



Appointing Leaders Guidance

November 2016



DIOCESAN EDUCATION SERVICE

Archdiocese of Birmingham Registered Charity No 234216

Making Christ Known Today

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ARCHDIOCESE OF BIRMINGHAM

DIOCESAN EDUCATION SERVICE

APPOINTING LEADERS

FOREWARD FROM THE DIRECTOR OF EDUCATION

The appointment to school leadership ranks amongst the most important duties and responsibilities entrusted to the governing body of a Catholic school or the board of directors of a Catholic academy.

This booklet has been prepared so that any governing board has the appropriate guidance and advice concerning the process of making senior leadership appointments.

We would ask that you read this document carefully. It provides guidance for determining the entire process of making an appointment to headship or deputy headship for a Catholic school or of a principal or vice principal for a Catholic academy, in the Archdiocese of Birmingham.

The Diocesan Education Service (DES) wishes to support you in making important leadership appointments. It is established policy that the DES works closely with a governing board throughout the entire process of appointing to senior school leadership positions. Therefore, as soon as you are aware of the need to appoint a senior leader, please make contact with the DES to support your planning.

May we take this opportunity to thank you for the work you undertake on behalf of Catholic Education in the Archdiocese of Birmingham.

With every good wish

A handwritten signature in black ink that reads "Jonathan Veasey". The signature is written in a cursive style with a long horizontal stroke at the end.

Fr. Jonathan Veasey
Director

GUIDANCE ON APPOINTING A HEADTEACHER OR PRINCIPAL

1 INTRODUCTION

- 1.1 There is much evidence to indicate that the quality of leadership is one of the most important factors in determining the success of any school. Therefore, appointing a headteacher or principal to lead a diocesan school or academy is one of the most important decisions the governing board¹ will make. In a Catholic school or Catholic multi-academy the headteacher or principal takes on additional responsibility as leader of a faith community. In particular, there is a requirement that the person appointed is a practising Catholic who through personal witness to the faith is committed to promoting an ethos that reflects gospel values and the teachings of the Catholic Church.
- 1.2 This booklet has been updated to provide diocesan guidance specifically on the appointment of headteachers and principals. The general principles will also apply to the appointment of deputy headteachers or vice-principals who, as leaders of the future, command just as much care in their appointment.
- 1.3 **It is important to emphasise that governing boards should notify the Diocesan Education Service as soon as a vacancy for a headteacher/principal or deputy/vice principal is known.**² The Scheme of Delegation for multi-academy companies (MACs) states that the board of directors must give advisory rights to the Diocesan Director of Education or his representative. Similarly, with voluntary aided (VA) schools it is expected that governing boards would agree advisory rights for the Diocesan Director as well as a representative of the LA in the appointments process. In the case of a vacancy for a deputy headteacher or vice principal the DES would also expect to be notified.
- 1.4 In appointing a senior leader there is professional advice, guidance and support available from a variety of sources:
- The Diocesan Education Service (DES) including material on our website www.bdes.org.uk
 - The Local Authority (LA) for voluntary aided schools;
 - The Department for Education (DfE) website www.gov.uk/government/publications/a-guide-to-recruiting-and-selecting-a-new-headteacher
 - The Catholic Education Service (CES) provides a useful guidance document on recruitment and electronic downloads of the leadership application form and

¹ This guidance is equally applicable to Voluntary aided schools and Academies. In line with latest DfE practice, the guidance, for the sake of brevity, refers throughout to 'governing boards' to mean either the board of governors in voluntary aided schools or the board of directors of multi-academy companies. Directors however will only have access to LA advisors mentioned in the guidance if they have a service level agreement with a local authority. They may instead have other HR advisors.

² This point is reiterated in the 'Bishops' Memorandum' found in appendix 3. This document written on behalf of all the Bishops of England and Wales, sets out how governing boards must protect the Catholic nature of our schools in their recruitment processes.

associated documents and contracts of employment at www.catholiceducation.org.uk

- The DfE provides access to 'School Staffing (England) Regulations 2009' and 'Guidance on managing staff employment in schools' at www.education.gov.uk
- The DfE has published a booklet entitled: 'Keeping children safe', available for download from www.gov.uk/government/publications/keeping-children-safe-in-education--2
- The DfE has useful information about conditions of service in the 'School Teachers' Pay and Conditions Document' (DFE) at www.gov.uk/government/organisations/department-for-education which is updated annually.
- Guidance on the employment of staff is available in 'The Governance Handbook' chapter 9 at www.gov.uk/government/organisations/department-for-education and updates are made as necessary.
- Clear expectations of the post are laid out in the 'National Standards of Excellence for Headteachers' at www.gov.uk/government/organisations/department-for-education These standards were published in January 2015
- The particular expectations for Catholic leaders are laid out in the 'Bishops' Memorandum' and 'Catholic Schools and the Definition of a Practising Catholic'. Which can be found in the 'recruitment documentation' section of the Diocesan Education Service website. www.bdes.org.uk

1.5 The school also has a range of documentation that can and should be used to facilitate any analysis and thinking about the school's circumstances and needs:

- The last Ofsted Report and RE Inspection Report;
- School Development Plan;
- Any school self-evaluation documentation including Performance Tables.

1.6 **Remember also to ask the Holy Spirit to guide you towards a suitable outcome, and commence each stage of the proceedings with prayer.** Panels may be able to start the interview day, or days, with a Mass which can be attended by all involved in the process including the candidates.

N.B

This diocesan guidance has been written in line with the joint publication in June 2012 of '***A guide to recruiting and selecting a new headteacher***' by the National College (NC) and the National Governors Association (NGA). **The seven stages outlined by the NC/NGA in the appointment of leaders should be considered best practice and provides a good generic guide for all our diocesan schools and multi-academies.**

2 Initial Action Contact the Diocesan Education Service

- 2.1 **As already indicated as soon as the governing board is aware of the need to appoint a new headteacher, principal, deputy headteacher or vice principal, it is important that the Chair contacts the DES.** Although academies are not subject to the same regulations as Voluntary Aided (VA) schools it is important to emphasise that the diocesan Scheme of Delegation for MACs requires directors to notify any vacancy for a principal to the Diocesan Director of Education and to give advisory rights to the DES regarding any appointment. (For multi-academy companies please refer to the essential requirements section in the 'Scheme of Delegation'). For Voluntary Aided schools, it is expected that both the DES and the Local Authority are given advisory rights. (For VA schools see DES document '[Appointing Leaders Diocesan Advisory Rights](#)' available on our website.)
- 2.2 The purpose of this initial contact with the DES is to discuss the preliminary steps in the recruitment process. This includes setting a date for a meeting of the full governing body to which the advisers would be invited. **Note it is a statutory requirement that there is a meeting of the full governing body to start off the process of recruiting a headteacher. This function cannot be delegated to an individual or a committee.** (See chapter 11 'A Guide to the Law for School Governors' May 2012)
- 2.3 The DES represents the interests of the Diocesan Trustees (including His Grace, the Archbishop of Birmingham) who own the building and thus provide the premises for a Catholic school or academy to function. The DES also has an interest in preserving and developing the religious character of the school or academy. For VA schools the LA adviser represents the local authority, which provides the funding to maintain the provision of education within the school building and monitors the effectiveness of the quality of that provision. Although the governing body/board will itself consider the requirements of the school and set out its vision for the future it will need to hear the views of the DES and, if applicable, the LA before determining the range of options available on how best to move forward. Generally, the DES does not advise the use of recruitment agencies. (see **Appendix 1**).
- 2.4 At this early stage it is important to review the school's circumstances and changing needs. In considering the type of person that needs to be appointed we recommend strongly that account is taken of the schools Ofsted category and any LA assessment or review of the school, based on the school's performance and progress data, its priorities for raising achievement, the quality of teaching and learning and the impact of the overall leadership and management of the school. Governors need to be clear about what the rights the LA and Regional Schools Commissioner have in relation to intervention powers.
- 2.5 The resignation or retirement of a serving headteacher/principal or deputy/vice principal can present an opportunity to review future leadership arrangements. Governors may need to consider '*more radical and creative solutions to the role of headteacher*'. Appointing a substantive headteacher at the time of the vacancy may not necessarily be possible or the most appropriate way forward. For example, governors of VA schools may be considering entering a diocesan multi-academy model. Although a multi-academy model may take some time to agree with partner diocesan schools suitable arrangements may be considered for acting headship until discussions are complete. Other solutions to appointing a new headteacher may include:

- appointing the deputy headteacher to a period of acting headship;
- appointing an acting headteacher from outside the school;
- appointing an executive headteacher with a Head of School.

3 SEVEN STEPS IN THE RECRUITMENT AND SELECTION PROCESS

3.1 In *'A guide to recruiting and selecting a new headteacher'* seven main steps in the appointment process are identified. The seven steps are as follows:

- **Preparation**
- **Definition of need**
- **Attraction**
- **Selection**
- **Appointment**
- **Induction**
- **Evaluation**

4 PREPARATION (STEP ONE)

4.1 By the end of the 'preparation stage', which could be the first meeting of the whole governing body with the professional advisers, the governing body should:

- Decide who should be on the appointment panel. The governing board must decide the size of the selection panel to make the appointment (it can be the full governing board). A selection panel must consist of at least 3 governors in a voluntary aided school. It is advised that Foundation Governors should be in the majority. In academies Foundation Directors should be in the majority and appropriate involvement of Academy Representatives should be considered by the board. To avoid the possibility of a tied vote, it is best make sure that the panel consists of an odd number of voting members.
- Know that the panel, once appointed, is responsible for selecting applicants for interview, carrying out the interviews and making recommendations for appointment to the full governing body.
- Be aware that it is mandatory for a recruitment panel to include at least one person who has been trained in safer recruitment. Ofsted will request evidence as part of their inspections that recruitment panels meet this requirement. Be clear about how to incorporate guidance on safeguarding into the process.
- Set dates and timescales for the recruitment process including arranging a full governors meeting on the same day as the interview process ends to ratify the decision of the selection panel. Give some thought to where and how to advertise, and the arrangements for the selection and interview process including venue.
- Be clear about the roles and responsibilities of the governing body, the LA, the DES, the outgoing headteacher and staff. Only governors on the panel have a vote, not advisers. The current headteacher should not be involved in the appointment of his/her successor but can still provide information and support to governors throughout the process.

- Be aware that any governor who might have a financial or personal interest should not sit on the panel. This would include:
 - a deputy head who is a governor and might apply for the headship.
 - a member of staff who is a teacher governor and might apply for promotion in the event of an internal appointment. N.B. DFE guidance strongly advises against staff members on the selection panel.
- Confirm that all members of the panel are able to attend all the various stages in the process. If any governor feels that he/she may be unable to do so, he/she should not sit on the panel. It can be useful to identify and involve a reserve governor who can substitute if anyone on the panel has to drop out just before the interviews start.
- Be clear that governors are able to discriminate legally with reference to religion for the headship and deputy headship in a Catholic school where the need to be a 'practising and committed Catholic' is an essential occupational requirement.
- **Use the most recent Catholic Education Service leadership form and associated documentation, which can be downloaded from the CES website.**
- Be well informed about the state of the budget and the salary you can afford to pay. When advertising, the panel will need to set an 'Indicative School Range' (ISR) with reference to the 'School Teachers' Pay and Conditions Document' and the school's pay policy. The DES advises that governing boards heed the advice of the LA (when available) about 'local comparisons' regarding salary range. It is good practice to determine how the starting salary will be set within the indicative range for candidates who have different levels of experience. It would be expected that a deputy headteacher/vice principal with no significant experience of headship or acting headship would be paid at the bottom of the indicative range. Other candidates may be offered a higher salary, but scope for performance related pay must remain in the final salary range.
- Discuss with the DES the options that might be available to the governors if you cannot appoint before the post becomes vacant.

4.2 The appointment process requires considerable secretarial support, much of which is of a confidential nature. The information for candidates has to be prepared and collated, the advertisement placed, references sought, application forms photocopied or emailed and correspondence with candidates handled efficiently. In some schools, the clerk to the governing body is able to perform these functions. Where the clerk carries out this role, bear in mind that there may be circumstances where it may be inappropriate for applications and references to be sent to the clerk c/o the school, since there is a risk that the confidentiality of the process may be jeopardised. Instead, applications and references should be sent to an alternative address e.g. the clerk's home address, with the agreement of the clerk, or to the presbytery, with the agreement of the parish priest.

4.3 Some schools prefer to use the services of the LA to handle the process. In that event, the LA will do everything for you, usually at a modest cost and the process is professionally secure. However, there is a need to ensure that governors are confident in the quality of service to meet their needs.

- 4.4 The 'Time line for headship appointment' in **Appendix 2** should prove useful in clarifying the timescales.

5 DEFINITION (STEP TWO)

- 5.1 By the end of the definition stage, which could be encompassed wholly or partly at either the first meeting of the whole governing body with the professional advisers or at an additional meeting of the selection panel, the governing board or the appointment panel should:

- be clear about the current and future needs of the school;
- have analysed the skills and experience already in the school leadership team;
- have defined the faith commitment, qualifications, skills and experiences you are seeking in a headteacher;
- determined the job description and person specification;

(NOTE: In many of the documents mentioned in this section, there should be a reference to a commitment to safeguarding and promoting the welfare of children. Where we have provided model documents, this reference is included.)

5.2 The Job Description

- 5.3 **Appendices 3A and 3B show specimen job descriptions for headteachers and deputy headteachers of a Catholic school.** They are not set in stone and can be amended. Listen carefully to any advice from the DES and LA.

- 5.4 Job descriptions are normally based on teachers' national conditions of service, and linked to the National Standards of Excellence for Headteachers. As governors of a Catholic school, you have to ensure that the job description you prepare includes the duties required of the headteacher of a Catholic school. This requirement will not be found in any standard job description. **While you may wish to use parts of the LAs document, your job description must reflect the distinctive nature of leadership in a Catholic school.**

5.5 The Person Specification

- 5.6 **The supporting documents give examples of the sort of criteria you may wish to include in the person specification for a headteacher/principal or deputy headteacher/vice principal.** Make sure that you cover every area, e.g. faith commitment, qualifications etc., and that you sub-divide your chosen criteria as "essential" or "desirable". The person appointed must be a practising and committed Catholic, and **Document 3** gives the legal basis for this requirement. [See the DES website www.bdes.org.uk for more detail in the document, 'Catholic Schools and the Definition of a Practising Catholic'.] A copy of this document should be included in the documentation sent to applicants.

- 5.7 There is sometimes debate as to whether possession of the Catholic Certificate in Religious Studies (CCRS) or an equivalent qualification should be regarded as an essential requirement. The qualification adds value to any candidates' knowledge and understanding of the Catholic faith and therefore, their ability to offer leadership to a Catholic school. **Given, however, the declining number of teachers who hold the certificate and the small number of candidates for most headships, the DES recommends that governors define it as a desirable rather than essential**

criterion, and rely on the letter of application and the interview to verify an applicant understands of Catholic education.

5.8 It is preferable for applicants to have had previous teaching experience in a Catholic school. However, there are Catholics working outside the Catholic system including some headteachers or deputy headteachers who are looking for an opportunity to work in a Catholic school. There are several examples of practising and committed Catholics being appointed to Catholic schools from outside the Catholic sector and leading schools effectively as Catholic schools

5.9 **National Professional Qualification for Headship' (NPQH)**

5.10 Until 8th February 2012 it was mandatory for first-time headteachers to have successfully completed NPQH to be appointed to substantive headship. Since then it is optional in line with the government wanting to give schools greater freedom. However, many governing bodies believe that NPQH provides valuable additional preparation for headship and remains a highly respected qualification. Many governing bodies, therefore, are still able to consider NPQH very advisable. It is important to emphasise that the qualification still continues to be endorsed by the government as a qualification for any candidate aspiring to headship.

6 **ATTRACTION (STEP THREE)**

6.1 By the end of the attraction stage, which could be encompassed in either the first meeting of the whole governing board with the professional advisers or an additional meeting of the panel, the governing board or the appointment panel should have:

- drafted and placed an advertisement;
- decided on the contents of the application pack;
- planned how you will have organised visits to your school;
- decided what additional information you will make available to candidate

6.2 **New Style Marketing**

6.3 In the light of smaller fields for headship, some governing bodies are increasingly more pro-active in marketing their school's headship vacancy. Research indicates that half of all headteacher posts are advertised in January and February. Recruitment efforts in the summer term and particularly from June onwards very rarely yield a permanent appointment from September. So what might a governing body do to encourage applications in a highly competitive recruitment market? The school's website will often be the first port of call for any prospective candidate so it is important this conveys a positive image of the school. At the heart of positive recruitment is a commitment to candidate care. Examples of a new style marketing approach to candidates include:

- Providing job information with a fluent explanation of the school's current agenda and the challenges an incoming head will face.
- Ensuring candidates' first contact with the school is positive and visits to the school are reasonably accommodated.
- Ensuring requests for further information are met promptly and efficiently by a named person and there is an opportunity for informal conversation if requested.
- Making available online information, documents and application forms that can be submitted electronically.

- Acknowledging all applications and ensuring every candidate receives a letter or email about the success or failure of their application.

6.4 Advertising

- 6.5 There are several ways to advertise the post from traditional print routes; websites; parish newsletters and noticeboards. It is important that the post should be advertised in a manner that ensures national circulation. The advertisement may appear in more than one publication but most teachers looking for posts will look on the website of the TES and especially in primary schools, in the Catholic Teachers Gazette (CTG). This latter publication may be considered to be a national publication but advertisements in this paper will only reach potential candidates working in Catholic schools. If governors elect to publish only in the CTG and on the website of the TES then the DES advise contacting all parish priests within approximately 25 miles of the school to request that they advertise the vacancy through their parish newsletter or normal channels of communication, thus reaching the notice of practising Catholics working in non-Catholic schools (see Document 4 for a sample letter).
- 6.6 It is worth looking at recent advertisements in the CTG and on the TES website for examples that catch the eye, but the following points should be noted.
- 6.7 The advertisement should be headed “Archdiocese of Birmingham”, followed by ‘in partnership with’ and then the name of the LA (If VA school) or followed by the name of the multi-academy. Then in prominent lettering, the name of the school.
- 6.8 It should include the number of pupils on roll, the salary range (known as the ISR)³ and a few brief words to give candidates some idea of the school and the sort of candidate governors are looking for.
- 6.9 At the foot of the advertisement, tell the candidates how they can obtain details and to whom applications should be made. This will normally be the clerk or chair of the governing body.
- 6.10 Try not to clutter the advert with too many words, and avoid jargon. Decide also on the size of the advert. The bigger the advert, the more it costs. In the choice of words used in the advertisement, try to communicate ‘the voice’ of the governing body.
- 6.11 It is also important that the advert does not communicate an unrealistic expectation. It is worth considering how the advertisement will be perceived by someone applying for a first headship. Does the wording encourage applications by using phrases such as, “... the potential to be a successful leader” rather than discouraging humble or modest leaders by using phrases such as, “someone who is an outstanding leader”?
- 6.12 If your school faces challenges, for example, Ofsted category, be positive. Some candidates look for a challenge and all should want to make a difference to the lives of children. It is also important that governors actually attract the candidate with the experience, skills and professional qualities needed to move the school forward, so

³ The range should be given in monetary terms. If the school's pay policy uses the teacher union's leadership pay scales, then the scale points can also be used.

it does not pay to paint a picture of the school that is less than honest, albeit painted in a positive manner.

6.13 The LA adviser will often help governors with the construction of the advert. Listen carefully to their advice but do not agree to the inclusion of phrases like “We are an equal opportunities employer” if governors have not adopted the LA policy, which is often unsuitable for Catholic schools.

6.14 With reference to safeguarding requirements the advert should include a phrase such as “This school is committed to safeguarding and promoting the welfare of children and young people and expects all staff and volunteers to share this commitment. An enhanced DBS check is required for all successful applicants”.

6.15 **Information to be given to Applicants**

6.16 Research has revealed that candidates most want to receive an understanding of the school’s own evaluation of its challenges, together with a sense of current plans for improvement. They also want a summary of key financial issues. The current headteacher may be asked to help prepare this kind of information. This would be one way in which they could appropriately support the recruitment process.

6.17 The pack should also include the job description and the person specification and the document ‘Catholic schools and the definition of a practising Catholic’. Governors should also decide what further information could be included, such as the school’s latest OFSTED report. Given the size of the diocese, governors might want to include some information about house prices in your area if you think it useful. Research found that the single most important factor in deciding whether to apply for a post was location.

6.18 Also, most LAs have extensive experience of helping schools prepare information packs, and they will be able to give governors sound advice. **Remember, that yours is a Catholic school, and any LA information will not address matters to do with Catholicity. If governing boards commission the LA or other HR provider to administer the process, the clerk should check all the documents before they are sent to candidates. Please ensure that the LA sends out the Catholic Education Service leadership application form and associated documents.**

6.19 Give candidates the opportunity to visit the school if they so wish, before submitting their application; in fact encourage them. Remember, it is not good practice to use visits as part of the selection process.

6.20 **The Application Documents.**

6.21 Make sure that governing boards use the CES documents, which can be accessed electronically from the CES website. Currently these documents include:

Recruitment Monitoring Form⁴

Rehabilitation of Offenders Act 1974 - Disclosure Form⁵

Notes to Applicants

⁴ Note that this monitoring form, although it is sent to candidates, must not be used in the shortlisting process. The process administrator should retain these until after the appointment and then give them to the clerk to the governing board for use in the boards annual review of its equality duty.

⁵ This document may be sent to the panel marked private and confidential. In which case it should be passed unopen to the chair of the panel.

Senior leadership application form

- 6.22 The CES application form explicitly requests a reference either from the applicant's parish priest or the parish priest of the church where they worship regularly. It is important to note that the CES contract makes specific reference to the need for the person appointed to lead his/her life in accordance with the teachings of Jesus Christ and the social and moral teachings of the Catholic Church.
- 6.23 In line with DfE safeguarding requirements, the DES does not recommend the use of CVs.

7 SELECTION (STEP FOUR)

- 7.1 By the end of the selection stage the appointment panel should:
- have decided how to conduct the shortlisting meeting and been reminded of the strict confidentiality of this meeting;
 - have drawn up a framework for assessing candidates' application forms;
 - know how to access support and training if necessary;
 - have decided whether to seek any other information about candidates and if so how to do so in a proper manner.
 - decided on the length of the interview process;
 - drawn up a programme of selection activities;
 - considered designing or adopting a recording grid for each activity;
 - clarified who will be involved on the day(s) and how;
 - considered how to deal with candidates;
 - made all practical arrangements for the interviews;
 - drafted a letter for interviewees;
 - have requested references;
 - prepared the interview protocols and questions;
 - agreed when and how the panel will review candidates and make its decision.
- 7.2 Selection practices vary. The DES encourages governors to be guided by your Diocesan Adviser to ensure there is ample opportunity for candidates' knowledge of Catholic education and commitment to and practice of the Catholic faith to be properly explored. Useful advice will also be given by LA advisers where present.
- 7.3 **Shortlisting**
- 7.4 The selection panel should meet as soon as possible after the closing date to consider the applications and decide which candidates to invite for interview. In reaching this decision, the panel must evaluate the candidates against the person specification using their application form with supporting statement. It is important that the panel do not allow information outside the process to sway their judgement, they must use only the evidence presented in the application. We recommend the use of a recording tool using the criteria from the person specification that allows you to differentiate between candidates; most LAs produce some supporting materials. Keep records in the event of any appeal.
- 7.5 Governors have to be systematic, transparent and scrupulously fair both at this stage and at the final interviews. **Pay careful heed, therefore, to any advice from the DES or LA in helping you to select appropriate candidates for interview and to avoid any allegations of unfair practice.**

- 7.6 When inviting candidates to interview, governors should use the CES model letter and 'reasonable adjustments statement'
www.catholiceducation.org.uk/employment-documents/recruitment-process/item/1000051-model-recruitment-documents-guidance.

The letter indicates that a copy of the CES contract and the diocesan guidance (in our case 'Catholic Schools and the Definition of a Practising Catholic') will be included with the letter.

7.7 **References**

- 7.8 Once the panel have finalised the shortlist, request references without delay. Three references should be obtained, one of which must be from the current or most recent employer and one should be from the parish priest or priest in charge of the church where the applicant worships regularly (See **Document 5**)

- 7.9 In the past reference requests have typically asked for information on time-keeping; whether the applicant has been the subject of a disciplinary or capability procedure; reasons for leaving; readiness for the post and whether the referee would re-employ the applicant. The DFE booklet 'Keeping Children Safe' (paragraph 108) advises that the purpose of references is to obtain objective and factual information to support appointment decisions and *"so that any issues of concern they raise can be explored further with the referee, and taken up with the candidate at interview"*.

- 7.10 The chair of the panel should read the references before the interview and is responsible for ensuring that any issues or discrepancies stemming from the references are established and explored at interview. In practice the LA adviser or DES officer supporting the process should be asked for their advice and asked to pursue any concerns. The purpose of seeking references is to obtain objective and factual information to support appointment decisions. Most important are the decisions based on the Governing Body's own robust recruitment process. Common advice is therefore, that the panel as a whole refer to the references towards the *end* of their decision making process. The application forms state that references may be taken up prior to interview and so contact will need to be made with the referees listed. References should be requested for all candidates shortlisted for interview and enough time allowed between the shortlisting and interviews for referees to receive the request, write the reference and return it. Safeguarding advice (Keeping Children Safe in Education (DFE-00129-2015) provides that references should be obtained before interview so that any issues of concern they raise can be explored further with the referee, and taken up with the applicant at interview. References should always be requested directly from the referee and you should not rely on open references, for example in the form of 'to whom it may concern' testimonials. If an applicant for a teaching post is *not* currently employed as a teacher, you should check with the school, college or local authority at which they were most recently employed, to confirm details of their employment and their reasons for leaving. It is good practice for one panel member who has completed safer recruitment training to gather references, supported if applicable by any local authority or Diocesan adviser. This allows the rest of the panel to judge the recruitment process unencumbered by external opinions.

- 7.11 If written references are not available in time for the interview, the selection panel should make any offer to a candidate subject to receipt of satisfactory references and postpone ratification.

7.12 Interviewing

7.13 **Careful planning of the interview stage should ensure that all candidates are treated fairly. The interview should be structured to minimise the effects of subjective impressions, favoured opinions and values of individual panel members.**

7.14 **Without exception a formal, in depth interview by the selection panel is the final part of the selection process.** Sometimes governors will be invited by LA representatives to decide which 'Catholic questions' you might like to explore. We would encourage governors to consider that questions should not be divided sharply into Catholic questions and 'faith-free' questions. Leading and managing all aspects of the life of the school should draw on the teachings of Jesus Christ and the Catholic Church. So, candidates should be expected to answer all questions within the context of a Catholic perspective. However, clearly candidates may be asked specific questions about Catholicity, religious education, etc.

7.15 The final interview with the selection panel tends to be of 45-60 minutes duration, in the course of which many questions can be asked on areas of the person specification such as leadership, management, self-evaluation, raising standards and improving achievement, managing staff performance, finance, leadership of a community of Faith, RE, partnership with parents and the parish, etc. Interview questions in the main should gather proven evidence about what candidates have done rather than ask too many hypothetical questions.

7.16 Be realistic about the number of questions to be asked. Questions need to be answered in depth. A rule of thumb is 4 minutes per question, so no more than 12 questions would be possible in a reasonable time.

7.17 There are numerous activities that could be used to gather evidence about whether a candidate meets the criteria for the post. Options include:

- presentations by candidates;
- leading an assembly;
- learning walks/book trawls;
- leading a discussion with pupils;
- teaching a lesson (only appropriate if teaching is to be a significant part of the role)
- lesson observation with feedback to the teacher
- data interpretation exercise;
- carousel panel interviews;
- group exercises with other candidates;
- in-tray exercises, psychometric testing, personality profiling

7.18 Some LAs favour preliminary specialist interviews, whereby the selection panel splits into small carousel groups, each interviewing the candidates in some depth on a particular topic, e.g. leadership and management, the curriculum, Catholic ethos. However, by nature of carousel arrangements, not all selection panel members are keen to work in this way and prefer to hold interviews as a joint group. The DES therefore, advises caution with panel interviews.

7.19 Most LAs recommend that candidates be asked to give the selection panel a presentation on a theme. Usually these presentations are notified to candidates on the day and prepared in a set period of time allocated in the schedule for the day or prepared overnight for day two. The DES and LA representatives will advise and

guide governors on a suitable topic. Candidates can be offered the opportunity to present using whatever medium they wish providing they either bring the equipment/resources with them or request they are made available on the day. However, selection panels are increasingly requesting a straight forward presentation delivered with a minimum of technical assistance.

7.20 Before any interviews, decide in consultation with the DES and LA what questions will be asked, and by whom and in what order. All candidates should be asked the same questions, though it is permissible for different follow-up questions to be asked in order to clarify initial responses. **At every stage, the DES and LA must be given the opportunity to ensure certain questions are asked of candidates.**

7.21 Remember that if, as part of the selection process, candidates meet pupil panels, staff panels, and other governors, it is important to ensure that final selection decisions rest firmly with the appointed selection panel. **It is therefore, advisable not to ask others involved for their opinion about who they would appoint but rather to identify a candidates strengths and what the panel might further probe.**

7.22 **Practical arrangements for the day**

7.23 Arrange a suitable venue for the interviews. This should be a place where there is quiet, privacy and comfortable surroundings. Governors need a room for the presentation and final interviews, and a room or rooms for panel interviews and in-tray exercises if using that format. Governors also need a waiting room for candidates. The school environment is not always suitable for interviews. Other options include the presbytery, the parish centre, an LA premise such as a teachers' centre or a hotel. Wherever you use, it is important to consider what value is communicated to the candidates through the nature of the process of recruiting a headteacher.

7.24 Arrange for someone to greet the candidates and put them at their ease in their waiting room. The chair should explain to them the arrangements for the day. Candidates should sign a copy of their invitation to interview letter and the applicant declaration form indicating that they have read and can commit to the CES contract and the 'Definition of a Practising Catholic'. In line with safeguarding requirements the chair should have arranged that qualifications and identity are checked.

7.25 Arrange the furniture in the interview room so that all can have eye contact with the interviewee. Ensure any equipment made available is in good working order.

7.26 Go through the agreed process efficiently. Before each candidate leaves the room at the end of the final interview, ask him/her whether he/she is still a firm candidate, fulfils the diocesan definition of a practising Catholic and has read the CES contract which he/she will be required to sign if appointed.

8 APPOINTMENT (STEP FIVE)

8.1 **Listen carefully to the advice of the DES and LA before reaching a decision on whom to appoint.**

8.2 By the end of the appointment stage the appointment panel should have:

- made an offer of appointment (if there is a successful candidate);

- given feedback to unsuccessful candidates;
- given feedback to the successful candidate;
- ensured that a CES Catholic contract has been used to employ the headteacher.

8.3 If all references have not been received by the time of the interview, an offer can only be made 'subject to satisfactory references'. Any outstanding references should be followed up as soon as possible so that the appointment can be confirmed.

8.4 Once you have decided which candidate to appoint, determine the starting salary with advice from the diocesan adviser and the LA representative (if present). The indicative salary range (ISR) will have been published in the advert. Normally a headteacher will be appointed at the bottom of this range. In the preparation stage, criteria will have been decided for any appointment at a higher point (see 4.1). Some scope for performance related pay should be incorporated in the final range agreed with the appointee.

8.5 Candidates should not normally be asked to wait at the school for a decision which may be made after a lengthy discussion. The chair of the panel usually calls the successful candidate to offer him/her the post subject to the governing board ratifying the selection panel's recommendation. This constitutes a contract in law, conditional on satisfactory checks on issues such as qualifications and criminal record. **The ratification is a legal requirement. As soon as possible thereafter, but certainly on the same day, the selection panel should make their recommendation to the governing board.**

8.6 Only contact unsuccessful candidates once the verbal offer has been accepted by the successful candidate. The chair of the panel may inform both the successful and unsuccessful candidates that they may contact the DES adviser for feedback on their application and interview.

8.7 The clerk or chair will need to keep a copy of the successful candidate's application form and references, as will the DES and LA. After the interview the clerk, or LA if they are providing clerking support, must write to the successful candidate, confirming the offer of appointment and asking him/her to sign the CES contract. A specimen letter is shown in **Document 9**.

8.8 The governing board should keep the panel's notes and conclusions for 6 Months after the interview.

8.9 Periods of notice are as follows:

For a headteacher / Principal seeking a second (or subsequent) post		
To terminate an existing contract on:		Notice must be given by:
April 30 th	(End of Spring term)	January 31 st
August 31 st	(End of Summer Term)	April 30 th
December 31 st	(End of Autumn Term)	September 30 th
For any other teacher		
To terminate an existing contract on:		Notice must be given by:
April 30 th	(End of Spring term)	February 28 th / 29 th
August 31 st	(End of Summer Term)	May 31 st
December 31 st	(End of Autumn Term)	October 31 st

- 8.10 In carrying out the 'safer recruitment' checks the LA will vet the successful applicant to ensure that he/she has obtained a satisfactory Disclosure and Baring Service (DBS) disclosure and have qualified teacher status (QTS).
- 8.11 All copies of documentation used by governors must be retained in case of future query or challenge. We encourage governors to keep a record of the names and addresses of all teachers who expressed an interest in a pack, whether or not each of those individuals applied. Note: it is likely that the governors' panel delegated to the LA HR service the administration of the process of receiving enquiries and responding by sending out packs. Sometimes HR personnel will refuse to divulge the names of interested parties citing the Data Protection Legislation. If that is the case, the chair needs to remind the HR service that the personnel information actually belongs to the governing body, not the LA, who only administered the process on behalf of the governing body.

9 INDUCTION (STEP SIX)

- 9.1 In line with NC advice as soon as the appointment has been agreed the governing body should have:
- Raised with the new headteacher a planned programme of induction;
 - Ensured that the headteacher is aware of where to access support.
- 9.2 Induction is too often unstructured and left to chance. A new headteacher will feel well supported if the governing body is keen to address induction. The DES offers an Induction programme which all new Headteachers are expected to attend. Governors are also strongly advised to appoint a professional partner or mentor recommended by the DES for all those new to Headship
- 9.3 It is important for the chair of governors to devote some time to helping a new head to become familiar with local surroundings by arranging introductions to local networks and stakeholders. It is important that the head designate is kept informed of any key developments and events that occur before taking up post.
- 9.4 First-time headteachers can also access the support of a professional partner and relevant training from www.nationalcollege.org.uk/headstart

10 EVALUATION (STEP SEVEN)

- 10.1 In line with NCSL advice when the process is over the governing body should consider evaluating the experience. If you have successfully appointed it would be good to record and share this. However, if you need to re-advertise it is important to discuss any part of the process that needs to change or improve.

11 Summary – Basic Highlights Checklist

Tasks	done
Preparation	
▪ Set up the initial meeting with the DES and LA	
▪ Decide on the size and membership of the selection panel	
▪ Fix the salary range	
▪ Prepare the advertisement	
▪ Fix dates and venue	
▪ Prepare a job description	
▪ Prepare a person specification	
▪ Decide on the information to be sent to applicants including: A letter from the Chair Job description Person specification Catholic Schools and the definition of 'practising Catholic' A description of the school <i>The following CES documents</i> ⁶ Recruitment Monitoring Form ⁷ Rehabilitation of Offenders Act 1974 - Disclosure Form Notes to Applicants Senior leadership application form	
▪ Decide how to conduct the selection process	
▪ Use the CES application form and Associated documentation	
▪ Decide the clerking arrangements for the panel	
Shortlisting	
▪ Ensure the Recruitment Monitoring Form been removed from the application pack?	
▪ Ensure the Rehabilitation of Offenders Act 1974 – Disclosure Form been removed from the application pack and only seen by the “relevant person”?	
▪ Carry out short-listing and obtain references	
▪ Ensure the Invitation to Interview Letter and appropriate enclosures have been sent to the shortlisted applicant including: 1. Guidance on “practising Catholic” requirement 2. Appropriate CES model Contract of Employment 3. Reasonable Adjustments Statement 4. Disqualification Policy	

⁶ These documents are best retrieved from the CES website as they are amended from time to time.

⁷ This form must not be seen by the appointment panel it should be kept by the administrator till the end of the process, then given to the clerk to the governing board as part of the monitoring of the equality duty.

Interviews	
<ul style="list-style-type: none"> ▪ Ensure any reasonable adjustments have been made to the recruitment/interview process, if necessary? 	
<ul style="list-style-type: none"> ▪ Check <ol style="list-style-type: none"> 1. Identity, 2. Right to work in the UK (this may overlap with evidence of identity) 3. References 4. Qualifications 	
<ul style="list-style-type: none"> ▪ Ensure the applicant signed a copy of the Invitation to Interview Letter to confirm that they have read and understood the content of that Letter? 	
<ul style="list-style-type: none"> ▪ Ensure the applicant signed the model Applicant Declaration confirming that they have read and understood the CES contract and had any relevant questions answered 	
<ul style="list-style-type: none"> ▪ Conduct the interviews 	
<ul style="list-style-type: none"> ▪ Governing body endorses panel's recommendation unless the full governing body has been involved in the process 	
<ul style="list-style-type: none"> ▪ Confirm offer of appointment to successful candidate and ask him/her to sign the CES contract 	
<ul style="list-style-type: none"> ▪ Complete checks e.g. <ol style="list-style-type: none"> 1. DBS 2. Prohibition checks (EA Online) 3. Health checks 4. Right to work. 5. Has signed copy of the "Disqualification Policy for Staff" 	
After appointment	
<ul style="list-style-type: none"> ▪ Single Central Record has been updated 	
<ul style="list-style-type: none"> ▪ All documents collated during the recruitment process have been securely disseminated and/or destroyed in accordance with data handling requirements 	
<ul style="list-style-type: none"> ▪ The Applicant's (now employee) signed and dated Disqualification Policy has been filed in their personnel file 	
<ul style="list-style-type: none"> ▪ The Applicant (now employee) has returned a signed and dated CES contract of employment 	

12 Appointing a Deputy Headteacher/Vice Principal

- 12.1 When appointing a deputy headteacher or vice principal, the advice and guidance contained in this booklet is equally useful.
- 12.2 It is worth remembering that when you appoint a deputy headteacher or vice principal they have to have the capacity to deputise for a headteacher/principal, in short-term, medium-term and long-term scenarios.
- 12.3 You should also be thinking about the potential for 'succession planning' in terms of senior leadership appointments below the level of headteacher/principal.
- 12.4 Wise governing boards will be asking themselves whether or not candidates, who are applying for a deputy headteacher or vice principal posts, have the 'headroom for growth' and potential in the future to be a headteacher or principal, or does the candidate present evidence that they have reached their professional ceiling.
- 12.5 The role of deputy headteacher or vice principal in a forward thinking school should be about sharing leadership with the headteacher/principal, not simply carrying out whole-school management tasks.
- 12.6 There are expectations that schools should be developing 'leaders at all levels'. In light of this requirement, governing boards need to satisfy themselves that candidates at all levels are capable of taking on whole-school leadership responsibilities.

APPENDIX 1

Archdiocese of Birmingham Diocesan Education Service

Recruiting Headteachers and Senior Leaders The Use of Recruitment Agencies

The DES produces a comprehensive booklet 'Appointing Leaders' to be used in conjunction with materials published by Local Authorities, the National College (NC), and teachers' professional associations. In recent times, the current climate for recruiting headteachers has resulted in a small number of our 238 diocesan schools using commercial recruitment agencies to help them recruit a headteacher.

The DES has given much thought to this and sought information and advice about this practice from a variety of sources. We aim to support governing bodies in taking the lead in recruiting a headteacher, ensuring good practice and securing a successful outcome for the children, families and schools in our Catholic communities. We also expect the whole process to be conducted in a manner that is in keeping with our Catholic faith and Gospel values.

Consequently, we are clarifying our position on this matter by making this statement:

The DES:

- expects the governing body to give advisory rights to the DES and in the case of VA schools, the LA, so that these two strategic partners are able to advise and support governors in the process of appointing a suitably qualified and experienced headteacher. The DES is the agent of the Trustees who own the school and for VA schools, the LA maintains the education within the school through providing public funds;
- expects that the recruitment process is led by the panel established at a meeting of the full governing body, not by an employee of a commercial organisation;
- acknowledges that the governing body may choose to use a commercial recruitment agency; ultimately this is a decision for the governing body;
- draws attention to the NC booklet 'Recruiting Headteachers and Senior Leaders' which states: *"Not all providers in this new market offer the same level of quality or attention to your individual needs. A risk involves agencies presenting whatever candidates are on their books regardless of merit or fit"*;
- endorses the advice above, which is particularly applicable within the Catholic sector. In general, the use of a commercial organisation is neither necessary nor advisable. Governors need to be aware that the fee for such a service is usually a percentage of the headteacher's salary; which could be £10,000 for appointing a primary headteacher, £25,000 for appointing a secondary headteacher. The DES would always question whether this use of the budget was 'best value for money', not least because the DES advice is included in the DES annual charge to schools. LA advice may be free or part of an SLA or other agreement.
- has a serious concern that this kind of aggressive approach to marketing and recruitment can do much to damage the professional partnerships and relationships of trust that currently exist between neighbouring LAs within the Archdiocese. Currently,

the DES works sensitively to secure the movement of Catholic leaders from one LA to another (including Catholics working in community schools) when it is necessary to secure a headteacher for a school. For example, the DES was able to secure the services of a Catholic deputy headteacher in a community school in one LA as an acting headteacher in one of our schools in another LA. This 'acting headteacher' was eventually appointed as the substantive headteacher. This kind of work is done with the overall aim of securing the very best for the children and young people in all our schools in partnership with our LA colleagues;

- advises governing bodies to make good use of materials and advice from the National College for School Leadership; the Local Authority and the DES

If you need any further advice on this matter please feel able to contact the DES on 01675 464755

Thank you.

Re-issued November 2016
First issued in November 2008

APPENDIX 2

TIMELINE FOR HEADSHIP APPOINTMENT

START Week One	Meeting of full governing body with DES and LA adviser begin process. Selection panel agreed and salary range set
Week Two	Additional meeting of selection panel to agree job description and person specification; advertisement; preparation of selection pack
Week Four	Beginning of week advert sent for publication Friday advert published (if in print)
Week Seven	Monday-Closing date for applications. Panel reads applications Tuesday-Friday Shortlisting meeting and candidates invited to interview
Week Eight	References out for completion
Week Nine	References received Interview days (1 or 2 depending on the number of candidates) Appointment

Appendix 3

Memorandum on Appointment of Teachers in Catholic Schools

The Bishops' Memorandum sets out the Catholic Bishops' Conference of England and Wales' expectations about the appointment of staff in Catholic schools.

Throughout this document the term 'Catholic school' means all Catholic schools and colleges, including schools in the trusteeship of a religious order. This includes maintained schools, academies in England, independent schools, sixth form colleges and non-maintained special schools.

Purpose of the Guidance

Its purpose is to help and guide Governing Bodies⁸ to fulfil their responsibilities, including statutory responsibilities, to preserve and develop the Catholic character of the school in relation to the appointment of staff.

The Governing Bodies are the employers of the staff, to whom they should give clear guidelines about the Catholic character of education and life in their school.

As employers the Governing Body must ensure that the appropriate contract of employment and associated documentation, as published by the Catholic Education Service ("CES"), is issued. It is because the contracts reflect the Bishops' requirements that the Catholic character of schools is preserved and developed that the Bishops expect all schools to use CES model contracts of employment for their staff. The CES model contracts ensure, in the context of the role within the school which the employee is employed to perform, the preservation, maintenance and development of the Catholic character of the school.

Appointment of Teachers in Catholic Schools

The preservation and development of the quality and distinctive nature of Catholic schools depends on the faith, practice and commitment of the teachers in the schools, working with their Governing Body. The Catholic Church understands the vocation of a teacher as a form of ministry within the Church⁹. All teachers in Catholic schools are employed to participate in the Church's teaching office, exercising this ministry in accordance with the Church's teachings. This requires teachers to be witnesses in word and deed to the Divine Teacher, Jesus Christ¹⁰.

To find Catholic teachers who combine personal conviction and practice of the faith with the required professional qualifications and experience, especially in specialist subjects, is always a high priority.

⁸ In Catholic voluntary aided schools, non-maintained special schools and Catholic sixth form colleges the responsibilities of the employer rest with the governing body. In Catholic voluntary academies the responsibilities of the employer rest with the board of directors of the academy trust company, and in other independent schools with the proprietor. For ease of reference the term "Governing Body" is used throughout this Memorandum to denote the entity or entities within the school or academy trust company that exercises the functions of the employer under the appropriate constitutional arrangements.

⁹ Gravissimum Educationis, 8

¹⁰ Lay Catholics in Schools: Witnesses to Faith, 32

The recognition of the role that Catholic teachers play stands alongside the value we place on teachers of other Christian denominations, other Faiths and other teachers who contribute to and support the Catholic ethos in our schools. We recognise the great contribution they make in helping to ensure that our pupils are equipped to communicate with and participate in contemporary society.

Governing Bodies, as the employers of staff, have a duty to ensure that the Catholic character of the school is maintained and developed. The Bishops' expect that Governing Bodies will employ Catholic teachers who combine personal conviction and practice of the faith with the required professional qualifications and experience, in order to ensure this.

Appointment of Leaders in Catholic Schools

As a minimum requirement the Bishops expect that the posts of Headteacher or Principal, Deputy Headteacher or Deputy Principal and Head or Co-ordinator of Religious Education are to be filled by practising Catholics¹¹.

Whilst these posts have traditionally been used in schools, other senior leadership posts, and terminology, have come about in practice, often as a result of collaborative working arrangements between schools. Terms which are being used more frequently, and which are not defined in legislation, include: Executive Headteacher, Associate Headteacher and Head of School. The principle to be applied is that this minimum requirement will apply to the most senior leadership post i.e. the person with overall responsibility for the day to day management of the school, and the person who is the second most senior person in the leadership team.

The Bishops also expect that certain posts that directly affect the Catholic Mission of the school are to be filled by practising Catholics. This would include, for instance, the Chief Executive or equivalent of a Multi Academy Trust Company. Lay Chaplains also come within this description, but schools must in any case follow any specific procedures set down by their diocese before the appointment of any Chaplain.

Other Leadership posts that directly affect the Catholic Mission of the school should, wherever possible, be staffed by skilled practitioners who are committed Catholics.

All staff must respect and support the aims and objectives of a Catholic school.

Appointment of Leaders of Religious Education

Religious education is the core subject in every Catholic school and informs every aspect of the curriculum.

Primary: The Governing Body must ensure that Religious Education is properly organised, co-ordinated, taught and resourced. The Governing Body must ensure that the school has a Co-ordinator of RE and that the Coordinator should have at least parity in status and remuneration with those of the other core curriculum areas.

Secondary: The Religious Education department in our secondary schools is of particular importance and should have at least parity of status and resourcing with any other core subject department. Governing Bodies are urged to give the highest possible status to the department and to the person leading that department, and this should be reflected in their status and remuneration.

¹¹ For the definition of "practising Catholic" please refer to guidance from your diocese.

Representation at Short Listing and Interview

Interview procedures approved by Governing Bodies for teacher recruitment must be open to scrutiny. They must be clear, objective and transparent.

The Diocesan Bishop is entitled to be represented at all proceedings relating to the appointment of senior leaders and teachers of religious education.

Governing Bodies must facilitate the attendance of the Diocesan Director (or his or her nominee), either by affording them advisory rights or otherwise. These may be in relation to all appointments at the school or, more usually, to the appointment of the senior posts to which the requirement to be a practising Catholic are applied.

Governing Bodies must give sufficient advanced notification to the Diocesan Director of a vacancy for any senior post to which the requirement to be a practising Catholic is applied before taking any action, including appointing an acting Head Teacher or Principal, acting Deputy Head Teacher or Deputy Principal, or advertising the vacancy. It is particularly important to agree all meeting and interview dates with the Diocese in advance, to allow Diocesan Officers to be involved from the beginning of the process, including drawing up job descriptions and person specifications.

Furthermore a Diocesan representative may be invited whenever senior posts with pastoral responsibilities are being considered.

For appointments to which the requirement to be a practising Catholic are applied, the Governing Body will meet to draw up a shortlist of candidates, conduct interviews and make an appointment. The Governing Body may appoint a selection panel to undertake these functions. These appointments may need ratification by the full Governing Body.

In addition, the appropriate Diocesan Officer must always be invited to the interview of Heads of Religious Education and School Chaplains.

Delegation of Power of Appointment

When the Governing Body delegates its power and right of appointment of staff to a committee and/or to the Headteacher or Principal, it is essential that the terms of reference for such delegation are made explicit.

Induction and Continuing Professional Development

The Governing Body should ensure an appropriate induction programme, emphasising the distinctive nature of Catholic education, is in place and that continuing professional development for all staff helps to sustain this understanding.

Archbishop Malcolm McMahon

Chairman, Department for Catholic Education and Formation
(11th September 2014)

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