



# Annual LSA Audit Report 2016-2017

## Betsi Cadwaladr University Health Board

## Local Supervising Authority Audit Report

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## 1. Introduction

The Nursing and Midwifery Council (NMC) set the rules and standards for the function of the Local Supervising Authorities (LSA) and the supervision of midwives. The Local Supervising Authority Midwifery Officer (LSAMO) is professionally accountable to the NMC. The function of the LSAMO is to ensure that statutory supervision of midwives is in place to ensure that safe and high quality midwifery care is provided to women.

Supervisors of Midwives (SoMs) are appointed by the LSA, whose function sits within Healthcare Inspectorate Wales. The main responsibility of the LSA is to protect the public by monitoring the quality of midwifery practice through the mechanism of statutory supervision for midwives. The LSA appoints two LSAMOs to carry out the functions of the LSA in Wales.

All practising midwives in the United Kingdom are required to have a named SoM. A SoM is a midwife who has been qualified for at least three years and has undertaken a preparation course in midwifery supervision (Rule 8, NMC 2012). Each SoM is someone that midwives may go to for advice, guidance and support. The SoMs will monitor care by meeting with each midwife annually, (Rule 9, NMC 2012) auditing the midwives' record keeping and investigating any reports of problems or concerns in practice. They are also responsible for investigating any serious incidents and reporting them to the LSAMO (Rule 10, NMC 2012).

Rule 7 of the *Midwives Rules and Standards* (NMC 2012) requires the LSAMO to complete an annual audit of the practice and supervision of midwives within its area to ensure the requirements of the NMC are being met. The LSA annual audit report informs the NMC (Rule 13).

## 2 The Standards for Supervision

1. Supervisors of Midwives are available to offer guidance and support to women accessing a maternity service that is evidence based in the provision of women centred care.
2. Supervisors of Midwives are directly accountable to the Local Supervising Authority for all matters relating to the statutory supervision of midwives and a local framework exists to support the statutory function.
3. Supervisors of Midwives provide professional leadership and nurture potential leaders.
4. Supervisors of Midwives are approachable and accessible to midwives to support them in their practice.
5. Supervisors of Midwives support midwives in providing a safe environment for the practice of evidence based midwifery.

*Midwives rules and standards (NMC, 2012)*

### 3 Local Supervising Authority Audit Aims

The purpose of the 2016 -17 annual audit is:

- To confirm the recommendations of the previous audit have been met.
- To confirm that SoMs are delivering the function of supervision in each health board to NMC standards.
- To ensure that there are relevant systems and processes in place for the safety of mothers and babies
- To review the impact of supervision on midwifery practice
- To make suggestions for further development and continuous improvement
- To ensure that midwifery practice is evidence based and responsive to the needs of women
- To assess and develop an understanding of participants' knowledge of the changes to statutory supervision.

The audit findings from across Wales will inform the direction of travel to support midwives when the legislative changes are made to exit from statutory supervision in 2017.

### 4 Methodology

The process for the audit of the LSA standards uses verification of evidence by the LSA audit team. The SoM team are also required to reflect on their performance via a presentation, which will be delivered to the audit review team and will include successes and challenges. Self-review is recognised as a powerful tool that stimulates professional development and creates awareness of personal accountability.

A pre audit evidence review is also completed by the review team and includes peer review of the compliance of the individual supervisor of midwives to the LSA investigation process.

In this final year of the LSA auditing statutory supervision, the approach used will be focused on the core statutory role as described in the Midwives Rules and Standards.

### 5 Audit Process

For 2016-17 the audit process comprised of the following elements:

- Review of evidence submitted in line with an assessment of compliance against the Midwives Rules and Standards (NMC 2012) including a review of the action plan to achieve the LSA recommendations following the 2015 -16 audit visit
- An audit visit including questioning of midwives and women.

## **6 Local Supervising Authority Annual Audit Visit**

The LSA annual audit visit was undertaken on 21 and 22 September 2016 by Maureen Wolfe, LSAMO. The LSAMO was supported by peer SoMs Kim Ashton and Rebecca Lewis, and by LSA lay reviewer Lindsey Phillips.

The Betsi Cadwaladr University (BCU) health board supervision team consisted of Julie Hurford, Wendy Roberts and Karen Roberts. There were 385 midwives in post in BCU at the end of Quarter one (30 June 2016) and 3.0 whole time equivalent SoMs. This calculates as one SoM to 11 midwives, which is within the required ratio set by the NMC of one SoM to 15 midwives.

All active SoMs have a caseload of midwives and take part in providing 24 hour supervisory advice and support via the all Wales on call rota.

All SoMs contributed to collating evidence and the development of the presentation at the audit visit. This encompassed the teams' achievements and challenges across the year 2015 -16.

## 7 Assessment of Compliance against the Midwives Rules and Standards (NMC 2012)

Rule 4 Notifications by Local Supervising Authority	
<p><b>Rule</b></p> <p>(1) Each local supervising authority in Wales, Scotland or Northern Ireland must publish:            (a) the name and address of its midwifery officer to whom a notice under Rule 3(2) or (3) is to be submitted;            (b) the date by which a midwife must give notice under Rule 3(3).</p> <p>(1A) The local supervising authority in England must publish:            (a) the name and address of each of its midwifery officers to one of whom a notice under rule 3(2) or (3) is to be submitted;            (b) the date by which a midwife must give notice under rule 3(3).</p> <p>(2) Each local supervising authority must inform the Council, in such form and at such frequency as requested by the Council, of any notice given to it under Rule 3.</p> <p><b>LSA standard</b></p> <p>1 In order to meet the statutory requirements for the supervision of midwives, a local supervising authority must ensure that:            1.1 Intention to practise notifications are sent to the NMC by the annual submission date specified by the Council.            1.2 Intention to practise notifications received after the annual submission date are sent to the NMC as soon as reasonably practicable.</p>	
LSA Expectation	Evidence and Audit Findings
<p>Personalised ITP notification forms would have been sent to all midwives whose name appears on the effective register as of 31<sup>st</sup> March 2015. Midwives to be eligible to submit an ITP notification must have effective registration on the midwives' part of the NMC register and be intending to practise midwifery.</p> <p>Before the ITP is signed the named SoM must have carried out an assessment of the midwife's compliance with the NMC's requirements to maintain midwifery registration and must confirm that they are eligible to practise as a midwife. The named SoM must document the evidence they have reviewed for each midwife detailing how they meet the NMC PREP requirements of 35 hours learning activity (CPD) and 450 hours of registered practice in each 3 year</p>	<p>All midwives were found to have submitted their Intention to Practice (ItP) form to a supervisor and were eligible to practice on the NMC register.</p> <p>The team could articulate a clear and robust process for the submission of ItPs.</p> <p>SoMs ensure that midwives are PREP standard compliant prior to signing their ItP by referring to their individual annual review records which contains information regarding their CPD and practice hours.</p>

Notification of Practice.	
<b>Notable Practice</b>	
<ul style="list-style-type: none"> <li>• <b>100% compliance with ItP entries and deletions</b></li> <li>• <b>100% compliance with monthly ItP returns</b></li> </ul>	
<b>Areas for improvement</b>	
<ul style="list-style-type: none"> <li>• <b>N/A</b></li> </ul>	
<b>Outcome</b>	
<b>Rule 4 Met</b>	

<b>Rule 6      Records</b>
<p><b>Rule</b></p> <p>(1) A midwife must, as soon as reasonably practicable, ensure that all records relating to the care or advice given to a woman or care given to a baby are, following their discharge from that care:</p> <ul style="list-style-type: none"> <li>(a) transferred to the midwife’s employer for safe storage; or</li> <li>(b) stored safely by the midwife herself if she is self-employed: but if the midwife is unable to do this, transferred to the local supervising authority in respect of her main geographical area of practice for safe storage.</li> </ul> <p>(2) Where a midwife ceases to be registered with the Council, she must, as soon as reasonably practicable, ensure that all records relating to the care or advice given to a woman or care given to a baby are transferred for safe storage to the local supervising authority which was, prior to the cessation of her registration, the midwife’s local supervising authority in respect of her main geographical area of practice.</p> <p><b>LSA standard</b></p> <p>1 A local supervising authority must publish local guidelines for the transfer of midwifery records from self-employed midwives which should include:</p> <ul style="list-style-type: none"> <li>1.1 When the records are to be transferred.</li> <li>1.2 To whom the records are to be transferred.</li> <li>1.3 Methods to ensure the safe transit of records.</li> <li>1.4 Documentation to record such a transfer.</li> </ul> <p><b>Midwives standard</b></p> <p>1 All records relating to the care of the woman or baby must be kept securely for 25 years. This includes work diaries if they contain clinical information.</p> <p>2 Self-employed midwives should ensure women are able to access their records and should inform them of the location of their records if these are transferred to the local supervising authority.</p>

LSA Expectation	Evidence and Audit Findings
<p>Midwives have a responsibility to keep secure any records that contain person identifiable and/or clinical information (this includes work diaries).</p> <p>SoMs must advise midwives working in self-employed practice of when they should transfer records to the LSA and make them aware of the LSAMO Forum UK policy Transfer of midwifery records for self-employed midwives.</p>	<p>All maternity records were found to be stored securely at the audit visit. Notes storage areas within maternity were spot checked by the audit team on the day of the audit.</p> <p>All SoMs are able to describe the required process for self employed midwives records.</p>
Notable Practice	
<ul style="list-style-type: none"> <li>• <b>Process in place for transferring records to HIW, some having been transferred to a Welsh Government building in North Wales</b></li> </ul>	
Areas for improvement	
<ul style="list-style-type: none"> <li>• N/A</li> </ul>	
Outcome	
<p><b>Rule 6 Met</b></p>	

<b>Rule 8 Supervisors of Midwives</b>
<p><b>Rule</b></p> <p>(1) A local supervising authority must appoint what the Council considers to be an adequate number of supervisors of midwives to exercise supervision over midwives practising in its area.</p> <p>(2) A supervisor of midwives must:</p> <ul style="list-style-type: none"> <li>(a) be a practising midwife; and</li> <li>(b) meet the requisite standards of experience and education for the role of supervisor of midwives as set by the Council from time to time.</li> </ul> <p>(3) Following her appointment, a supervisor of midwives must complete such periods of relevant learning relating to the supervision of midwives as the Council shall from time to time require.</p>
<p><b>LSA standards</b></p> <p>1 Supervisors of midwives are appointed by and are accountable to the local supervising authority for all matters relating to the statutory supervision of midwives. The local supervising authority must:</p> <ul style="list-style-type: none"> <li>1.1 Publish a policy setting out its criteria and procedures for the appointment of any new supervisor of midwives in its area.</li> <li>1.2 Maintain a current list of supervisors of midwives in its area.</li> <li>1.3 Ensure provision of a minimum of six hours continuing professional development per practice year.</li> </ul> <p>2 To be appointed for the first time as a supervisor of midwives, a midwife must:</p> <ul style="list-style-type: none"> <li>2.1 Have a minimum of three years' experience as a practising midwife. At least one of which must</li> </ul>

- have been in the two-year period immediately preceding the first date of appointment<sup>4</sup>.
- 3 She must also have either:
- 3.1 Successfully completed an approved programme of education for the preparation of supervisors of midwives within the three-year period immediately preceding the first date of appointment; or
- 3.2 Where it is more than three but less than five years that have passed since she successfully completed an approved programme of education for the preparation of supervisors of midwives, complied with the continuing professional development requirements for supervisors of midwives referred to in paragraph 1.3.
- 4 For any subsequent appointment as a supervisor of midwives, she must be a practising midwife and:
- 4.1 Have practised as a supervisor of midwives or a local supervising authority midwifery officer within the three-year period immediately preceding the subsequent date of appointment; or
- 4.2 Where she has only practised as a supervisor of midwives or a local supervising authority midwifery officer within a period which is more than three years but less than five years immediately preceding the subsequent date of appointment, have also successfully complied with the continuing professional development requirements for supervisors of midwives referred to in paragraph 1.3.
- 5 A supervisor of midwives must be capable of meeting the competencies set out in Standards for the preparation and practice of supervisors of midwives (NMC 2006).

LSA Expectation	Evidence and Audit Findings
<p>Student SoMs are adequately recruited and supported following successful completion of the Preparation of Supervisors of Midwives (PoSoM) course.</p> <p>Each SoM must demonstrate ability to achieve the competencies set out in the NMC (2012) Standards for the preparation of supervisors of midwives.</p> <p>A current list of SoMs is available on the LSADB and will be reported in the LSA audit report.</p>	<p>The correct numbers of SoMs are appointed within the health board.</p> <p>All members of the SoM team have completed and recorded their required PREP activities.</p> <p>All members of the SoM team have self-assessed their competence to fulfil the role and have a plan to address any learning needs.</p> <p>At the time of audit, the list of appointed SoMs on the LSADB was accurate.</p>
Notable Practice	
<ul style="list-style-type: none"> <li>• <b>The SoM team remain innovative and have shared their local initiatives with the All Wales SoM team</b></li> </ul>	
Areas for improvement	
<ul style="list-style-type: none"> <li>• N/A</li> </ul>	
Outcome	
<p><b>Rule 8 Met</b></p>	

## Rule 9 Local Supervising Authority's Responsibilities for Supervision of Midwives

### Rule

A local supervising authority must ensure that:

- (a) each practising midwife within its area has a named supervisor of midwives from among the supervisors of midwives appointed by the local supervising authority in respect of her main geographical area of practice;
- (b) at least once a year, a supervisor of midwives meets each midwife for whom she is the named supervisor of midwives to review the midwife's practice and to identify her education needs;
- (c) all supervisors of midwives within its area maintain records of their supervisory activities, including any meeting with a midwife; and
- (d) all practising midwives within its area have 24-hour access to a supervisor of midwives whether that is the midwife's named supervisor or another supervisor of midwives.

### LSA standards

1 A local supervising authority must:

1.1 Ensure that a local framework exists to provide:

1.1.1 Equitable, effective supervision for all midwives working within the local supervising authority.

1.1.2 Support for student midwives to enable them to have access to a supervisor of midwives.

1.2 Ensure the ratio of supervisor of midwives to midwives reflects local need and circumstances and does not compromise the safety of women. This ratio will not normally exceed 1:15.

1.3 Put in place a strategy to enable effective communication between all supervisors of midwives. This should include communication with supervisors in other local supervising authorities.

1.4 Monitor and ensure that adequate resources are provided to enable supervisors of midwives to fulfil their role.

1.5 Publish guidelines to ensure consistency in the approach taken by supervisors of midwives in their area to the annual review of a midwife's practice. These must include that the supervisor undertakes an assessment of the midwife's compliance with the requirements to maintain midwifery registration. 1.6 Ensure the availability of local systems to enable supervisors of midwives to maintain and securely store records of all their supervisory activities.

### LSA Expectations

There is a local framework for supervision.

All student midwives must have access to a SoM and there should be local systems for this.

SoM ratio remains within the recommended ratio of 1 SoM to 15 midwives.

Resources for supervision should be reviewed at every SoM meeting.

Annual reviews are based on LSAMO Forum UK policy.

Local systems have been developed to ensure that SoMs have safe storage

### Evidence and Audit Findings

A SoM is available and accessible 24 hours per day via an on call system. Contact details are available in most clinical areas for midwives and the process of how to contact a SoM is on the health board website.

The team were able to evidence 75% attendance at local SoM meetings across the team.

Every midwife has a named supervisor of midwives which was evidenced by the LSADB.

The SoM team are involved in teaching student midwives about supervision in the clinical area and in the University. Student midwives are aware how to

<p>systems of any supervisory records.</p>	<p>contact both their own and an on-call SoM if required. Student midwives are invited to attend notes audit sessions and to Group Supervision in the year before qualification.</p> <p>The overall SoM to midwife ratio is one to 11, which is within the recommended ratio.</p> <p>All annual reviews are undertaken in line with the LSAMO Forum UK Policy and this was confirmed by a pre audit spot check of the LSA database.</p> <p>Supervisory records are stored securely either in soft copy on the LSADB or on the Welsh Government i-share system. Hard copies are secured in locked storage cabinets.</p>
<b>Notable Practice</b>	
<ul style="list-style-type: none"> <li>• <b>100% ASR compliance</b></li> <li>• <b>Frequent interaction with student midwives</b></li> </ul>	
<b>Areas for improvement</b>	
<ul style="list-style-type: none"> <li>• <b>N/A</b></li> </ul>	
<b>Outcome</b>	
<p><b>Rule 9 Met</b></p>	

<b>Rule 10 Publication of Local Supervising Authority Procedures</b>
<p><b>Rule</b> Each local supervising authority must publish its procedure for: (a) reporting all adverse incidents relating to midwifery practice or allegations of impaired fitness to practise against practising midwives within its area; (b) investigating any reports made under paragraph (a); and (c) dealing with complaints or allegations of impaired fitness to practise against its midwifery officer or supervisors of midwives within its area.</p> <p><b>Reporting adverse incidents, complaints or concerns relating to midwifery practice</b> <b>LSA standard</b> 1 Local supervising authorities must develop a system with employers of midwives and self-employed midwives to ensure that a local supervising authority midwifery officer is notified of all adverse incidents, complaints or concerns relating to midwifery practice or allegations of impaired fitness to</p>

practise against a midwife.

### Supervisory investigations

#### LSA standard

1 Local supervising authorities must publish guidelines for investigating incidents, complaints or concerns relating to midwifery practice or allegations of impaired fitness to practise against a midwife. These guidelines must:

1.1 Provide for an open, transparent, fair and timely approach, which demonstrates robust decision making processes that stand up to external scrutiny.

1.2 Provide opportunity for the midwife to participate in the investigation.

1.3 Set out the required actions and possible outcomes following an investigation.

1.4 Provide for an appeals process.

LSA Expectation	Evidence and Audit Findings
<p>There should be a record of all investigations undertaken, their outcomes and the time taken for them to be completed. There should be evidence of a regular review of the investigations and any emerging themes in midwifery practice.</p> <p>Service recommendations evolving from investigations should be escalated to the employer and monitored by the SoM team.</p> <p>There is evidence of a systematic review of midwifery practice when required.</p> <p>There should be an effective, shared and transparent interface between supervision and clinical governance.</p>	<p>Supervisory investigations are performed in external health boards to reduce bias and optimise local support for the midwife. The team achieve compliance in all aspects apart from timeliness.</p> <p>In the past year there have been three investigations by the local SoM team but only one was completed within the recommended 60 days timescale.</p> <p>There is a robust system for tracking investigations which is consistently used by all SoMs.</p> <p>Investigation findings are discussed at SoM meetings so that trends can be identified and any learning implemented through practice change and action planning.</p> <p>Any organisational recommendations that result from supervisory investigations are followed up with management.</p> <p>SoMs attend and contribute to the maternity governance meetings, incident reviews and policy group.</p> <p>The SoM team are able to access Datix incident reports which allows timely independent review, completion of a 'decision making tool' when indicated and commencement of supervisory investigation. The LSA is involved in this process and has oversight of investigation reports and agrees any recommendations made for midwives as</p>

	a result of a supervisory investigation.
<b>Notable Practice</b>	
<ul style="list-style-type: none"> <li>• <b>All required investigation documents available and stored securely</b></li> </ul>	
<b>Outcome</b>	
<p style="text-align: center;"><b>Rule 10 Requires Improvement</b></p> <ul style="list-style-type: none"> <li>• All supervisory investigations should be completed within 60 days but this is recognised to be an All Wales issue</li> </ul>	

## 8 Lay Reviewer Findings

The Lay Reviewer participated fully in the audit, including:

- Discussing service satisfaction and awareness of supervision with service users across a range of sites in both antenatal and postnatal environments
- Observing the general clinical environments, and assessing the visibility of supervision in public areas
- Undertaking pre-audit research in respect of the Health Board's web site information relating to Supervision, and the switch board awareness of the on-call number
- Working with an external SoM, to carry out interviews with:
  - midwives with a range of experience
  - SoMs.

Approximately 16 women (and their families in some cases) were interviewed across three sites, during the audit process. Amongst these service users, a quarter were aware of supervision, continuing the theme from the previous audit, which identified that awareness of Supervision was greater than ever and higher than in other parts of Wales. One woman had been told about supervision by a friend or midwife, one had seen the supervision notice board at the entrance to the ward, and one father had read about supervision in the hand held notes. We were also afforded the opportunity to interview a woman who had been supported by a SoM due to her birth choice requiring a higher level of risk assessment and support. She felt that the SoM involvement was critical and without it, is unsure whether she would have been supported in her birth choice. The SoM acted as the liaison officer amongst all of the parties involved and provided an open, accessible and reassuring point of contact for the woman throughout. This was first hand evidence of the necessity for advocacy for women to be provided by the health board and its significant impact on supporting choice for women.

Overall, the level of satisfaction of women and their families with their care was extremely high, with a large proportion of those interviewed unable to suggest any

improvements to services. In addition, many service users named individual staff that had been particularly helpful during their maternity care. The only minor comments on improvements to maternity services were related to information provision in a timely manner and continuity of care.

The clinical environments were all clean, tidy and in good condition. In all of the maternity areas visited, there was a sense of calm, even where it was obvious that the facility was very busy. This was definitely reflected in the comments from women and their families and staff at all levels should be commended for their efforts. The Midwifery Led Units (MLUs) were in the main offering an attractive environment for service users and MLU staff were very enthusiastic about their use. The MLU at Ysbyty Gwynedd could, however, benefit from some minor improvements to reduce the medical feel of the facility, in particular the screening off of the suturing chair in the pool room and the removal of the blood trolley from the corridor. No supervision information was identified in any of the MLUs and given that they mostly have a direct entrance for service users, which does not involve traversing the general maternity areas, there is scope to provide separate supervision details in each.

There are SoM information boards in the entrance areas to each of the main maternity wards and these contain extensive information about supervision and how they can support women. There was one supervision board in the labour ward at Ysbyty Glan Clwyd which appeared to be for staff and may be better located in the staff room.

The maternity section of the health board's website contains extensive information about Supervision of Midwives, and includes links to the LSA, 'Delivering for You' leaflet and details of the 24 hour on-call number. Whilst the information is extensive, a very minor observation is that it may be useful to have the general information about supervision at the start of the section, rather than the details of the 2013-14 LSA audit report. The 'Care During Pregnancy' section of the website also contains supervision information, but has local labour ward contact numbers for SoMs. The pre-audit switch board contact did manage to retrieve the 24 hour on-call number for a Supervisor of Midwives, although it did take a certain amount of prompting to identify the correct channel.

Overall, the midwives interviewed were very positive about supervision, in particular the accessibility and visibility of the existing SoMs, group supervision and the supporting role SoMs play in midwifery practice; for example in supporting recent revalidation. Whilst all midwives were aware that changes to supervision were imminent, there was little awareness of the detail of the future model. Furthermore, there was no clear indication of how the advocacy for women currently offered by the SoMs would be supported under the new model. However, there was a strong sense of the need for supervision to remain and a confidence that the organisation would support supervision in the future.

The SoM team appears to be a strong and positive unit, providing invaluable support to midwives and women across the health board. Despite some challenges identified in implementing a new non statutory model, they appear confident in their health board's commitment to supervision and the future.

## 9 Summary of Recommendations

### NMC Compliance

The delivery of effective supervision by the LSA within Betsi Cadwaladr University health board was discussed with the Director of Nursing (DoN) who is relatively new in post. The DoN said she was assured that the LSAMO was able to discharge its function within the health board and had a comprehensive reporting procedure to the NMC. On further discussion with regards to the LSA escalation of concerns, ensuring safe midwifery practice within the organisation, the DoN said that she found that the LSA were effective.

The Head of Midwifery (HoM) said that she was satisfied that the local SoM team raised concerns effectively and she is in contact with them on a weekly basis due to health board meetings. The HoM was also assured that the SoM team would approach her between meetings if they had any issues that they wished to discuss. There was evidence of monthly meetings between the HoM and the SoM team.

The HoM said that the SoM team are embedded in governance and this was supported by the senior midwives and the risk midwife interviewed. The HoM said that the SoM team would be part of the governance team in the future and that this would hopefully further strengthen governance processes within the health board.

The HoM was fairly happy with communication with regards to supervisory investigation processes, but said that there was room for improvement. The HoM was happy that the SoM team informed her of themes and trends that were identified in group supervision and she gave an example of improvements made following escalation of a theme identified with newly qualified midwives.

The HoM was able to share the percentage of midwives in the organisation who had completed their mandatory training was 99.8%, an exemplary achievement. The HoM also informed the audit team that the local SoMs had successfully supported midwives through revalidation and staff had reported that they had felt supported through the process.

The HoM was aware of the changes to supervision and suggested that being more proactive with restoration packages for midwives may improve supervision in the future.

One of the senior managers also said that this was a pivotal role and that the SoM team had found their niche and was fantastic. It was also said by another senior manager that clarity of role in the future would be essential.

Following on from the 2015-16 audit programme, information was sought to evidence

that the following areas detailed for improvement had been addressed:

- SoMs to involve themselves in key health board strategies
- Continue to support midwives' transition to revalidation
- Ensure effective communication of newly acquired office location
- Consider publishing a central rota of SoM availability in the health board
- Improve the content of notice boards with the addition of specific examples of when it appropriate for a woman to contact a supervisor
- Notice boards for revalidation messages should not replace information for women
- A link to the current annual report to be made available service users on the health board website
- The SoM team should start to use language of "transition" from statute to mandate, rather than removal.

Evidence was found that all of these areas had been improved upon and the SoMs now produce a rota of their availability. The information on supervision notice boards had improved and the revalidation information was now displayed in other areas, ensuring adequate information on supervision for women. The LSA audit team found all staff to be aware of the proposed transition and the management team were very keen to support the new model.

Of the six Midwives Rules and Standards audited, five were met and one required improvement. Three supervisory investigations had been undertaken by the SoM team in the previous 12 month period but only one of the three was completed within the recommended time frame. Discussions were held during the audit with regards to the reasons that SoMs throughout Wales were not meeting the 60 day target for completion of investigations. One of the factors believed to be contributing is the number of new SoMs that have stepped up into practice and therefore require additional support in developing reports to the necessary high standard. The delay in receiving I.T. equipment such as laptops is also thought to have an effect on the timeliness of report completion by SoMs who have stepped up into practice, as they need to travel to Welsh Government offices to access the investigation documentation. The delayed allocation of laptops and potential to delay the completion of an investigation has been escalated to HIW as a risk. Two of the three SoMs in BCU had stepped up in the previous 12 months and these reasons have therefore been taken into consideration for their performance.

## Midwifery Practice

The 16 women interviewed reported extremely high levels of satisfaction of care received, as detailed in the lay reviewer section of this report (Section 8). The HoM was informed of this very positive feedback and that the lay reviewer will forward the names of the individual midwives praised by women and their families during the annual audit. The LSA audit team requested that the individual midwives named be contacted and informed of this feedback.

## Organisational

The LSA team were not met by any health board staff on their arrival to BCU, apologies having been given in advance by the HoM. The LSAMO was therefore unable to deliver her presentation with regards to the purpose of the audit and the proposals for the transition of supervision.

The LSA audit team acknowledged that they were aware that the health board had been subject to many audits in the previous 12 months, but they had expected to be met on arrival as per previous audits. This was fed back to the HoM and DoN and apologies were offered and accepted.

## 10. Monitoring

An action plan is required to be submitted to the LSA within six weeks of receiving this report and recommendations. If there are any areas that are 'not met' the action plan for these should be updated quarterly and submitted to the LSA to update them of progress. After the removal of statute planned for March 2017 the monitoring of the action plan will be handed over to the Head of Midwifery at BCU.

The LSA also noted clear organisational support for the future model of supervision and the following were identified as areas of good practice by the local SoM team:

- Effective team working
- Clinical visibility, accessibility and support
- Partnership working with matrons to ensure 100% compliance with ASRs
- Shared learning with staff from documentation audits with themes and trends highlighted monthly on posters in clinical areas
- Joint management and supervision induction meetings with newly qualified midwives, which has resulted in a review of the training curriculum
- Leads for revalidation
- Future initiatives to coach midwives in the hospital setting, to support clinical decision making
- Weekly review of Datix with managers and risk midwife.

The following recommendations have been highlighted by the LSA audit team as areas for improvement:

- The SoM team should celebrate their successes more openly
- The SoM team should ensure shared learning occurs across all three sites not just locally
- More supervision notice boards could be made available to inform women and their families as there are few per site

- Switchboard operators should all be fully aware of the All Wales on call phone number
- The BCU Triennial Review database for mentors should be managed by the health board and not by SoMs.

:

## 11. Conclusion

The LSA remains grateful to all SoMs both past and present for their input and commitment to the delivery of statutory supervision and the contribution they make in supporting midwives to support women.

The LSA would also like to extend their thanks to Sue Jose, who is stepping down from her position as LSAMO in October 2016 and would like to welcome Lindsey Hilldrup who will take over her position.

Without doubt, the biggest challenge to the provision of statutory supervision across the UK in the past 12 months has been to sustain the momentum and commitment to the role whilst the NMC legislative change takes effect. However, the LSA and Taskforce in Wales remain in position to lead the way forward with a new model for supervision, building on current successes and national support to maintain excellence in clinical practice.

## 12. Appendices

### 12.1 Appendix 1 – Programme for LSA Audit

#### LSA Audit of Betsi Cadwaladr University Health board Supervision Wednesday 21<sup>st</sup> Sept (Day 1)

##### LSA Review Team

Moe Wolfe: LSA MO

Kim Ashton: Supervisor of Midwives, Cwm Taf

Becky Lewis: Supervisor of Midwives C&V

LSA Lay Reviewer: Lindsey Phillips

Time	Meeting/Item	Present	Venue
	<b>Pick up from Hotel by BCUHB SoM at 9.15</b>		
10.00	Arrival at YGC Introduction and welcome the LSA review team Tour of clinical area meeting midwives, community midwives and service users	LSA Review Team BCU Soms	Ysbyty Glan Clwyd (YGC)
11:00	Coffee then travel to Carlton Court	LSA Review Team BCU Soms	
11:30	Presentation of SoM achievements	LSA Review Team BCU Soms	Vicky's room Carlton Court
<b>12.00</b>	<b>LUNCH provided by SoMs</b>		
13.00	Meet with Gill Harris DoN	LSA Review Team	DoN Office Carlton Court St Asaph
14.00	<b>Travel to YG</b>		

15:00	Meet with Fiona Giraud HoM	LSA Review Team	Ysbyty Gwynedd (YG), eulwen Room
15.30	Meet with Sharn Jones Outpatient Manager	LSA Review Team	Via VC Heulwen
16.00	Meet with Service User	LSA Review Team	YG Heulwen
16.30	Meeting with Student Midwives	LSA Review Team	YG, Heulwen Room
<b>17.00</b>	<b>CLOSE</b> <b>LSA Review Team to Travel back to hotel Llandudno Junction (transport provided by BCU SoMs)</b>		

**LSA Audit of Betsi Cadwaladr University Health board Supervision  
Thursday 22<sup>nd</sup> Sept (Day 2)**

**LSA Review Team**

Moe Wolfe: LSA MO

Kim Ashton: SoM Cwm Taf UHB

Becky Lewis: SoM C&V

LSA Lay Reviewer: Lindsey Phillips

Time	Meeting/Item	Present	Venue
<b>9.00</b>	<b>Pick up by LSAMO at hotel for a 9am start</b>		
9.15	Matrons Heledd Jones Inpatient Manager	LSA Review Team	MLU Ysbyty Gwynedd (YG)
10.00	Tour of clinical area meeting midwives, community	LSA Review Team BCU SoMs	YG

	midwives and service users.		
11.00	Coffee		
11.30	<b>Travel to Wrexham Maelor Hospital (provided by BCU SoMs)</b>		
12:30	<b>LUNCH (HOSPITAL CANTEEN)</b>		
13:00	Tour of clinical area meeting midwives, community midwives and service users	LSA Review Team BCU SoMs	Wrexham maternity Unit
13:45	Meeting LME/tutor	LSA Review Team	Parent craft Room – Antenatal Clinic
14:15	Student midwives	LSA Review Team	Parent craft Room – Antenatal Clinic
14.45	LSA Review Team to summarise findings	LSA Review Team	Parent craft Room – Antenatal Clinic
15:15	Feedback SoMs (Arrangement to feedback to HoM via VC on morning of 23 <sup>rd</sup> Sept)	LSA Review Team BCU SoMs	Parent craft Room – Antenatal Clinic
15.45	<b>CLOSE</b>		
	<b>LSA Review Team to travel back on train or by car from Wrexham</b>		

## 12.2 Appendix 2 – LSA Questionnaire

### Healthcare Inspectorate Wales LSA

Annual Audit of Standards for Supervision of Midwives  
Autumn 2016

SoM interview	Evidence & Review team comment
Rule 4. Notifications by LSA Do you manage the Intention to practise (ItP) process in line with current process	Evidence: New starters Leavers transfers Revoke ItP LSADB – monthly submission
Response	Comment:
Rule 5 Scope of practice How do you support midwives to meet Rule 5; their scope of practice	Evidence Group supervision Supporting midwives to provide choice to women Supporting midwives with LSAPP/LAP/reflection Table tops Midwives in non midwifery roles
Response	Comment

<p>Rule 6 records Can you tell us about your plan to transfer and/or archive records in preparation for the removal of statutory supervision.</p>	<p>Evidence Records are securely stored Records are being prepared for transfer/scan and upload</p>
<p>Response</p>	<p>Comment</p>
<p>Rule 7 Supervision of midwives is closely linked to clinical governance and should be integral to governance processes within the LSA. Can you provide details of how you achieve this standard</p>	<p>Evidence Attendance at CRM, LWF, Datix review meeting, joint investigations SUI reviews, delivery of mandatory training</p>
<p>Response</p>	<p>Comment</p>
<p>Rule 7-governance Do you feel you are able to escalate concerns to; The organisation The LSA Do you feel your concerns are responded to appropriately</p>	<p>Evidence</p>
<p>Response</p>	<p>comment</p>
<p>Rule 9 How do you ensure access to the SoM team for Student midwives And how do you support the transition from student to registrant</p>	
<p>Response</p>	<p>comment</p>
<p>Rule 10 publication of procedures-supervisory investigations do you consider you are prepared in relation to education and training to undertake investigations in line with rule 10</p>	<p>Evidence; Process Report writing Access to Training Access to IT systems</p>

Response	Comment
<b>HoM interview</b>	
Do you consider your som teams raises concerns appropriately? If not, can you suggest how this can be improved	
Response	Comment
Considering the LSA investigation process. How satisfied are you with; <ul style="list-style-type: none"> <li>• Communication from the investigating SoM</li> <li>• Communication with the named/supporting SoM</li> <li>• Links between LSA and organisation processes</li> </ul>	
Response	Comment
Are you kept informed of themes and trends that emerge from group supervision sessions	
Response	Comment
Are you satisfied the SoM team interact effectively with the organisation's governance process	
Response	Comment
What is your current compliance for midwives attendance at mandatory training?	
Response	Comment

How do SoM's support revalidation for midwives within your organisation	
Response	Comment
What issues do you consider exist for the HB during the transition from statutory supervision to an employer led (HB) model for supervision.	
Response	Comment
Do you have any suggestions for improving the quality of SoM in your organisation?	
Response	Comment
<b>DoN interview</b>	
Are you assured that the LSA has a comprehensive reporting procedure to the NMC to ensure they are alerted to all risks that are associated with adverse reports from external monitoring?	Rule 7 The LSAMO
Response	Comment
Can you confirm the the LSAMO is able to discharge their function in your organisation?	
Response	Comment
Are you assured of the sustainability of the current model of supervision within your HB	
Response	Comment
Do you consider the LSA are effective at raising and escalating concerns and exercises its role efficiently, effectively and in a way that secures the safety of midwifery practice in your organisation?	
Response	Comment

Are you assured of the sustainability of the current model of supervision within your HB?	
Response	Comment
What issues do you consider exist for the HB during the transition from statutory supervision to an employer led (HB) model for supervision.	
Response	comment
Do you have any suggestions for improving the quality of SoM in your organisation following the removal of statutory supervision?	
Response	Comment
<b>Midwives and Senior midwives</b>	
Are SoMs visible within the clinical environment? Would you know where in the HB a SoM may be present? How would you contact a som out of hours	
Response	Comment
Are you aware how the SoM team support revalidation?	
Response	Comment
Are you aware of how the som's fit with the HB governance process?	
Response	Comment
What is your understanding of the proposed changes from statutory supervision to an employer led (HB) model for supervision.	
Response	comment

What issues do you consider exist for the HB during the transition from statutory supervision to an employer led (HB) model for supervision.	
Response	comment
Do you have any suggestions for improving the quality of SoM in your organisation following the removal of statutory supervision?	
Response	Comment
<b>Student Midwives</b>	
Can you describe the role of the SoM and the LSA?	
Response	Comment
Have you had contact with a SOM in the past 12 months? If so for what reason?	
Response	Comment
Are you aware of how to contact a SoM	
Response	Comment
Are you aware of the current statutory requirement for all midwives to have a named SoM?	
Response	Comment

What is your understanding of the proposed changes from statutory supervision to an employer led (HB) model for supervision.	
Response	comment

### **Lay reviewers' checklist for audit visits**

This document sets out to enable the lay reviewers to undertake their audit visits in a way that is consistent within the team and that reflects and builds on the findings from the 2015/16 audit and incorporate the known future changes to the supervision of midwives. Whilst this checklist covers a number of areas, it is expected that lay reviewers will also comment on anything significant that they believe needs highlighting in addition to the content of this checklist.

There are seven sections to this checklist:

Pre-audit preparation

Questions for women and their families.

Questions for Midwives

Questions for Supervisors of midwives

Questions for Senior Managers

Questions for user representatives.

Observations on the environment

### **Pre-audit preparation**

Review of the information on the health board's website about Supervision of Midwives.

Is it the correct on-call number?

Is there a clear description of what supervisors can do for women?

Is there a link to the LSA (HIW) site?

Is there a link to "Delivering for you" leaflet?

Randomly choose one of the locations where maternity services are delivered by the health board and ring the switchboard and ask for the on-

call number for the supervisor of midwives.

Are you given the correct on-call number?

### **Questions for women and their families**

Introduce ourselves and explain audit process.

1. How would you rate the care you have received from midwives throughout your pregnancy and birth?
2. Is there any midwife you've found particularly helpful and what was it he / she did that was particularly helpful?  
If midwife named, can we pass this feedback to her / him?
3. Is there anything you would like to change, based on your experience?
4. Do you or have you had any concerns about any of the midwives you have had contact with?

**If answer to 4 is yes** go to Q4a – 4h, if answer is **no** go to Q5

- 4a Have you raised your concerns with anyone? If answer is **no, go to 4e**
- 4b If so who?
- 4c How did you decide to raise your concern with that person?
- 4d Were you satisfied with the outcome?

If had concerns but not raised with anyone

- 4e Did you want to raise your concern?
- 4f What prevented your from telling someone about your concern?
- 4g Have you heard of Supervisors of Midwives?
- 4h Explain role: would you like to speak to a SoM now about your experience?

5. Imagine that you had had a concern for example, you wanted a specific type of birth plan and the midwife was refusing to discuss it or being very negative about it, what would you have done?

6. If you had spoken to someone about your concern, what would you want them to do about it?

## **Questions for Midwives**

Have you had an annual supervisory review (ASR) in last 12 months?

Was your ASR completed during a group supervision session?

If so, how many were part of your group supervision?

Was there a range of midwives at the supervision?

What did you find helpful in the group supervision?

Was there anything you thought could have been improved?

How many group supervision sessions have you attended over the last couple of years?

Do you feel more or less positive about group supervision now that after your first experience of group supervision?

What do you think has been the greatest benefit of introducing group supervision?

Have you used the SoM on call number to contact a Supervisor in the last 6 months?

If yes, how did you find the experience? Did it resolve your issue at the time?

As you know, supervision is changing in the Spring. What elements of supervision as it is now would you like to see retained?

Is there anything you would like supervision to do which it doesn't at present?

Do you have any concerns about the proposed new, employer led model of supervision?

How well do you think preparations for the transition to the new arrangements are going?

Is there anything the SoM team does that you think is particularly good practice?

Can we pass your feedback to the SoM team?

What role do you see the SoMs playing in helping to reduce risk and learn lessons from investigations?

### **Questions for Supervisors of Midwives**

When are you offering group supervision?

What do you see as the benefits of group supervision?

Is there anything you would change?

Can you give an example of something that has been discussed in group supervision and as a result enhanced the protection of the public?

Is there anything the SoM team does that you think is particularly good practice?

What role do you play in helping to reduce risk and learn lessons from investigations?

Given the proposed change to an employer led model for supervision what do you see as the benefits for

- a. SoMs
- b. Midwives
- c. Women and the general public

And do you have any concerns about the changes and how they affect SoMs, midwives and women?

How well do you think preparations for the transition to the new arrangements are going?

What do you think should be in place to replace the support you offer to women?

### **Questions for Senior Managers**

How well informed are you about what is happening with supervision now and the plans for Spring 2017 and beyond?

What do you see as the greatest challenges in delivering effective supervision now and in the future?

What benefits does supervision bring and how will these improve or change in the future?

What arrangements are being made for supporting women in future who would currently contact a supervisor of midwives?

### **Questions for representatives of users of maternity services**

What contact do you have with SoMs currently?

How effective would you say supervisors are at supporting women's choices or supporting them with complaints or coming to terms with difficult experiences?

Are you aware of the proposed changes to the supervision of midwives?

What do you see as the advantages of the proposed model especially with regard to women and their families?

Do you have any concerns about the proposed changes?

What do you think women need to ensure that they can make their own informed choices and get support when things have been difficult?

### Observations on the environment

Where observed				
Is information about SoMs clearly displayed in public areas?				
Does the information feature the correct all-Wales on-call number?				
Is the role of the SoM accurately described in the information displayed?				
Is there a clear explanation on the circumstances in which service users should contact the SoM?				
Is the all-Wales leaflet about SoMs available in public areas?				
Additional comments on visibility of Supervision.				
Additional observations on the environment				

## 12.3 Appendix 3 –LSA Lay Reviewer questionnaire

### Pre-audit preparation

### Health Board:

Review the information on the health board's website about Supervision of Midwives.

Is it the correct on-call number? Yes  No

Is there a clear description of what supervisors can do for women?  Yes  No

Is there a link to the LSA (HIW) site? Yes  No

Is there a link to “Delivering for you” leaflet? Yes  No

### Notes

Randomly choose one of the locations where maternity services are delivered by the health board and ring the switchboard and ask for the on-call number for the supervisor of midwives.

### **Location Called:**

### **Number Used:**

Are you given the correct on-call number?  Yes  No

### Notes

## Questions for women and their families

**Health Board:**

**Location:**

1. Where / how have you received your care during your pregnancy? Have you been happy with this care?

2. Is there anything that was very good about your care? Or anyone who has been particularly helpful?

3. Is there anything that could have been done better?

4. Do you have any concerns about any of the midwives you have had contact with?

5. If you had a problem with a midwife, or your care in general, do you know who / where you could go to get support / advice?

6. Have you ever heard of Supervisors of Midwives? Explain who / what they are and what they can do. Provide information on how to locate their contact details in the specific Health Board / location.

## **Questions for Midwives**

Name:

Role:

### **Group Supervision**

1. Have you had an annual supervisory review (ASR) in last 12 months, and was it completed in group supervision?

2. Overview of their group supervision (how many, how organised, range of midwives, anything helpful, anything which could have been improved?)

3. How many group supervision sessions have you attended over last couple of years? More or less positive about it? Greatest benefit? Greatest negative?

### **Supervision On-call**

4. Have you ever used the SoM on call number to contact a Supervisor in the last 6 months? If yes, how was it? Did it resolve your issue at the time?

### **Investigations**

5. How do you see the SoM's role in investigations? Positive / negative? Are they helping to reduce risk / learn lessons? Have you had direct experience of an investigation?

## Supervision Changes

6. Are you aware of the changes to supervision which will be in place by next Spring? Do you feel well informed about the changes? Do you have any concerns about the proposed new, employer led model of supervision? How well do you think preparations for the transition to the new arrangements are going?

7. What elements of the current model of supervision do you think should be kept? Is there anything you would like supervision to do which it doesn't do at present?

8. Do you know how women will be supported under the new model?

## Feedback

9. Is there anything the SoM team does that you think is particularly good practice? Can we pass your feedback to the SoM team?



## Supervision Changes

6. How well informed to you feel about the changes to supervision? Is this information being disseminated within the organisation? How well do you think preparations for the transition to the new arrangements are going?

7. Given the proposed change to an employer led model for supervision what do you see as the benefits for:

- a. SoMs
- b. Midwives
- c. Women and the general public

8. Do you have any concerns about the changes and how they affect SoMs, midwives and women?

9. What do you think should be in place to replace the support you offer to women? Is your organisation making any plans for this area?

## **Questions for Senior Managers**

1. How well informed are you about what is happening with supervision now and the plans for Spring 2017 and beyond?
2. What do you see as the greatest challenges in delivering effective supervision now and in the future?
3. What benefits does supervision bring and how will these improve or change in the future?
4. What arrangements are being made for supporting women in future who would currently contact a supervisor of midwives?

## **Questions for representatives of users of maternity services**

Name:

Organisation:

1. Do you know what a SoM is? Are you / your organisation informed about Supervision? What contact do you have / have you had with SoMs?
  
  
  
  
  
  
  
  
  
  
2. Do you know how effective supervisors are at supporting women's choices or supporting them with complaints or coming to terms with difficult experiences?
  
  
  
  
  
  
  
  
  
  
3. Do you think women are aware of Supervision and SoMs?
  
  
  
  
  
  
  
  
  
  
4. Are you aware of the proposed changes to the supervision of midwives?
  
  
  
  
  
  
  
  
  
  
5. What do you see as the advantages / disadvantages of the proposed model especially with regard to women and their families?
  
  
  
  
  
  
  
  
  
  
6. What do you think women need to ensure that they can make their own informed choices and get support when things have been difficult?
  
  
  
  
  
  
  
  
  
  
7. What do you think is the best way of disseminating information to women and their families?

**SoM Information and Observations on the environment**

<b>Location</b>		
SoM information clear in public areas?		
Correct all-Wales on-call number?		
Role of SoM accurately described in information?		
Clear explanation of circumstances in which service users should contact SoM?		
All-Wales leaflet about SoMs available in public areas?		
Other comments on visibility of Supervision / Supervisors		
General observations on the environment		