
Constitution of
The Christie NHS Foundation Trust
(A public benefit corporation)

Amended June 2010

16 June 2010

Mary Edgerton
Executive Secretary to the Board
The Christie NHS Foundation Trust
550 Wilmslow Road
Withington
Manchester
M20 4BX


Monitor

Independent Regulator
of NHS Foundation Trusts

4 Matthew Parker Street
London
SW1H 9NP

T: 020 7340 2400
F: 020 7340 2401
W: www.monitor-nhsft.gov.uk

Dear Mary,

Confirmation of approval of revised constitution

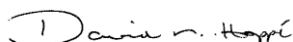
I am writing in response to your request of 10 June 2010 requesting an amendment to the Trust's constitution to split the public area known as the 'Rest of England and Wales' into two areas: one consisting of the local authority areas of Merseyside, Lancashire and Cumbria which would be known as the 'North West' and the other consisting of the 'Remainder of England and Wales'.

The two governors currently representing the 'Rest of England and Wales' area would be split between the two new public areas so that overall there is no change in the composition of the board of governors.

I confirm that the constitution changes are consistent with Schedule 7 of the NHS Act 2006 and otherwise appropriate.

This letter confirming the amendment should be retained with the Trust's bound constitution, together with any other agreed variations.

Yours sincerely



David Hoppe
Senior Compliance Manager

Cc: Roger Spencer, Chief Operating Officer
Ian Moston, Director of Finance and Business Development



Independent Regulator
of NHS Foundation Trusts

4 Matthew Parker Street
London
SW1H 9NP

T: 020 7340 2400
F: 020 7340 2401
W: www.monitor-nhsft.gov.uk

Mary Edgerton
Executive Secretary to the Board
The Christie NHS Foundation Trust
Trust Headquarters
Wilmslow Road
Withington
Manchester
M20 4BX

9 October 2009

Dear Mary

Thank you for your correspondence of 2 October 2009 regarding proposed changes to The Christie NHS Foundation Trust's constitution.

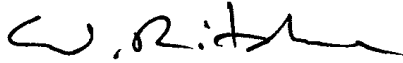
The effect of the amendments will allow the following changes:

- The abolition of the district councils within Cheshire and to replace the existing Cheshire public areas by two new areas - 'Cheshire West and Chester' and 'Cheshire East' - each represented by one governor.
- That the first elections for the new 'Cheshire West and Chester' and 'Cheshire East' areas shall be held in 2012 or on the date of any earlier election which is required to replace either governor representing the areas formerly known as 'Vale Royal, Crewe and Nantwich' or 'Macclesfield and Congleton'.
- To change the name of your partner organisation 'The Christie's charity' listed in annex 3 of your constitution to 'The Christie Charitable Fund'.
- The deletion of paragraph 12.2 from annex 7 relating to the power of the Council of Governors to change the standing orders of the Council of Governors and one related amendment in paragraph 39.1 of the constitution.

I confirm that the constitution is compliant with Schedule 7 of the National Health Service Act 2006.

This letter confirming the amendments should be retained with the Trust's bound constitution, together with any other agreed variations.

Yours sincerely

A handwritten signature in black ink, appearing to read 'W. Ritchie', with a stylized flourish at the end.

Will Ritchie

Acting Senior Compliance Manager

cc Ian Moston, Director of Finance and Business Development
Alison Norman, Director of Nursing and Governance

Monitor

Independent Regulator
of NHS Foundation Trusts

Ms Caroline Shaw
Chief Executive
Christie Hospital NHS Foundation Trust
550 Wilmslow Road
Withington
Manchester
M20 4BX

19th September 2008

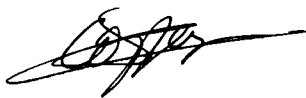
Dear Caroline

We have received by e-mail from Mary Edgerton dated 19 September 2008 proposed changes (version 5) to Christie Hospital NHS Foundation Trust's constitution as a result of a change of the trust's name from 'Christie Hospital NHS Foundation Trust' to 'The Christie NHS Foundation Trust' and to make other administrative type amendments.

I confirm that the constitution is compliant with the National Health Service Act 2006 and otherwise appropriate pursuant to section 35(2)(a) of that Act.

This letter confirming the amendment should be retained with the Trust's bound constitution, together with any other agreed variations.

Yours sincerely



Stephanie Coffey
Senior Compliance Manager

Cc: Mary Edgerton, Executive Secretary to the Board

Constitution of The Christie NHS foundation trust

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1. Name

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

2. Principal purpose

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

3. Powers

- 3.1 The powers of the foundation trust are set out in the 2006 Act, subject to any restrictions in the terms of authorisation.
- 3.2 The powers of the foundation trust shall be exercised by the Board of Directors on behalf of the foundation trust.
- 3.3 Any of these powers may be delegated to a committee of directors or to an executive director.

4. Membership and constituencies

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

- 4.1 a public constituency; and
- 4.2 a staff constituency.

Further provisions as to members meetings are set out in Annex 9.

5. Application for membership

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

6. Public constituency

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

7. Staff constituency

- 7.1 An individual who is employed by the foundation trust under a contract of employment with the foundation trust may become or continue as a member of the foundation trust provided:
- 7.1.1 he or she is employed by the foundation trust under a contract of employment which has no fixed term or has a fixed term of at least 12 months; or
 - 7.1.2 he or she has been continuously employed by the foundation trust under a contract of employment for at least 12 months.
- 7.2 Individuals who exercise functions for the purposes of the foundation trust, otherwise than under a contract of employment with the foundation trust, may become or continue as members of the staff constituency provided such individuals have exercised these functions continuously for a period of at least 12 months. For the avoidance of doubt this includes individuals who assist or provide services to the foundation trust on a voluntary basis.
- 7.3 Those individuals who are eligible for membership of the foundation trust by reason of the previous provisions are referred to collectively as the staff constituency.
- 7.4 The staff constituency shall be divided into five descriptions of individuals who are eligible for membership of the staff constituency, each description of individuals being specified within annex 2 and being referred to as a class within the staff constituency.
- 7.5 The minimum number of members in each class of the staff constituency is specified in annex 2.
- 7.6 The secretary shall make a final decision about the class of which an individual is eligible to be a member.

Automatic membership by default – staff

- 7.7 An individual who is:
- 7.7.1 eligible to become a member of the staff constituency, and
 - 7.7.2 invited by the foundation trust to become a member of the staff constituency and a member of the appropriate class within the staff constituency,

shall become a member of the foundation trust as a member of the staff constituency and appropriate class within the staff constituency without an application being made, unless he or she informs the foundation trust that he or she does not wish to do so.

8. Restriction on membership

- 8.1 An individual who is a member of a constituency, or of a class within a constituency, may not while membership of that constituency or class continues, be a member of any other constituency or class.
- 8.2 An individual who satisfies the criteria for membership of the staff constituency may not become or continue as a member of any constituency other than the staff constituency.
- 8.3 Further provisions as to the circumstances in which an individual may not become or continue as a member of the foundation trust are set out in annex 9.

9. Council of Governors – composition

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

10. Council of Governors – election of governors

- 10.1 Elections for elected members of the Council of Governors shall be conducted in accordance with the model rules for elections, published by the department of health, as may be varied from time to time. The Board of Directors will decide which of the two voting methods set out in the model rules for elections is to be used.
- 10.2 The model rules for elections, as may be varied from time to time, form part of this constitution and are attached at annex 4.
- 10.3 A variation of the model rules by the Department of Health shall not constitute a variation of the terms of this constitution. For the avoidance of doubt, the foundation trust cannot amend the model rules.
- 10.4 An election, if contested, shall be by secret ballot.

11. Council of Governors - tenure

- 11.1 An elected governor shall normally hold office for a period of 3 years commencing immediately after the annual members meeting at which his or her election is announced.
- 11.2 An elected governor shall cease to hold office if he or she ceases to be a member of the constituency or class or area by which he or she was elected.

- 11.3 An elected governor shall be eligible for re-election at the end of his or her term.
- 11.4 An elected governor may not hold office for more than nine consecutive years, and shall not be eligible for re-election if he or she has already held office for more than six consecutive years.
- 11.5 For the purposes of these provisions concerning terms of office for elected governors, “year” means a period commencing immediately after the conclusion of the annual members meeting, and ending at the conclusion of the next annual members meeting.
- 11.6 Further provisions as to tenure for appointed governors are set out at annex 5.

12. Council of Governors – disqualification and removal

- 12.1 The following may not become or continue as a member of the Council of Governors:
 - 12.1.1 a person who has been adjudged bankrupt or whose estate has been sequestrated and (in either case) has not been discharged;
 - 12.1.2 a person who has made a composition or arrangement with, or granted a trust deed for, his or her creditors and has not been discharged in respect of it;
 - 12.1.3 a person who within the preceding five years has been convicted in the British Isles of any offence if a sentence of imprisonment (whether suspended or not) for a period of not less than three months (without the option of a fine) was imposed on him.
- 12.2 Governors must be at least 16 years of age at the date they are nominated for election or appointment.
- 12.3 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.

13. Council of Governors – meetings of governors

- 13.1 The chair of the foundation trust (i.e. the chair of the Board of Directors, appointed in accordance with the provisions of paragraph 20.1 or paragraph 21.1 below) or, in his or her absence the deputy chair (appointed in accordance with the provisions of paragraph 22 below) or, in his or her absence, one of the non-executive directors, shall preside at meetings of the Council of Governors. If the person presiding at any such meeting has a conflict of interest in relation to the business being discussed, the vice chair of the Council of Governors (appointed in

accordance with the provisions of paragraph 6 of annex 5) will chair that part of the meeting.

- 13.2 Meetings of the Council of Governors shall be 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. Members of the public may be excluded from a meeting if they are interfering with or preventing the proper conduct of the meeting or for other special reasons.

14. Council of Governors – standing orders

The standing orders for the practice and procedure of the Council of Governors, as may be varied from time to time by the Council of Governors, are attached at annex 7.

15. Council of Governors - conflicts of interest of governors

- 15.1 Members of the Council of Governors shall disclose to the Council of Governors any material interests (as defined below) held by a governor, their spouse or partner, which shall be recorded in the register of interests of governors.

- 15.2 Subject to the exceptions below a material interest is:

- 15.2.1 any directorship of a company;
- 15.2.2 any interest or position in any firm, company, business or organisation (including any charitable or voluntary organisation) which has or is likely to have a trading or commercial relationship with the foundation trust;
- 15.2.3 any interest in an organisation providing health and social care services to the National Health Service;
- 15.2.4 a position of authority in a charity or voluntary organisation in the field of health and social care;
- 15.2.5 any connection with any organisation, entity or company considering entering into a financial arrangement with the foundation trust including but not limited to lenders or banks.

- 15.3 The exceptions which shall not be treated as interests or material interests for the purposes of these provisions are as follows:

- 15.3.1 shares not exceeding 2% of the total shares in issue held in any company whose shares are listed on any public exchange;
- 15.3.2 an employment contract with the foundation trust held by a staff governor;
- 15.3.3 an employment contract with a PCT held by a PCT governor;
- 15.3.4 an employment contract with a local authority held by a local authority governor;

- 15.3.5 an employment contract with a university held by a university governor;
 - 15.3.6 an employment contract with or other position of authority within a partnership organisation held by a partnership governor.
- 15.4 Any governor who has an interest in a matter to be considered by the Council of Governors (whether because the matter involves a firm, company, business or organisation in which the governor or his or her spouse or partner has a material interest or otherwise) shall declare such interest to the Council of Governors and:
- 15.4.1 shall withdraw from the meeting and play no part in the relevant discussion or decision; and
 - 15.4.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).
- 15.5 Details of any such interest shall be recorded in the register of interests of governors.
- 15.6 Any governor who fails to disclose any interest or material interest required to be disclosed under these provisions must permanently vacate their office if required to do so by a majority of the remaining governors.

16. Council of Governors – travel expenses

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

17. Council of Governors – further provisions

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

18. Board of Directors – composition

- 18.1 The foundation trust is to have a Board of Directors, which shall comprise both executive and non-executive directors.
- 18.2 The Board of Directors is to comprise:
 - 18.2.1 a non-executive chair
 - 18.2.2 not more than five other non-executive directors; and
 - 18.2.3 not more than five executive directors

At least half the board, excluding the chair, will comprise non-executive directors.
- 18.3 One of the executive directors shall be the chief executive.
- 18.4 The chief executive shall be the accounting officer.
- 18.5 One of the executive directors shall be the finance director.

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

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

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

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

19.1 he or she is a member of the public constituency, or

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

19.3 he or she is not disqualified by virtue of paragraph 25 below or annex 6.

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

20.1 The Council of Governors at a general meeting of the Council of Governors shall appoint or remove the chair of the foundation trust and the other non-executive directors.

20.2 Removal of the chair or another non-executive director shall require the approval of three-quarters of the members of the Council of Governors.

20.3 *Sentence deleted.*

20.4 Further provisions as to the appointment and removal of the chair and other non-executive directors are set out at annex 6.

21. Board of Directors – appointment of initial chair and initial other non-executive directors

Paragraph deleted.

22. Board of Directors – appointment of deputy chair

The Council of Governors at a general meeting of the Council of Governors shall appoint one of the non-executive directors as a deputy chair. If the chair is unable to discharge his or her office as chair of the foundation trust the deputy chair of the Board of Directors shall be acting chair of the foundation trust.

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

23.1 The non-executive directors shall appoint or remove the chief executive.

23.2 The appointment of the chief executive shall require the approval of the Council of Governors.

23.3 *Sentence deleted.*

23.4 A committee consisting of the chair, the chief executive and the other non-executive directors shall appoint or remove the other executive directors.

24. Board of Directors – appointment and removal of initial chief executive

Paragraph deleted.

25. Board of Directors – disqualification

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

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

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

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

Further provisions as to the circumstances in which an individual may not become or continue as a member of the Board of Directors are set out at annex 6.

26. Board of Directors – standing orders

The standing orders for the practice and procedure of the Board of Directors, as may be varied from time to time by the Board of Directors, are attached at annex 8.

27. Board of Directors - conflicts of interest of directors

27.1 Members of the Board of Directors shall disclose to the Board of Directors any material interests (as defined below) held by a director, their spouse or partner, which shall be recorded in the register of interests of the directors.

27.2 A material interest is:

27.2.1 any interest (excluding a holding of shares in a company whose shares are listed on any public exchange where the holding is less than 2% of the total shares in issue) or position held by a director in any firm, company or business which has or is likely to have a trading or commercial relationship with the foundation trust;

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

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

27.2.4 any connection with any organisation, entity or company considering entering into a financial arrangement with the foundation trust including but not limited to lenders or banks.

- 27.3 Any director who has an interest in a matter to be considered by the Board of Directors (whether because the matter involves a firm, company, business or organisation in which the director or his or her spouse or partner has a material interest or otherwise) shall declare such interest to the Board of Directors and:
- 27.3.1 shall withdraw from the meeting and play no part in the relevant discussion or decision; and
 - 27.3.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted).
- 27.4 Details of any such interest shall be recorded in the register of interests of the directors.
- 27.5 Any director who fails to disclose any interest or material interest required to be disclosed under these provisions must permanently vacate their office if required to do so by a majority of the remaining directors and (in the case of a non-executive director) by a majority of the Council of Governors.

28. Board of Directors – remuneration and terms of office

- 28.1 The Council of Governors at a general meeting of the Council of Governors shall decide the remuneration and allowances, and the other terms and conditions of office, of the chair and the other non-executive directors.
- 28.2 The foundation trust shall establish a committee of non-executive directors to decide the remuneration and allowances, and the other terms and conditions of office, of the chief executive and other executive directors.

29. Registers

The foundation trust shall have:

- 29.1 a register of members showing, in respect of each member, the constituency to which he or she belongs and, where there are classes within it, the class to which he or she belongs;
- 29.2 a register of members of the Council of Governors;
- 29.3 a register of interests of governors;
- 29.4 a register of directors; and
- 29.5 a register of interests of the directors.

30. Admission to and removal from the registers

- 30.1 The secretary shall remove from the register of members the name of any member who ceases to be entitled to be a member under the provisions of this constitution.
- 30.2 The secretary is to send to Monitor a list of persons who were first elected or appointed as governors and directors.

31. Registers – inspection and copies

- 31.1 The foundation trust shall make the registers specified in paragraph 29 above available for inspection by members of the public, except in the circumstances set out below or as otherwise prescribed by regulations.
- 31.2 The foundation 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 foundation trust, if the member so requests.
- 31.3 So far as the registers are required to be made available:
 - 31.3.1 they are to be available for inspection free of charge at all reasonable times; and
 - 31.3.2 a person who requests a copy of or extract from the registers is to be provided with a copy or extract.
- 31.4 If the person requesting a copy or extract is not a member of the foundation trust, the foundation trust may impose a reasonable charge for doing so.

32. Documents available for public inspection

- 32.1 The foundation trust shall make the following documents available for inspection by members of the public free of charge at all reasonable times:
 - 32.1.1 a copy of the current constitution;
 - 32.1.2 a copy of the current authorisation;
 - 32.1.3 a copy of the latest annual accounts and of any report of the auditor on them;
 - 32.1.4 a copy of the latest annual report;
 - 32.1.5 a copy of the latest information as to its forward planning;
 - 32.1.6 a copy of any notice given under section 52 of the 2006 Act;
 - 32.1.7 a copy of the foundation trust's membership strategy;
 - 32.1.8 a copy of the foundation trust's policy for the composition of the Council of Governors and of the non-executive directors.
- 32.2 Any person who requests a copy of or extract from any of the above documents is to be provided with a copy or extract.
- 32.3 If the person requesting a copy or extract is not a member of the foundation trust, the foundation trust may impose a reasonable charge for doing so.

33. Auditor

- 33.1 The foundation trust shall have an auditor.
- 33.2 The Council of Governors shall appoint or remove the auditor at a general meeting of the Council of Governors.
- 33.3 Further provisions as to the auditor are set out at annex 10.

34. Audit committee

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

35. Accounts

- 35.1 The foundation trust shall keep accounts in such form as Monitor may with the approval of HM Treasury direct.
- 35.2 The accounts are to be audited by the foundation trust's auditor.
- 35.3 The foundation trust shall prepare in respect of each financial year annual accounts in such form as Monitor may with the approval of the HM Treasury direct.
- 35.4 The functions of the foundation trust with respect to the preparation of the annual accounts shall be delegated to the accounting officer.
- 35.5 Further provisions as to accounts are set out at annex 10.

36. Annual report and forward plans

- 36.1 The foundation trust shall prepare an annual report and send it to Monitor. Further provisions as to annual reports are set out at annex 10.
- 36.2 The foundation trust shall give information as to its forward planning in respect of each financial year to Monitor.
- 36.3 The document containing the information with respect to forward planning (referred to above) shall be prepared by the directors.
- 36.4 In preparing the document, the directors shall have regard to the views of the Council of Governors.

37. Meeting of Council of Governors to consider annual accounts and reports

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

- 37.1 the annual accounts
- 37.2 any report of the auditor on them
- 37.3 the annual report.

38. Instruments

38.1 The foundation trust shall have a seal.

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

39. Amendment of the constitution

39.1 No amendment shall be made to this constitution (including its annexes,) unless:

39.1.1 it has been approved by a majority of members of the foundation trust present and voting at a members meeting duly called by order of the Council of Governors in accordance with this constitution; and

39.1.2 it has been approved by Monitor.

39.2 No amendment shall be made to the provisions of this constitution concerning the public constituency unless it has also been approved by a majority of the members of the public constituency as may have voted at the members meeting.

39.3 No amendment shall be made to the provisions of this constitution concerning the staff constituency or the classes of the staff constituency unless it has also been approved by a majority of the members of all of the classes of the staff constituency as may have voted at the members meeting.

40. Mergers

The foundation trust may in accordance with section 56 of the 2006 Act apply to Monitor jointly with another NHS foundation trust or an NHS trust for authorisation of the dissolution of the foundation trust and the transfer of some or all of their property and liabilities to a new NHS foundation trust established under that section. Such application shall only be made if it is approved by a majority of members of the foundation trust present and voting at a members meeting duly called by order of the Council of Governors in accordance with this constitution.

41. Interpretation and definitions

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 Health and Social Care (Community Health and Standards) Act 2003 (as amended by the National Health Service Act 2006), the National Health Service Act 2006, or in regulations made under the Acts.

Headings are for ease of reference only and are not to affect interpretation.

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

“the accounting officer”	means the person who from time to time discharges the functions specified in paragraph 25(5) of Schedule 7 to the 2006 Act;
“appointed governors”	means those governors appointed by the appointing organisations;
“appointing organisations”	means those organisations named in this constitution who are entitled to appoint governors;
“director”	means a member of the Board of Directors;
“elected governors”	means those governors elected by the public constituency and the classes of the staff constituency;
“financial year”	means: <ul style="list-style-type: none">(a) the period beginning with the date on which the foundation trust is authorised and ending with the next 31 March; and(b) each successive period of twelve months beginning with 1 April;
“local authority governor”	means a governor appointed by one or more local authorities whose area includes the whole or part of one of an area for a public constituency of the foundation trust;
“Monitor”	means the independent regulator of NHS foundation trusts, established under Section 31 of the 2006 Act;
“partner”	means, in relation to another person, a member of the same household living together as a family unit;
“partnership governor”	means a governor appointed by a partnership organisation;

“PCT governor”	means a governor appointed by a primary care trust for which the foundation trust provides goods or services;
“public governor”	means a governor elected by the members of one of the areas of the public constituency;
“secretary”	means the secretary of the foundation trust or any other person appointed to perform the duties of the secretary, including a joint, assistant or deputy secretary;
“staff governor”	means a governor elected by the members of one of the classes of the staff constituency;
“terms of authorisation”	means the terms of authorisation issued by Monitor under section 35 of the 2006 Act;
“the 2006 Act”	means the National Health Service Act 2006;
“university governor”	means a governor appointed by the University of Manchester which provides a medical school to a hospital of the foundation trust;
“voluntary organisation”	means a body, other than a public or local authority, the activities of which are not carried on for profit;

Annex 1 – The public constituency

(Paragraphs 6.1 and 6.3)

The areas of the public constituency are:

Bolton

Bury

Manchester

Oldham

Rochdale

Salford

Stockport

Tameside and Glossop

Trafford

Wigan

Cheshire East

Cheshire West and Chester

North West - consisting of the local authority areas of Cumbria County Council, Lancashire County Council and the seven councils previously in Merseyside or Cheshire - Halton Borough Council, Knowsley Council, Liverpool City Council, St. Helens Council, Sefton Council, Warrington Borough Council and Wirral Metropolitan Borough Council.

Remainder of England and Wales - consisting of all other local authority areas in England and Wales not already covered by the local authority areas in Greater Manchester and Cheshire and the North West.

The first elections for the new Cheshire West and Chester and Cheshire East areas shall be held on the date of the Council of Governors elections in 2012 or the date of any earlier election which is required to replace either member of the Council representing Vale Royal, Crewe and Nantwich or Macclesfield and Congleton.

The minimum number of members of each of the areas of the public constituency is to be four.

Annex 2 – The staff constituency

(Paragraphs 7.4 and 7.5)

The classes of the staff constituency are:

Registered medical practitioners

Registered nurses

Other clinical professional staff

Non-clinical staff

Registered volunteers

The minimum number of members of each class of the staff constituency is to be four.

Annex 3 – Composition of Council of Governors

(Paragraphs 9.2 and 9.3)

- 1 The aggregate number of public governors is to be more than half of the total number of members of the Council of Governors.
- 2 The Council of Governors, subject to the 2006 Act, shall seek to ensure that through the composition of the Council of Governors:
 - 2.1 the interests of the community served by the foundation trust are appropriately represented;
 - 2.2 the level of representation of the public constituency, the classes of the staff constituency and the appointing organisations strikes an appropriate balance having regard to their legitimate interest in the foundation trust's affairs;and to this end, the Council of Governors:
 - 2.3 shall at all times maintain a policy for the composition of the Council of Governors which takes account of the membership strategy, and
 - 2.4 shall from time to time and not less than every three years review the policy for the composition of the Council of Governors, and
 - 2.5 when appropriate shall propose amendments to this constitution.
- 3 The Council of Governors of the foundation trust is to comprise:
 - 3.1 15 public governors from the following areas of the public constituency:
 - 3.1.1 Bolton – one public governor
 - 3.1.2 Bury – one public governor
 - 3.1.3 Manchester – two public governors
 - 3.1.4 Oldham – one public governor
 - 3.1.5 Rochdale – one public governor
 - 3.1.6 Salford – one public governor
 - 3.1.7 Stockport – one public governor
 - 3.1.8 Tameside and Glossop – one public governor
 - 3.1.9 Trafford – one public governor
 - 3.1.10 Wigan – one public governor

- 3.1.11 Cheshire East – one public governor
- 3.1.12 Cheshire West and Chester – one public governor
- 3.1.13 North West – one public governor
- 3.1.14 Remainder of England and Wales – one public governor
- 3.2 five staff governors from the following classes;
 - 3.2.1 Registered medical practitioners – one staff governor
 - 3.2.2 Registered nurses – one staff governor
 - 3.2.3 Other clinical professional staff – one staff governor
 - 3.2.4 Non-clinical staff – one staff governor
 - 3.2.5 Volunteers – one staff governor
- 3.3 two PCT governors to be appointed by the primary care trusts comprised in the Greater Manchester and Cheshire Cancer Network between them;
- 3.4 two local authority governors one to be appointed by Manchester City Council and one to be appointed by the other local authorities comprised in the Association of Greater Manchester Authorities between them;
- 3.5 one university governor to be appointed by the University of Manchester;
- 3.6 four partnership governors to be appointed by partnership organisations.
- 4 The partnership organisations that may appoint a partnership governor are:
 - 4.1 The Christie Charitable Fund;
 - 4.2 The North West Development Agency;
 - 4.3 The Black Health Agency;
 - 4.4 The Greater Manchester and Cheshire Cancer Network to nominate a patient representative.

Annex 4 –The model rules for elections

(Paragraph 10.2)

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stv54. Countermand or abandonment of poll on death of candidate

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55. Expenses incurred by candidates

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63. Prohibition of disclosure of vote

64 Disqualification

65 Delay in postal service through industrial action or unforeseen event

Part 1 – Interpretation

1. Interpretation

- 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 2003 Act” means the Health and Social Care (Community Health and Standards) Act 2003.
- 2) Other expressions used in these rules and in Schedule 1 to the Health and Social Care (Community Health and Standards) Act 2003 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

- 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.
- 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

- 1) Subject to rule 64, the returning officer for an election is to be appointed by the corporation.
- 2) Where two or more elections are to be held concurrently, the same returning officer may be appointed for all those elections.

5. Staff – Subject to rule 64, 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 - 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 – 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 – The returning officer is to publish a notice of the election stating:

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

9. Nomination of candidates

- (1) Each candidate must nominate themselves on a single nomination paper.
- (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.

10. Candidate's particulars

- (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 – 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 – 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 1 of the 2003 Act or by any provision of the Constitution; and,
- (b) for a member of the public or patient constituency, of the particulars of his or her qualification to vote as a member of that constituency, or class within that constituency, for which the election is being held.

13. Signature of candidate – The nomination paper must be signed and dated by the candidate, 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

- 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.

- 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.

- 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.
- 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.
- 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

- 1) The returning officer is to prepare and publish a statement showing the candidates who are standing for election.
- 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.
- 3) The statement must list the candidates standing for election in alphabetical order by surname.
- 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

- 1) The corporation is to make the statements 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.
- 2) If a person requests a copy or extract of the statements of candidates or their nomination papers, the corporation is to provide that person with the copy or extract free of charge.

17. Withdrawal of candidates - 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

- 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.
- 2) 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.

- 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

- 1) The votes at the poll must be given by secret ballot.
- 2) The votes are to be counted and the result of the poll determined in accordance with Part 6 of these rules.

20. The ballot paper

- 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.
- 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,
 - (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.
- 3) Each ballot paper must have a unique identifier.
- 4) Each ballot paper must have features incorporated into it to prevent it from being reproduced.

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

- 1) In respect of an election for a public or patient constituency a declaration of identity must be issued with each ballot paper.
- 2) The declaration of identity is to include a declaration –
 - (a) that the voter is the person to whom the ballot paper 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 or patient 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.
- 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.
- 4) The voter must be required to return the declaration of identity together with the ballot paper.
 - 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, the voter's ballot paper may be declared invalid.

Action to be taken before the poll

22. List of eligible voters

- 1) The corporation is to provide the returning officer with a list of the members of the constituency or class within a constituency for which the election is being held who are eligible to vote by virtue of rule 26 as soon as is reasonably practicable after the final date for the delivery of notices of withdrawals by candidates from an election.
- 2) The list is to include, for each member, a mailing address where his or her ballot paper is to be sent.

23. Notice of poll - The returning officer is to publish a notice of the poll stating—

- (a) the name of the corporation,
- (b) the constituency, or class within a constituency, for which the election is being held,
- (c) the number of members of the Council of Governors to be elected from that constituency, or class with that constituency,
- (d) the names, contact addresses, and other particulars of the candidates standing for election, with the details and order being the same as in the statement of nominated candidates,
- (e) that the ballot papers for the election are to be issued and returned, if appropriate, by post,
- (f) the address for return of the ballot papers, and the date and time of the close of the poll,
- (g) the address and final dates for applications for replacement ballot papers, and
- (h) the contact details of the returning officer.

24. Issue of voting documents by returning officer

- 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 documents to each member of the corporation named in the list of eligible voters—
 - (a) a ballot paper and ballot paper envelope,
 - (b) a declaration of identity (if required),
 - (c) information about each candidate standing for election, pursuant to rule 59 of these rules, and
 - (d) a covering envelope.
- 2) The documents are to be sent to the mailing address for each member, as specified in the list of eligible voters.

25. Ballot paper envelope and covering envelope

- 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.

- 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.
- 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.

The poll

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

27. Voting by persons who require assistance

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

28. Spoilt ballot papers

- 1) If a voter has dealt with his or her ballot paper in such a manner that it cannot be accepted as a ballot paper (referred to a “spoilt ballot paper”), that voter may apply to the returning officer for a replacement ballot paper.
- 2) On receiving an application, the returning officer is to obtain the details of the unique identifier on the spoilt ballot paper, if he or she can obtain it.
- 3) The returning officer may not issue a replacement ballot paper for a spoilt ballot paper unless he or she –
 - (a) is satisfied as to the voter’s identity, and
 - (b) has ensured that the declaration of identity, if required, has not been returned.
- 4) After issuing a replacement ballot paper for a spoilt ballot paper, the returning officer shall enter in a list (“the list of spoilt ballot papers”) –
 - (a) the name of the voter, and
 - (b) the details of the unique identifier of the spoilt ballot paper (if that officer was able to obtain it), and
 - (c) the details of the unique identifier of the replacement ballot paper.

29. Lost ballot papers

- 1) Where a voter has not received his or her ballot paper by the fourth day before the close of the poll, that voter may apply to the returning officer for a replacement ballot paper.
- 2) The returning officer may not issue a replacement ballot paper for a lost ballot paper unless he or she
 - (a) is satisfied as to the voter’s identity,
 - (b) has no reason to doubt that the voter did not receive the original ballot paper, and
 - (c) has ensured that the declaration of identity if required has not been returned.

- 3) After issuing a replacement ballot paper for a lost ballot paper, the returning officer shall enter in a list (“the list of lost ballot papers”) –
 - (a) the name of the voter, and
 - (b) the details of the unique identifier of the replacement ballot paper.

30. Issue of replacement ballot paper

- 1) If a person applies for a replacement ballot paper under rule 28 or 29 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 a replacement ballot paper unless, in addition to the requirements imposed rule 28(3) or 29(2), he or she is also satisfied that that person has not already voted in the election, notwithstanding the fact that a declaration of identity if required has already been received by the returning officer in the name of that voter.
- 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.

31. Declaration of identity for replacement ballot papers (public and patient constituencies)

- 1) In respect of an election for a public or patient constituency declaration of identity must be issued with each replacement ballot paper.
- 2) The declaration of identity is to include a declaration –
 - (a) that the voter has not voted in the election with any ballot paper other than the ballot paper being returned with the declaration, and
 - (b) of the particulars of that member’s qualification to vote as a member of the public or patient constituency, or class within a constituency, for which the election is being held.
- 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.
- 4) The voter must be required to return the declaration of identity together with the ballot paper.
- 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, the replacement ballot paper may be declared invalid.

Procedure for receipt of envelopes

32. Receipt of voting documents

- 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 33 and 34 are to apply.
- 2) The returning officer may open any ballot paper envelope for the purposes of rules 33 and 34, 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.
- 3) The returning officer must make arrangements to ensure the safety and security of the ballot papers and other documents.

33. Validity of ballot paper

- 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.
- 2) Where the returning officer is satisfied that paragraph (1) has been fulfilled, he or she is to –
 - (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.
 - (c) Where the returning officer is not satisfied that paragraph (1) has been fulfilled, he or she is to –
 - (d) mark the ballot paper “disqualified”,
 - (e) if there is a declaration of identity accompanying the ballot paper, mark it as “disqualified” and attach it the ballot paper,
 - (f) record the unique identifier on the ballot paper in a list (the “list of disqualified documents”); and
 - (g) place the document or documents in a separate packet.

34. Declaration of identity but no ballot paper (public and patient constituency) –

Where the returning officer receives a declaration of identity if required but no ballot paper, the returning officer is to –

- (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 was received from the voter without a ballot paper; and
- (c) place the declaration of identity in a separate packet.

35. Sealing of packets – As soon as is possible after the close of the poll and after the completion of the procedure under rules 33 and 34, 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 ballot papers,
- (d) the list of lost ballot papers,
- (e) the list of eligible voters, and
- (f) the list of tendered ballot papers.

Part 6 - Counting the votes

stv36. Interpretation of Part 6 – In Part 6 of these rules –

“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 paper –

- (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 stv44(4) 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 stv41 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 papers 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 paper” means a ballot paper 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 paper on which a second or subsequent preference is recorded for the candidate to whom that paper has been transferred, and

“transfer value” means the value of a transferred vote calculated in accordance with paragraph (4) or (7) of rule stv42 below.

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

38. The count

- 1) The returning officer is to –
 - (a) count and record the number of ballot papers that have been returned, and
 - (b) count the votes according to the provisions in this Part of the rules.
- 2) The returning officer, while counting and recording the number of ballot papers 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.
- 3) The returning officer is to proceed continuously with counting the votes as far as is practicable.

Stv39. Rejected ballot papers

- 1) Any ballot paper –
 - (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
 - (b) on which the figure “1” standing alone is not placed so as to indicate a first preference for any candidate,

- (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
 - (d) which is unmarked or rejected because of uncertainty, shall be rejected and not counted, but the ballot paper shall not be rejected by reason only of carrying the words "one", "two", "three" and so on, or any other mark instead of a figure if, in the opinion of the returning officer, the word or mark clearly indicates a preference or preferences.
- 2) The returning officer is to endorse the word "rejected" on any ballot paper which under this rule is not to be counted.
 - 3) The returning officer is to draw up a statement showing the number of ballot papers rejected by him or her under each of the subparagraphs (a) to (d) of paragraph (1).

fpp39.Rejected ballot papers

- 1) Any ballot paper –
 - (a) which does not bear the features that have been incorporated into the other ballot papers to prevent them from being reproduced,
 - (b) on which votes are given for more candidates than the voter is entitled to vote,
 - (c) on which anything is written or marked by which the voter can be identified except the unique identifier, or
 - (d) which is unmarked or rejected because of uncertainty, shall, subject to paragraphs (2) and (3) below, be rejected and not counted.
- 2) Where the voter is entitled to vote for more than one candidate, a ballot paper is not to be rejected because of uncertainty in respect of any vote where no uncertainty arises, and that vote is to be counted.
- 3) A ballot paper on which a vote is marked –
 - (a) elsewhere than in the proper place,
 - (b) otherwise than by means of a clear mark,
 - (c) by more than one mark, is not to be rejected for such reason (either wholly or in respect of that vote) if an intention that the vote shall be for one or other of the candidates clearly appears, and the way the paper is marked does not itself identify the voter and it is not shown that he or she can be identified by it.
- 4) The returning officer is to –
 - (a) endorse the word "rejected" on any ballot paper which under this rule is not to be counted, and
 - (b) in the case of a ballot paper on which any vote is counted under paragraph (2) or (3) above, endorse the words "rejected in part" on the ballot paper and indicate which vote or votes have been counted.
- 5) The returning officer is to draw up a statement showing the number of rejected ballot papers under the following headings –
 - (a) does not bear proper features that have been incorporated into the ballot paper,
 - (b) voting for more candidates than the voter is entitled to,
 - (c) writing or mark by which voter could be identified, and
 - (d) unmarked or rejected because of uncertainty, and, where applicable, each heading must record the number of ballot papers rejected in part.

stv40. First stage

- 1) The returning officer is to sort the ballot papers into parcels according to the candidates for whom the first preference votes are given.

- 2) The returning officer is to then count the number of first preference votes given on ballot papers for each candidate, and is to record those numbers.
- 3) The returning officer is to also ascertain and record the number of valid ballot papers.

stv41. The quota

- 1) The returning officer is to divide the number of valid ballot papers by a number exceeding by one the number of members to be elected.
- 2) The result, increased by one, of the division under paragraph (1) above (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”).
- 3) At any stage of the count a candidate whose total votes equals or exceeds the quota shall be deemed to be elected, except that any election where there is only one vacancy a candidate shall not be deemed to be elected until the procedure set out in paragraphs (1) to (3) of rule stv44 has been complied with.

stv42. Transfer of votes

- 1) Where the number of first preference votes for any candidate exceeds the quota, the returning officer is to sort all the ballot papers 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 papers for any continuing candidate, or
 - (b) where no such preference is given, as the sub-parcel of nontransferable votes.
- 2) The returning officer is to count the number of ballot papers in each parcel referred to in paragraph (1) above.
- 3) The returning officer is, in accordance with this rule and rule stv43 below, to transfer each sub-parcel of ballot papers referred to in paragraph (1)(a) to the candidate for whom the next available preference is given on those papers.
- 4) The vote on each ballot paper transferred under paragraph (3) above shall be at a value (“the transfer value”) which –
 - (a) reduces the value of each vote transferred so that the total value of all such votes does not exceed the surplus, and
 - (b) is calculated by dividing the surplus of the candidate from whom the votes are being transferred by the total number of the ballot papers on which those votes are given, the calculation being made to two decimal places (ignoring the remainder if any).
- 5) Where at the end of any stage of the count involving the transfer of ballot papers, the number of votes for any candidate exceeds the quota, the returning officer is to sort the ballot papers 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 papers for any continuing candidate, or
 - (b) where no such preference is given, as the sub-parcel of non-transferable votes.
- 6) The returning officer is, in accordance with this rule and rule stv43 below, to transfer each sub-parcel of ballot papers referred to in paragraph (5)(a) to the candidate for whom the next available preference is given on those papers.

- 7) The vote on each ballot paper transferred under paragraph (6) shall be at –
 - (a) a transfer value calculated as set out in paragraph (4)(b) above, 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.
- 8) Each transfer of a surplus constitutes a stage in the count.
- 9) Subject to paragraph (10), the returning officer shall proceed to transfer transferable papers until no candidate who is deemed to be elected has a surplus or all the vacancies have been filled.
- 10) Transferable papers 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.
- 11) This rule does not apply at an election where there is only one vacancy.

stv43. Supplementary provisions on transfer

- 1) If, at any stage of the count, two or more candidates have surpluses, the transferable papers 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 papers 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 papers of the candidate on whom the lot falls shall be transferred first.
- 2) The returning officer shall, on each transfer of transferable papers under rule stv42 above –
 - (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 nontransferable 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.
- 3) All ballot papers transferred under rule stv42 or stv44 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 paper or, as the case may be, all the papers in that sub-parcel.

- 4) Where a ballot paper is so marked that it is unclear to the returning officer at any stage of the count under rule stv42 or stv44 for which candidate the next preference is recorded, the returning officer shall treat any vote on that ballot paper as a nontransferable vote; and votes on a ballot paper 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.

stv44. Exclusion of candidates

- 1) If—
 - (a) all transferable papers which under the provisions of rule stv42 above (including that rule as applied by paragraph (11) below) and this rule are required to be transferred, have been transferred, and
 - (b) subject to rule stv45 below, 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 paragraph (12) below applies, the candidates with the then lowest votes).
- 2) The returning officer shall sort all the ballot papers on which first preference votes are given for the candidate or candidates excluded under paragraph (1) above into two sub-parcels so that they are grouped as—
 - (a) ballot papers on which a next available preference is given, and
 - (b) ballot papers on which no such preference is given (thereby including ballot papers on which preferences are given only for candidates who are deemed to be elected or are excluded).
- 3) The returning officer shall, in accordance with this rule and rule stv43 above, transfer each sub-parcel of ballot papers referred to in paragraph (2)(a) above to the candidate for whom the next available preference is given on those papers.
- 4) The exclusion of a candidate, or of two or more candidates together, constitutes a further stage of the count.
- 5) If, subject to rule stv45 below, one or more vacancies still remain to be filled, the returning officer shall then sort the transferable papers, if any, which had been transferred to any candidate excluded under paragraph (1) above into sub-parcels according to their transfer value.
- 6) The returning officer shall transfer those papers in the sub-parcel of transferable papers with the highest transfer value to the continuing candidates in accordance with the next available preferences given on those papers (thereby passing over candidates who are deemed to be elected or are excluded).
- 7) The vote on each transferable paper transferred under paragraph (6) above shall be at the value at which that vote was received by the candidate excluded under paragraph (1) above.
- 8) Any papers on which no next available preferences have been expressed shall be set aside as nontransferable votes.
- 9) After the returning officer has completed the transfer of the ballot papers in the sub-parcel of ballot papers with the highest transfer value he or she shall proceed to transfer in the same way the subparcel of ballot papers with the next highest value and so on until he has dealt with each sub-parcel of a candidate excluded under paragraph (1) above.

- 10) The returning officer shall after each stage of the count completed under this rule—
 - (a) record –
 - (i) the total value of votes, or
 - (ii) the total transfer value of votes transferred to each candidate,
 - (b) add that total to the previous total of votes recorded for each candidate and record the new total,
 - (c) record the value of non-transferable votes and add that value to the previous non-transferable votes total, and
 - (d) compare—
 - (i) the total number of votes then recorded for each candidate together with the total number of non-transferable votes, with
 - (ii) the recorded total of valid first preference votes.
- 11) If after a transfer of votes under any provision of this rule, a candidate has a surplus, that surplus shall be dealt with in accordance with paragraphs (5) to (10) of rule stv42 and rule stv43.
- 12) Where the total of the votes of the two or more lowest candidates, together with any surpluses not transferred, is less than the number of votes credited to the next lowest candidate, the returning officer shall in one operation exclude such two or more candidates.
- 13) If when a candidate has to be excluded under this rule, two or more candidates each have the same number of votes and are lowest—
 - (a) regard shall be had to the total number of votes credited to those candidates at the earliest stage of the count at which they had an unequal number of votes and the candidate with the lowest number of votes at that stage shall be excluded, and
 - (b) where the number of votes credited to those candidates was equal at all stages, the returning officer shall decide between the candidates by lot and the candidate on whom the lot falls shall be excluded.

stv45. Filling of last vacancies

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

stv46. Order of election of candidates

- 1) The order in which candidates whose votes equal or exceed the quota are deemed to be elected shall be the order in which their respective surpluses were transferred, or would have been transferred but for rule stv42(10) above.
- 2) A candidate credited with a number of votes equal to, and not greater than, the quota shall, for the purposes of this rule, be regarded as having had the smallest surplus at the stage of the count at which he obtained the quota.

- 3) Where the surpluses of two or more candidates are equal and are not required to be transferred, regard shall be had to the total number of votes credited to such candidates at the earliest stage of the count at which they had an unequal number of votes and the surplus of the candidate who had the greatest number of votes at that stage shall be deemed to be the largest.
- 4) Where the number of votes credited to two or more candidates were equal at all stages of the count, the returning officer shall decide between them by lot and the candidate on whom the lot falls shall be deemed to have been elected first.

fpp46. Equality of votes – 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

fpp47. Declaration of result for contested elections

- 1) In a contested election, when the result of the poll has been ascertained, the returning officer is to –
 - (a) declare the candidate or candidates whom more votes have been given than for the other candidates, up to the number of vacancies to be filled on the Council of Governors from the constituency, or class within a constituency, for which the election is being held to be elected,
 - (b) give notice of the name of each candidate who he or she has declared elected—
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on The Christie NHS Foundation Trust by section 4(4) of the 2003 Act, to the chairman of the NHS Trust, or
 - (ii) in any other case, to the chairman of the corporation; and
 - (c) give public notice of the name of each candidate whom he or she has declared elected.
- 2) The returning officer is to make –
 - (d) the total number of votes given for each candidate (whether elected or not), and
 - (e) the number of rejected ballot papers under each of the headings in rule fpp39(5), available on request.

stv47. Declaration of result for contested elections

- 1) In a contested election, when the result of the poll has been ascertained, the returning officer is to—
 - (a) declare the candidates who are deemed to be elected under Part 6 of these rules as elected,
 - (b) give notice of the name of each candidate who he or she has declared elected –
 - (i) where the election is held under a proposed constitution pursuant to powers conferred on The Christie NHS Foundation Trust by section 4(4) of the 2003 Act, to the chairman of the NHS Trust, or
 - (ii) in any other case, to the chairman of the corporation, and

- (c) give public notice of the name of each candidate who he or she has declared elected.
- 2) The returning officer is to make –
- (a) the number of first preference votes for each candidate whether elected or not,
 - (b) any transfer of votes,
 - (c) the total number of votes for each candidate at each stage of the count at which such transfer took place,
 - (d) the order in which the successful candidates were elected, and
 - (e) the number of rejected ballot papers under each of the headings in rule stv39(1), available on request.

48. Declaration of result for uncontested elections – In an uncontested election, the returning officer is to as soon as is practicable after final day for the delivery of notices of withdrawals by candidates from the election –

- (a) declare the candidate or candidates remaining validly nominated to be elected,
- (b) give notice of the name of each candidate who he or she has declared elected to the chairman of the corporation, and
- (c) give public notice of the name of each candidate who he or she has declared elected.

Part 8 – Disposal of documents

49. Sealing up of documents relating to the poll

- 1) On completion of the counting at a contested election, the returning officer is to seal up the following documents in separate packets –
 - (a) the counted ballot papers,
 - (b) the ballot papers endorsed with “rejected in part”,
 - (c) the rejected ballot papers, and
 - (d) the statement of rejected ballot papers.
- 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 declarations of identity,
 - (c) the list of spoiled ballot papers,
 - (d) the list of lost ballot papers,
 - (e) the list of eligible voters, and
 - (f) the list of tendered ballot papers.
- 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.

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

51. Forwarding of documents received after close of the poll

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 re-sent, or
- (c) any applications for replacement ballot papers are made too late to enable new ballot papers to be issued,

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

52. Retention and public inspection of documents

- 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.
- 2) With the exception of the documents listed in rule 53(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.
- 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.

53. Application for inspection of certain documents relating to an election –

- 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, or
 - (e) the list of eligible voters, by any person without the consent of the Regulator.
- 2) A person may apply to the Regulator to inspect any of the documents listed in (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.
- 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.
- 4) On an application to inspect any of the documents listed in paragraph (1), –
 - (a) in giving its consent, the regulator, and
 - (b) and 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 his or her vote was given, and
- (ii) that the regulator has declared that the vote was invalid.

Part 9 – Death of a candidate during a contested election

fpp54. Countermand or abandonment of poll on death of candidate

- 1) If, at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to
 - (a) countermand notice of the poll, or, if ballot papers have 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.
- 2) Where a new election is ordered under paragraph (1), no fresh nomination is necessary for any candidate who was validly nominated for the election where the poll was countermanded or abandoned but further candidates shall be invited for that constituency or class.
- 3) Where a poll is abandoned under paragraph (1)(a), paragraphs (4) to (7) are to apply.
- 4) The returning officer shall not take any step or further step to open envelopes or deal with their contents in accordance with rules 33 and 34, and is to make up separate sealed packets in accordance with rule 35.
- 5) The returning officer is to –
 - (a) count and record the number of ballot papers that have been received, and
 - (b) seal up the ballot papers into packets, along with the records of the number of ballot papers.
- 6) The returning officer is to endorse on each packet a description of –
 - (a) its contents,
 - (b) the date of the publication of notice of the election,
 - (c) the name of the corporation to which the election relates, and
 - (d) the constituency, or class within a constituency, to which the election relates.
- 7) Once the documents relating to the poll have been sealed up and endorsed pursuant to paragraphs (4) to (6), the returning officer is to deliver them to the chairman of the corporation, and rules 52 and 53 are to apply.

stv54. Countermand or abandonment of poll on death of candidate

- 1) If, at a contested election, proof is given to the returning officer's satisfaction before the result of the election is declared that one of the persons named or to be named as a candidate has died, then the returning officer is to –
 - (a) publish a notice stating that the candidate has died, and
 - (b) proceed with the counting of the votes as if that candidate had been excluded from the count so that –
 - (i) ballot papers which only have a first preference recorded for the candidate that has died, and no preferences for any other candidates, are not to be counted, and

(ii) ballot papers 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.

The ballot papers which have preferences recorded for the candidate who has died are to be sealed with the other counted ballot papers pursuant to rule 49(1)(a).

Part 10 – Election expenses and publicity

Election expenses

55. Election expenses – 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.

56. Expenses and payments by candidates - 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) traveling 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].

57. Election expenses incurred by other persons

- 1) No person may -
 - (a) incur any expenses or make a payment (of whatever nature) for the purposes of a candidate's election, whether on that candidate's behalf or otherwise, or
 - (b) give a candidate or his or her family any money or property (whether as a gift, donation, loan, or otherwise) to meet or contribute to expenses incurred by or on behalf of the candidate for the purposes of an election.
- 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 58 and 59.

Publicity

58. Publicity about election by the corporation

- 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.
- 2) Any information provided by the corporation about the candidates, including information compiled by the corporation under rule 59, must be –
 - (a) objective, balanced and fair,
 - (b) equivalent in size and content for all candidates,
 - (c) compiled and distributed in consultation with all of the candidates standing for election, and
 - (d) must not seek to promote or procure the election of a specific candidate or candidates, at the expense of the electoral prospects of one or more other candidates.

- 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.

59. Information about candidates for inclusion with voting documents

- 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.
- 2) The information must consist of –
 - (a) a statement submitted by the candidate of no more than [250] words, [and]
 - [(b) a photograph of the candidate.]

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

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

Part 11 – Questioning elections and the consequence of irregularities

61. Application to question an election

- 1) An application alleging a breach of these rules, including an electoral irregularity under Part 10, may be made to the regulator.
- 2) An application may only be made once the outcome of the election has been declared by the returning officer.
- 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.
- 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.
- 5) The application must be presented in writing within 21 days of the declaration of the result of the election.
- 6) If the Regulator requests further information from the applicant, then that person must provide it as soon as is reasonably practicable.
 - (a) The Regulator shall delegate the determination of an application to a person or persons to be nominated for the purpose of the Regulator.

- (b) The determination by the person or persons nominated in accordance with Rule 61(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.
- (c) The Regulator may prescribe rules of procedure for the determination of an application including costs.

Part 12 – Miscellaneous

62. Secrecy

- 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 a ballot paper or who has or has not voted,
 - (ii) the unique identifier on any ballot paper,
 - (iii) the candidate(s) for whom any member has voted.
- 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.
- 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.

63. Prohibition of disclosure of vote – 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.

64. Disqualification – 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

65. Delay in postal service through industrial action or unforeseen event – 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

(Paragraphs 11.6, 12.3 and 17)

Elected Governors

1. A member of the public constituency may not vote at an election for a public governor unless at the time of voting they have made and returned a declaration in the form specified in Annex 4, paragraph 31, that they are qualified to vote as a member of the relevant area of the public constituency. It is an offence to knowingly or recklessly make such a declaration which is false in a material particular.

Appointed Governors

2. The secretary, having consulted the primary care trusts comprised in the Greater Manchester and Cheshire Cancer Network, is to adopt a process for agreeing the appointment of the PCT governors with those primary care trusts.
3. The secretary, having consulted Manchester City Council and the other local authorities comprised in the Association of Greater Manchester Authorities, is to adopt a process for agreeing the appointment of the local authority governors with those local authorities.
4. The secretary, having consulted the University of Manchester, is to adopt a process for agreeing the appointment of the university governor with that university.
5. The partnership governors are to be appointed by the partnership organisations, in accordance with a process agreed with the secretary.

Appointment of vice chair of the Council of Governors

6. The Council of Governors shall appoint one of the governors to be vice chair of the Council of Governors.

Tenure for appointed governors

7. An appointed governor:
 - 7.1 shall normally hold office for a period of three years commencing immediately after the annual members meeting at which his or her appointment is announced;
 - 7.2 shall be eligible for re-appointment at the end of his or her term;
 - 7.3 may not hold office for longer than nine consecutive years, and shall not be eligible for re-appointment if he or she has already held office for more than six consecutive years.
8. For the purposes of these provisions concerning terms of office for appointed governors, “year” means a period commencing immediately after the conclusion

of the annual members meeting, and ending at the conclusion of the next annual members meeting.

9. An appointed governor shall cease to hold office if the appointing organisation which appointed him or her terminates the appointment.

Further provisions as to eligibility to be a governor

10. A person may not become a governor of the foundation trust, and if already holding such office will immediately cease to do so, if:
 - 10.1 they are a Director of the foundation trust or a governor or director of an NHS body (unless they are appointed by an appointing organisation which is an NHS body);
 - 10.2 they are the spouse, partner, parent or child of a member of the Board of Directors of the foundation trust;
 - 10.3 they are a member of a local authority's scrutiny committee covering health matters;
 - 10.4 they are a member of a Patients' Forum unless that Patients' Forum is a partnership organisation which has appointed them as a partnership governor;
 - 10.5 they have been previously removed as a governor pursuant to paragraph 12 of this annex 5.
 - 10.6 being a member of the public constituency, they refuse to sign a declaration in the form specified by the secretary of particulars of their qualification to vote as a member of the foundation trust, and that they are not prevented from being a member of the Council of Governors;
 - 10.7 they are subject to a sex offender order;
 - 10.8 they have within the preceding two years been dismissed, otherwise than by reason of redundancy, from any paid employment with an NHS body;
 - 10.9 they are a person whose tenure of office as the chair or as a member or director of an NHS body has been terminated on the grounds that their appointment is not in the interests of the health service, for non-attendance at meetings, or for non-disclosure of a pecuniary interest.
11. A person holding office as a governor shall immediately cease to do so if:
 - 11.1 they resign by notice in writing to the secretary;
 - 11.2 they fail to attend three consecutive meetings of the Council of Governors, unless the other governors are satisfied that:
 - 11.2.1 the absences were due to reasonable causes; and

- 11.2.2 they will be able to start attending meetings of the Council of Governors again within such a period as the other governors consider reasonable;
 - 11.3 they have refused without reasonable cause to undertake any training which the Council of Governors requires all governors to undertake;
 - 11.4 they have failed to sign and deliver to the secretary a statement in the form required by the secretary confirming acceptance of the code of conduct for governors;
 - 11.5 they are removed from the Council of Governors under the following provisions.
12. A governor may be removed from the Council of Governors by a resolution approved by not less than three-quarters of the remaining governors present and voting on the grounds that:
- 12.1 they have committed a serious breach of the code of conduct; or
 - 12.2 they have acted in a manner detrimental to the interests of the foundation trust; and
 - 12.3 the Council of Governors consider that it is not in the best interests of the foundation trust for them to continue as a governor.

Vacancies amongst governors

- 13. Where a vacancy arises on the Council of Governors for any reason other than expiry of term of office, the following provisions will apply.
- 14. Where the vacancy arises amongst the appointed governors, the secretary shall request that the appointing organisation appoints a replacement to hold office for the remainder of the term of office.
- 15. Where the vacancy arises amongst the elected governors, the Council of Governors shall be at liberty either:
 - 15.1 to call an election within three months to fill the seat for the remainder of that term of office; or
 - 15.2 to invite the next highest polling candidate for that seat at the most recent election, who is willing to take office, to fill the seat until the next annual election, at which time the seat will fall vacant and subject to election for any unexpired period of the term of office; or
 - 15.3 if the unexpired period of the term of office is less than twelve months, to leave the seat vacant until the next elections are held.

Further provisions as to meetings of governors

- 16. The Council of Governors is to meet at least three times in each financial year.

17. Meetings of the Council of Governors shall be arranged in accordance with the relevant provisions of standing order 4 set out in Annex 7, standing orders for the practice and procedure of the Council of Governors.
18. Ten governors including no fewer than five public governors, not less than one staff governor and no fewer than two appointed governors shall form a quorum.
19. The Council of Governors may invite the chief executive or any other member or members of the Board of Directors, or a representative of the auditor or other advisors to attend a meeting of the Council of Governors.
20. 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.
21. Subject to the following provisions of this paragraph, questions arising at a meeting of the Council of Governors shall be decided by a majority of votes.
 - 21.1 In case of an equality of votes the person presiding at or chairing the meeting shall have a second and casting vote.
 - 21.2 No resolution of the Council of Governors shall be passed if it is opposed by all of the public governors present.
22. The Council of Governors may not delegate any of its powers to a committee or sub-committee, but it may appoint committees consisting of its members, directors, and other persons to assist the Council of Governors in carrying out its functions. The Council of Governors may, through the secretary, request that advisors assist them or any committee they appoint in carrying out its duties.
23. All decisions taken in good faith at a meeting of the Council of Governors or of any committee shall be valid even if it is discovered subsequently that there was a defect in the calling of the meeting, or the appointment of the governors attending the meeting.

Declaration

24. An elected governor may not vote at a meeting of the Council of Governors unless, before attending the meeting, they have made a declaration in the form specified by the secretary of the particulars of their qualification to vote as a member of the foundation 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.

Paragraphs 25 – 27 deleted

Annex 6 - Additional provisions – Board of Directors

(Paragraphs 19.3, 20.4, 21.3 and 25)

Appointment and removal of chair and other non-executive directors

1. Non-executive directors are to be appointed by the Council of Governors using the following procedure.
 - 1.1 The Council of Governors will maintain a policy for the composition of the non-executive directors which takes account of the membership strategy, and which they shall review from time to time and not less than every three years.
 - 1.2 The Board of Directors will work with an external organisation recognized as expert at appointments to identify the skills and experience required for non-executive directors.
 - 1.3 Appropriate candidates (not more than five for each vacancy) will be identified by a nominations committee through a process of open competition, which take account of the policy maintained by the Council of Governors and the skills and experience required.
 - 1.4 The nominations committee will comprise the chair of the foundation trust (or, when a chair is being appointed, the deputy chair unless he or she is standing for appointment, in which case another non-executive director), two elected governors and one appointed governor. The chair of another foundation trust will be invited to act as an independent assessor to the nominations committee.
 - 1.5 The nominations committee will convene an interview panel, conduct interviews and recommend a candidate to the Council of Governors for approval.
2. The removal of the chair or another non-executive director shall be in accordance with the following procedures.
 - 2.1 Any proposal for removal must be proposed by a governor and seconded by not less than ten governors including at least two elected governors and two appointed governors.
 - 2.2 Written reasons for the proposal shall be provided to the non-executive director in question, who shall be given the opportunity to respond to such reasons.
 - 2.3 In making any decision to remove a non-executive director, the Council of Governors shall take into account the annual appraisal carried out by the chair.
 - 2.4 If any proposal to remove a non-executive director is not approved at a meeting of the Council of Governors, no further proposal can be put forward to remove such non-executive director based upon the same reasons within 12 months of the meeting.

Further provisions as to disqualification of directors

3. A person may not become or continue as a director of the foundation trust if:
 - 3.1 they are a member of the Council of Governors or a governor or director of an NHS body;
 - 3.2 they are a member of the foundation trust's Patient's Forum;
 - 3.3 they are the spouse, partner, parent or child of a member of the Board of Directors of the foundation trust;
 - 3.4 they are a member of a local authority's scrutiny committee covering health matters;
 - 3.5 they are the subject of a disqualification order made under the Company Directors Disqualification Act 1986;
 - 3.6 they are a person whose tenure of office as a chair or as a member or director of an NHS body has been terminated on the grounds that their appointment is not in the interests of the health service, for non attendance at meetings, or for non-disclosure of a pecuniary interest;
 - 3.7 they have within the preceding two years been dismissed, otherwise than by reason of redundancy, from any paid employment with an NHS body;
 - 3.8 in the case of a non-executive director they have refused without reasonable cause to fulfill any training requirement established by the Board of Directors; or
 - 3.9 they have refused to sign and deliver to the secretary a statement in the form required by the Board of Directors confirming acceptance of the code of conduct for directors.

Meetings of the Board of Directors

4. Meetings of the Board of Directors shall be arranged in accordance with the relevant provisions of standing order 3 set out in Annex 8, standing orders for the practice and procedure of the Board of Directors.
5. Meetings of the Board of Directors shall be open to members of the public unless the Board of Directors decides otherwise in relation to all or part of such 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 Board of Directors if they are interfering with or preventing the proper conduct of the meeting.
6. *Paragraph deleted.*
7. Five directors including not fewer than two executive directors (one of whom must be the chief executive or another executive director nominated by the chief executive), and not fewer than two non-executive directors (one of whom must be the chair or the deputy chair of the Board of Directors) shall form a quorum.

8. The Board of Directors may agree that its members can participate in its meetings by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.
9. The chair of the foundation trust or, in their absence, the deputy chair of the Board of Directors, is to chair meetings of the Board of Directors.
10. Subject to the following provisions of this paragraph, questions arising at a meeting of the Board of Directors shall be decided by a majority of votes.
 - 10.1 In case of an equality of votes the chair shall have a second and casting vote.
 - 10.2 No resolution of the Board of Directors shall be passed if it is opposed by all of the non-executive directors present or by all of the executive directors present.

Expenses

11. The foundation trust may reimburse executive directors traveling and other costs and expenses incurred in carrying out their duties at such rates as the remuneration committee of non-executive directors decides. These are to be disclosed in the annual report.
12. The remuneration and allowances for directors are to be disclosed in bands in the annual report.

Annex 7 – Standing orders for the practice and procedure of the Council of Governors

(Paragraph 14)

1 Interpretation

- 1.1 Any expression to which a meaning is given in the Health and Social Care (Community Health and Standards) Act 2003 (as amended by the National Health Service Act 2006) and/or the National Health Service Act 2006, or in regulations made under the Acts, shall have the same meaning in these standing orders and in addition:
- 1.1.1 "accounting officer" means the person who from time to time discharges the functions specified in paragraph 25(5) of Schedule 7 to the 2006 Act;;
 - 1.1.2 "appointed governors" means those governors appointed by the appointing organisations;
 - 1.1.3 "appointing organisations" means those organisations named in this constitution who are entitled to appoint governors;
 - 1.1.4 "board" means the Board of Directors, formally constituted in accordance with this constitution and consisting of the chair and non-executive directors appointed by the council, and the executive directors appointed by the non-executive directors and (except for his or her own appointment) by the chief executive;
 - 1.1.5 "budget" means a resource, expressed in financial terms, approved by the board for the purpose of carrying out, for a specific period, any or all of the functions of the trust.
 - 1.1.6 "chair" is the person appointed by the council to lead the board and to ensure that it successfully discharges its overall responsibility for the Trust as a whole;
 - 1.1.7 "committee of the board" means a committee appointed by the board with specific terms of reference, a chair, and membership approved by the Board.
 - 1.1.8 "committee of the council" means a committee appointed by the council with specific terms of reference, a chair, and membership approved by the council.
 - 1.1.9 "council" means the Council of Governors, formally constituted in accordance with this constitution and presided over by the chair;

- 1.1.10 "council standing orders" means the standing orders set out in this Annex 7;
- 1.1.11 "deputy chair" is the non-executive director appointed by the council to take on the chair's duties if the chair is absent from the meeting or is otherwise unavailable;
- 1.1.12 "director" means a person appointed to the board in terms of paragraph 18 of this constitution;
- 1.1.13 "elected governors" means those governors elected by the public constituency and the classes of the staff constituency;
- 1.1.14 "governor" means a person elected or appointed to the council in terms of paragraph 9 of this constitution;
- 1.1.15 "local authority governor" means a governor appointed by one or more local authorities whose area includes the whole or part of one of an area for a public constituency of the trust;
- 1.1.16 "member" means a person registered as a member of a constituency in terms of paragraph 4 of this Constitution;
- 1.1.17 "motion" means a formal proposition to be discussed and voted on during the course of a meeting;
- 1.1.18 "officer" means an employee of the trust;
- 1.1.19 "partner" means, in relation to another person, a member of the same household living together as a family unit;
- 1.1.20 "partnership governor" means a governor appointed by a partnership organisation;
- 1.1.21 "PCT governor" means a governor appointed by a primary care trust for which the trust provides goods or services;
- 1.1.22 "public governor" means a governor elected by the members of one of the areas of the public constituency;

- 1.1.23 “regulator” means a non-departmental public body established under section 2 of the Health & Social Care (Community Health & Standards) Act 2003 and within the meaning of section 31 of the National Health Service Act 2006. They are responsible for authorising and regulating NHS foundation trusts;
- 1.1.24 “secretary” means the secretary of the trust or any other person appointed to perform the duties of the secretary, including a joint, assistant or deputy secretary;
- 1.1.25 “staff governor” means a governor elected by the members of one of the classes of the staff constituency;
- 1.1.26 “terms of authorisation” shall mean the authorisation of the trust issued by the regulator with any amendments for the time being in force.
- 1.1.27 “trust” means the The Christie NHS Foundation Trust;
- 1.1.28 “university governor” means a governor appointed by the University of Manchester which provides a medical school to a hospital of the trust;
- 1.1.29 “vice chair” means the governor appointed as vice chair pursuant to paragraph 6 of Annex 5
- 1.1.30 “voluntary organisation” means a body, other than a public or local authority, the activities of which are not carried on for profit.
- 1.2 Subject to council standing order 4.7.2, save as permitted by law, the chair shall be the final authority on the interpretation of these council standing orders (on which they shall be advised by the chief executive and director of finance).
- 1.3 *Paragraph deleted.*
- 1.4 References to any statute, statutory provision, statutory instrument or guidance in these SFIs include reference to that statute, provision, instrument or guidance as replaced, amended, extended, re-enacted or consolidated from time to time.

2 General information

- 2.1 The purpose of the council standing orders is to ensure that the highest standards of corporate governance and conduct are applied to all council meetings and associated deliberations. The council shall at all times seek to comply with the NHS Foundation Trust Code of Governance.
- 2.2 The roles and responsibilities of the council which are to be carried out in accordance with the constitution and the trust's authorisation include:
- 2.2.1 to hold the board to account for the performance of the trust, including ensuring that the board acts so that the trust does not breach its authorisation;
 - 2.2.2 to respond as appropriate when consulted by the board in accordance with the constitution;
 - 2.2.3 to undertake such functions as the board shall from time to time request;
 - 2.2.4 to prepare and from time to time review the trust's membership strategy and the policy for the composition of the council and of the non-executive directors;
 - 2.2.5 when appropriate to make recommendations for the revision of the constitution.
- 2.3 All business shall be conducted in the name of the trust.
- 2.4 A governor who has acted honestly and in good faith will not be required to meet out of their personal resources, any personal civil liability which is incurred in the execution or purported execution of their functions, save where they have acted recklessly. Any personal civil liability so arising will be met by the trust.

3 Composition of the Council

- 3.1 The composition of the council shall be in accordance with paragraph 9 of the trust's constitution.

4 Meetings of the Council

- 4.1 Meetings held in public
- 4.1.1 Meetings of the council must be open to the public subject to the provisions of council standing order 4.1.2 below.
 - 4.1.2 The council may resolve to exclude members of the public from any meeting or part of a meeting on the grounds that:
 - (i) publicity would be prejudicial to the public interest by reason of the confidential nature of the business to be transacted following an appropriate resolution by the council; or
 - (ii) there are special reasons stated in the resolution and arising from the nature of the business of the proceedings;

- 4.1.3 The chair may exclude any member of public from the meeting of the council if he or she is interfering with or preventing the proper conduct of the meeting.
 - 4.1.4 Meetings of the council shall be held regularly at least three times each year at times and places that the council may determine.
 - 4.1.5 The council may invite the chief executive, and other appropriate directors, to attend any meeting of the council to enable governors to raise questions about the trust's affairs.
- 4.2 Calling meetings
- 4.2.1 Meetings of the council may be called by the secretary, or by the chair, or by ten governors (including at least two elected governors and two appointed governors) who give written notice to the secretary specifying the business to be carried out.
 - 4.2.2 The secretary shall send a written notice to all governors as soon as possible after receipt of such a request.
 - 4.2.3 The secretary shall call a meeting on at least five (5) clear days but not more than twenty-one (21) clear days notice to discuss the specified business.
 - 4.2.4 If the secretary fails to call such a meeting then the chair or the ten governors who gave written notice, whichever is the case, shall call such a meeting.
- 4.3 Notice of meetings
- 4.3.1 Save in the case of emergencies or the need to conduct urgent business, the secretary shall give at least five (5) clear days written notice of the date and place of every meeting of the Council of Governors together with an agenda and any supporting papers to all governors. Notice will also be published in the foundation trust's member newsletter and on the foundation trust's website. Lack of service of the notice on any governor shall not affect the validity of a meeting subject to council standing order 4.3.3.
 - 4.3.2 Notwithstanding the above requirement for notice, the chair may waive notice on written receipt of the agreement of at least 50% of governors.
 - 4.3.3 In the case of a meeting called by governors in default of the secretary, the notice shall be signed by those governors calling the meeting and no business shall be transacted at the meeting other than that specified in the notice. Failure to serve such a notice on more than three quarters of governors will invalidate the meeting. A notice will be deemed to have been served seventy two (72) hours after posting, or in the case of a notice contained in an electronic communication, 72 hours after it was sent.
- 4.4 Setting the agenda
- 4.4.1 The council may determine that certain matters shall appear on every agenda for a meeting of the council and shall be addressed prior to any other business being conducted.

- 4.4.2 A governor desiring a matter to be included on an agenda shall make his or her request in writing to the chair at least twenty-one (21) days before the meeting. The governor should indicate whether the item of business is to be transacted in the presence of the public and should provide the appropriate paper, document or supporting information. Where a request for an item of business to be included on an agenda is made less than twenty-one (21) clear days but more than five (5) clear days before a meeting such item of business may, at the discretion of the chair, be included on the agenda and shall be tabled as an agenda item at the commencement of the relevant meeting.
- 4.5 Chair of meeting
- 4.5.1 The chair of the trust (i.e. the chair of the board) or in his or her absence the deputy chair or in their absence one of the non-executive directors shall preside at meetings of the council, such persons being appointed and removed by the governors in accordance with the provisions of paragraph 13 of the constitution.
- 4.5.2 If the person presiding at any such meeting has a conflict of interest in relation to the business being discussed, the vice chair of the council will chair that part of the meeting.
- 4.6 Notices of motions
- 4.6.1 A governor desiring to move or amend a motion shall send a written notice thereof at least 10 clear days before the meeting to the chair, who shall insert it into the agenda for the meeting. This council standing order 4.6.1, shall not prevent any motion being moved during the meeting, without notice, on any business mentioned on the agenda subject to council standing order 4.4 of these standing orders.
- 4.6.2 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.
- 4.6.3 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 governors who give it and also the signature of four other governors. When any such motion has been disposed of by the council it shall not be competent for any governor, other than the chair, to propose a motion to the same effect within six months; however the chair may do so if he or she considers it appropriate.
- 4.6.4 The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment thereto.
- 4.6.5 When a motion is under discussion or immediately prior to discussion it shall be open to a governor to move:
- a) an amendment to the motion
 - b) the adjournment of the discussion or the meeting
 - c) the appointment of an ad hoc committee to deal with a specific item of business
 - d) that the meeting proceed to the next business
 - e) that the motion be now put
 - f) a motion resolving to exclude the public, including the press

Such a motion, if seconded, shall be disposed of before the motion which was originally under discussion or about to be discussed. No amendment to the original motion shall be admitted if, in the opinion of the chair of the meeting, the amendment negates the substance of the original motion. In the case of motions under (d) and (e), to ensure objectivity motions may only be put by a governor who has not previously taken part in the debate on the original motion.

4.7 Chair's ruling

4.7.1 Statements of governors made at meetings of the council must be relevant to the matter under discussion at the material time and the decision of the chair of the meeting on questions of order, relevance, regularity and any other matters shall be final and observed at the meeting.

4.7.2 Without prejudice to council standing order 1.2, save as permitted by law, at any meeting the person presiding shall be the final authority on the interpretation of these council standing orders in relation to that meeting.

4.8 Voting

4.8.1 Decisions at meetings shall be determined by a majority of the votes of the governors present and voting. In the case of any equality of votes, the person presiding as chair shall have a second or casting vote.

4.8.2 All decisions put to the vote shall, at the discretion of the person presiding as chair, 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.

4.8.3 If at least one-third of the governors present so request, the voting (other than by paper ballot) on any question may be recorded to show how each governor present voted or abstained.

4.8.4 If a governor so requests, his or her vote shall be recorded by name upon any vote (other than by paper ballot).

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

4.9 Suspension of council standing orders

4.9.1 Except where this would contravene any statutory provision, any one or more of these council standing orders may be suspended at any meeting, provided that at least two-thirds of members of the council are present and that a majority of those present vote in favour of suspension.

4.9.2 A decision to suspend any council standing order shall be recorded in the minutes of the meeting.

4.9.3 A separate record of matters discussed during the suspension of any council standing order shall be made and shall be available to the directors and governors.

4.9.4 No formal business may be transacted by the council while any council standing order is suspended.

4.9.5 The trust's audit committee shall review every decision to suspend any council standing order.

- 4.10 Record of attendance
 - 4.10.1 The names of the governors present at the meeting shall be recorded in the minutes.
- 4.11 Minutes
 - 4.11.1 The minutes of the proceedings of the meeting shall be drawn up and maintained as a public record. They will be submitted for agreement at the next meeting where they will be signed by the person presiding at it.
 - 4.11.2 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 such next meeting.
 - 4.11.3 Minutes shall be circulated in accordance with the governors' wishes. The minutes of the meeting shall be made available to the public except for minutes relating to business conducted when members of the public are excluded under the terms of council standing order 4.1 of these council standing orders
- 4.12 Quorum
 - 4.12.1 No business shall be transacted at a meeting of the council unless ten governors including no fewer than five public governors, not less than one staff governor and no fewer than two appointed governors are present.
 - 4.12.2 If a governor has been disqualified from participating in the discussion on any matter and/or from voting on any resolution by reason of the declaration of a conflict of interest he or she 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.

5 Arrangements for the exercise of functions by delegation

- 5.1 The powers which the council has retained to itself within these council standing orders or within the trust's schedule of reservation and delegation of powers may in an emergency be exercised by the chair after having consulted at least five elected governors. The exercise of such powers by the chair shall be reported to the next formal meeting of the council for ratification.
- 5.2 The council may not delegate any of its powers to a committee or sub-committee, but it may appoint committees consisting of its members, directors, and other persons to assist the council in carrying out its functions. The council may, through the secretary, request that advisors assist them or any committee they appoint in carrying out its duties.
- 5.3 The council may delegate duties to an individual governor but only under a clear remit approved by the council.

6 Committees

- 6.1 The nominations committee will comprise the chair, two elected governors and one appointed governor. When the chair is being appointed or reappointed, the deputy chair shall take his or her place, unless he or she is standing for appointment, in which case another non-executive director, shall take his or her place, and when the chair's remuneration is being considered the deputy chair shall take his or her place. The chair of another foundation trust will be invited to act as an independent assessor to the nominations committee when an interview panel is convened to appoint a chair or non-executive director.
- 6.2 The council may appoint committees of the council consisting wholly of persons who are governors. Non-governors may attend such committees if appropriate under the committee's terms of reference but they shall have no vote.
- 6.3 A committee so appointed may appoint sub-committees consisting wholly of persons who are governors. Non-governors may attend such committees if appropriate under the committee's terms of reference but they shall have no vote.
- 6.4 These council standing orders, as far as they are applicable, shall apply also, with appropriate alteration, to meetings of any committees or sub-committees so established by the council.
- 6.5 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 council) as the council shall decide. Such terms of reference shall have effect as if incorporated into these standing orders.
- 6.6 The council shall approve the membership of all committees and sub committees that it has formally constituted and shall approve the recommendation from the relevant committee to appoint the chair and, if applicable, the deputy chair of each committee and sub committee.
- 6.7 A governor may participate in a duly convened meeting of a committee or subcommittee by means of a video conference, telephone or any other communications equipment which allows all persons to hear and speak to one another subject to reasonable notice and availability of the necessary equipment.

7 Confidentiality

- 7.1 Subject to council standing order 7.2 below a member of the council or an attendee on a committee of the council shall not disclose a matter dealt with by, or brought before, the council or a committee of the council without the permission of the council or the such committee (as applicable) until such matter shall have been concluded or in the case of such committee, until the committee shall have reported to the council.
- 7.2 A governor or a non-governor in attendance at a committee or the council shall not disclose any matter dealt with by the committee or the council, notwithstanding that the matter has been reported or concluded, if the council or committee resolves that it is confidential.

8 Declaration of interests and register of interests

- 8.1 Members of the council shall disclose to the council any material interests (as defined below) held by a governor, their spouse or partner. Any such interest disclosed shall be recorded in a register of interests of governors maintained by the secretary.
- 8.2 The responsibility for declaring an interest is solely that of the governor concerned and shall be declared to the secretary:
- 8.2.1 Within 28 days of election or appointment; or
- 8.2.2 If arising later, within 7 days of the governor becoming aware of the interest.
- 8.3 Subject to the exceptions in council standing order 8.4 below a material interest is:
- 8.3.1 Any directorship of a company;
- 8.3.2 Any interest or position in any firm, company, business or organisation (including any charitable or voluntary organisation) which has or is likely to have a trading or commercial relationship with the trust;
- 8.3.3 Any interest in an organisation providing health and social care services to the National Health Service;
- 8.3.4 A position of authority in a charity or voluntary organisation in the field of health and social care;
- 8.3.5 Any connection with any organisation, entity or company considering entering into a financial arrangement with the trust including but not limited to lenders or banks.
- 8.4 The exceptions which shall not be treated as interests or material interests for the purposes of these provisions are as follows:
- 8.4.1 Shares held in any company whose shares are listed on any public exchange not exceeding 2% of the total number of shares issued;
- 8.4.2 An employment contract with the trust held by a staff governor;
- 8.4.3 An employment contract with a PCT held by a PCT governor;
- 8.4.4 An employment contract with a local authority held by a local authority governor;
- 8.4.5 An employment contract with a university held by a university governor;
- 8.4.6 An employment contract with or other position of authority within a partnership organisation held by a partnership governor.
- 8.5 Any governor who has an interest in a matter to be considered by the council (whether because the matter involves a firm, company, business or organisation in which the governor or his or her spouse or partner has a material interest or otherwise) shall declare such interest to the council and;
- 8.5.1 shall withdraw from the meeting and play no part in the relevant discussion or decision; and
- 8.5.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted); and
- 8.5.3 details of any such interest shall be recorded in the register of interests of governors.

- 8.6 Any governor who fails to disclose any interest or material interest required to be disclosed under these provisions must permanently vacate their office if required to do so by a majority of the remaining governors.
- 8.7 If a governor has any doubt about the relevance of an interest, he or she should discuss it with the chair who shall advise him whether or not to disclose the interest.
- 8.8 Governors' directorships of companies that may seek to do business with the trust should be published in the Trust's Annual Report. The information should be kept up to date for inclusion in succeeding annual reports.
- 8.9 Register of interests
 - 8.9.1 The secretary will ensure that a register of interests is established to record formally declarations of interests of governors.
 - 8.9.2 Details of the register will be kept up to date and reviewed annually.
 - 8.9.3 The register will be available to the public.

9 Compliance - other matters

- 9.1 Governors of the trust shall comply with standing financial instructions prepared by the director of finance and approved by the board for the guidance of all staff employed by the trust.
- 9.2 Governors of the trust and the council should act at all times in accordance with the trust's schedule of reservation and delegation of powers.
- 9.3 Governors must conduct themselves at all times in accordance with the NHS Foundation Trust Code of Governance. Governors must:
 - 9.3.1 actively support the vision and aims of the trust in developing as a successful NHS Foundation Trust
 - 9.3.2 act in the best interest of the trust at all times and recognises the need for corporate responsibility
 - 9.3.3 contribute to the work of the council in order for it to fulfil its role as defined in the trust's constitution, including as set out in these council standing orders
 - 9.3.4 recognise that the council has no managerial role within the trust
 - 9.3.5 value and respect governor colleagues, and all members of staff of the trust they come into contact with
 - 9.3.6 respect the confidentiality of information they receive in their role as governor
 - 9.3.7 act with integrity and objectivity and in the best interest's of the trust, without any expectation of personal benefit
 - 9.3.8 attend meetings of the council and all training events for governors, on a regular basis
 - 9.3.9 conduct themselves in a manner that reflects positively on the trust, acting as ambassador for the trust

- 9.3.10 abide by the trust's policies and procedures
- 9.3.11 recognise that the trust is an apolitical organisation and act in an apolitical way in their role as governor
- 9.3.12 if a public or staff governor is a member of any trade union, political party or other organisation, recognise that they do not in their role as governor represent those organisations (or the views of those organisations) but represent the constituency (public or staff) that elected them
- 9.3.13 be honest and act with integrity and probity at all times
- 9.3.14 respect and treat with dignity and fairness, the public, patients, relatives, carers, NHS staff and partners in other agencies

- 9.3.15 accept responsibility for their own actions
- 9.3.16 show their commitment to working as a team member by working with all their colleagues in the NHS and the wider community
- 9.3.17 ensure that the membership constituency they represent is properly informed and able to influence services
- 9.3.18 ensure that no one is discriminated against because of their religion, belief, race, colour, gender, marital status, disability, sexual orientation, age, social and economic status or national origin

- 9.3.19 respect the confidentiality of individual patients and comply with the confidentiality policies of the trust
- 9.3.20 not make, permit or knowingly allow to be made, any untrue or misleading statement relating to their own duties or the functions of the trust
- 9.3.21 ensure that the best interests of the public and patients/clients are upheld in decision making and that decisions are not improperly influenced by gifts of inducements
- 9.3.22 support and assist the accounting officer of the trust in his or her responsibility to answer to the regulator, commissioners and the public in terms of fully and faithfully declaring and explaining the use of resources and the performance of the trust

- 9.4 Each governor will uphold the seven principles of public life as detailed by the Nolan Committee:
 - 9.4.1 **Selflessness**
 Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends
 - 9.4.2 **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

9.4.3 **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 choices on merit

9.4.4 **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

9.4.5 **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

9.4.6 **Honesty**

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

9.4.7 **Leadership**

Holders of public office should promote and support these principles by leadership and example

10 Resolution of disputes with Board

10.1 The council has three main roles:

10.1.1 Strategic – to use the breadth of experience of the governors to help determine the trust's future direction and support it in delivering its plans.

10.1.2 Advisory – to act as a critical friend providing support, feedback and advice.

10.1.3 Representative – to use the views of their electorate or organisation to enhance and inform the work of the trust.

10.2 The board has overall responsibility for running the affairs of the trust.

Its role is to:

10.2.1 Set a strategic direction.

10.2.2 Set organisational and operational targets.

10.2.3 Minimise risk.

10.2.4 Assess achievement against the above objectives.

10.2.5 Ensure that action is taken to eliminate or minimise, as appropriate, adverse deviations from objectives.

10.2.6 Ensure that the highest standards of corporate governance are applied throughout the organisation.

10.3 Should a dispute arise between the council and the board then the disputes resolution procedure set out below recognises the different roles of the council and the board as described above.

10.3.1 The chair, or deputy chair (if the dispute involves the chair) shall first endeavour through discussion with appropriate representatives of the

governors and the directors to achieve the earliest possible resolution of the matter in dispute to the reasonable satisfaction of both parties.

- 10.3.2 Failing resolution under council standing order 10.3.1 above then the board or the council, as appropriate, shall at its next formal meeting approve the precise wording of a disputes statement setting out clearly and concisely the issue or issues giving rise to the dispute.
 - 10.3.3 The chair or deputy chair (if the dispute involves the chair) shall ensure that the disputes statement produced in accordance with council standing order 10.3.2 above, without amendment or abbreviation in any way, shall be an agenda item and agenda paper at the next formal meeting of the board or council as appropriate (i.e the body that does not issue the disputes statement). That meeting shall agree the precise wording of a response to disputes statement.
 - 10.3.4 The chair or deputy chair (if the dispute involves the chair) shall immediately or as soon as is practical, communicate the outcome to the other party and deliver the written response to the disputes statement. If the matter remains unresolved or only partially resolved then the procedure outlined in council standing order 10.3.1 above shall be repeated.
 - 10.3.5 If, in the opinion of the chair or deputy chair (if the dispute involves the chair), and following the further discussions prescribed in council standing order 10.3.4, there is no further prospect of a full resolution or, if at any stage in the whole process, in the opinion of the chair or deputy chair (as the case may be), there is no prospect of a resolution (partial or otherwise) then he or she shall appoint a special committee comprising equal numbers of directors and governors to consider the circumstances and to make recommendations to the council and the board with a view to resolving the dispute.
 - 10.3.6 On the satisfactory completion of this disputes process the board shall implement agreed changes.
 - 10.3.7 If the recommendations (if any) of the special committee are unsuccessful in resolving the dispute, the chair may refer the dispute to an external mediator appointed by the Centre for Dispute Resolution or other such organisation as he or she considers appropriate.
- 10.4 Nothing in this procedure shall prevent the council, if it so desires, from informing Monitor that, in the council's opinion, the board has not responded constructively to concerns of the council that the trust is not meeting the terms of its authorisation.

11 Council performance

- 11.1 The chair shall, at least annually, lead a performance assessment process for the council to enable the council to review its roles, structure, composition and procedures taking into account emerging best practice.

12 An amendment of council standing orders

12.1 These council standing orders shall be amended only if:

12.1.1 notice of motion has been given pursuant to council standing order 4.6 above; and

12.1.2 at least two-thirds of the governors are present; and

12.1.3 no fewer than half the total of the governors present vote in favour of amendment; and

12.1.4 the variation proposed does not contravene a statutory provision.

12.2 *Sentence deleted*

Annex 8 – Standing orders for the practice and procedure of the Board of Directors

(Paragraph 26)

Foreword

The trust board of directors have a responsibility to agree standing orders and schedules of reservation and delegation of powers. These documents, together with standing financial instructions, provide a regulatory framework for the business conduct of the trust. They fulfil the dual role of protecting the trust's interests by ensuring, all transactions maximise the benefit to the trust and protecting staff from possible accusations that they have acted less than properly.

The standing orders, schedule of reservation and delegation of powers document and standing financial instructions provide a comprehensive business framework. All board directors and all staff should be aware of the existence of these documents and, where necessary, be familiar with their detailed provisions to the extent required for the proper conduct of their duties.

Section A - Interpretation and definitions

1 Interpretation and definitions

- 1.1 Save as otherwise permitted by law, at any meeting the chair of the trust shall be the final authority on the interpretation of standing orders, the schedule of reservation and delegation of powers and/or the standing financial instructions (on which he or she should be advised by the chief executive.)
- 1.2 Any expression to which a meaning is given in the Health and Social Care (Community Health and Standards) Act 2003 (as amended by the National Health Service Act 2006), the National Health Service Act 2006, or in regulations made under the Acts, shall have the same meaning in these standing orders and in addition:
- 1.2.1 "accounting officer" means the person who from time to time discharges the functions specified in paragraph 25(5) of schedule 7 to the National Health Services Act 2006 For the trust it shall be the chief executive.
- 1.2.2 "board" means the Board of Directors, formally constituted in accordance with this constitution and consisting of the chair, independent non executive directors appointed by the council and the executive directors.
- 1.2.3 "budget" means a resource, expressed in financial terms, approved by the board for the purpose of carrying out, for a specific period, any or all of the functions of the trust.
- 1.2.4 "chair" is the person appointed by the council to lead the board, and to ensure that it discharges its overall responsibility for the trust as a whole.
- 1.2.5 "chief executive" means the chief officer of the trust.
- 1.2.6 "Commissioning" means the process for determining the need for and obtaining the supply of healthcare and related services by the trust within available resources.
- 1.2.7 "committee" means a committee appointed by the board.
- 1.2.8 "Committee Members" means persons formally appointed by the board to sit on or to chair specific committees.
- 1.2.9 "Contracting and Procuring" means the systems for obtaining the supply of goods, materials, manufactured items, services, building and engineering services, works of construction and maintenance and for disposal of surplus and obsolete assets.

- 1.2.10 "council" means the Council of Governors, formally constituted in accordance with the constitution and presided over by the chair.
- 1.2.11 "deputy chair" is the independent non executive director appointed by the council of governors to take on the chair's duties if the chair is absent from the meeting or is otherwise unavailable.
- 1.2.12 "director of finance" means the chief financial officer of the trust.
- 1.2.13 "executive director" means a member of the board who is an officer of the trust.
- 1.2.14 "independent non-executive director" means a non executive director of the trust who satisfies the independence criteria as set out at paragraph A.3.1 of the NHS Foundation Trust Code of Governance;
- 1.2.15 "member" in the context of this document, means the executive or independent non-executive members of the board.
- 1.2.16 "Membership, Procedure & Administration Arrangements Regulations" means NHS Membership & Procedure Regulations (SI 1990/2024) and subsequent amendments.
- 1.2.17 "nominated officer" means an officer charged with the responsibility for discharging specific tasks within standing orders and standing financial instructions.
- 1.2.18 "officer" means employee of the trust or any other person holding a paid appointment or office with the trust.
- 1.2.19 "regulator" means a non-departmental public body established under section 2 of the Health & Social Care (Community Health & Standards) Act 2003 and within the meaning of section 31 of the National Health Service Act 2006. They are responsible for authorizing and regulating NHS foundation trusts;
- 1.2.20 "secretary" means the secretary of the trust or any other person appointed to perform the duties of the secretary, including a joint, assistant or deputy secretary;
- 1.2.21 "senior independent director" means the senior independent non executive director, appointed by the chair after consultation with the council.
- 1.2.22 "SFIs" means standing financial instructions.

1.2.23 "SOs" means these standing orders set out in this Annex 8.

1.2.24 "trust" means The Christie NHS Foundation Trust

1.3 *Paragraph deleted.*

1.4 References to any statute, statutory provision, statutory instrument or guidance in these SFIs include reference to that statute, provision, instrument or guidance as replaced, amended, extended, re-enacted or consolidated from time to time.

Section B – Standing orders

1 Introduction

Statutory framework

- 1.1 The principal place of business of the trust is The Christie, Wilmslow Road, Withington, Manchester, M20 4BX
- 1.2 NHS Foundation Trusts are governed by a regulatory framework that confers the functions of the trust and comprises: Acts of Parliament and in particular the Health and Social Care (Community Health and Standards) Act 2003 (as amended by the National Health Service Act 2006) and/or replaced by the National Health Service Act 2006; their constitutions and the terms of their authorisation granted by the regulator.
- 1.3 As a statutory body the board has specified powers to contract in the name of the trust and to act as a corporate trustee. In the latter role the board is accountable to the Charity Commission for those funds deemed to be charitable, as well as to the regulator.
- 1.4 The regulatory framework requires the trust to adopt SOs for the regulation of its proceedings and business. The trust must also adopt SFIs as an integral part of the SOs setting out the responsibilities of individuals, additional responsibilities and additional detailed provisions..

Reservation of powers

- 1.5 The board 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 a separate document entitled the schedule of reservation and delegation of powers and shall have effect as if incorporated into these standing orders. This document also details those powers which it has delegated to officers and other bodies.

2 The Board

Composition

- 2.1 In accordance with the constitution, the composition of the board shall comprise both executive and independent non executive directors. The board is to comprise:
 - 2.1.1 a non executive chair
 - 2.1.2 not more than 5 independent non executive directors; and
 - 2.1.3 not more than 5 executive directors; and
 - 2.1.4 at least half the board, excluding the chair will comprise independent non executive directors.

Of the executive directors

- 2.1.5 one of the executive directors shall be the chief executive
- 2.1.6 the chief executive shall be the accounting officer
- 2.1.7 one of the executive directors shall be the director of finance
- 2.1.8 one of the directors is to be a registered medical practitioner
- 2.1.9 one of the executive directors is to be a registered nurse or registered midwife

Appointment of chair and members of the board

- 2.2 The council, at a general meeting of the council, shall appoint the chair and other independent non executive directors, having followed the process of appointment specified in Annex 6 of the constitution.
- 2.3 The council will make the terms and conditions of appointment of the independent non-executive directors available for inspection.
- 2.4 The independent non executive directors shall appoint or remove the chief executive, having followed the process specified in the constitution. The appointment of the chief executive shall require the approval of the council.
- 2.5 A committee consisting of the chair, the chief executive (except in the case of appointment of the chief executive) and the other independent non executive directors shall appoint or remove the executive directors, having followed the process specified in the constitution and good employment practice.
- 2.6 *Paragraph deleted.*

Terms of office

- 2.7 The chair and the independent non executive directors will:
- 2.7.1 serve terms of office of no longer than 3 years;
 - 2.7.2 be eligible for re-appointment at the end of the three years
 - 2.7.3 not hold office for longer than nine consecutive years
 - 2.7.4 not be eligible for re-election (after 9 years) until there has been a minimum break of one year
- 2.8 For the purposes of the maximum number of consecutive years of office allowed, service as an independent non executive director of the Christie Hospital NHS Trust will count towards the total of 9 consecutive years of service as an independent non executive director of the trust.
- 2.9 The chief executive and executive directors will normally hold non time limited contracts of employment.

Appointment and powers of deputy chair

- 2.10 The council, at a general meeting of the council, shall appoint one of the independent non executive directors as deputy chair of the board. If the chair is unable to discharge his or her office as chair of the trust, the deputy chair of the board shall be acting chair of the trust.
- 2.11 Any board member so appointed may at any time resign from the office of deputy chair by giving notice in writing to the chair. The council may thereupon appoint another member as deputy chair in accordance with the constitution.

Joint members

- 2.12 Where more than one person is appointed jointly as a member of the board, those persons shall count for the purpose of SO 2.1.3 as one person.
- 2.13 Where the office of a member of the board is shared jointly by more than one person
- 2.13.1 Either or both those persons may attend or take part in meetings of the board
- 2.13.2 If both are present at a meeting they should cast one vote if they agree
- 2.13.3 In the case of disagreements no vote should be cast
- 2.13.4 The presence of either or both those persons should count as the presence of one person for the purpose of SO 3.39 quorum.

Role of Members

- 2.14 The board will function as a corporate decision-making body. Executive and independent non-executive directors will be full and equal members. Their role as director will be to consider the key strategic and managerial issues facing the Trust in carrying out its statutory and other functions.
- 2.14.1 Executive Directors
- Executive directors shall exercise their authority within the terms of these SOs and SFIs and the schedule of reservation and delegation of powers.
- 2.14.2 Chief Executive
- The chief executive shall be responsible for the overall performance of the executive functions of the trust. He or she is the accounting officer for the trust and shall be responsible for ensuring the discharge of obligations under any relevant guidance from the regulator and in line with the requirements of the Accounting Officer Memorandum as detailed in section 5 of the schedule of reservation and delegation of powers.
- 2.14.3 Director of Finance
- The director of finance shall be responsible for the provision of financial advice to the trust and to its members and for the supervision of financial control and accounting systems. He or she shall be responsible along with the chief executive for ensuring the discharge of obligations under any relevant guidance from the regulator and as detailed in the relevant parts of sections 7, 8 and 9 schedule of reservation and delegation of powers.
- 2.14.4 Independent Non-Executive Directors
- The independent non-executive directors shall not be granted nor shall they seek to exercise any individual executive powers on behalf of the trust. They may however, exercise collective authority when acting as members of or when chairing a committee of the trust which has delegated powers and in particular in relation to those matters detailed in the relevant parts of sections 7, 8 and 9 of the schedule of reservation and delegation of powers.

2.14.5 Chair

The chair shall be responsible for the operation of the board and chair all board meetings when present. The chair has certain delegated executive powers. The chair must comply with the terms of appointment and with these SOs.

The chair shall liaise with the council over the appointment of independent non-executive directors and once appointed shall take responsibility either directly or indirectly for their induction, their portfolios of interests and assignments, and their performance.

The chair shall work in close harmony with the chief executive and shall ensure that key and appropriate issues are discussed by the board in a timely manner with all the necessary information and advice being made available to the board to inform the debate and ultimate resolutions.

The chair shall comply with those duties delegated to him or her in sections 6 and 7 of the schedule of reservation and delegation of powers.

2.14.6 Senior Independent Director

The chair shall, following consultation with the council appoint one of the independent non-executive directors to be the senior independent director.

The senior independent director shall make himself or herself available to members and governors who have concerns that they do not feel they can raise with the chair or any executive director of the trust. Recourse to the senior independent director shall not replace the right to instigate the dispute resolution procedure at Annex 10 of the constitution.

Corporate role of the Board

2.15 All business shall be conducted in the name of the trust.

Charitable Funds

2.16 All gifts shall be received and held in the name of the trust and administered in accordance with the trust's policy. Attention is also drawn to the requirements of the Charities Act 1993. Officers should not hold bank accounts for funds holding donated monies and income which should have been paid into charitable or endowment funds.

2.17 All charitable funds received in trust shall be held in the name of the board as corporate trustee. In relation to funds held on trust, powers exercised by the board as a corporate trustee shall be exercised separately and distinctly from those powers exercised as the board of the trust.

2.18 The board also serve as trustees to administer separately charitable funds received by the trust and for which they are accountable to the Charity Commission.

3 Meetings of the Board

Calling a meeting

- 3.1 Ordinary meetings of the board shall be held at such times and places as the board may determine.
- 3.2 Meetings of the board may be called by the secretary, or by the chair, or by four directors who give written notice to the secretary specifying the business to be carried out. The secretary shall send a written notice to all directors as soon as possible after receipt of such a request.
- 3.3 The secretary shall call a meeting on at least three (3) clear days but not more than seventeen (17) clear days' notice to discuss the specified business. If the secretary fails to call such a meeting then the chair or the four directors who give written notice pursuant to SO 3.2 above, whichever is the case, shall call such a meeting.
- 3.4 Save in the case of emergencies or the need to conduct urgent business, the secretary shall give to all directors at least three (3) clear days written notice of the date and place of every meeting of the board.
- 3.5 Meetings of the board shall be open to members of the public unless the board decides otherwise in accordance with SO 3.43.
- 3.6 Nothing in these standing orders shall require the board to allow members of the public or representatives of the press to record proceedings in any manner whatsoever, other than in writing, or to make any oral report of proceedings as they take place, without the prior agreement of the board.
- 3.7 The board 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.

Notice of meetings

- 3.8 Before each meeting of the board, a notice of the meeting, specifying the business to be transacted at it, and signed by the chair or by an officer authorised by the chair to sign on his or her behalf shall be delivered to every board member, or sent by post to the usual place of residence of such member, so as to be available to him or her at least three (3) clear days but not more than ten (10) clear days before the meeting.
- 3.9 Want of service of the notice on any member shall not affect the validity of a meeting.
- 3.10 In the case of a meeting called by the chair or board members in default of the secretary, the notice shall be signed by the chair, or those board members who gave notice pursuant to SO 3.2 above, and no business shall be transacted at the meeting other than that specified in the notice.

Agenda

- 3.11 Agendas will be sent to members at least three (3) clear days before the meeting. Supporting papers shall accompany the agenda, save in an emergency. An agenda shall be presumed to have been served 72 hours after posting, or in the case of an agenda contained in an electronic communication, 72 hours after it was sent.
- 3.12 The board shall use its annual reporting cycle and actions arising from previous board meetings to determine the main content of the agenda.

- 3.13 A board member desiring other matters to be included on an agenda shall make his or her request known to the chair, in writing at least ten (10) clear days before the meeting. The board member should indicate whether the item of business is to be transacted in the presence of the public and should provide the appropriate paper, document or supporting information. Where a request for an item of business to be included on an agenda is made less than ten (10) clear days but more than three (3) clear days before a meeting such item of business may, at the discretion of the chair, be included and shall be tabled as an agenda item at the commencement of the relevant meeting.

Petitions

- 3.14 Where a petition has been received by the trust the chair shall include it as an item for the agenda of the next board meeting.

Chairing of meetings

- 3.15 The chair of the trust or, in his or her absence, the deputy chair of the board is to chair meetings of the board. If both the chair and the deputy chair are absent, the board members present shall choose a independent non-executive director who is present to chair the meeting.
- 3.16 If the chair stands down temporarily, on the grounds of a declared conflict of interest, the deputy chair, if present, shall chair that part of the meeting. If the chair and deputy chair are both absent, or disqualified from participating on the grounds of a declared conflict of interest, the board members present shall choose a independent non-executive director who is present to chair the meeting.

Notices of motion

- 3.17 A member of the board desiring to move or amend a motion shall send a written notice thereof at least ten (10) clear days before the meeting to the chair. The chair shall insert in the agenda for the meeting all notices so received. This SO 3.17 shall not prevent any motion being moved during the meeting, without notice, on any business mentioned on the agenda.

Withdrawal of motion or amendments

- 3.18 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.

Motion to rescind a resolution

- 3.19 Notice of motion to amend or rescind any resolution, or the general substance of any resolution passed within the preceding 6 calendar months, shall bear the signature of the member who gives it and also the signature of 4 other board members. When any such motion has been disposed of by the board, it shall not be competent for any member other than the chair to propose a motion to the same effect within 6 months; the chair may do so, however, if he or she considers it appropriate.

Motions

- 3.20 The mover of a motion shall have a right of reply at the close of any discussion on the motion or any amendment thereto.
- 3.21 When a motion is under discussion, or immediately prior to discussion, it shall be open to a member to move:
 - 3.21.1 an amendment to the motion
 - 3.21.2 the adjournment of the discussion or the meeting
 - 3.21.3 the appointment of an ad hoc committee to deal with a specific item of business
 - 3.21.4 that the meeting proceed to the next business
 - 3.21.5 that the motion be now put
 - 3.21.6 a motion resolving to exclude the public, including the press

Such a motion, if seconded, shall be disposed of before the motion which was originally under discussion or about to be discussed. No amendment to the original motion shall be admitted if, in the opinion of the chair of the meeting, the amendment negates the substance of the original motion. In the case of motions under SO 3.21.4 and SO 3.21.5, to ensure objectivity motions may only be put by a governor who has not previously taken part in the debate on the original motion.

Chair's ruling

- 3.22 Statements of directors made at meetings of the board must 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 final and observed at the meeting.

Voting

- 3.23 Subject to the following provisions of this SO 3.23, questions arising at a meeting of the board shall be decided by a majority of votes.
 - 3.23.1 In case of an equality of votes the person presiding as chair shall have a second and casting vote.
 - 3.23.2 No resolution of the board shall be passed if it is opposed by all of the independent non-executive directors present or by all of the executive directors present.
- 3.24 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 members present so request.
- 3.25 If at least one-third of the members present so request, the voting (other than by paper ballot), on any question may be recorded to show how each member present voted or abstained.
- 3.26 If a member so requests, his or her vote shall be recorded by name upon any vote (other than by paper ballot).

- 3.27 In no circumstances may an absent member vote by proxy. Absence is defined as being absent at the time of the vote.
- 3.28 An officer who has been appointed formally by the board to act up for an executive director of the board during his or her absence, or to cover a vacant executive director post, shall be entitled to exercise the voting rights of the executive director. An officer attending the board to represent an executive director without formal acting up status may not exercise the voting rights of the executive director. An officer's status when attending a meeting shall be recorded in the minutes.

Minutes

- 3.29 Minutes of every meeting of the board must be kept. Minutes of meetings will be read at the next meeting and signed by the chair of that meeting. The signed minutes will be conclusive evidence of the events of that meeting.
- 3.30 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 such next meeting.
- 3.31 Minutes shall be circulated in accordance with members' wishes. The minutes of the meeting shall be made available to the public except for minutes relating to business conducted when members of the public are excluded under the terms of SO 3.43.

Suspension of standing orders by the board

- 3.32 Except where this would contravene any statutory provision, any direction made by the regulator, or any term or condition set out in the trust's constitution, any one or more of the standing orders may be suspended at any meeting, provided that at least two-thirds of the board are present, including one executive director and one independent non-executive director, and that a majority of those present vote in favour of suspension.
- 3.33 A decision to suspend standing orders shall be recorded in the minutes of the meeting.
- 3.34 A separate record of matters discussed during the suspension of standing orders shall be made and shall be available to the chair and members of the board.
- 3.35 No formal business may be transacted while standing orders are suspended.
- 3.36 The audit committee shall review every decision to suspend standing orders.

Variation and amendment of standing orders by the board

- 3.37 These standing orders shall be amended only if:
- 3.37.1 A notice of motion under SO 3.17 has been given; and
- 3.37.2 At least two-thirds of the board members are present ; and
- 3.37.3 No fewer than half the total of the trust's independent non executive directors vote in favour of amendment; and
- 3.37.4 The variation proposed does not contravene a statutory provision, a direction made by the regulator, or any term or condition set out in the constitution

Record of attendance at board meetings

- 3.38 The names of the chair, the board members present, and individuals in attendance at each board meeting shall be recorded and this record shall be made available to the council upon its request.

Quorum

- 3.39 Five board members, including not less than two executive directors, one of whom must be the chief executive or another executive director nominated by the chief executive and not less than two independent non executive directors, one of whom must be the chair of the trust or the deputy chair of the board, shall form a quorum.
- 3.40 An officer in attendance for an executive director but without formal acting up status may not count towards the quorum.
- 3.41 If the chair or other member 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 SO 8 or 9), he or she 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 requirement at 3.39 for at least two executive directors to form part of the quorum shall not apply where the executive directors are excluded from a meeting, or part of a meeting; for example when the board considers the recommendations of the remuneration committee.
- 3.42 The board may agree that its members can participate in its meeting by telephone, video or computer link. Participation in a meeting in this manner shall be deemed to constitute presence in person at the meeting.

Admission of public to board meetings

- 3.43 The board may resolve to exclude members of the public from any meeting or part of a meeting on the grounds that:
- (i) publicity would be prejudicial to the public interest by reason of the confidential nature of the business to be transacted following an appropriate resolution by the board; or
 - (ii) there are special reasons stated in the resolution and arising from the nature of the business of the proceedings;
- 3.44 The chair may exclude any member of the public from a meeting of the board if they are interfering with or preventing the proper conduct of the meeting.

4 Review of chair

- 4.1 As part of a process for the appraisal of the chair, which should be agreed with the council, the independent non-executive directors, led by the senior independent director, should meet at least annually without the chair to evaluate the chair's performance.

5 Arrangements for the exercise of functions by delegation

5.1 Subject to such directions as may be given by the regulator, the board may make arrangements for the exercise, on behalf of the board, of any of its functions:

5.1.1 by a committee or sub-committee appointed by virtue of standing orders 6.1 or 6.2 below; or

5.1.2 by an officer of the trust; or

5.1.3 by another body.

in each case subject to such restrictions and conditions as the board thinks fit.

5.2 Where a function is delegated by these regulations to another body, the trust has responsibility to ensure that a formal and legal binding delegation of functions is in place. In other situations, i.e. delegation to committees, sub committees or officers, the trust retains full responsibility.

Emergency powers

5.3 The powers which the board has retained to itself within these standing orders may, in emergency, be exercised by the chief executive and the chair, after having consulted with at least two independent non executive directors. The exercise of such powers by the chief executive and chair shall be reported to the next formal meeting of the board in public session for ratification.

Delegation to committees

5.4 The board shall agree from time to time to the delegation of executive powers to be exercised by committees, or sub-committees, formally constituted in accordance with SO 6.1 and 6.2 below. The constitution and terms of reference of these committees or sub-committees and their specific executive powers shall be approved by the board.

Delegation to officers

5.5 Those functions of the trust which have not been retained as reserved by the board or delegated to a committee or sub-committee shall be exercised on behalf of the trust by the chief executive. The chief executive shall determine which functions he or she will perform personally and shall nominate officers to undertake the remaining functions for which he or she will still retain accountability to the board.

5.6 The chief executive shall prepare a scheme of delegation identifying his or her proposals, which shall be considered and approved by the board, subject to any amendment agreed during the discussion. The chief executive may periodically propose amendments to the scheme of delegation that shall also be considered and approved by the board.

5.7 Nothing in the scheme of delegation shall impair the discharge of the direct accountability to the board of the director responsible for finance to provide information and advise the board in accordance with statutory or regulator requirements. Outside these statutory requirements the role of the director responsible for finance shall be accountable to the chief executive for operational matters.

Overriding standing orders

- 5.8 If for any reason these standing orders are not complied with, full details of the non-compliance, any justification for non-compliance and the circumstances surrounding the non-compliance, shall be reported to the next formal meeting of the board for action or ratification. All members of the board and staff have a duty to disclose any non-compliance with these standing orders to the chief executive as soon as possible.

6 Committees

Appointment

- 6.1 Subject to such directions as may be given by the regulator, the board may and, if directed by the regulator to do so, shall establish committees, reporting to the board, consisting wholly or partly of the chair and members of the board or wholly of persons who are not members of the board.
- 6.2 A committee appointed under SO 6.1 above may, subject to such directions as may be given by the regulator, appoint sub-committees consisting wholly or partly of members of the committee or wholly of persons who are not members of the committee.
- 6.3 The board shall have the power to dismiss the members of any committee or sub-committee that is established under the power afforded to the board under SO 6.1 above or under the power afforded to committees at SO 6.2 above, from that committee or sub-committee as applicable.

Applicability of standing orders

- 6.4 The standing orders of the trust, so far as they are applicable, shall apply with appropriate alteration to meetings of any committees established by the board. In which case the term chair is to be read as a reference to the chair of the committee as the context permits, and the term member is to be read as a reference to a member of the committee also as the context permits. There is no requirement for committees or sub-committees, established under SO 6.1 and SO 6.2 above, to hold meetings in public.

Terms of reference

- 6.5 Each committee established by the board or sub committee shall have terms of reference and powers and be subject to such conditions, such as to reporting back to the board, as the board shall decide and shall act in accordance with any legislation and regulation or direction issued by the regulator. Such terms of reference shall have effect as if incorporated into these standing orders.

Delegation of powers to sub-committee

- 6.6 Where committees established by the board are authorised to establish sub-committees they may not delegate executive powers to the sub-committee unless expressly authorised by the board.

Approval of appointments

- 6.7 The board shall approve the appointments to each of the committees which it has formally constituted. Where the board determines, that persons, who are neither members nor officers, shall be appointed to a committee the board shall define the powers of such appointees and may agree allowances, including reimbursement for loss of earnings, and/or expenses.
- 6.8 The board may elect to change the committees and sub committees as necessary without the requirement to amend these standing orders. Save that the trust shall at all times have an audit committee and a remuneration committee.

Committees Established by the Board

- 6.9 The committees and sub committees to be established by the board shall include the following:

6.9.1 Audit Committee

An audit committee will be established and constituted to provide the board with an independent and objective review on its financial systems, financial information and compliance with relevant laws and guidance. The Terms of Reference will be approved by the board and reviewed on a periodic basis.

The NHS Foundation Trust Code of Governance recommends a minimum of three independent non-executive directors be appointed, of which one must have significant, recent and relevant financial experience.

The duties and decisions to be taken by the committee are contained in the relevant part of section 4 in the schedule of reservation and delegation of powers.

6.9.2 Governance Committee

A governance committee will be established and constituted to provide assurance to the board along with the audit committee, that the trust is properly governed and well managed across the full range of activities undertaken by the trust.

The duties and decisions to be taken by the committee are contained in the relevant part of section 4 in the schedule of reservation and delegation of powers.

6.9.3 Risk Committee

A risk committee will be established and constituted to provide information and assurances to the trust board that the trust is safely managing all issues relating to risk and governance.

The duties and decisions to be taken by the committee are contained in the relevant part of section 4 in the schedule of reservation and delegation of powers.

6.9.4 Remuneration Committee

A remuneration committee will be established and constituted. The duties and decisions to be taken by the committee are contained in the relevant part of section 4 in the schedule of reservation and delegation of powers.

The NHS Foundation Trust Code of Governance recommends the committee be comprised exclusively of non-executive directors, and should include at least three independent non-executive directors.

6.9.5 Charitable Funds Committee

In line with its role as a corporate trustee for any funds held in trust, either as charitable or non-charitable funds, the board will establish a charitable funds committee to administer those funds in accordance with any statutory or other legal requirements or best practice required by the Charities Commission.

The provisions of this SO 6.9.4 must be read in conjunction with SO 2.15-2.18 (inclusive) and SFI 17.

The duties and decisions to be taken by the committee are contained in the relevant part of section 4 in the schedule of reservation and delegation of powers.

Confidentiality

- 6.10 Subject to SO 6.11 a member of a committee established by the board or any member of any sub-committee shall not disclose a matter dealt with by, or brought before the committee or its sub-committee without its permission until the committee or sub-committee (as applicable) shall have reported to the board or shall otherwise have concluded on that matter.
- 6.11 A director of the trust or a member of the committee shall not disclose any matter reported to the board or otherwise dealt with by the committee or the board notwithstanding that the matter has been reported or action has been concluded if the board or committee shall resolve that it is confidential.

7 Other Trust Policy Statements/Procedures

- 7.1 The board will from time to time agree and approve policy statements/ procedures which will apply to all or specific groups of staff employed by the trust. The decisions to approve such policies and procedures will be recorded in an appropriate board minutes and will be deemed where appropriate to be an integral part of these standing orders and SFIs.

8 Declarations of interests and registers of interests

Declaration of interests

- 8.1 The constitution requires board members to declare interests which are relevant and material to the board of which they are a member. All existing board members should declare such interests. Any board members appointed subsequently should do so on appointment.
- 8.2 The responsibility for declaring an interest is solely that of the director concerned and shall be declared to the secretary:
- 8.2.1 Within 28 days of appointment; or
- 8.2.2 If arising later, within 7 days of the director becoming aware of the interest.
- 8.3 Interests which should be regarded as relevant and material are:
- 8.3.1 Any interest, (excluding shares in a company whose shares are listed on any public exchange where the holding is less than 2% of the total number of shares in issue) or any position held by a director in any firm, company or

- business which has or is likely to have a trading or commercial relationship with the foundation trust;
- 8.3.2 Any interest in an organisation providing health and social care services to the National Health Service;
 - 8.3.3 A position of authority in a charity or voluntary organisation in the field of health and social care;
 - 8.3.4 Any connection with any organisation, entity or company considering entering into a financial arrangement with the foundation trust including but not limited to lenders or banks.
- 8.4 Any director who has an interest in a matter to be considered by the board (whether because the matter involves a firm, company, business or organisation in which the director or his or her spouse or partner has a material interest or otherwise) shall declare such interest to the board and
- 8.4.1 shall withdraw from the meeting and play no part in the relevant discussion or decision;
 - 8.4.2 shall not vote on the issue (and if by inadvertence they do remain and vote, their vote shall not be counted); and
 - 8.4.3 details of any such interest shall be recorded in the register of interests of the directors.
- 8.5 Any director who fails to disclose any interest or material interest required to be disclosed under these provisions must permanently vacate their office if required to do so by a majority of the remaining directors and in the case of a independent non-executive director, by a majority of the council.
- 8.6 At the time board members' interests are declared they should be recorded in the board minutes. Any changes in interests should be declared at the board meeting following the change occurring.
- 8.7 If board members have any doubt about the relevance of an interest, this should be discussed with the chair.

Register of Interests

- 8.8 The chief executive will ensure that a register of interests is established to record formally declarations of interests of board members.
- 8.9 These details will be kept up to date by means of an annual review of the register in which any changes to interests declared during the preceding twelve months will be incorporated.
- 8.10 The register will be available to the public and the chief executive will take reasonable steps to bring the existence of the register to the attention of the local population and to publicise arrangements for viewing it.

9 Disability of chair and members of the Board of Directors on account of pecuniary interest

- 9.1 Subject to the following provisions of this standing order, if the chair or a member of the board 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, he or she 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.
- 9.2 The board may exclude the chair or a member of the board from a meeting of the board while any contract, proposed contract or other matter in which he or she has a pecuniary interest, is under consideration.
- 9.3 Any remuneration, compensation or allowances payable to the chair or a member of the board shall not be treated as a pecuniary interest for the purpose of this standing order.
- 9.4 For the purpose of this standing order the chair or a member of the board shall be treated, subject to SO 9.6 and SO 9.7, as having an indirect pecuniary interest in a contract, proposed contract or other matter, if:
- 9.4.1 He, or a nominee of his, 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
- 9.4.2 He is a partner of, or is in the employment of a person with whom the contract was made or is proposed to be made or who has a direct pecuniary interest in the other matter under consideration.
- 9.5 In the case of persons cohabiting as partners, the interest of one partner shall, if known to the other, be deemed for the purposes of this standing order to be also an interest of the other.
- 9.6 The chair or board member shall not be treated as having a pecuniary interest in any contract, proposed contract or other matter by reason only of:
- 9.6.1 his membership of a company or other body, if he or she has no beneficial interest in any securities of that company or other body;
- 9.6.2 an interest in any company, body or person with which he or she is connected, which is so remote or insignificant that it cannot reasonably be regarded as likely to influence a board member in the consideration or discussion of or in voting on, any question with respect to that contract or matter
- 9.7 Where the chair or a board member 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 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 body, whichever is the less, and if the share capital is of more than one class, the total nominal value of shares of any one class in which he or she has a beneficial interest does not exceed one-hundredth of the total issued share capital of that class, this standing order shall not prohibit him or her 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 his or her duty to disclose his or her interest.

- 9.8 This SO 9 applies to committees established by the board and to sub-committees as it applies to the board and applies to all members of any such committee or sub-committee whether or not he or she is also a member of the board, as it applies to a member of the board.

10 Standards of business conduct policy

Policy

- 10.1 Directors of the trust shall comply with standing financial instructions prepared by the director of finance and approved by the board for the guidance of all staff employed by the trust.
- 10.2 Directors of the trust must behave in accordance with the NHS Foundation Trust Code of Governance.
- 10.3 Each director will uphold the seven principles of public life as detailed by the Nolan Committee:

10.3.1 Selflessness

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

10.3.2 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

10.3.3 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 choices on merit

10.3.4 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

10.3.5 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

10.3.6 Honesty

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

10.3.7 Leadership

Holders of public office should promote and support these principles by leadership and example

Interests of officers in contracts

- 10.4 If it comes to the knowledge of any officer of the trust that a contract in which he or she has any pecuniary interest, not being a contract to which he or she is or is not himself a party to, has been, or is proposed to be, entered into by the trust, he or she shall at once, give notice in writing to the chief executive of the fact that he or she is interested therein. In the case of persons cohabiting as partners, the interest of one partner shall, if known to the other, be deemed to be also the interest of that partner.
- 10.5 An officer should also declare to the chief executive any other employment or business or other relationship of his, or of a cohabiting partner, that conflicts, or might reasonably be predicted could conflict with the interests of the trust. The Trust requires interests, employment or relationships declared, to be entered in a register of interests of staff.

Canvassing of and recommendations by, members of the board in relation to appointments

- 10.6 Canvassing of members of the board or of any committee established by the board or sub committee of the board, either directly or indirectly for any appointment under the trust shall disqualify the candidate for such appointment. The contents of this SO 10.6 shall be included in application forms or otherwise brought to the attention of applicants.
- 10.7 A member of the board shall not solicit for any person any appointment under the trust or recommend any person for such appointment. This SO 10.7 shall not, however, preclude a member of the board from giving written testimonial of a candidate's ability, experience or character for submission to the trust.
- 10.8 Informal discussions outside appointments panels or committees, whether solicited or unsolicited, should be declared to the panel or committee.

Relatives of members of the board or officers of the trust

- 10.9 Candidates for any appointment under the trust shall, when making applications, disclose in writing to the trust whether they are related to any member of the board or a holder of any office under the trust. Failure to disclose such a relationship shall disqualify a candidate and, if appointed, render him or her liable to instant dismissal.
- 10.10 The chair and every member of the board and officer of the trust shall disclose to the chief executive any relationship between himself and a candidate of whose candidature that member or officer is aware. It shall be the duty of the chief executive to report to the board any such disclosure made.
- 10.11 Prior to acceptance of an appointment as an executive director, executive directors of the board, should disclose to the board whether they are related to any other member of the board or holder of any office in the trust. Any non-executive director shall, on appointment, disclose to the board whether they are related to any other member of the board or holder of any office within the trust.
- 10.12 Where the relationship to a member of the board is disclosed, SO 9 may apply.

Gifts and hospitality

- 10.13 Members of the board and officers of the trust are expected to maintain high standards of personal conduct in all work related business. Under the Prevention of Corruption Acts they must not accept from any organisation, firm or individual any inducement or reward which might influence them to make a decision not in the best interests of the trust. Any breach of the Acts renders the employee liable to instant dismissal.
- 10.14 Any gifts received from or offer of gifts by a contractor or potential contractor must be reported immediately to the chief executive. In the context of these instructions contractor means any supplier of goods, and/or services to the trust. Exception may be made only for items valued at less than £25; otherwise staff should decline all offers of gifts.
- 10.15 Similarly, all offers of hospitality must be treated on the same basis. Visits to contractors or potential contractors or to another site to inspect their installations must be made at the trust's expense not the contractor's. Exception to this rule may be granted by the chief executive where reasonable. Otherwise only minimal hospitality should be accepted from a contractor or potential contractor and immediate explanation must be given to the chief executive if a breach of the rules occurs. As with gifts, unless it is of a minor nature, hospitality and entertainment should be declined.

Relationships

- 10.16 Members of the board and officers of the trust should, as far is reasonable, avoid private transactions with contractors if they have official dealings with them. Obtaining or receiving additional discounts, a lower than usual price or free services by virtue of the officer's business contacts is not permissible except at a trivial level.
- 10.17 There are a number of circumstances where employees may have a personal employment or commercial relationship with a contractor to the trust, or other interest in such a contractor. It is important that not only should the full circumstances be reported to the chief executive, but that the officer also demonstrates that, as far as possible, the relationship has not and will not have any adverse affect on the trust. Advice should also be sought where the relationship may lead to some form of patent, copyright or other form of development rights, prior to entering into any agreement with the contractor.
- 10.18 The chief executive will ensure that a record of incidents concerning gifts and hospitality, and a register of second employments with, or interests in, contractors by employees, are maintained.

Patents and copyrights

- 10.19 In the course of their official duties employees may enter a situation where their work should be registered for patent or non-academic copyright. Income may be received as a consequence. By virtue of the patent or non-academic copyright being developed whilst in the employment of the trust, officers must ensure that timely and proper action is taken to protect their own, and the trust's, interests.
- 10.20 All patents and non-academic copyrights must be reported to the chief executive who will prepare an agreement between the officer and the trust. That agreement must state clearly the ownership of intellectual property rights. Where the work involved is

wholly funded by the trust, ownership rests with the trust. The agreement will specify the respective shares which parties will receive. All income due to the trust must be paid into the trust's official funds.

- 10.21 All arrangements relating to patents and copyrights include the development of computer software.

Second employments

- 10.22 For full time staff their main employment necessarily takes precedence over any other paid or voluntary activities undertaken. Officers should not engage in any second or spare time job which affects in any way their performance or the discharge of their duties with the trust.
- 10.23 Second or spare time jobs are permissible, subject to SO 10.24 without the need for registration or authorisation, and may only be pursued where permitted under any officer of the trust's employment contract and where the activity is not with a supplier or contractor to the trust or with any other NHS organisation. Where an officer has reason to believe that his or her second employer has any business dealings whatsoever with the trust the facts must be reported to the chief executive.
- 10.24 Subject to the terms of any employees employment contract second or spare time jobs, whether regular or occasional, may not be with a supplier or contractor to the trust unless specifically approved by the chief executive who will keep a register detailing the personnel, the activity, the employer, and any other such details as are deemed desirable. Details of such situations must be submitted as and when these arise and confirmed on an annual basis.
- 10.25 Particular care must be taken to disclose any employment, even if only on a temporary or supply basis, with another NHS or private health care body.

Register of commercial interests and affiliations

- 10.26 The trust shall keep a register of commercial interests and affiliations, the register being held by the chief executive. It is essential that any member of staff who feels there may be conflict of interest makes an appropriate submission to the chief executive.

Disciplinary action

- 10.27 Failure to follow the principles and guidance in these standing orders may result in disciplinary action.

11 Custody of seal and sealing of documents

Custody of seal

- 11.1 The common seal of the trust shall be the responsibility of the secretary and kept in a secure place.

Sealing of documents

- 11.2 The seal of the trust shall not be fixed to any documents unless the sealing has been authorised by a resolution of the board or of a committee established by the board where the board has delegated its powers to authorise the application of the trust's seal.
- 11.3 Before any building, engineering, property or capital document is sealed it must be approved and signed by the director of finance, or an officer nominated by him or her

and authorised and countersigned by the chief executive, or an officer nominated by him or her who shall not be within the originating directorate.

- 11.4 All deeds entered into by the trust and all documents conveying an interest in land must be executed by the application of the trust's seal.

Register of sealing

- 11.5 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 have approved and authorised the document and those who attested the seal. A report of all sealings shall be made to the board at least annually. The report shall contain details of the seal number, the description of the document and date of sealing.

12 Signature of documents

- 12.1 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 or nominated executive director unless any enactment or otherwise requires or authorises, or the board shall have delegated the necessary authority to some other person for the purpose of such proceedings.
- 12.2 The chief executive or nominated officer shall be authorised, by resolution of the board, to sign on behalf of the trust any agreement or other document not requested to be executed as a deed, the subject matter of which has been approved by the board or any committee established by the board with delegated authority or any sub-committee with delegated authority.

13 Miscellaneous

Standing orders to be given to members of the board and officers of the trust

- 13.1 It is the duty of the chief executive to ensure that existing board members and officers of the trust and all new appointees are notified of and understand their responsibilities within the standing orders, schedule of reservation and delegation of powers and standing financial instructions. Updated copies shall be issued to staff designated by the chief executive. New designated officers shall be informed in writing and shall receive copies where appropriate.

Documents having the standing of standing orders

- 13.2 SFIs and the schedule of reservation and delegation of powers shall have effect as if incorporated into these standing orders.

Review of standing orders

- 13.3 SOs shall be reviewed periodically by the board. The requirement for review extends to all documents having the effect as if incorporated in standing orders.

Annex 9 – Additional provisions – members

(Paragraphs 4 and 8.3)

1. Disqualification from membership

- 1.1 An individual may not become a member of the foundation trust if:
 - 1.1.1 they are under 16 years of age; or
 - 1.1.2 they have been involved as a perpetrator in a serious incident of physical or verbal aggression at any of the foundation trust's hospitals or facilities or against any of the foundation trust's employees or other persons who exercise functions for the purposes of the foundation trust, or against any registered volunteer.

2. Termination of membership

- 2.1 A member shall cease to be a member if:
 - 2.1.1 they resign by notice to the secretary;
 - 2.1.2 they die;
 - 2.1.3 they are expelled from membership under this constitution;
 - 2.1.4 they cease to be entitled under this constitution to be a member of the public constituency or of any of the classes of the staff constituency;
 - 2.1.5 it appears to the secretary that they no longer wish to be a member of the foundation trust, and after enquiries made in accordance with a process approved by the Council of Governors, they fail to demonstrate that they wish to continue to be a member of the foundation trust.
- 2.2 A member may be expelled by a resolution approved by not less than two-thirds of the governors present and voting at a General Meeting. The following procedure is to be adopted.
 - 2.2.1 Any member may complain to the secretary that another member has acted in a way detrimental to the interests of the foundation trust.
 - 2.2.2 If a complaint is made, the Council of Governors may itself consider the complaint having taken such steps as it considers appropriate to ensure that each member's point of view is heard and may either:
 - 2.2.2.1 dismiss the complaint and take no further action;
or

- 2.2.2.2 for a period not exceeding twelve months suspend the rights of the member complained of to attend members meetings and vote under this constitution;
- 2.2.2.3 arrange for a resolution to expel the member complained of to be considered at the next general meeting of the Council of Governors.
- 2.2.3 If a resolution to expel a member is to be considered at a general meeting of the Council of Governors, details of the complaint must be sent to the member complained of not less than one calendar month before the meeting with an invitation to answer the complaint and attend the meeting.
- 2.2.4 At the meeting the Council of Governors will consider evidence in support of the complaint and such evidence as the member complained of may wish to place before them.
- 2.2.5 If the member complained of fails to attend the meeting without due cause the meeting may proceed in their absence.
- 2.3 A person expelled from membership will cease to be a member upon the declaration by the chair of the meeting that the resolution to expel them is carried.
- 2.4 No person who has been expelled from membership is to be re-admitted except by a resolution carried by the votes of two-thirds of the Council of Governors present and voting at a general meeting.

3. Members meeting

- 3.1 The foundation trust is to hold a members meeting (called the annual members meeting) within nine months of the end of each financial year.
- 3.2 All members meetings other than annual meetings are called special members meetings.
- 3.3 Members meetings are open to all members of the foundation trust, governors and directors, and representatives of the auditor, but not to members of the public unless the Council of Governors decides otherwise. The Council of Governors may invite representatives of the media and any experts or advisors whose attendance they consider to be in the best interests of the foundation trust to attend a members meeting.
- 3.4 All members meetings are to be convened by the secretary by order of the Council of Governors.
- 3.5 The Council of Governors may decide where a members meeting is to be held and may also for the benefit of members:

- 3.5.1 arrange for the annual members meeting to be held in different venues each year:
 - 3.5.2 make provisions for a members meeting to be held at different venues simultaneously or at different times. In making such provision the Council of Governors shall also fix an appropriate quorum for each venue, provided that the aggregate of the quorum requirements shall not be less than the quorum set out below.
- 3.6 At the annual members meeting:
- 3.6.1 the Board of Directors shall present to the members:
 - 3.6.1.1 the annual accounts;
 - 3.6.1.2 any report of the auditor;
 - 3.6.1.3 forward planning information for the next financial year
 - 3.6.2 the Council of Governors shall present to the members a report on:
 - 3.6.2.1 steps taken to secure that (taken as a whole) the actual membership of the public constituency and of the classes of the staff constituency is representative of those eligible for such membership;
 - 3.6.2.2 the progress of the membership strategy; and
 - 3.6.2.3 any proposed changes to the policy for the composition of the Council of Governors and of the non-executive directors
 - 3.6.3 the results of the election and appointment of governors and the appointment of non-executive directors will be announced.
- 3.7 Notice of a members meeting is to be given:
- 3.7.1 by notice to all members;
 - 3.7.2 by notice prominently displayed at the head office and at all of the foundation trust's places of business; and
 - 3.7.3 by notice on the foundation trust's website
- at least 14 clear days before the date of the meeting. The notice must:
- 3.7.4 be given to the Council of Governors and the Board of Directors, and to the auditor;

- 3.7.5 state whether the meeting is an annual or special members meeting;
 - 3.7.6 give the time, date and place of the meeting; and
 - 3.7.7 indicate the business to be dealt with at the meeting.
- 3.8 Before a members meeting can do business there must be a quorum present. Except where this constitution says otherwise a quorum is one member present from each of the foundation trust's constituencies.
- 3.9 The foundation trust may make arrangements for members to vote by post, or by using electronic communications.
- 3.10 It is the responsibility of the Council of Governors, the chair of the meeting and the secretary to ensure that at any members meeting:
- 3.10.1 the issues to be decided are clearly explained;
 - 3.10.2 sufficient information is provided to members to enable rational discussion to take place.
- 3.11 The chair of the foundation trust, or in their absence the deputy chair of the Board of Directors, shall act as chair at all members meetings of the foundation trust. If neither the chair nor the deputy chair of the Board of Directors is present, the members of the Council of Governors present shall elect one of their number to be chair and if there is only one governor present and willing to act they shall be chair.
- 3.12 If no quorum is present within half an hour of the time fixed for the start of the meeting, the meeting shall stand adjourned to the same day in the next week at the same time and place or to such time and place as the Council of Governors determine. If a quorum is not present within half an hour of the time fixed for the start of the adjourned meeting, the number of members present during the meeting is to be a quorum.
- 3.13 A resolution put to the vote at a members meeting shall be decided upon by a poll.
- 3.14 Every member present and every member who has voted by post or using electronic communications is to have one vote. In the case of an equality of votes the chair of the meeting is to have a second and casting vote.
- 3.15 The result of any vote will be declared by the chair and entered in the minute book. The minute book will be conclusive evidence of the result of the vote.

Annex 10 – Further provisions

1. Commitments

- 1.1 The foundation trust shall exercise its functions effectively, efficiently and economically.

Representative membership

- 1.2 The foundation trust shall at all times strive to ensure that taken as a whole its actual membership is representative of those eligible for membership. To this end:

1.2.1 the foundation trust shall at all times have in place and pursue a membership strategy which shall be approved by the Council of Governors, and shall be reviewed by them from time to time, and at least every three years,

1.2.2 the Council of Governors shall present to each annual members meeting a report on:

1.2.2.1 steps taken to secure that (taken as a whole) the actual membership of the public constituency and of the classes of the staff constituency is representative of those eligible for such membership;

1.2.2.2 the progress of the membership strategy;

1.2.2.3 any changes to the membership strategy.

Co-operation with NHS bodies and local authorities

- 1.3 In exercising its functions the foundation trust shall co-operate with NHS bodies and local authorities.

Openness

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

Prohibiting distribution

- 1.5 The profits or surpluses of the foundation trust are not to be distributed either directly or indirectly in any way at all among members of the foundation trust.

2. Framework

- 2.1 The affairs of the foundation trust are to be conducted by the Board of Directors, the Council of Governors and the members in accordance with this constitution and the foundation trust's authorisation. The members, the Council of Governors and the Board of Directors are to have the roles and responsibilities set out in this constitution.

Members

- 2.2 Members may attend and participate at members meetings, vote in elections to, and stand for election to, the Council of Governors, and take such other part in the affairs of the foundation trust as is provided in this constitution.

Council of Governors

- 2.3 The roles and responsibilities of the Council of Governors, which are to be carried out in accordance with this constitution and the foundation trust's terms of authorisation, are:

- 2.3.1 at a general meeting:
- 2.3.1.1 to appoint or remove the chair and the other non-executive directors;
 - 2.3.1.2 to approve an appointment (by the non-executive directors) of the chief executive;
 - 2.3.1.3 to decide the remuneration and allowances, and the other terms and conditions of office, of the non-executive directors;
 - 2.3.1.4 to appoint or remove the foundation trust's auditor;
 - 2.3.1.5 to be presented with the annual accounts, any report of the auditor on them and the annual report;
- 2.3.2 to provide their views to the Board of Directors when the Board of Directors is preparing the document containing information about the foundation trust's forward planning;
- 2.3.3 to respond as appropriate when consulted by the Board of Directors in accordance with this constitution;
- 2.3.4 to undertake such functions as the Board of Directors shall from time to time request;

- 2.3.5 to prepare and from time to time review the foundation trust's membership strategy and its policy for the composition of the Council of Governors and of the non-executive directors and when appropriate to make recommendations for the revision of this constitution.

Board of Directors

- 2.4 The business of the foundation trust is to be managed by the Board of Directors, who shall exercise all the powers of the foundation trust, subject to any contrary provisions of the 2006 Act as given effect by this constitution.

3. Secretary

- 3.1 The foundation trust shall have a secretary who may be an employee. The secretary may not be a governor, or the chief executive or the finance director. The secretary's functions shall include:
- 3.1.1 acting as secretary to the Council of Governors and the Board of Directors, and any committees;
 - 3.1.2 summoning and attending all members meetings, meetings of the Council of Governors and the Board of Directors, and keeping the minutes of those meetings;
 - 3.1.3 keeping the register of members and other registers and books required by this constitution to be kept;
 - 3.1.4 having charge of the foundation trust's seal;
 - 3.1.5 publishing to members in an appropriate form information which they should have about the foundation trust's affairs;
 - 3.1.6 preparing and sending to Monitor and any other statutory body all returns which are required to be made.
- 3.2 Minutes of every members meeting, of every meeting of the Council of Governors and of every meeting of the Board of Directors are to be kept. Minutes of meetings will be read at the next meeting and signed by the chair of that meeting. The signed minutes will be conclusive evidence of the events of the meeting.
- 3.3 The secretary is to be appointed and removed by the Board of Directors, in consultation with the Council of Governors.
- 3.4 The Board of Directors of the applicant NHS trust shall appoint the first secretary of the foundation trust.

4. Further provisions as to auditor

- 4.1 A person may only be appointed as the auditor if they (or in the case of a firm each of its members) are a member of one or more of the bodies referred to in paragraph 23 (4) of Schedule 7 to the 2006 Act.
- 4.2 An officer of the Audit Commission may be appointed as auditor with the agreement of the Audit Commission. Where an officer of the Audit Commission is appointed as auditor, the Commission is to charge the foundation trust such fees for their services as will cover the full cost of providing them.
- 4.3 The auditor is to carry out their duties in accordance with Schedule 10 to the 2003 Act and in accordance with any directions given by Monitor on standards, procedures and techniques to be adopted.

5. Further provisions as to accounts

- 5.1 The following documents will be made available to the Comptroller and Auditor General for examination at his or her request:
 - 5.1.1 the accounts;
 - 5.1.2 any records relating to them; and
 - 5.1.3 any report of the auditor on them.
- 5.2 In preparing its annual accounts, the accounting officer shall cause the foundation trust to comply with any directions given by Monitor with the approval of the Treasury as to:
 - 5.2.1 the methods and principles according to which the accounts are to be prepared;
 - 5.2.2 the information to be given in the accounts;and shall be responsible for the functions of the foundation trust as set out in paragraph 25 of Schedule 7 to the 2006 Act.
- 5.3 The accounting officer shall cause the foundation trust to:
 - 5.3.1 lay a copy of the annual accounts, and any report of the auditor on them, before Parliament; and
 - 5.3.2 once it has done so, send copies of those documents to Monitor.

6. Further provisions as to annual reports

- 6.1 The annual reports are to give:
 - 6.1.1 information on any steps taken by the foundation trust to secure that (taken as a whole) the actual membership of the public constituency and of the classes of the staff constituency is representative of those eligible for such membership; and
 - 6.1.2 any other information Monitor requires.
- 6.2 The foundation trust is to comply with any decision Monitor makes as to:
 - 6.2.1 the form of the reports;
 - 6.2.2 when the reports are to be sent to it;
 - 6.2.3 the periods to which the reports are to relate.

7. Indemnity

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

8. Dispute resolution procedures

- 8.1 Every unresolved dispute which arises out of this constitution between the foundation trust and:
 - 8.1.1 a member; or
 - 8.1.2 any person aggrieved who has ceased to be a member within the six months prior to the date of the dispute; or
 - 8.1.3 any person bringing a claim under this constitution; or
 - 8.1.4 an office-holder of the foundation trustis to be submitted to an arbitrator agreed by the parties or in the absence of agreement to be nominated by the Strategic Health Authority. The arbitrator's decision will be binding and conclusive on all parties.
- 8.2 Any person bringing a dispute must, if required to do so, deposit with the foundation trust a reasonable sum (not exceeding £250) to be determined by the Council of Governors and approved by the secretary. The arbitrator will decide how the costs of the arbitration will be paid and what should be done with the deposit.

9. Dissolution

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

10. Head office

The foundation trust's head office is The Christie, Wilmslow Road, Manchester M20 4BX or such other place as the Board of Directors shall decide.

11. Notices

11.1 Any notice required by this constitution to be given shall be given in writing or shall be given using electronic communications to an address for the time being notified for that purpose. "Address" in relation to electronic communications includes any number or address used for the purposes of such communications.

11.2 Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. A notice shall be treated as delivered 72 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, 72 hours after it was sent.

11.3 Any reference to days for service of notices, forms or declarations in this constitution shall be clear days. Therefore, the number of days specified does not include the two days between which the interval is measured. For example, if notice is to be given a number of clear days before a meeting, neither the date notice is delivered (or deemed to be delivered) nor the date of the meeting is to be taken into account.

12. *Paragraph deleted*