NHS services;
- 10.3.2.6** Any connection with an organisation, entity or company considering entering into a financial arrangement with the Trust, including, but not limited to, lenders or banks.
- 10.3.3** If Trust Board directors have any doubt about the relevance of an interest, this should be discussed with the Chair.
- 10.3.4** At the time board directors' interests are declared, they should be recorded in the board minutes. Any changes in interests should be declared at the next Trust Board meeting following the change occurring.
- 10.3.5** Trust Board directors' directorships of companies likely or possibly seeking to do business with the NHS should be published in the board's annual report. The information should be kept up to date for inclusion in succeeding annual reports.
- 10.3.6** During the course of a Trust Board meeting, if a conflict of interest is established, the board director concerned should withdraw from the meeting and play no part in the relevant discussion or decision.
- 10.3.7** There is no requirement for the interests of board directors' spouses or partners to be declared. (Note, however, that Standing Order 11 requires that the interest of directors' spouses, if living together, in contracts should be declared).

**10.3.8** It is the obligation of the director to inform the Trust Secretary in writing within seven days of becoming aware of the existence of a relevant or material interest. The secretary will amend the register upon receipt within three working days.

#### **10.4 Authorisation of Conflict of Interest**

**10.4.1** Where a director has a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the Trust (in contravention of the duty outlined at Standing Order 10), this may be authorised if a majority of directors vote in favour of authorisation.

**10.4.2** If there is a dispute as to whether a conflict or potential conflict of interest exists, majority will resolve the issue with the Chair having the casting vote.

**10.4.3** If a director has a direct or indirect interest that conflicts (or possibly may conflict) with the interests of the Trust that is not authorised by the Trust Board, the director in question will be deemed to be in breach of the statutory duty.

#### **10.5 Register of Interests**

**10.5.1** In accordance with the Constitution the Trust Secretary will ensure that a Register of Interests is established to record formally declarations of interests of directors. In particular the register will include details of all directorships and other relevant and material interests which have been declared by both executive and non-executive board directors.

**10.5.2** These details will be kept up to date by means of an annual review of the register in which any changes to interests declared during the preceding twelve months will be incorporated and reviewed by the Trust Board.

**10.5.3** The register will be available to the public and the Chair will take reasonable steps to bring the existence of the register to the attention of the local population and to publicise arrangements for viewing it.

### **11 Exclusion of Directors from Proceedings on Account of Pecuniary Interest**

**11.1** Subject to the following provisions of this Standing Order, if a director of the Trust has any pecuniary interest, direct or indirect, in any contract, proposed contract or other matter and is present at a meeting of the Trust at which the contract or other matter is the subject of consideration, they shall at the meeting and as soon as practicable after its commencement disclose the fact and shall not take part in the consideration or discussion of the contract or other matter or vote on any question with respect to it.

**11.2** The Trust shall exclude a director from a meeting of the Trust while any contract, proposed contract or other matter in which they have a pecuniary interest, is under consideration.

**11.3** For the purpose of this Standing Order, any remuneration, compensation or allowances payable to a director by virtue of paragraph 9 of Schedule 2 to the NHS & Community Care Act 1990, relating to payments of travelling expenses and other allowances as determined by the Secretary of State with the approval of the Treasury, shall not be treated as a pecuniary interest.

**11.4** For the purpose of this Standing Order the Chair or a director shall be treated, subject to Standing Order 11.2, as having indirectly a pecuniary interest in a contract, proposed contract or other matter, if:

**11.4.1** they, or their nominee, is a director of a company or other body, not being a public body, with which the contract was made or is proposed to be made or which has a direct pecuniary interest in the other matter under consideration;

**or**

**11.4.2** they are a partner of, or in the employment of, a person with whom the contract was made or is proposed to be made or who has a direct pecuniary interest in the other matter under consideration;

and in the case of persons living together as partners the interest of one or other shall, if known to the other, be deemed for the purposes of this Standing Order to be also an interest of the other.

**11.5** A director shall not be treated as having a pecuniary interest in any contract, proposed contract or other matter by reason only:

**11.5.1** of their membership of a company or other body, if the director has no beneficial interest in any securities of that company or other body;

**11.5.2** of an interest in any company, body or person with which the director is connected as mentioned in Standing Order 11.2 above which is so remote or insignificant that it cannot reasonably be regarded as likely to influence a director in the consideration or discussion of or in voting on, any question with respect to that contract or matter.

**11.6** Where a director:

**11.6.1** has an indirect pecuniary interest in a contract, proposed contract or other matter by reason only of a beneficial interest in securities of a company or other body, and

**11.6.2** the total nominal value of those securities does not exceed £5,000 or one-hundredth of the total nominal value of the issued share capital of the company or body, whichever is the less, and

**11.6.3** if the share capital is of more than one class, the total nominal value of shares of any one class in which the director has a beneficial interest does not exceed one-hundredth of the total issued share capital of that class.

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

**11.7** Standing Order 11 applies to a committee or sub-committee of the Trust as it applies to the Trust and applies to any member of any such committee or sub-committee (whether or not they is also a director of the Trust) as it applies to a director of the Trust.

## **12 Standards of Business Conduct**

### **12.1 Policy**

**12.1.1** Directors shall act in accordance with the Nolan Principles Governing Conduct of Public Office Holders at all times.

**12.1.2** Staff must comply with the Trust's guidance contained in 'Standards of Business Conduct Policy'. The following provisions should be read in conjunction with that document.

### **12.2 Interest of Officers in Contracts**

**12.2.1** If it comes to the knowledge of a director or an officer of the Trust that a contract in which they have any pecuniary interest, not being a contract to which they are a party, has been, or is proposed to be, entered into by the Trust they shall, at once, give notice in writing to the Chief Executive of the fact that they are interested therein. In the case of married persons, or persons living together as partners, the interest of one partner shall, if known to the other, be deemed to be also the interest of that partner.

**12.2.2** An officer or employee must also declare to the Chief Executive any other employment or business or other relationship of theirs, or of a cohabiting spouse, that conflicts, or might reasonably be predicted could conflict with the interests of the Trust. A register of declared interests shall be kept and maintained by means of an annual review.

### **12.3 Canvassing of, and Recommendations by Directors in Relation to Appointments**

**12.3.1** Canvassing of directors of the Trust or members of any committee of the Trust directly or indirectly for any appointment under the Trust shall disqualify the candidate for such appointment. The contents of this paragraph of the Standing Order shall be included in application forms or otherwise brought to the attention of candidates.

**12.3.2** A director of the Trust shall not solicit for any person any appointment under the Trust or recommend any person for such appointment. This does not preclude a director from giving written testimonial of a candidate's ability, experience or character for submission to the Trust for reference purposes.

**12.3.3** Informal discussions which take place with potential candidates outside appointments panels or committees, whether solicited or unsolicited, should be declared to the panel or committee.

#### **12.4 Relatives of Directors of Officers**

**12.4.1** Candidates for any staff appointment shall, when making application, be required to disclose in writing whether they have a close relationship or are related to any director or the holder of any office under the Trust. Failure to disclose such a relationship shall disqualify a candidate and, if appointed, render them liable to instant dismissal.

**12.4.2** The directors and every officer of the Trust shall disclose to the Chief Executive any relationship with a candidate of whose candidature that director or officer is aware. It shall be the duty of the Chief Executive to report to the Trust any such disclosure made.

**12.4.3** On appointment, directors (and prior to acceptance of an appointment in the case of executive directors) should disclose to the Trust whether they are related to any other director or holder of any office under the Trust.

**12.4.4** Where the relationship of an officer or another director to a director of the Trust is disclosed, Standing Order 11.2 shall apply.

**12.4.5** All managers must comply with the Trust's Standards of Business Conduct Policy.

### **13 Tendering and Contracting Procedures**

Details relating to Tendering and Contracting Procedures can be found in the **Standing Financial Instructions document reference DCM076**.

### **14 Miscellaneous**

#### **14.1 Standing Orders to be Given to Directors and Officers**

**14.1.1** It is the duty of the Chief Executive to ensure that existing directors and officers and all new appointees are notified of and understand their responsibilities within Standing Orders and Standing Financial Instructions.

**14.1.2** Updated copies shall be available to all staff via the Trust intranet.

**14.1.3** New officers designated by the Chief Executive shall be informed in writing of the location and means of accessing Standing Orders.

#### **14.2 Trust Policies**

**14.2.1** All Trust policies will be prepared, consulted upon and assessed for equality impact in accordance with the Trust document control policy and supporting procedures.

**14.2.2** Draft policies presented to the board or the Trust Executive Team for approval must be accompanied by evidence of compliance with the proper procedures for consultation and equality impact assessment.

### **14.3 Documents Having the Standing of Standing Orders**

**14.3.1** Standing Financial Instructions, Reservation of Powers to the Trust Board and Delegation of Powers including the Trust's Devolution Policy, shall have the effect as if incorporated into Standing Orders.

### **14.4 Signature of Documents**

**14.4.1** Where the signature of any document will be a necessary step in legal proceedings involving the Trust, it shall be signed by the Chief Executive, unless any enactment otherwise requires or authorises, or the board shall have given the necessary authority to some other person for the purpose of such proceedings.

**14.4.2** The Chief Executive or nominated officers shall be authorised, by resolution of the board, to sign on behalf of the Trust any agreement or other document (not required to be executed as a deed) the subject matter of which has been approved by the board or committee or sub-committee to which the board has delegated appropriate authority.

### **14.5 Seal and Sealing of Documents**

#### **14.5.1 Custody of Seal**

**14.5.2** The Common Seal of the Trust shall be kept securely by the Trust Secretary as delegated by the Chief Executive. The seal will only be affixed to a document in accordance with these Standing Orders.

#### **14.5.3 Sealing of Documents**

**14.5.3.1** The Seal of the Trust shall not be fixed to any documents unless the sealing has been authorised by a resolution of the board in accordance with these Standing Orders. The seal of the Trust must be used in order to execute a deed, when required to do so by law, normally the conveyancing of land.

**14.5.3.2** Before any building, engineering, property or capital document is sealed it must be approved and signed by the Chief Financial Officer and authorised and countersigned by the Chief Executive (or an officer nominated by the Chief Executive who shall not be within the originating directorate).

#### **14.5.4 Register of Sealing**

**14.5.4.1** An entry of every sealing shall be made and numbered consecutively in a book provided for that purpose and shall be signed by the persons who shall have approved and authorised the document and those who attested the Seal.

**14.5.4.2** A report of all sealing shall be made to the Trust at least quarterly. (The report shall contain details of the seal number, the description of the document and date of sealing).

#### **14.6 Review of Standing Orders**

**14.6.1** Standing Orders shall be reviewed annually by the Trust. The requirement for review extends to all documents having the effect as if incorporated in Standing Orders.

#### **14.7 Variation of Standing Orders**

**14.7.1** These Standing Orders shall be amended only if: the requirements provided for in the Constitution for variation of the Constitution have been met and if:

**14.7.2** a notice of motion under Standing Order 6.7 has been given; and

**14.7.3** no fewer than half the total of the Trust's Non-Executive Directors vote in favour of amendment; and

**14.7.4** at least two-thirds of the directors are present; and

**14.7.5** the variation proposed does not contravene a statutory provision; and

**14.7.6** the proposed amendment has been reported to NHSE.

## **ANNEX 8 – FURTHER PROVISIONS**

### **1. Application for Membership**

- 1.1** An individual may become a member by application to the Trust in accordance with this Constitution or, where so provided for in this Constitution, by being invited by the Trust to become a member of a staff class of the staff constituency in accordance with paragraph 7.5 of the Trust Constitution.
- 1.2** Where an individual wishes to apply to become a member of the Trust, the following procedure shall apply:
- 1.2.1** the Trust shall upon request supply the individual with a form of application for membership in a form determined by the Trust;
- 1.2.2** upon receipt of the said form of application duly completed or upon application in person or via the telephone, the Trust will complete the actions described in paragraph 1.2.3;
- 1.2.3** unless the applicant is ineligible for membership or is disqualified from membership, the Trust shall cause their name to be entered forthwith on the Trust's Register of Members and shall give notice in writing to the applicant of that fact;
- 1.2.4** upon the applicant's name being entered on the Trust's Register of Members the individual shall thereupon become a member;
- 1.2.5** the information to be included in the Trust's Register of Members shall include the following details relating to that member:
- full name and title;
  - the constituency of which they are a member.
- 1.3** Where an individual is to be invited by the Trust to become a member, the following procedure shall apply:
- 1.3.1** the Trust shall take all reasonable steps to satisfy itself that the individual is eligible to become a member of the staff constituency before issuing an invitation to become a member of the Trust and that it has all the information needed to administer that person's membership, as may be defined by the Trust from time to time;
- 1.3.2** the Trust having so satisfied itself, it shall thereupon invite that individual to become a member pursuant to paragraph 7.5 of the Constitution and if necessary shall request the individual to provide such further information, if any, as it may need to administer his or her membership;

- 1.3.3** unless the individual has within 14 days of the date upon which the Trust dispatches its invitation to him or her to become a member advised the Trust that they do not wish to become a member, the Trust shall thereupon enter that individual's name on the Register of Members and they shall thereupon become a member provided that the Trust has been provided with the information, if any, requested pursuant to paragraph 1.3.2 above to enable it to administer the membership;
- 1.3.4** if the individual has failed to provide the information requested by the Trust within 14 days of being invited by the Trust to provide it in accordance with paragraph 1.3.2 above, the Trust shall give notice in writing to the applicant that the information has not been provided and that unless and until the information is provided that individual's name shall not be entered on the Register of Members.
- 1.4** No individual who is ineligible or disqualified from membership shall be entered or remain on the Register of Members.
- 1.5** For the avoidance of doubt, an individual shall become a member on the date upon which their name is entered on the Trust's Register of Members and shall cease to be a member upon the date on which their name is removed from the Register of Members as provided for in this Constitution.

## **2. Additional Grounds for Eligibility or Disqualification of Members**

- 2.1** In addition to satisfying those grounds of eligibility otherwise provided for in the Constitution, the Trust reserves the right to exclude persons from membership of the Trust if they are:
- Persons under 16 years of age.
  - Vexatious complainants, as defined by the Trust Policy and Procedure for the Management of Feedback from Complaints, Concerns, Comments and Compliments (DCP071) from time to time.
  - Former members of the staff of the Trust who were dismissed due to misconduct in the course of their employment.
  - Patients of the Trust who have been excluded from treatment by the Trust in accordance with the Trust's policy from time to time for the management of violent and aggressive behaviour towards Trust staff.
  - Persons who, within the preceding five years, have committed an act of violence against any of the Trust's employees or registered volunteers in association with their employment, as defined in the Trust's policy from time to time for the management of violent and aggressive behaviour, or who have wilfully damaged Trust property or facilities.

---

**The electronic master copy of this document is held by Document Control,  
Directorate of Corporate Assurance, NLaG NHS Foundation Trust.**

**Council of Governors Business Meeting**

**Agenda Item No: CoG(26)051**

<b>Name of the Meeting</b>	<b>Council of Governors Business Meeting</b>
<b>Date of the Meeting</b>	6 May 2026
<b>Director Lead</b>	David Sharif, Group Director of Assurance
<b>Contact Officer/Author</b>	Alison Hurley, Group Deputy Director of Assurance
<b>Title of the Report</b>	<b>Trust Constitution updates</b>
<b>Executive Summary</b>	<p>The Council of Governors is asked to approve amendments to the Trust Constitution.</p> <p>Capsticks LLP have reviewed the proposed amendments and recommended approval to the Council of Governors.</p> <p>The amendments for approval are as follows:</p> <ul style="list-style-type: none"> <li>• Section 11.6 and 11.7 (page 8) – further detail added to the need to maintain a reserved list from the latest elections for co-opting Governors if required</li> <li>• Section 23.1. and 23.2 (page 12) – further details regarding Non-Executive Director appointments added</li> <li>• Annex 1 (page 28) - Council ward information updated to reflect current ward names and Rest of England constituency added</li> <li>• Section 2.6 (page 33) - total number of Governors amended to 26 (from 25)</li> <li>• Section 4.4.1 (page 101) - potential annual re-appointment of a Non-Executive Director after the maximum nine years' service clarified</li> <li>• Various - minor corrections, refinements and job title changes throughout the document.</li> </ul> <p>The Trust Constitution is attached and details the amendments via track-changes for ease of reference.</p>
<b>Background Information and/or Supporting Document(s) (if applicable)</b>	NHS Foundation Trust: Model Core Constitution
<b>Prior Approval Process</b>	Capsticks LLP
<b>Financial implication(s) (if applicable)</b>	N/A
<b>Implications for equality, diversity and inclusion, including health inequalities (if applicable)</b>	N/A
<b>Recommended action(s) required</b>	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Information <input type="checkbox"/> Discussion <input type="checkbox"/> Review <input type="checkbox"/> Assurance <input type="checkbox"/> Other – please detail below: