

**Witness Name: Caroline
Leonard
Statement No.: WITN3449007
Exhibits: WITN3449008 –
WITN3449021
Dated: 15th August 2019**

INFECTED BLOOD INQUIRY

SECOND WRITTEN STATEMENT OF CAROLINE LEONARD FOR BELFAST HEALTH AND SOCIAL CARE TRUST

I provide this statement in response to a request under Rule 9 of the Inquiry Rules 2006 dated 13 June 2019.

I am Caroline Leonard, Director of Surgery and Specialist Services, Belfast Health & Social Care Trust (BHSCT). The Regional Haemophilia Comprehensive Care Centre falls within my Directorate and as such, I was nominated by my Chief Executive, Mr Martin Dillon to undertake a coordinating role in support of the Infected Blood Inquiry on behalf of BHSCT. I will say as follows:-

- 1. An overview of the history of the BHSCT, its functions and the hospitals and services that it has responsibility for:**
 - 1.1 Between 1948 and 1974, Northern Ireland health services were administered via a tripartite system spanning hospitals, general practice and public health. Health care provided by hospitals was the responsibility of the Northern Ireland Hospitals Authority which was established under powers granted by the Health Services Act (Northern Ireland) of 1948.
 - 1.2 Please find attached hereto at exhibit [WITN3449008], a document entitled, "Four Decades" produced by the Public Health Agency. This document gives an overview of public health in Northern Ireland including a history of the relevant health bodies. You will note that in addition to the NI Hospitals Authority that there was also a General Health Services Board which was responsible for GPs, Pharmacists, Dentists and other health professionals and that administration of Healthcare was under the system of 8 health authorities.
 - 1.3 Under powers granted by Section 16 of the Health and Personal Social Services (Northern Ireland) Order 1972 to the Ministry of Health and Social Services, four Health and Social Services Boards (HSSBs) were established in 1974. GPs remained independent contractors. In 1991, Northern Ireland followed the NHS changes across the rest of the UK with the introduction of Health and Social Services Trusts, at which time the HSSBs became commissioning bodies.
 - 1.4 In 2005, the Secretary of State for Northern Ireland announced the Review of Public Administration which was a radical restructure and reduction in public administration structures. As a result, in 2007, the number of Health Trusts in Northern Ireland

reduced from 19 to 6, with the Belfast Health and Social Care Trust becoming operational on 1 April 2007. This represented an amalgamation of what are now referred to as the 6 legacy organisations :

- Royal Group of Hospitals and Dental Hospital Health and Social Services Trust, established on 1 April 1994
- North and West Belfast Community Health and Social Services Trust, established on 1 April 1994
- Belfast City Hospital Health and Social Services Trust, established on 1 April 1993
- South and East Belfast Health and Social Services Trust, established on 1 April 1994
- Mater Infirmorum Health and Social Services Trust, established on 1 April 1994
- Green Park Healthcare Health and Social Services Trust, established on 1 April 1993

1.5 The six Trusts each had a successful and distinguished history and came together to provide an integrated and comprehensive range of health and social care for the people within the locality and across Northern Ireland. All of the staff, assets and liabilities of the legacy organisations transferred to the Belfast Health and Social Care Trust under the Belfast Health and Social Services Trust (Transfer of Staff, Assets and Liabilities) Order (Northern Ireland) 2007.

1.6 The Belfast Health and Social Care Trust provides integrated community and hospital based health and social care services for over 340,000 people living in Belfast and it provides the majority of regional specialist services to the population of Northern Ireland of approximately 1.8 million people. The Trust has an annual budget of £1.3bn and employs approximately 22,000 staff, almost 1 in 30 of the total workforce in Northern Ireland.

1.7 The table below summarises the services provided across the different hospital sites:

Site	Services
Musgrave Park Hospital	<ul style="list-style-type: none"> • Regional Orthopaedic Unit • Theatres and Anaesthetics • Pain Management • Rheumatology • Rehabilitation • Regional Acquired Brain Injury Unit • Care of the Elderly unit
Royal Hospitals	<ul style="list-style-type: none"> • Royal Belfast Hospital for Sick Children • Royal Jubilee Maternity Hospital • School of Dentistry • Emergency Department • Regional Trauma Centre • HEMS Receiving Centre • Theatres and Anaesthetics • ICU/HDU • Neurosurgery

	<ul style="list-style-type: none"> • Neurology • Cardiology • Cardiothoracic Surgery • Fractures • Thoracic Surgery • Vascular Surgery • General Surgery • Plastic Surgery • Burns • ENT and Head and Neck Surgery • Ophthalmology • Stroke services • Respiratory • Hepatology • Endocrinology • Acute Medicine • Immunology • Infectious Diseases
Belfast City Hospital	<ul style="list-style-type: none"> • Mental Health Inpatient Unit • Day Procedure Unit • Northern Ireland Cancer Centre • Renal Dialysis Unit • Adult Cystic Fibrosis • Breast Services • Cardiology • Dermatology • Gynaecology and Gynaecological Oncology • Haematology • Haemophilia • Medical and Clinical Oncology • Medical Genetics • Nephrology and Renal Transplant • Radiotherapy • Respiratory Medicine • Specialist Palliative Care • Urology • Theatres and Anaesthetics • ICU/HDU
Mater Hospital	<ul style="list-style-type: none"> • Emergency Department • Respiratory • Cardiology • Acute Medicine • Hepatobiliary surgery • Theatres and Anaesthetics • ICU/HDU • Psychiatry
Knockbracken Healthcare Park	<ul style="list-style-type: none"> • In-patient psychiatric services and a range of community based services.

Muckamore Abbey Hospital	<ul style="list-style-type: none"> • In-patient, assessment and treatment facilities for people with severe learning disabilities and mental health needs, forensic needs or challenging behaviour.
Across Sites and Community Services	<ul style="list-style-type: none"> • All of the major laboratory services are also available including Immunology, Haematology (including Transfusion Services), Bacteriology, Virology, Pathology and Immunopathology. • Community Services are delivered across Belfast by teams such as Allied Health Professionals, District Nursing, Stroke, Diabetes, Palliative Care and Respiratory multi-disciplinary teams who have a close relationship with primary care providers. • Social Services are provided across all hospital sites and in locations across the community in children's services, adult services and mental health and physical disability.

- 1.8 With respect to the Trust legacy organisations, with specific reference to the Terms of Reference of the Inquiry, the principal legacy organisations would have been the Royal Group of Hospitals Health and Social Services Trust and the Belfast City Hospital Health and Social Services Trust. In terms of locations of services relevant to the Inquiry, Hepatology, Genito-Urinary Medicine (GUM) and Virology have always been located on the Royal Victoria Hospital site. The Haematology Service incorporating the Regional Haemophilia Comprehensive Care Centre moved from the Royal Victoria Hospital site to Belfast City Hospital in 2002. The Trust can provide further information on Trust legacy organisation services to the Inquiry if required.

2. An account of the BHSCT archiving system.

- 2.1 The Public Records Act (Northern Ireland) 1923 and the Disposal of Documents Order 1925 are the key pieces of legislation with which the Trust is required to comply with in managing records.
- 2.2 The Belfast Trust's Records Management Policy is based on the principles contained within the Department of Health's document 'Good Management, Good Records' (GMGR) dated December 2004 and should be read in conjunction with this response. I attach hereto a copy of GMGR 2004 under exhibit number [WITN3449009] and a copy of the Trust's Records Management Policy under exhibit number [WITN3440010]
- 2.3 GMGR was first issued in December 2004 and was further reviewed in 2011. I attach hereto a copy of GMGR 2011 under exhibit number [WITN3440011]. GMGR is the definitive records management guidance document for Health and Social Care (HSC) organisations in Northern Ireland and the detailed Retention and Disposal advice in Section Two of the document has been formally adopted by all HSC organisations as their Retention and Disposal Schedule.
- 2.4 Medical records of the Belfast Trust are archived, stored, retained and disposed of using consistent and documented archiving practices and Retention and Disposal Schedules which include review and approval mechanisms, along with mechanisms

for the permanent preservation of appropriately identified records as per 'Good Management Good Records' (GMGR) and the Trust's Retention and Disposal Schedule (2018). At present, it is estimated that over 2.5 million hard copy medical records are managed within the Trust.

- 2.5 Social Services records of the Belfast Trust are archived, stored, retained and disposed of in accordance with the same policy as outlined above. This statement concentrates on medical records deemed relevant to the Inquiry.
- 2.6 The Medical Records Managers who would have managed these processes for the Trust's legacy organisations and those in post at the time of the formation of the Belfast Trust are unfortunately all either retired many years or deceased. The only Medical Records Manager who still works for the Trust is Mrs Patricia McAteer who managed Medical Records in the legacy Greenpark Health and Social Services Trust. Mrs McAteer has worked in Medical Records for 30 years and she has provided as much of the historical legacy position to me as she can recollect.
- 2.7 It is known that in 1967, the Royal Victoria Hospital handled approximately 26,000 new patient registrations each year and used a master index machine called Shankey-Diebold. This equipment printed a metal plate which held the patient's Name, Date of Birth, Address and Occupation. The metal plate was then placed in a printing machine so the demographic information could be transferred onto a label. The plate was then placed in the patient's medical record so future labels could be produced.
- 2.8 The electronic Patient Administration System (PAS) replaced the manual patient registration process when introduced in 1986 as it provided the ability to register patients electronically. The Royal Victoria Hospital was the first hospital to use PAS in Northern Ireland.
- 2.9 Within the Belfast Trust legacy organisations, medical records library systems and processes would have been similar - medical records would have been filed in numerical order or in some instances, by year of registration, in shelves on static racking or rolling cabinets. Some legacy sites such as the Mater, Musgrave Park and Royal Victoria Hospitals would have used on site archive stores for inactive or deceased records. For example, at the Mater Hospital, archived medical records were stored in the then St John's Nursing Home, but when the building was being demolished the records were either destroyed or moved to off-site providers according to the relevant destruction policy in place at the time.
- 2.10 Within Belfast Health and Social Care Trust, all Medical Records Libraries file medical records on shelves due to the high demand for records to be retrieved or filed on a daily basis. The libraries still use either static racking or rolling cabinets to store medical records and records are filed in numerical order in all libraries except for the Royal Victoria Hospital, the School of Dentistry and the Royal Belfast Hospital for Sick Children (RBHSC) who file medical records to a location. Location based filing was introduced in January 2018 when a new 'iFit' casenote tracking system was implemented. Location base filing means that medical records are scanned to the next available shelf space which assists with better use of library storage capacity as approximately 20% of records are in circulation throughout the hospitals on a daily basis. In addition to this, some clinical services file medical records locally in lockable cabinets such as tambar units, filing cabinets and/or lockable trolleys, for example, while in use during or pending an outpatient clinic taking place.

- 2.11 Closed and deceased patients' medical records are stored on site where space is available to do so. The exception to this may be records requiring a lengthy retention period, e.g. 20 years, 75 years or where the option to use off site storage may need to be considered. The Trust has two medical records archives in Bush 1 and Bush 2 which are buildings located at Knockbracken Healthcare Park. The majority of these medical records are held at 'shelf level' and are individually indexed in numerical order - 'shelf level' is defined as being records which are individually filed on shelves within a filing system. Some records however are held in boxes which are individually indexed by box. Records held in boxes are generally those from services that have transferred onto electronic records systems, for example, Macular Eye Services, as well as medical records for Inquiries or special categories, which are boxed for long-term preservation.
- 2.12 With respect to off-site storage for the Trust's legacy organisations, most Medical Records Departments would have created a handwritten list of medical records that were being sent to off-site providers. These handwritten indexed lists were held in lever arch files and stored in Medical Records Departments. Indexing would have used Hospital Number, Name, Date of Birth and the detail of what was sent off site, i.e. either medical records or x-ray films or both. With the advent of PAS, Medical Records Departments would record the archiving of medical records on the PAS system, possibly supplemented with a spreadsheet held locally.
- 2.13 With respect to Belfast Health and Social Care Trust, archived medical records are held in boxes at off-site providers and are individually indexed per box. In recent years the process of recording which medical records have been sent off site has evolved. For example, in the RBHSC, Medical Records staff scan the bar code on each patient's medical record directly onto the off-site provider's on-line archiving system when medical records are being boxed up and sent off-site. Scanning the bar code directly onto the off-site providers' system allows staff to easily view the whereabouts of a set of medical records in the event that a query arises.
- 2.14 At time of writing, the Belfast Trust uses archive stores provided by off-site contractors Oasis, Iron Mountain and Morgans as set out below:

Provider	Location	Boxes	Loose Files	Loose X-Rays
Oasis	Mallusk Newtownabbey Silverwood, Craigavon	142,381	224,902	189,477
Morgans	Belfast	18,688	319,686	138,607
Iron Mountain	Antrim	23,231	50,527	Nil

- 2.15 The Trust has a responsibility to ensure that all staff involved in preparing records for archive have received appropriate training. To fulfil this requirement, an Archive Training Workshop is held once a month throughout the year at various locations across the Trust.
- 2.16 In 2013, new procedures were implemented to ensure standardisation of the approach to archiving across all sites and Medical Records Departments. This includes a standardised Belfast Trust Archive Template for recording details of archived records. A new process for identifying, reviewing, approval and 'signing off'

records for final destruction has also been implemented. I attach hereto exhibit [WITN3449012] which is a copy of the archiving template under the new process.

2.17 With respect to corporate records in the Belfast Trust Legacy Organisations, corporate hard copy records belonging to the Trust's legacy organisations are archived in Bush 1, Knockbracken Healthcare Park on shelves which are mapped out into zones. The boxes of records are indexed by file name and the Administration Manager at the Trust's Headquarters now holds an index of the archived records. I attach hereto exhibit [WITN3449013] which is a copy of said index.

2.18 Corporate electronic records from the legacy Belfast City Hospital Health and Social Services Trust are obtainable via an electronic system known as the 'IDOC' system, although only one Trust staff member has access to the system. Corporate electronic records from the legacy Royal Group of Hospitals Health and Social Services Trust were uploaded to an electronic system known as 'Hummingbird', however, the system cannot currently be accessed. The Trust's ICT Department is currently investigating access to the system.

3. A list of all BHSCT repositories, including those storing documents and information in hard copy, electronic format and any other form, together with an indication of the quantity of documents and information stored at each facility.

3.1 Please find attached hereto exhibit [WITN3449014] which is an outline of the main repositories of hard copy medical records across the Trust. This is not a complete list of all repositories as there are social care record repositories and local transient repositories as described above which will vary from department to department.

3.2 In 2011, the Trust introduced a Decommissioning Policy to provide clinical services planning to vacate a building or department with a governance framework. One aim of this policy is to ensure that clinical services do not leave behind any confidential information and/or medical records. This Policy was updated in 2015 and I attach a copy hereto under exhibit [WITN3449015].

3.3 With respect to overarching electronic systems repositories, The Belfast Trust ICT Department holds a Service Catalogue of all electronic systems in the Trust. There are 669 in total which include Live Systems and Retired Systems. While we are advising the Inquiry that this catalogue exists, it is anticipated that this information may be incomplete and inaccurate in places as it was initially developed by ICT staff in order to record details pertinent for the support/administration of the IT infrastructure. If ICT colleagues have not been informed of changes then the Service Catalogue data will be out of date, in particular with regard to the status of the systems.

3.4 The main Trust-wide electronic systems containing patient information are listed below:

- Patient Administration System (PAS) which is used in the Royal Victoria Hospital (RVH), Belfast City Hospital (BCH) which includes Musgrave Park Hospital (MPH) and Mater Informorum Hospital (MIH).
- Northern Ireland Electronic Care Record (NIECR)
- Lab Centre
- Cyber Lab
- Carevue – ICU System

- Medical Management System (MMS) – photography
 - Radiology Systems
 - BCH - Centricity
 - RVH - ISite
 - Mater - Sectra
 - Musgrave Park Hospital – NIPACS
 - PARIS – community social care records and Allied Health Professional records
- 3.5 In addition, there are a wide range of speciality-specific systems which hold different patient level information for example:
- Belfast Orthopaedic Information System (BOIS)
 - Regional Information System for Oncology and Haematology (RISOH)
 - RVH Emergency Department System (Symphony)
 - Mater Emergency Department System (Therefore)
- 4. An account of the process for archiving BHSCT documents and information at The Public Record Office of Northern Ireland (PRONI)**
- 4.1 Precedent records are archived with PRONI as they require permanent preservation. Examples of precedent records are given in the Trust's Records Management Policy, as referred to above at paragraph 2.2 and under exhibit number [WITN3440010] as follows:
- A case which establishes legal principles
 - The first time a procedure or piece of equipment was used
 - Legal judgements or change in law
 - Public or media interest case
- 4.2 In addition, special category records may require permanent preservation with PRONI. Special category records are any which meet the definition set out in the Northern Ireland Records Management Standard (NIRMS) published by PRONI in 2007. The NIRMS is a best practice benchmark for any organisation creating or holding public records.
- 4.3 If precedent or special category records are identified or identified as potential records for permanent preservation, PRONI (Public Record Office for Northern Ireland) will review the files and, if appropriate, will request a sample group. The Trust will continue to retain the files for the required retention period. At the beginning of the following year, a formal process will be implemented to sign sample files over to PRONI for permanent preservation
- 4.4 The process of archiving BHSCT documents and information at The Public Records Office of Northern Ireland is as follows:
- The Records Manager contacts PRONI to arrange a review when records potentially suitable for transfer are identified through the records management review process. PRONI representatives will conduct a review of the records on site
 - PRONI will then make a decision either to transfer the records for permanent preservation or to arrange a second review.
 - If the records are selected for transfer, PRONI will issue a receipt for the transfer of the record which is known as a PR14 form.

- If a second review is required, a date and time will be arranged and the records secured until the second review.
- The PR14 form is maintained by the Trust.

I attach hereto a copy of a PR14 form under exhibit [WITN3449016].

5. An account of BHSCT retention and destruction policies and process from 1948 to date as exhibits to the written statement

- 5.1 The Belfast Trust's Retention and Disposal Schedule, 2018 – 2023, hereto attached under exhibit [WITN3449017], provides employees with a framework to ensure the prompt disposal of records whose retention periods are ended, the temporary retention of records and the preservation of records of long term value. The Policy supports the Trust in meeting the Lord Chancellor's Code of Practice on the Management of Records under section 46 of the Freedom of Information Act 2000, which confirms the necessity for disposal schedules.
- 5.2 The Belfast Trust's Retention and Disposal Schedule is based on the principles contained within the Department of Health's document 'Good Management, Good Records' (GMGR). GMGR was first issued in December 2004 and was further reviewed in 2011 and the detailed Retention and Disposal advice in Section Two of the document has been formally adopted by all HSC organisations as their Retention and Disposal Schedule. A copy of GMG 2004 and GMGR 2011 are attached hereto at exhibits [WITN3449009] and [WITN3449011] respectively and referenced at section 2.2 and 2.3 above.
- 5.3 Prior to this policy, records were retained and/or disposed in accordance with the Trust and legacy organisations' retention and destruction policy that was in place at the relevant time. I attach hereto a copy of the Trust's Records Management Retention and Disposal Summary under Exhibit [WITN3449018]. This document, which was written as a guide for patients making subject access requests for medical records, lists the history of the legislation, circulars and policy governing the management of records in Northern Ireland since 1923. I attach hereto a copy of the 1962 Northern Ireland Hospitals Authority Circular HMC 75/62 under exhibit number [WITN3449019], a copy of the 1983 DHSSPS Circular HSS (OS3) 1/83 under exhibit number [WITN3449020] and a copy of the HSSE(SC) 3/96 Retention of Personal Health Records (for possible use in litigation) under [WITN3449021] that are referenced in the Summary. A copy of GMG 2004 and GMGR 2011 are attached hereto at exhibits [WITN3449009] and [WITN3449011] respectively and referenced at section 2.2 and 2.3 above.
- 5.4 In August 2015, the Trust suspended the destruction of any records at the request of the Health and Social Care Board in order to ensure the preservation of any information relevant to the Historical Institutional Abuse Inquiry. This suspension of the destruction of records continues to remain in place.

Statement of Truth

I believe that the facts stated in this written statement are true.

Signed

GRO-C

Dated

15 August 2019

Witness Name: Caroline Leonard
Statement No.: WITN3449007
Exhibits: WITN3449008 – WITN3449021
Dated: 15th August 2019

INFECTED BLOOD INQUIRY

TABLE OF EXHIBITS

Exhibit Number	Document
WITN3449008	Four Decades of Public Health, Northern Ireland's Health Boards 1973-2009, The Public Health Agency
WITN3449009	DHSSPS, Good Management, Good Records, Guidelines for Managing Records in Health and Personal Social Services Organisations in Northern Ireland, December 2004
WITN3449010	Belfast Health and Social Care Trust, Records Management Policy 2018-2023
WITN3449011	DHSSPS, Good Management, Good Records, Guidelines for Managing Records in Health and Personal Social Services Organisations in Northern Ireland, 2011
WITN3449012	Belfast Health and Social Care Trust Archiving Template
WITN3449013	Index of Royal Victoria Hospital Corporate Records
WITN3449014	Belfast Health and Social Care Trust Repositories of Medical Records
WITN3449015	Belfast Health and Social Care Trust Decommissioning of Trust Owned and Leased Properties, August 2015
WITN3449016	Public Record Office of Northern Ireland, Form PR14H, Historical Records
WITN3449017	Belfast Health and Social Care Trust Retention and Disposal Schedule, 2018-2023
WITN3449018	Belfast Health and Social Care Trust Records Management Retention and Disposal Summary
WITN3449019	Northern Ireland Hospital's Authority Circular HMC 75/62
WITN3449020	DHSSPS Circular HSS (OS3) 1/83
WITN3449021	HSSE (SC) 3/96 Retention of Personal Health Records for Possible Use in Litigation