



**LSA National Forum (UK)**  
**Guidelines for the statutory supervision of midwives**

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**GUIDANCE FOR RETENTION AND TRANSFER OF  
RECORDS RELATING TO STATUTORY SUPERVISION**

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| <b>Guideline produced by:</b>         | Gillian Harris LSAMO       |
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## LSA National Forum (UK) Guidelines for the statutory supervision of midwives

### Guidance for retention and transfer of records relating to statutory supervision

#### Introduction

This guideline addresses the above Local Supervising Authority (LSA) standard as it is related within Rule 9 of the NMC Midwives rules and standards (2004). It is the responsibility of Supervisors of Midwives to ensure that accurate, contemporaneous records are maintained of all Supervisory issues and activities. These records are to be stored safely and securely, separate from personal records. Local guidelines should reflect a clear process that is subject to audit.

#### Process

- 2.1. All records relating to statutory supervision of midwives must be kept separately from employment records.
- 2.2. Records should ideally be accessible only to the named supervisor; otherwise they should be kept in a locked cabinet accessible only to Supervisors of Midwives.
- 2.3. Supervisors' records relating to the statutory supervision of midwives must be kept for a minimum of **7 years**, (NMC Midwives rules and standards 2004).
- 2.4. Any supervisory records relating to investigations of clinical incident, alleged misconduct or incompetence relating to a midwife must be kept for **25 years**. Any formal supervised practice programme and the outcome details must be retained for 25 years.
- 2.5. In accordance with the NMC Midwives rules and standards (2004), the individual midwives will be given a copy of the records of her annual supervisory review and a copy will be retained within personal supervision record kept by the Supervisor of Midwives.
- 2.6. When a midwife moves practice area or changes her named supervisor, the supervisory record should be transferred to the new Supervisor of Midwives – NMC (2004) Midwives rules and standards – Rule 12. A sample form for this purpose is included in this Guidance. Appendix 1
- 2.7. The Supervisor of Midwives must keep an index of supervisory records transferred out.
- 2.8. Self-employed midwives who are Supervisors of Midwives must ensure that they transfer any records in their possession to the LSA if they cease to undertake the duties a Supervisor of Midwives.



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- 2.9. It is important that midwives realise, that although supervisory records are confidential, in certain circumstances they may be disclosed, e.g. in an LSA or NMC investigation. In other circumstances, a court order would be required before disclosure of these records.
- 2.10. The use of electronic records is becoming common, and a website database is maintained in some organisations for the maintenance and secure storage of supervisory records. The same principles apply as for written records. Under the Data Protection Act, the Supervisor of Midwives must inform the Data Protection Officer within the organisation of the type of information stored.

### References

Nursing and Midwifery Council (2004) Midwives rules and standards NMC London  
<http://www.nmc-uk.org/aFrameDisplay.aspx?DocumentID=169>

1998 Data Protection Act  
<http://www.opsi.gov.uk/acts/acts1998/19980029.htm>



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**APPENDIX 1**

Transfer form for supervisory records  
from one named Supervisor of Midwives to another

Name of midwife: \_\_\_\_\_

NMC PIN: \_\_\_\_\_

Please find attached the supervisory records relating to this midwife commencing from  
(date) until (date).

These records comprise the following:

*(List briefly the records being transferred).*

Signed: \_\_\_\_\_ Signed: \_\_\_\_\_  
Named Supervisor of Midwives Midwife

Date: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Tel. No: \_\_\_\_\_

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I confirm that I have received the supervisory records of: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Named Supervisor of Midwives