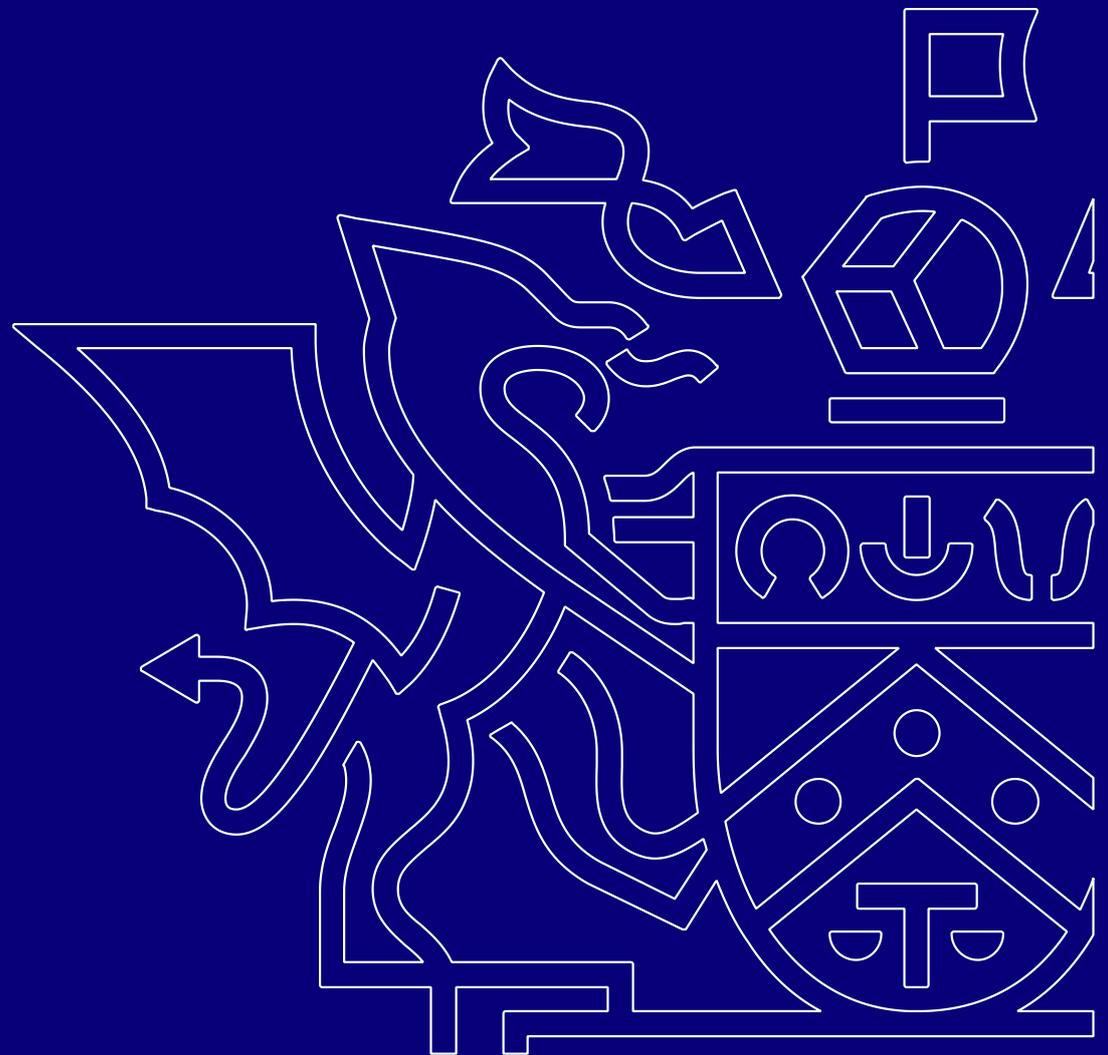


CIM

Election Procedures



BR101 - Election Procedures to the Board of Trustees

All CIM elections are subject to its Charter, Bye-laws and General Regulations, and where there is a conflict between these procedures and the Charter, Bye-laws and General Regulations, their provisions will prevail.

1. Responsibilities

- 1.1 The Institute Secretary is responsible for the conduct of the elections. The Institute Secretary will therefore either act as Returning Officer or appoint a Returning Officer to act on his or her behalf.
- 1.2 The Returning Officer is responsible for the conduct of a particular election. It is the job of the Returning Officer to apply and interpret these procedures, to count the votes (or oversee the count) and to announce the results. In the event of any dispute concerning these procedures, the ballot or the validity of votes, the decision of the Returning Officer will be final.
- 1.3 The Returning Officer has the power to suspend and then recommence an election or to disqualify candidates who breach these procedures.
- 1.4 The Returning Officer may also appoint agents for the purposes of assisting with an election.
- 1.5 The Returning Officer and his / her agents must not be CIM members. If the Institute Secretary is a CIM member, an alternative Returning Officer will be appointed by the Board.

2. Timetable for Elections

- 2.1 Elections will normally be held in the four months preceding the AGM. The exact timetable for each election will be determined by the Returning Officer at least 4 months before the proposed closing date for nominations.
- 2.2 All elections will follow the order of events listed below

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|---|---------------------|
| Set the timetable | See section 5 |
| Appoint Returning Officer (if applicable) | See section 1 |
| Publish notice of elections | See section 5 |
| Closing date for nominations | See section 7 and 8 |
| Closing date for manifestos | See section 12 |
| Dispatch voting papers and manifestos | See section 14 |
| Close of voting | See section 14 |
| Count the votes | See section 18 |
| Notify candidates of the results | See section 22 |
| Publish the results | See section 22 |

3. Voting Systems

- 3.1 The default mechanism for all elections is secure web-based voting with postal voting used for those members who prefer to be contacted by post, as permitted by the Charter, Bye-laws and General Regulations. A ballot paper or instructions how to vote will be sent to each member and will be in such format as the Returning Officer will determine (see section 15).
- 3.2 The following procedures must be followed:

- Mechanisms must be put in place to ensure that there can be no duplication in voting.
- To ensure the voting process is secure, each member must be issued with a unique reference number. This number should not relate to the member in any way or enable the member to be identified from it. For this reason, CIM membership numbers must not be used.
- The unique reference number will be required to register a vote (either by web-based voting or by post). It must be capable of being used only once, to ensure that only one vote is recorded.
- Adequate safeguards against fraud must be in place to maintain the security of the ballot.

3.3 For web-based voting:

- voting must be via a secure website, with appropriate encryption to ensure that the vote is not traceable in any way. In addition, the software used must prevent any record of the vote being kept on the computer or terminal used.

3.4 For postal voting:

- whenever possible, members will either be provided with a business reply service envelope for the return of the ballot paper or given details of a freepost address to which the ballot paper should be returned.
- members will be instructed that nothing should be placed inside the envelope other than the ballot paper and a declaration of identity form, if used. In addition, the envelope should be marked "ballot paper" and, if necessary, with the name of the election. The Returning Officer may choose to specify that ballot papers are only valid if returned in envelopes provided. CIM cannot accept responsibility for ballot papers not returned in the appropriate envelopes not being counted.
- It is the responsibility of members to submit their completed ballot papers. Ballot papers should therefore be submitted individually. Whilst CIM will accept ballot papers from members at the same address in the same envelope, the Returning Officer will not accept ballot papers where there is a possibility that they have not been returned by the individual members – e.g. a large number of forms collected in one envelope.
- Envelopes containing ballot papers will be kept in a secure location.

4. Voting Privacy

The Returning Officer will make such additional arrangements as s/he thinks appropriate to ensure that members' votes remain confidential.

5. Notice of Elections

5.1 Adequate notice must be given of all elections. This will normally mean a notification sent directly to all members entitled to vote or inclusion in a CIM publication that is sent to all members (or all members entitled to vote). Notice of an election should be prominently placed on the CIM website until the closing date for nominations.

5.2 Notice of the election will be given at least one month before the closing date for nominations.

5.3 The notice of the election will include

- What the election is for
- The number of vacancies to be filled (if known) and from which geographic locations
- How to nominate or be nominated
- Who is eligible to be a candidate
- Who is eligible to nominate a candidate

- The closing date for nominations and the timetable for the elections
- Any other information considered by the Returning Officer to be necessary in order to facilitate the election.

5.4 The nomination forms will be made available to members on the website and will also be posted or emailed to members on request.

6. Eligibility to be a Candidate

To be a candidate a person must comply with the eligibility requirements for the position, as set out in the Charter, Bye-laws and General Regulations.

7. Process for Nominations

7.1 All candidates must be nominated in accordance with the criteria for the specific election and all nominations must be received by the deadline specified.

7.2 The Returning Officer will specify the format for any nomination, which will normally include

- The name of the candidate.
- The membership number of the candidate.
- The address of the candidate.
- Any other information considered necessary by the Returning Officer.
- Candidate's confirmation indicating that they are willing, eligible to stand for election and can give adequate time required to the role.
- Declaration of Interests.
- Names of the persons proposing and seconding (the nominators), along with their membership numbers and /or addresses, and confirmation that they support the nomination. In the event that a candidate is nominated by the Board of Trustees, this may be replaced by a statement from the Board to that effect.

7.3 A nomination will be invalid if

- The completed forms have not been received at the specified address by the closing date for nominations.
- The form has not been fully completed.
- The candidate is not eligible for election.
- The nominators are not eligible to nominate.
- The particulars of the candidate or the persons nominating the candidate are incomplete, untruthful or inaccurate.
- A nominator has proposed or seconded more than one candidate. In this instance, the Returning Officer will try to contact the nominator (if this is possible before the deadline). If the Returning Officer is unable to contact the nominator, the nomination received first by the Returning Officer will stand and any subsequent nominations proposed or seconded by that nominator will be classed invalid.

7.4 The Returning Officer's decision that a nomination is invalid is final. The candidate will be immediately withdrawn for the election if the Returning Officer holds that a nomination is invalid.

8. Delivery of Nominations

8.1 Details of where nominations must be returned to will be included with the nomination form, along with the deadline for the receipt of nominations.

8.2 It is not necessary for all the nomination information to be returned on the same form. In addition, whilst CIM will issue nomination forms a nomination will be valid provided it contains the same information as the form.

9. Publication of Nominations

9.1 All nominations received will be confidential prior to the closing date for the nominations. The names of the candidates or potential candidates will not be disclosed to anyone, including the Board of Trustees. (However, the Returning Officer may choose to disclose how many nominations have been received to date.)

9.2 At the closing date for nominations, the names of the candidates will be made public. A complete list of candidates will be given to any candidate, or other member, on request. The list may also be published via the website and other means.

10. Process for Withdrawal for Candidates

10.1 A candidate can withdraw from an election by submitting a notice of withdrawal. This must be signed by the candidate and delivered to the Returning Officer at the same address as for the delivery of nominations. Any withdrawals must be received no later than four days after the closing date for nominations.

10.2 A nominator can withdraw his/her nominations at any time before the closing date for nominations, by submitting a notice of withdrawal. A nominator cannot withdraw his/her nominations following the close of nominations.

10.3 If a candidate withdraws, the election proceeds with the remaining candidates.

10.4 If a candidate dies at any time between the closing date for nominations, and the announcement of the election result, the election will continue. If election materials have already been printed and / or distributed, CIM will make attempts to notify members, via the website and any other general means of publication, of the death of the candidate. Any votes received for the deceased candidate will be discounted.

11. Uncontested Elections

If an election is uncontested (i.e. the number of candidates from each geographic location is equal to or less than the number of vacancies for that area) a statement of the candidates will be posted on the website no later than one week after the close of nominations, and the candidates will be declared elected unopposed.

12. Manifesto and Election Materials

12.1 Candidates will be asked to prepare a manifesto – a short personal statement supporting their candidacy and including details of their proposed contribution to The Board. In addition, candidates will be asked to supply biographical details. The content will be as determined by the Returning Officer, but will typically include qualifications, membership grade, CIM experience, current employment, industry sector expertise, place of residence and nationality. Manifestos and biographical details must be submitted by the deadline specified (which may be the deadline for the receipt of nominations, or a date after this). Failure to submit a manifesto or biographical details by the deadline will not invalidate a nomination, but no manifesto or biographical details will be published if received after the deadline.

12.2 The manifesto must be no longer than 250 words. Manifestos exceeding 250 words may be returned to the candidates for editing (if this is possible before the deadline) or simply cut down to the limit. This may mean that only the first 250 words are published. The Returning Officer or his / her agents will not edit manifestos on behalf of candidates.

12.3 The Returning Officer or his / her agent will review the content of the manifestos. Election manifestos are published at the Returning Officer's discretion and CIM will not publish any manifesto that it believes

- to contain inaccurate or untruthful information
- to be potentially libelous
- could subject CIM to any legal action or discredit it in any way.

12.4 The manifestos, biographical details and name of nominators will be provided to all members eligible to vote, along with ballot papers or instructions on voting.

12.5 In the election materials published by the Returning Officer the candidates will be listed alphabetically in order of their family names. If there are two or more candidates with the same family name, they will be listed in order of their other names.

12.6 If a candidate has more nominations than are required, only sufficient names will be published. Where possible the Returning Officer will give the candidate the opportunity to select the names, but if not, these will be determined by the Returning Officer (normally the first received).

13. Canvassing

Whilst CIM recognises that some candidates will engage in canvassing, and does not intend to prevent this activity, there are some restrictions that are placed on canvassing activities.

- No statement, remarks or details of any kind will be published in any form whatsoever by CIM itself in respect of candidates and in connection with elections, without the prior written consent of the Returning Officer.
- CIM staff, whether or not members, must not canvass on behalf of any candidate, or be involved in any such activities.
- Candidates and their supporters must not make use of CIM resources, including membership details or mailing lists for the purposes of canvassing. All candidates should ensure that they comply with Data Protection legislation in the UK and with similar legislative provision in other jurisdictions. Where a candidate has access to membership details in another capacity (e.g. through SIG or regional involvement) they must not use those details for canvassing.
- During the period of the election; candidates must not canvass using any official CIM approved social media site, including LinkedIn, Facebook or Twitter. CIM may utilise these channels to publicise the elections or provide all candidates an opportunity to engage with members via them.
- Candidates and their supporters are reminded that any action which could be construed as buying or procuring, advertising or offering incentives to encourage voting, is not permitted.

14. Voting

14.1 Voting papers will always be dispatched at least four weeks before the date set for the close of voting. Voting papers will be sent to all members entitled to vote, and will include:

- the names of the candidates and the names of those nominating the candidates.
- the election manifesto and biographical details for candidates.
- details of the voting procedure, including the date for the close of voting, and the address to which votes should be sent.
- instructions on how to vote.
- a business reply, or freepost envelope, if being used.

14.2 It will be at the discretion of the Returning Officer how the information is provided to members, but, for the avoidance of doubt, the inclusion of voting papers with, or within, a CIM publication that is sent to all members will meet the requirements of this section. In addition to providing the information to individual members, the voting papers (excluding the ballot and returning envelope) will also be published prominently on the CIM Website.

14.3 CIM is responsible for ensuring that voting papers, or details of how to vote, are dispatched to members at their notified address (see 15). Papers are dispatched in good faith. However, the non-receipt of a ballot paper, or any other election materials, by any member or members will not invalidate an election.

15. Ballots

15.1 Whatever form a ballot takes, it must

- contain the names of all the candidates
- contain clear instructions on how to vote.

15.2 Ballot papers (or details of how to vote) must only be sent to members' notified addresses or distributed to members personally. Notified address means the email or postal address of the member on the membership database held by CIM at the time that mailing details are compiled. It is the responsibility of the member to ensure that CIM is notified of his / her correct address, and any changes to it.

15.3 One or more of the following mechanisms must be used to ensure that ballot papers cannot be duplicated, and that they are used only by those persons entitled to vote.

- The ballot paper has a unique identification code.
- There is space on the ballot paper for a unique identification code to be written on it by the voter (a unique identification code having been issued to each member).
- The ballot paper needs to be signed by the member and/ or requires identification details such as a membership number or will be accompanied by a declaration of identity form to be completed.
- Any other security mechanisms as the Returning Officer may approve.

15.4 Any un-issued ballot papers, or publications containing ballot papers, must be returned to the Returning Officer to be destroyed.

16. Replacement Papers

CIM will only issue replacement ballot papers in exceptional circumstances and where there is no possibility of a duplication of voting. The decision of the Returning Officer on whether to issue a replacement ballot paper is final.

17. Eligibility to Vote

To be eligible to vote a person must, at the time of the dispatch of the voting papers to members

17.1 be a CIM Voting Member

17.2 meet any further eligibility criteria for the specific election as set out in the Charter, Bye-laws and General Regulations.

18. Counting of Votes

18.1 The Returning Officer, or agents appointed by him / her, is responsible for collecting all ballot papers and voting records. No other person will have access to the ballot papers or voting records.

- 18.2 Counting should take place as soon as possible after the close of the voting, and continue, with reasonable breaks, until all votes are counted.
- 18.3 The Returning Officer, or agents, are responsible for opening each envelope (if used); verifying each ballot paper or voting record; and counting all ballot papers or voting records.
- 18.4 Ballot papers or voting records should be verified before being counted. Verification will involve
- checking that the ballot paper is original and not a copy.
 - checking that it has a unique identification number (if used) or that the appropriate security details have been completed.
 - checking the appropriate verification procedures for web-based voting.
 - recording the total number of ballot papers or voting records received and comparing with the numbers issued and numbers eligible to vote.
- 18.5 The Returning Officer must ensure that if counting is suspended for any reason (for a reasonable break, or overnight) proper precautions are taken for the security of the ballot papers, voting records and other documents.
- 18.6 The Returning Officer will be responsible for determining if a recount is necessary for any votes. However normally a recount will only take place if
- there is reason to believe that there may have been an error in the counting
 - a candidate has been elected by a margin of four or less votes.
- 18.7 Any such recounts will only take place during the Count. Once the Returning Officer has announced the results they will be regarded as final, in the absence of manifest error.

19. Attendance at Counts

Only the Returning Officer, his / her agents and an independent scrutineer have the right to be present at the counting of the votes, unless, exceptionally, the Returning Officer has granted permission to anyone else to attend.

20. Validity of Votes

- 20.1 The decision of the Returning Officer on the validity of a vote, or any question arising in respect to a vote, will be final.
- 20.2 A ballot paper, or voting record will be invalid if
- it is not received by the Returning Officer before the deadline for the close of voting.
 - It is not an original ballot paper (in a postal vote) or in the required format for any other form of voting.
 - The person who voted was not entitled to vote, or there is uncertainty as to whether the person was entitled to vote (for example if a signature or membership number is required and is not provided, or a declaration of identity form is not completed).
 - A unique identification number is required but is missing or duplicates another number (in which case both votes will be invalid).
 - There is no clear indication of voting intention.
 - There is uncertainty as to whether the individual member themselves submitted the ballot paper / vote.

- 20.3 Situations in which there would be no clear indication of a voter's intention include those where
- the voter has voted for more than one candidate (or more candidates than the number of vacancies).
 - the mark, or marks, on the paper is not clearly placed by a candidate's name.
 - the paper, or voting record, has been left blank.
- 20.4 A ballot paper will not normally be invalid if
- the vote is marked in the wrong place, but with a clear indication of which candidate or candidates are preferred.
 - the vote is marked otherwise than with a cross.
 - there is more than one mark but with a clear indication of which candidate, or candidates, is preferred.
 - the member has not used all of his / her votes.
- 20.5 Only the Returning Officer or his / her agent can determine whether a ballot paper, or voting record, is invalid. All invalid papers or voting records should be marked "invalid" and must be kept with all other ballot papers / voting records.
- 20.6 In announcing the results, the Returning Officer will also announce the number of invalid votes.

21. Tied Votes

If there is a tie between any two or more candidates, and the addition of one vote to any of the candidates would have enabled that candidate to be elected, the Returning Officer will decide between the candidates by drawing lots.

22. Announcement of Results

22.1 The Returning Officer is responsible for announcing the results of an election.

22.2 All candidates will be notified of the results as soon as possible after the Count has concluded and no later than four days after that time. Members will be notified of the results in the first appropriate publication following the election. In addition, the results of all elections will be placed on the CIM website, no later than one week after the count has concluded, and the results will be available to all members, on request, at any time from the conclusion of the count.

22.3 The election results will be published in the numerical order of votes received along with the percentage of total votes that each candidate received. The number of votes cast for each candidate will not be published.

23. Retention of Ballot Papers and Voting Records

All ballot papers and any other voting records will be retained for a period of at least 6 months, after which they should be destroyed. Only the Returning Officer, his or her agents or an independent scrutineer, or another person acting on the explicit authority of the Board will have access to the ballot papers and voting records.



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