



The Bishop Konstant
Catholic Academy Trust
Learning Communities, Inspired by Faith



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Trust Support Staff Appraisal Policy 2022/23



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All policies are written in line with our ethos:

Within the Bishop Konstant Catholic Academy Trust, our academies are communities where our children and young people are given a clear vision for life, a vision which is rooted in the person and teachings of Jesus Christ and which is faithful to the mission of the Catholic Church.

The Trust seeks to serve all our families (Catholic and non-Catholic alike) and to work with other partners in education for the benefit of our children and young people; we are committed to working together as academies and with the wider community for the common good. In our academies, we uphold the dignity and unique human value of every person as we strive for excellence in education; gifts and talents are shared between our academies as we aim to provide the highest standards for all our children and young people, aged 3 to 19 years throughout the Trust.

Updated GDPR Compliant May 2018.

Substantial changes will be highlighted.

It is important to read all the policy; substantial changes to practice are not required.

Version	Date	Author	Changes
1.2			
1.1	16/09/22	HR Officer	Changes following the CES updates
1.0	01/09/2019	Insert job title	Starting Document and Layout.



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THE BISHOP KONSTANT CATHOLIC ACADEMY TRUST

TRUST SUPPORT STAFF APPRAISAL POLICY

DEFINITIONS

In this Appraisal Policy and Procedure, unless the context otherwise requires, the following expressions shall have the following meanings:

- i. 'Academy' means the Academy named at the beginning of this Appraisal Policy and Procedure and includes all sites upon which the academy undertaking is, from time to time, being carried out.
- ii. 'Academy Trust Company' means the company responsible for the management of the Academy and, for all purposes, means the employer of staff at the Academy.
- iii. 'Board' means the board of Directors of the Academy Trust Company.
- iv. 'Chair' means the Chair of the Board or the Chair of the local Academy Council appointed from time to time, as appropriate.
- v. 'Clerk' means the Clerk to the Board or the Clerk to the local Academy Council appointed from time to time, as appropriate.
- vi. 'Companion' means a willing work colleague not involved in the substance of the Employee's performance under review by this Appraisal Policy and Procedure, or an accredited representative of a trade union or other professional association of which the Employee is a member, who should be available for the periods of time necessary to meet the timescales under this Appraisal Policy and Procedure.
- vii. 'Diocesan Schools Commission' means the education service provided by the Diocese, which may also be known, or referred to, as the Diocesan Education Service.
- viii. 'Directors' means Directors or Trustees appointed to the Board of the Academy Trust Company.
- ix. 'Governing Board' means the body carrying out the employment functions of the Academy Trust Company and such term may include the Board and/or a local Academy Council.



- x. 'Governors' means the governors / academy council members appointed and elected to the local Academy Council, from time to time.
- xi. 'Local Academy Council means the group of local Governors appointed and elected to carry out specified functions in relation to the Academy as delegated by the Academy Trust Company.
- xii. 'Vice-Chair' means the Vice-Chair of the Board or the Vice-Chair of the local Academy Council elected from time to time, as appropriate.

1. APPLICATION

- 1.1 Subject to Paragraph 1.2 below, this Appraisal Policy and Procedure applies to you if you are an Employee or Worker at the Trust or Academy employed in your capacity as support staff worker and are not a teacher or headteacher (hereinafter referred to as an "Employee" or "You").
- 1.2 This Appraisal Policy and Procedure does not apply to those Employees who are employed under a contract of employment for less than one term and those who are subject to the Trust's Capability Policy and Procedure.

2. SCOPE

- 2.1 The purpose of this procedure is to establish a framework for a clear and consistent assessment of the overall performance of Employees and for supporting their development within the context of the Trust or Academy's plan for improving educational provision and performance, and the standards expected of the staff of the Trust or Academy. The review shall have regard to any applicable codes of practice or standards applicable to the employee's employment as referenced in their job description.
- 2.2 The Academy is committed to ensuring respect, objectivity, belief in the dignity of the individual, consistency of treatment and fairness in the operation of performance management at a Catholic Trust or Academy. This commitment extends to promoting



equality of opportunity and eliminating unlawful discrimination throughout the Trust community.

- 2.3 Where concerns raised about an Employee's performance cannot be resolved through this Appraisal Policy and Procedure, there will be consideration of whether to invoke the Trust's Capability Policy and Procedure.
- 2.4 This Appraisal Policy and Procedure does not form part of any other procedure but relevant information on appraisal, including Appraisal Reports, may be taken into account in relation to other applicable policies and procedures.
- 2.5 An Employee is entitled to have access by arrangement to their personnel file and to request the deletion of time-expired records in line with the provisions of the General Data Protection Regulation (GDPR); refer to Trust Data Protection (GDPR) Policy.
- 2.6 The Academy Trust Company delegates its authority in the manner set out in this policy.
- 2.7 The Academy Trust Company is committed to ensuring that the operation of this Appraisal Policy and Procedure does not lead to an unnecessary increase in workload for employees and Appraisers. This Appraisal Policy and Procedure will always be applied in a way which is robust and fair, whilst monitoring the impact on workload for employees, Appraisers, Directors and Governors.

3. APPRAISAL IN A CATHOLIC CONTEXT

- 3.1 Appraisal will be a supportive and developmental process designed to ensure that all Employees have the skills and support they need to carry out their role effectively within the context of the Trust or Academy ethos. It will help to ensure that employees are able to continue to improve their professional practice and develop as professionals in their area of expertise.
- 3.2 Arrangements for appraisal will be conducted in such a way that Employees will be secure in the knowledge that their progress and commitment to the Trust or Academy are acknowledged.
- 3.3 Appraisal is a time to celebrate achievement wherever possible, as well as for discerning where there is scope for development. Challenge is at the heart of the



Gospels. Christ challenged all whom he encountered, each according to their needs and readiness.

- 3.4 The Trust or Academy is committed to ensuring respect, objectivity, belief in the dignity of the individual, consistency of treatment and fairness in the operation of performance management as a Catholic Trust or Academy. This Appraisal Policy and Procedure offers opportunities to ensure justice for Employees and pupils alike and has the potential for the expression of Christian qualities such as honesty, self knowledge, respect for others and their gifts, recognition of the needs and achievements of others, challenge of self and others, personal growth and openness.

4. THE APPRAISAL PERIOD

- 4.1 The Appraisal Period will run for twelve months from 1 October to 30 September. All appraisals should be completed by 30 November.
- 4.2 Employees who are employed on a fixed-term or temporary contract of less than one year will have their performance managed in accordance with the principles underpinning this Appraisal Policy and Procedure. The length of the Appraisal Period will be determined by the duration of their contract of employment.
- 4.3 Where an Employee starts their employment at the Trust or Academy part-way through the Trust or Academy's usual Appraisal Period, the CEO / Headteacher shall determine the proportionate length of the Appraisal Period for that Employee with a view to bringing the Appraisal Period into line with the Trust or Academy's usual Appraisal Period (as per Paragraph 4.1 above), as soon as possible.
- 4.4 Where an Employee transfers to a new post within the Trust or Academy part-way through an Appraisal Period, the CEO / Headteacher shall determine whether the Appraisal Period should be re-set and whether the Appraiser should be changed.

5. APPOINTING APPRAISERS

- 5.1 An Appraiser will be appointed by the CEO / Headteacher to appraise an Employee of the Trust or Academy.



- 5.2 The Appraiser will set Employee objectives in accordance with Paragraph 6 below.
- 5.3 The Appraiser, through the Headteacher and / or Academy Council, may seek advice from other external advisers including, but not limited to, the Diocesan Schools' Commission.
- 5.4 Where it becomes apparent that an Appraiser appointed by the CEO / Headteacher will be absent for the majority of the Appraisal Period, the CEO / Headteacher may perform the duties of the Appraiser or delegate those duties for the duration of the absence.
- 5.5 Where an Employee has a reasonable objection to the choice of Appraiser, their concerns may be carefully considered by a suitable person other than the Appraiser and, where it can be reasonably accommodated, an alternative appraiser may be offered.

6. SETTING OBJECTIVES

- 6.1 Appraisal objectives should reflect the Catholic identity and mission of the Trust and Academy and the values it proclaims¹ and Appraisers are expected to explore the alignment of such objectives with the Trust or Academy's priorities and plans, working at all times to ensure that the Catholic ethos is developed and maintained.
- 6.2 The Appraiser and the Employee will seek to agree the objectives. Objectives may be revised if circumstances change. The Trust and Academy operates a system of moderation to ensure that all Appraisers are working to the same standards. Targets will be moderated across the Academy and the Academy Trust Company to ensure that they are consistent between Employees with similar experience and levels of responsibility. Should the objectives not be agreed, a record of the Employee's relevant comments shall be added to the appraisal documentation but the final decision on allocation of objectives rests with the Appraiser.

¹ Such values should include the principles of Catholic social teaching in respect of justice for all, the needs of the whole person, respect for the individual and the community and the preferential option for the poor. More information about these principles and how they might apply in the context of appraisal can be found in the CES User Guide.



- 6.3 The objectives set for each Employee will, if achieved, contribute to the Trust's or Academy's plans for improving educational provision and performance and improving education of the pupils at the Trust and Academy. This will be ensured by quality assuring all objectives against the Trust Strategic Plan or School Development Plan.
- 6.4 Objectives, where met, should contribute to improving the progress, development and well-being of staff and pupils at the Trust or Academy as understood in relation to the Catholic nature of the Trust and Academy and so include the academic, spiritual, moral, social, emotional and cultural development of each pupil.
- 6.5 In accordance with Paragraph 5, the Employee's objectives will be set by the Appraiser before, or as soon as reasonably practicable after, the start of each Appraisal Period and the Employee will be informed of the objectives and standards against which their performance will be appraised in that Appraisal Period.
- 6.6 The objectives will be Challenging, Specific, Measurable, Achievable, Realistic and Time-bound and will be appropriate to the Employee's role and level of experience.
- 6.7 The Appraiser may take into account the individual's work / life balance and the effects of an individual's circumstances, including any disability requiring the implementation of reasonable adjustments, when agreeing objectives and Appraisers will include a review of an employee's workload in the Appraisal Report.
- 6.8 Following discussion between the Appraiser and the Employee, set objectives may be revised by the Appraiser in accordance with the needs of the Trust or Academy and the Employee, and any such revision(s) to set objectives will be recorded in writing.

7. REVIEWING PERFORMANCE

Gathering Evidence

- 7.1 In order to review performance, the Appraiser will need to rely on the available evidence obtained in connection with the employee's performance. The evidence required will depend on the employee's role and where possible, the evidence to be obtained should be agreed when the objectives are set.



- 7.2 When collecting evidence, the focus will be on using evidence which is readily available from day to day practice wherever possible.

Observation

- 7.3 The Academy Trust Company believes that observation of work practice is important both as a way of reviewing employee performance in order to identify any particular strengths and areas for development as well as gaining useful information which can inform Academy improvement more generally.
- 7.4 All observation of work in practice will be carried out in a supportive fashion and will not lead to unnecessary increases in workload and all feedback will be developmental.
- 7.5 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place or other evidence has come to light. Feedback will include discussion with the employee, highlighting their areas of strength and areas that need attention and will determine any appropriate action required.

Development and Support

- 7.6 Appraisal is a supportive process which will be used to inform the Employee's continuing professional development. The Trust or Academy wishes to encourage a culture in which all Employees take responsibility for improving the Trust or Academy through appropriate professional development. Professional development will be linked to the Trust Strategic Plan or School Improvement priorities and to the ongoing professional development needs and priorities of individual Employees.
- 7.7 Account will be taken in a review meeting of where it has not been possible for Employees to fully meet their objectives because the agreed support has not been provided.



Informal Action

- 7.8 An Employee's line manager may identify concerns on an informal basis at any time about any performance falling short of the standards expected.
- 7.9 An Employee's line manager may also provide informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision, occupational health, arrangements for observation of lessons taught by teachers at the Academy or elsewhere or discussing practice with advisory teachers or other support staff members. These arrangements will take into account the employee's workload.
- 7.10 Informal action could include establishing the expectations that the Academy and / or Trust has of the Employee and what support may be provided to help the Employee to meet those expectations.
- 7.11 Informal action may be recorded in writing and may be referred to at a later stage as evidence that an informal approach was attempted and the success or failure of such an approach. Where any informal action is recorded in writing, the employee will be provided with a copy of any written record and will be given 5 working days to comment on the written record in writing.

Alternative Action

- 7.12 There may be a situation where the Employee's line manager and / or the Appraiser considers that a recent promotion or job change has been a contributory factor in any unsatisfactory performance and that informal action has been, or is unlikely to be, effective.
- 7.13 The line manager / Appraiser may offer the Employee the option of taking a voluntary demotion as an alternative to proceeding with action under this Appraisal Policy and Procedure, specifically Paragraph 7.17.
- 7.14 The Trust or Academy believes that observation of work practice is important both as a way of assessing Employee performance in order to identify any particular strengths



and areas for development as well as gaining useful information which can inform Trust or Academy improvement more generally.

7.15 All observation will be carried out in a supportive fashion and should not be excessive.

Feedback

7.16 Employees will receive constructive feedback on their performance throughout the year and as soon as practicable after observation has taken place, where appropriate, or other evidence has come to light. Feedback will include discussion with the Employee, highlighting their areas of strength and areas that need attention and will determine any appropriate action required.

7.17 Where there are concerns about any aspects of the Employee's performance these will be addressed at a meeting between the Appraiser and the Employee. At such meeting the Employee will be notified of the Appraiser's concerns about the Employee's performance, the action required to bring the Employee's performance to the standard expected and the timeframe for so doing. The Employee's progress will continue to be monitored as part of the appraisal process and a reasonable time given for their performance to improve. This will depend on the circumstances but will usually be for a period of between 6 and 12 working weeks, with appropriate support as agreed at the meeting held in accordance with this Paragraph 7.17 in order that the aim of recovering and improving performance can be achieved.

7.18 When progress is reviewed at the end of the review period in accordance with Paragraph 7.17, if the Appraiser is satisfied that the Employee has made, or is making, sufficient improvement, the appraisal process will continue as normal. Where the Appraiser finds that insufficient, or no improvement has been made, then paragraph 9.9 will apply.

8. ANNUAL ASSESSMENT

8.1 Employee's performance will be formally assessed in respect of each Appraisal Period.

8.2 This assessment is the end point to the annual appraisal process but performance and development priorities will be reviewed and addressed on a regular basis throughout the year at interim meetings (which shall be conducted in person or via other appropriate medium, depending on the circumstances) which may take place at the



request of the Appraiser or Appraisee. Employee workload will be considered when determining the frequency of such interim meetings.

- 8.3 The Employee will receive, as soon as practicable following the end of each Appraisal Period, a written Appraisal Report. The Employee will have the opportunity to comment on the Appraisal Report in writing. This Appraisal Report does not form part of any formal capability or disciplinary procedures. However any relevant information from the appraisal process may be taken into account by those responsible for taking decisions about capability.
- 8.4 The Support Staff Appraisal: Review Form will include:
- a) Details of the Employee's objectives for the relevant Appraisal Period;
 - b) An assessment of the Employee's performance of their role and responsibilities against their objectives and any relevant standards;
 - c) An assessment of the Employee's training and development needs and identification of any action that should be taken to address them;
 - d) A recommendation on pay where that is relevant;
 - e) A space for the Employee's own comments and
 - f) Confirmation that the Employee has read and understood the Trust Staff Code of Conduct.
- 8.5 A review meeting will take place to discuss the content of the Appraisal Report and any further action required, including setting a period for review of performance, and to inform objective setting for the next Appraisal Period.
- 8.6 Where it has not been possible for employees to fully meet their objectives because the agreed support has not been provided this will be taken into account in the review meeting.

9 EMPLOYEES EXPERIENCING DIFFICULTIES

- 9.1 It is the Academy's aim, when dealing with an employee experiencing difficulties, to provide support and guidance through the appraisal process in such a way that the employee's performance improves and the problem is, therefore, resolved.



- 9.2 Where it is apparent that an employee's personal circumstances are leading to difficulties at work, the Academy will aim to establish informally whether the reason is due to ill-health, lack of competence, misconduct or other mitigating personal circumstances. Support will then be offered and/or appropriate action taken as soon as reasonably practicable, without waiting for the Annual Review. Support could include informal advice and appropriate support which may include training, coaching, mentoring, counselling, monitoring, working in a professional learning community, learning and development opportunities, supervision, occupational health, arrangements for observation of lessons taught by teachers at the Academy or elsewhere or discussing practice with advisory teachers or other employees (as appropriate to the employee's role). These arrangements will take into account the employee's workload.
- 9.3 If an Appraiser identifies through the appraisal process, or via other sources of information, that the difficulties experienced by the employee are such that, if not rectified, could lead to the Trust's Capability Policy and Procedure being invoked, the Appraiser, the Headteacher or a member of the senior leadership team (as appropriate) will meet with the employee to:
- (a) Give clear written feedback to the employee about the nature and seriousness of the concerns;
 - (b) Give the employee the opportunity to comment on, refute, explain and discuss the concerns;
 - (c) Give the employee at least 5 Working Days' notice that a meeting will be held to discuss targets for improvement alongside a programme of support, and inform the employee that they have the right to be accompanied at any such meetings by a Companion;
 - (d) In consultation with the employee at the above meeting, an action plan with support will be established (e.g. coaching, training, in-class support, mentoring, structured observations, visits to other classes or schools or discussions with advisory teachers or



other employees, (as appropriate to the employee's role), that will help address those specific concerns;

- (e) Make clear how progress will be monitored and when it will be reviewed; and
- (f) Explain the implications and process if no, or no sufficient, improvement is made.

9.4 The employee's progress will continue to be monitored as part of the appraisal process and a reasonable time will be given for their performance to improve. The relevant monitoring period will depend on the circumstances but will usually be for a period of between 4 and 12 Working Weeks, with appropriate support as agreed in the action plan detailed in Paragraph 9.3(d) above in order that the aim of improving performance can be achieved. During this monitoring period the employee will be given regular feedback on his or her progress and arrangements will be made to modify the support programme if appropriate.

9.5 At the end of the review period referred to in Paragraph 9.4 above, if sufficient improvement is made, such that the employee is performing at a level that indicates there is no longer a possibility of the Trust's Capability Policy and Procedure being invoked, the employee will be informed of this at a formal meeting with the Appraiser. Following this meeting, the appraisal process will continue as normal. The employee will be given at least 5 Working Days' notice of such formal meeting and will have the right to be accompanied by a Companion. The outcome of such meeting will be confirmed in writing to the employee within 5 Working Days of the meeting taking place.

9.6 If no, or no sufficient, improvement has been made by the end of the monitoring period referred to in Paragraph 9.4 above, the employee will be invited to a transition meeting with the Appraiser to determine whether the Trust's Capability Policy and Procedure



needs to be invoked or whether the appraisal process will remain in place. The employee will be given at least 5 Working Days' notice of such meeting and shall be entitled to be accompanied at the meeting by a Companion. The outcome of such meeting will be confirmed in writing to the employee within 5 Working Days of the meeting.

- 9.7 Prior to invoking the Capability Policy and Procedure, the Appraiser will seek to ensure that the employee has undergone an appropriate period of induction to their role, an up to date job description has been issued to them, professional standards and overall expectations of performance have been made clear and the employee's performance has been monitored and feedback has been provided.
- 9.8 Whilst the Appraisal Report does not form part of any formal capability or disciplinary procedures, any relevant information from the appraisal process including the contents of the Appraisal Report may be taken into account by those responsible for taking decisions about capability and disciplinary matters.

Transition to capability

- 9.9 If the Appraiser is not satisfied with the Employee's progress following the review period in accordance with Paragraph 7.17 or the Annual Review, the Employee will be notified in writing that this Appraisal Policy and Procedure will no longer apply and that their performance will be managed under the Trust's Capability Policy and Procedure.

10. APPEALS

- 10.1 Employees have a right of appeal against any of the entries in the written Support Staff Appraisal: Review Form and a separate right of appeal against a decision to invoke the Trust's Capability Policy and Procedure made in accordance with Paragraph 8.6 above. If an appeal relates to a decision about pay, the Employee is referred to the Trust's Support Staff Pay Policy.



- 10.2 An appeal in accordance with Paragraph 10.1 must be made in writing to the Clerk and lodged within 10 working days of receipt of the Support Staff Appraisal: Review Form or the letter confirming that the Trust's Capability Policy and Procedure will be invoked.
- 10.3 Your appeal letter must set out the grounds of your appeal in detail.
- 10.4 The Appeal Meeting will normally be held within 20 working days of your appeal letter being received by the Clerk.
- 10.5 The Appeal Manager will be the CEO / Headteacher, excluding where the CEO / Headteacher is the Appraiser.
- 10.6 The Appeal Manager will confirm the outcome of the Appeal Meeting in writing to you within 5 working days of the date of the Appeal Meeting. The decision of the Appeal Manager is final and there will be no further right of appeal. The outcomes of the Appeal Meeting are that:
 - a) the Appeal Manager may uphold the entries made in the Support Staff Appraisal: Review Form and / or the transition to capability proceedings in accordance with Paragraph 8.6; or
 - b) the Appeal Manager may uphold the Employee's appeal and overturn the decision of the Appraiser. Where such appeal relates in whole or in part to entries in the Support Staff Appraisal: Review Form, the disputed entries shall be referred back to the Appraiser for reconsideration.
 - c) the outcome of the meeting under Paragraph 9.6 over turned and the appraisal process will continue as normal.
- 10.7 Where an appeal is against entries in the Support Staff Appraisal: Review Form and a decision to invoke the Trust's Capability Policy & Procedure under Paragraph 9.9, the appeals will be heard together.

11. COMPANION

- 11.1 Where a meeting is held under Paragraphs 7.17 or 10 above, you may be accompanied by a Companion.
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- 11.2 You must let the person appointed to hold such meeting under Paragraphs 7.17 or above know who your Companion will be at least one working day before the meeting.
- 11.3 If you have any particular reasonable need, for example, because you have disability, you can also be accompanied by a suitable helper.
- 11.4 Your Companion can address the meeting in order to:
- put your case;
 - sum up your case;
 - respond on your behalf to any view expressed at the meeting; and
 - ask questions on your behalf.
- 11.5 Your Companion can also confer with you during the meeting. Your Companion has no right to:
- answer questions on your behalf;
 - address the meeting if you do not wish it; or
 - prevent you from explaining your case.
- 11.6 Where you have identified your Companion and they have confirmed in writing to the relevant person appointed under Paragraphs 7.17 or 10 that they cannot attend the date or time set for the meeting, the relevant person will not usually postpone the meeting for a period in excess of five working days from the date set by the Trust or Academy to a date or time agreed with your Companion provided that it is reasonable in all the circumstances. Should your Companion subsequently be unable to attend the rearranged date, the meeting may be held in their absence or written representations will be accepted.

12 TIMING OF MEETINGS

- 11.1 The aim is that meetings under this procedure will be held at mutually convenient times but depending on the circumstances meetings may:
- need to be held when you were usually working;
 - exceptionally be held during Inset days or Academy holidays;
 - be held after the end of the working day;
 - not be held on days on which you would not ordinarily work;
 - be extended by agreement between the parties if the time limits cannot be met for any justifiable reason.



13 VENUE FOR MEETINGS

Any meeting held under Paragraph 7.17 or 10 may be held off the Trust or Academy site to minimise any distress to the Employee.

14 ASSISTANCE

Where matters fall to be decided under Paragraphs 7.17 and 10, the Diocesan Schools Commission may send a representative to advise the Trust or Academy.

15 REVIEW OF THIS PROCEDURE

This procedure will be reviewed by the Bishop Konstant Catholic Academy Trust in line with CES review.

