



## **Documentation Required for Inspections**

**April 2021**

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## Documentation Required for Inspections

### Change for September 2020 and April 2021

The guidance now includes a request for the school's policy and arrangements for Relationship and Sex Education (September). Request for this document moved into column 2 as schools must publish this on their website.

### Introduction

The inspection visit is only one part of the inspection process. Inspection begins some considerable time before that, when inspectors begin the scrutiny of the school's documentation. This early work ensures that schools can benefit from informed early discussion with their Reporting Inspector (RI) and enables inspectors to arrive at the school well prepared and ready to begin their work with staff and pupils. The short notice period now required for inspections makes it extremely difficult for RIs to read all of the documentation provided by a school if it is not available well in advance of the inspection. Whilst this document divides files into three categories, it is beneficial to schools and RIs if as many of the files in columns 2 and 3 can be made available for the RI to access before an inspection is announced. There are three ways of doing this:

- a) Documents may be uploaded to ISI's portal from where the RI will be able to access them in advance of the inspection. Schools which choose this route should make sure that documents are re-loaded to the portal whenever they are updated.
- b) Schools may upload all relevant documents to their school website which can then be accessed at any time by the RI. Schools which choose this route should then be aware that these documents can also be viewed by anyone accessing the school's website.
- c) The third option is for schools to upload all documents to a folder on their own intranet or to a password-protected area of the school's website. One document should then be uploaded to ISI's portal giving the user name and password for the RI to access the relevant area. Schools which choose this route should check periodically that the user name and password still function correctly. It is very helpful if an option is provided for the RI to download all documents in one go, rather than having to select each document individually.

The tables below indicate the documentation required by inspection teams for compliance and educational quality inspections. They have been set out so that schools can see the relevance of the documentation required in relation to the Independent School Standards Regulations and related requirements. The main section (Part 2 Documentation required for judging regulatory compliance) is set out in four columns as follows:

Column 1: the standard or inspection judgement for which documentation is required.

Column 2: documentation which **must be provided before an inspection is announced**.

Column 3: documentation which should ideally be provided before an inspection is announced. **If it is not provided before the inspection, it must be ready to be emailed to the Reporting Inspector (RI) as soon as the inspection is announced.**

Column 4: documentation that should be **readily available in school during the inspection** and which can be brought to relevant discussions between staff and inspectors.

For some regulations, no specific documentation is required. Notes in brackets under these regulations indicate how inspection teams will seek evidence during the inspection.

**Magenta coloured text refers to documentation required for Early Years Foundation Stage settings only.**

**Blue coloured text refers to documentation required for schools with residential provision.**

### Naming and format of documents

When uploading documentation to ISI's website or providing documentation to the RI before the inspection, schools are asked to name files as indicated in bold type below. Where multiple files are required for a specific Standard, schools may prefer to zip all of the files together and name the zipped file according to the Standard and its number or to place files in separately labelled folders. In this way, schools may retain their own naming conventions for specific files. All documents should be in a standard format: PDF, Word, Excel.

## Part 1 – Documentation required for all inspections

Schools must send all of this information to the RI **as soon as the inspection is announced if it has not been made available previously**. Any delay in forwarding the information seriously impairs the RI's ability to draw up the inspection timetable. It is particularly helpful if RIs have advance access to the documents which are highlighted in bold type.

General information about the school	Information about staff and pupils	Timetable and organisational information
Self-evaluation form (SEF) <sup>1</sup> <b>ISI's completed pre-inspection information document</b> <b>Statement of school's aims as presented to parents</b> <b>Staff handbook</b> <b>Boarding staff handbook</b> School prospectus Most recent reports by other inspectorates Details for reaching the school, entering and parking	<b>A list of staff with first name, surname, subjects, main and other responsibilities</b> (eg as an Excel spreadsheet exported from the school's management information system) <b>A list of pupils, with first name, surname, gender and form/tutorial group, (whether boarder or day pupil) arranged by their National Curriculum year groups</b> <b>List of pupils by boarding house (with National Curriculum year groups)</b> [NB These lists are only used by the RI for planning purposes and are deleted as soon as the inspection has finished]	<b>Timings of the school day for all sections of the school</b> <b>Timetables: it is helpful to have teachers' timetables as well as class or year group timetables and EYFS timetables, indicating subject taught, year group, teacher and room</b> Information on any changes to normal routines and previously uploaded timetables occurring during the week of the inspection (such as trips out or visitors) Plan of all sections of the school with teaching rooms clearly labelled and any codes matching those on the timetable

## Part 2 – Documentation required for Regulatory Compliance

Regulation	On school website or ISI's portal	To be emailed when inspection is announced	To be available in school during inspection
Documentation required for both Full Compliance Inspections and Focused Compliance Inspections			
<b>Part 1 – Quality of education provided</b>			
2 Curriculum	<b>2a Curriculum policy</b> <b>2f Relationship and Sex Education – policy</b> and arrangements for teaching RSE	<b>2b Curriculum plan</b> – by years, with subjects, teaching groups and numbers of lessons per cycle, number of pupils, whether an option, setting arrangements	Long- and medium-term curriculum plans Guidelines and schemes of work relating to individual subjects

<sup>1</sup> ISI provides a template for the SEF, although it is not compulsory for schools to use this. The template is divided into two sections, the first relating to compliance with regulatory requirements, the second providing the school's own evaluation of outcomes for pupils. If a school chooses not to use ISI's SEF template, it should provide other documentation which shows the outcomes of the school's self-evaluation.

Regulation	On school website or ISI's portal	To be emailed when inspection is announced	To be available in school during inspection
		<p><b>2c Extra-curricular activities</b> – list of activities, including those for the EYFS, and a note of those happening during the inspection</p> <p><b>2d PSHE</b> – scheme of work for personal, social, health and economic education</p> <p><b>2e Careers</b> – policy on careers guidance (for schools with pupils from Year 7 upwards)</p>	<p><b>EYFS curriculum: long and medium-term planning</b></p> <p>Particulars of the educational and welfare provision for pupils with statements or EHC plans and for pupils for whom English is an additional language</p>
3 Teaching		<p><b>3a Teaching, marking and assessment</b> – any relevant policies (though not mandatory)</p> <p><b>3b SEND, EAL, more able pupils</b> – any relevant policies</p>	<p>[The school's compliance with teaching regulations will be evaluated through a range of evidence including, observation of lessons, scrutiny of pupils' work discussion with pupils and analysis of performance data]</p>
4 Framework for pupil performance	[Schools must ensure they provide ISI with their examination results and/or other standardised test data]	<p><b>4a Pupil performance</b> – No specific documentation required, but the school may wish to provide a statement as to how it measures pupils' performance, including for the EYFS if applicable.</p>	
<b>Part 2 Spiritual, moral, social and cultural development of pupils</b>			
5 Spiritual, moral, social and cultural development	<b>5 SMSC</b> – The regulations do not require	<p>any specific documentation for SMSC, but the school may have documents it would like to submit to show how it meets regulatory requirements with regard to SMSC, for example:</p> <p><b>5a RE, PSHE, fundamental British values</b> – any policies or documents which indicate the school's approach to SMSC.</p>	
<b>Part 3 Welfare, health and safety of pupils and other legislation</b>			

7 Safeguarding	7a <a href="#">Safeguarding policy</a>	<p>7b <a href="#">Whistleblowing</a> – Staff disciplinary, grievance and whistleblowing policy</p> <p>7c <a href="#">Staff induction</a> – Staff induction, training and development programme</p> <p>7d <a href="#">Annual review</a> – Extract of minutes relating to most recent review of safeguarding</p> <p>7e <a href="#">Code of conduct</a> – for staff</p>	Record of allegations or incidents involving safeguarding issues and details of correspondence relating to these allegations
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Regulation	On school website or ISI's portal	To be emailed when inspection is announced	To be available in school during inspection
		<p>7f <a href="#">Induction training</a> – content of induction training for new staff, eg copy of induction presentation or induction policy</p> <p>7g <a href="#">Children missing from education</a> – policy on children missing from education, unless included in safeguarding policy</p> <p>7h <a href="#">E-safety policy</a> – if not included in the safeguarding policy</p> <p>7i <a href="#">Use of mobile devices in EYFS</a> – if not included in the safeguarding policy</p>	
8 Safeguarding of boarders	8a <a href="#">Boarders' safeguarding policy</a> – If applicable and not included in 7(a) and (b)	<p>8b <a href="#">Access to premises</a> –by people outside the school</p> <p>8c <a href="#">Supervision</a> – of ancillary, contract and 'unchecked' staff</p> <p>8d <a href="#">Guardians and lodgings</a> – If applicable, arrangements for educational guardians or lodgings arranged by the school</p> <p>8e <a href="#">Agreements</a> – with any adult providing lodgings to pupils</p> <p>8f <a href="#">Host guidance</a> – if applicable, guidance on welfare to host families accommodating pupils on behalf of the school</p>	Details of agreements and code of conduct with resident adults not on the staff

9 Behaviour	<b>9a Behaviour</b> – policy to promote good behaviour and to set out the sanctions for misbehaviour		Records of the sanctions imposed upon pupils for serious misbehaviour
10 Bullying	<b>10a Bullying</b> – anti-bullying strategy or equivalent		Record of cases of bullying
11 Health and safety	<b>11 Health and safety</b> – policy or equivalent		Records of health and safety checks
12 Fire safety	<b>12a Fire risk assessment</b> <b>12b Fire procedures</b>		Arrangements and supporting paperwork to check compliance with Regulatory Reform (Fire Safety) Order 2005 Reports and other documentation relating to fire prevention and any visits by the fire officer; Records of fire drills held, including details of fire drills undertaken in boarding time, by house if different

Regulation	On school website or ISI's portal	To be emailed when inspection is announced	To be available in school during inspection
13 First aid	<b>13a First aid</b> – written policy on first aid	<b>13b Care of boarders</b> – who are unwell <b>13c Paediatric first aid</b> – names of those qualified in paediatric first aid <b>13d Administration of medicine</b> – EYFS policy on the administration of medicine	Records of any accidents or incidents that have taken place in the school
14 Supervision of pupils	<b>14a Supervision</b> – arrangements for supervision of pupils and EYFS children <b>14b Missing child policy</b> – and policy for arrangements when a child is not collected <b>14c EYFS supervision</b> – arrangements for supervision of EYFS pupils throughout the school day	<b>14d School journeys</b> – Safety and supervision on school journeys <b>14e After-school care</b> – details of any before- or afterschool care (including names of staff, their qualifications and details of child/adult ratios)	



15 Admission and attendance registers	<b>15a Admissions</b> – policy and arrangements for admissions and exclusions		The daily attendance registers (in electronic form if so kept) The admission register (in electronic form if so kept)
16 Risk assessment	<b>16a Risk assessment</b> – policy	<b>16b Risky areas</b> – pupil access to risky areas of school buildings and grounds <b>16c Major incidents</b> – policy and plans for foreseeable crises (required for all boarding schools – optional for day schools) <b>16d EYFS risk assessments</b> – sample EYFS on-site risk assessment and risk assessment for visits or activities outside school	Sample risk assessments Risk assessments of high-risk areas and school trips/visits
O Accessibility plan	<b>17a Equal opportunities</b> – policy for equality of opportunity, including adjustments for accessibility <b>17b Accessibility plan</b> – three-year plan for compliance with Schedule 10 of the Equality Act 2010		
<b>Part 4 Suitability of staff, supply staff and proprietors</b>			
18 Checking of members of staff	<b>18a Recruitment policy</b>	18b An anonymised version of the full Single Central Register of Appointments (SCR) as an Excel spreadsheet	Access to staff appointment files, for verification of evidence recorded on SCR
19 Checking of supply staff			
<b>Regulation</b>	<b>On school website or ISI's portal</b>	<b>To be emailed when inspection is announced</b>	<b>To be available in school during inspection</b>
20 Proprietor and governors			

21 Single central register of appointments			
<b>Part 5 Premises and accommodation</b>			
23 Toilet, washing and changing facilities			[Compliance with the regulations relating to premises and accommodation will be evaluated through firsthand observation during a tour of the school accompanied by school staff]
24 Accommodation for medical needs			
25 Maintenance of premises and accommodation			
26 Acoustics			
27 Internal and external lighting			
28 Drinking water and water supply			
29 Outdoor space for PE and play			
30 Boarding accommodation			
<b>Part 6 Provision of information</b>			

32 Publication of information	[The school's compliance with this regulation will be evaluated through scrutiny of the school's website. If the school has information which should be made available to parents but which does not appear on the website, the school should provide evidence to inspectors that such information is indeed available.]	Samples of reports to parents on their children's progress
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### Part 7 Manner in which complaints are handled

33 Complaints procedure	33a Complaints procedure		Record of all formal parental complaints and whether they were resolved at the formal stage or proceeded to a panel hearing; and the action taken by the school as a result of those complaints (including EYFS
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Regulation	On school website or ISI's portal	To be emailed when inspection is announced	To be available in school during inspection
			concerns/complaints and those identified as relating to boarding)
<b>Part 8 Quality of leadership and management</b>			
34 Leadership and management		<b>34a Head's annual report</b> – most recent annual report to governors <b>34b Governors' minutes</b> – one set of recent minutes from the governing body and its academic subcommittee (or equivalent)	Access to minutes of committee and sub-committee meetings of governors;
<p style="text-align: center;"><b>Additional documentation required for schools with residential accommodation only to ensure compliance with National Minimum Standards.</b>            Not all NMS are listed as documentation required for most of the NMS is already included in the grids above for the ISSRs.</p>			
NMS 1 Statement of boarding principles		<b>B1a Boarding principles</b> – statement of boarding principles and practice	

NMS 2 Boarders' induction and support		<p><b>B2a New boarders</b> – Key written information for new boarders</p> <p><b>B2b Independent listener</b> – pupil access to a person independent of the school staff group</p> <p><b>B2c House handbooks</b> – as sent to parents and pupils</p>	
NMS 8 Provision and preparation of food and drinks		<b>B8a Special provision</b> – provision for pupils with particular religious, dietary, language or cultural needs	
NMS 13 Management and development of boarding		<b>B13a Self-assessment</b> – any boarding house selfassessment / action plans (if available)	
NMS 15 Staffing and supervision		<b>B15a Job descriptions</b> – for staff with boarding duties	
NMS 19 Prefects		<b>B19a Prefects</b> – duties, powers and responsibilities and any job descriptions for house and school prefects	
NMS Appendix 1		<b>BA1 Inset</b> – list of INSET/professional development for boarding staff	

### Part 3 – Documentation required for Educational Quality Inspections only

#### Documentation required for Educational Quality Inspections only

Pupils' academic and other achievements	[Schools must ensure they provide ISI with their examination results and/or other standardised test data]	<p><b>School's own data analysis</b> – a succinct analysis of pupils' attainment and progress, <b>including for the EYFS if applicable</b>; the analysis should include the performance of different groups (eg boys/girls, SEND, EAL, more able), and the school's own judgement on the progress of these groups.</p> <p>Other documentation which provides evidence of pupils' academic and other achievements if not already noted in the SEF.</p>	SEN annual reviews and individual education (IEP/EHC) plans
Pupils' personal development		Documentation which provides evidence of pupils' personal development if not already noted in the SEF.	

