

FUTUREGOV

Making better use of information for adult social care



Executive Summary

Data analysis was required to identify, document and evaluate potential data sets suitable for release as open data and use within a prototype that demonstrates the value of open data release in this area. Compliance with data protection legislation and guidelines on data release from information governance teams within the council, the ICO and the HSCIC was a key requirement.

In scope are: nursing, residential, domiciliary and short stay care providers regulated by the Care Quality Commission. Out of scope are: personal care and unregulated care providers.

Based on interviews with members of adult social care and other internal stakeholder teams, a number of datasets were identified as suitable for release. Data about financial spend in the council is already released (Spend > £500, Contracts and Tenders), so the analysis focused on data relating directly to adult social care providers in the following areas:

| | |
|-----------|--|
| Contracts | Currently commissioned providers Recently decommissioned providers (embargoed) |
| Supply | Maximum number of beds for each service by provider and geographical area |
| Placement | Current number of service users placed for each service by provider and funding method * |
| Vacancy | Available number of beds for each service by provider |
| Delays | Current number of service users not placed for service by geographical area and reason * |

* Redaction will ensure service users cannot be identified when dealing with small numbers.

By combining the information in the existing council datasets, a dataset has been recommended for immediate publication as open data (see [Candidates for Publication](#)). Checks by information governance and an anonymisation audit are strongly recommended.

A combined dataset from all three councils is not possible at this time due to difficulties securing interviews at Kingston Council. Analysis of Sutton Council's dataset was completed and a template for finding complementary open data provided.

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Glossary

| | |
|---------------------------|--|
| CQC | <p>The Care Quality Commission monitors, inspects and regulates services in England to make sure they meet fundamental standards of quality and safety.</p> <p>Their publications provide key information about adult social care providers.</p> |
| ICO | <p>The information commissioner's office is the independent body that enforces information rights in the UK.</p> <p>Their anonymisation code of practice affects what information can be published as open data.</p> |
| DPA | <p>The Data Protection Act controls how personal information is used by organisations, businesses or the government in the UK.</p> <p>The act affects what information can be published as open data.</p> |
| FOIA | <p>The Freedom of Information Act (FOIA) which gives anyone the right to access recorded information held by public sector organisations in the UK.</p> <p>It complements but is different from open data.</p> |
| Open Data | <p>Open data is data that is published in an open format, is machine readable and is published under a license that allows for free reuse.</p> |
| HSCIC | <p>The Health & Social Care Information Centre are the national provider of information, data and IT systems for commissioners, analysts and clinicians in health and social care.</p> |

| | |
|---|--|
| | <p>Their Data Dissemination Approvals Policy is an excellent guide to how to publish sensitive information.</p> |
| OGL | <p>The Open Government License that grants a worldwide, royalty-free, perpetual, non-exclusive licence to use information with some restrictions.</p> <p>It is the recommended license for public bodies and is currently in version 3.</p> |
| Service Provider | <p>The organisation, company or individual that provides the care at a location.</p> <p>A service provider may be part of a brand or group like the Royal Mencap Society . In turn, a service provider may operate in several locations.</p> |
| Service User | <p>Anyone who is a patient or other user of health and / social services.</p> |
| 5 Star Open Data Scheme | <p>The de-facto open data rating system that measures how well data is integrated into the web.</p> <p>It's focus is on how data is published: the formats and technologies being used.</p> |
| Open Data Certificates | <p>An alternative but complementary open data rating system from the Open Data Institute.</p> <p>Certificates measure how effectively the publisher is sharing their data, including how easy it is to reuse and how well it is supported.</p> |
| DCLG | <p>The Department for Communities and Local Government which supports the work of local government.</p> <p>The local transparency guidance clarifies how local government publishes open data based on the Local Government Transparency Code.</p> |

| | |
|---------------------|--|
| NII | The National Information Infrastructure is an inventory of data held by government likely to have the broadest and most significant economic and social impact if published. |
| Block Contract | A contract with a service provider to provide care at an agreed rate and for an agreed capacity. |
| Spot Contract | 'On the spot' or individual purchase of care for service users. |

Introduction

This report details the data analysis phase of the Adult Social Care Provider Open Data project funded by the Cabinet Office.

The report has been prepared for FutureGov and the stakeholder councils to provide knowledge transfer and ensure the councils are equipped to make informed decisions about publishing open data in this sector.

[Technical documentation](#) of the most promising information sources is available. This document focuses on the background, scope, investigations, challenges and findings from six weeks of analysis at Devon, Sutton and Kingston Councils.

A glossary is available above to clarify key terms and appendices provide high level information about all sources of information that were evaluated. Finally, the report summarises the findings and recommendations.



Part I: The Proposal

The aim of the project is to publish adult social care provider information. The first phase aimed to map, audit and publish adult social provider information as open data. The second, to produce a prototype demonstrating the benefits of publishing adult social care provider open data. Key to both phases is the safety and confidentiality of the public's personal information. This means rigorous compliance with relevant guidelines, licenses and legislation is necessary.

Benefits

From the Cabinet Office breakthrough funding application, I identified stakeholders most likely to benefit from more transparency in adult social care provision. These included:

The Public

The 2014 Care Act represented a major overhaul of social care, bringing a number of changes to adult social care. Improving transparency means everyone can better understand services available, compare service providers and make informed choices about their care.

Service Providers

To respond to the changes in the market triggered by the 2014 Care Act, service providers need better quality information. With transparent open data, they can improve their organisation's offerings, intelligently target services and compete on an equal footing for new opportunities.

Councils

The 2014 Care Act brought changes to the councils' responsibilities. Monitoring the local and national adult social care market means the councils can proactively manage and shape the market through shared understanding of perspectives, risks, quality, supply, demand and costs.

Challenges

Information in adult social care is generally considered highly sensitive, this could be a barrier to publishing information as open data. The de-facto assumptions are that open data publication in this area is "difficult to impossible".

Aside from sensitivity, we must consider cultural and organisational attitudes to information sharing and release. Understanding and addressing these concerns is an important step for any successful publication of open data. This became critically important for publication of adult social care providers information.

Finally, I surveyed existing publications to ensure this publication genuinely covered new ground without replicating information already available. This includes information published under the National Information Infrastructure ([NII](#)): by public bodies, councils as well as organisations like the [Care Quality Commission](#) and [NHS Choices](#).

Scope

Adult social care covers a wide area; This project focused on information about or related to adult social care providers. This only included providers regulated by the [Care Quality Commission](#) and commissioned by the council stakeholders.

Since adult social care providers cover a range of services, the focus was on: nursing, residential, domiciliary and short stay care. This excludes personal care and unregulated care providers.

Phases

Phase 1

The exploration phase aimed to analyse, publish and certify the information published as datasets.

1. To find relevant information and assess its suitability for release as open data.
2. To publish suitable information as open data at an online location, for example data.gov.uk.
3. To check the quality and effectiveness of the publication using industry standard schemes: [Open Data Institute certificates](#) and [5 star open data scheme](#).

Phase 2

The demonstrator phase aimed to build a prototype to demonstrate the benefits of releasing adult social care provider open data.

Project Partners

The key project partners are [FutureGov](#), [Devon County Council](#) (Devon Council), [London Borough of Sutton Council](#) (Sutton Council) and [Royal Borough of Kingston Council](#) (Kingston Council).

Other Stakeholders

- The [Care Quality Commission](#) (Industry regulator for England)
- [Service users](#) and the public
- [Safeguarding boards](#) (Service user welfare)
- [NHS Clinical Commissioning Groups](#) (Care commissioning and funding)
- The [Cabinet Office](#) (Project sponsor)
- [NHS Choices](#) (Health and social care information service for the public)
- The [HSCIC](#) (National providers of information and governance)
- [Department for Communities and Local Government](#) (Governance and guidelines)
- The [Information Commissioner's Office](#) (Governance and guidelines)



Part II: The Role of Data Analysis

The Expectation

A prototype demonstrating the benefits of Open Data in Adult Social Care, needs information held by the councils about adult social care providers. It also needs relevant information used to provide day to day and strategic adult social care.

This information (which we'll call "the datasets") was assessed to understand what could and couldn't be published as Open Data. The aim was to publish as much as possible while complying with information governance guidelines, licensing and legal restrictions.

The Process

The project's success relied on key members of staff's input, knowledge and collaboration. Key staff came from the adult social care and related teams: finance, information governance and information technology.

Devon Council

At Devon Council, I interviewed key staff to get a high level overview of the adult social care information held and used at each council. To make sure they got the most out of the sessions, I asked them to consider and list:

Documents, processes and media

- Forms used (paper and electronic)
- Reports produced or received
- Computer systems used
- Compliance or regulatory requirements
- Business processes underpinning adult social care

Information used or provided

- The people that use the service
- The places where the service is used
- The type of organisations you deal with
- The things you need to know about to be effective
- The events that trigger action
- The key concepts about adult social care
- Useful information that you don't have & why

Your thoughts

- Benefits to your role
- Challenges (for whom and why)
- Risks (to whom and why)
- Your concerns

After the initial interviews, FutureGov ran a discovery day with a smaller number of staff. This meant I could collaborate to check the high level overview and FutureGov could generate ideas for the prototype. I followed up with more interviews, examined the documents provided and built up a richer picture of adult social care providers at Devon.

Sutton Council

At Sutton Council, I interviewed key staff to produce a high level overview. During a site visit, I focused on understanding the challenges of extracting information from Frameworki, the care system software in place. As the interviews were staggered, I simplified finding relevant data with a cross-council template designed to maximise common information with Devon.

Kingston Council

During a site visit with Sutton, I arranged to interview key staff at Kingston, however, key staff were unavailable during this phase.

The Outcomes

Devon Council

At Devon Council, I worked with Maggie Anderson and found several excellent sources of information including a crucial link between the providers listed by the CQC and the council's care providers in Care First. Information ranged from:

1. Immediately useful - Spreadsheets extracted regularly from line of business or other systems, suitable for immediate conversion and publication as open data. These are listed in the [recommendation](#) section.
2. Potentially useful - Spreadsheets produced irregularly by ad-hoc analysis, suitable as guides but not immediately useful for publication as open data. This included the [Market Town OP Nursing Care Home Demand Model](#) from Mel Burke.
3. Unstructured - Word and PDF documents unsuitable for publication as open data but useful as guides to the information available at the council. These included [reports](#) from the Quality Improvement Team compiled by Sally Yigit.
4. Unavailable - Several systems were not immediately available or I was unable to access and analyse them during the project. These included the [Devon Community Directory](#), Mr Manager (Safeguarding), the complaints system managed by information governance and information linking CareFirst providers to the financial system. Details of how to follow up these sources have been provided to the project lead, Marc Barto.

Sutton Council

At Sutton, I held several interviews and liaised with Andrew Jackson to access data from the Frameworki system. With combining datasets in mind, I found no links between the providers listed by CQC and the council's list of suppliers. This means publishing the data as open data is possible but matching the suppliers to their CQC identifier will be an external activity unless the information is held elsewhere in the council. The dataset is listed in the [recommendation](#) section and a template has been provided to identify suitable information.

Kingston Council

Despite numerous attempts, I was unable to secure appointments from the list of key staff members provided. A template will be provided to Kingston to identify suitable information for open data publication.



Part III: The Landscape

Councils use a rich variety of information to manage their relationships with adult social care providers. While the adult social care teams are the main users of this information, they exchange information with several departments inside the councils like public health, finance, management information services and information technology.

External organisations are also key stakeholders in the smooth handling of adult social care services. Regulators like the CQC, agencies like the HSCIC and services like the NHS all exchange critical information with the teams.

To make sense of the variety of information available about adult social care providers, I created two categories for this project: finance and care.

The finance category deals with all financial, contractual and corporate information relevant to adult social care providers. This includes: terms and dates of contracts, the flow of money and who (corporations or individuals) owns, manages or provides services at adult social care locations.

The care category deals with all other aspects of strategic or daily delivery and management of care. This includes understanding the shape of the market (how demand and supply are changing and the impact), quality and quantity of services available, what factors indicate risk of failing quality checks and what service users think of the services provided.

Finance

Company Ownership

Company ownership is knowing who the councils are really dealing with. With this information we can understand which organisations exist in the market, who owns them and their financial situation. As well as supporting on-going due diligence, we can determine risks and opportunities based on changes in the adult social care landscape.

To understand company ownership, we need to know:

- Financial Health - is the care provider or their parent company in good financial shape?
- Affiliation - who owns the care provider and how are they associated with other providers?

Fees & Spend

Fees and spend deals with following the flow of money: who is being paid, when, what for, how much and by whom. With this information, we can build a picture of where the money is going in adult social care. We can also identify risks and opportunities based on company ownership and the types of service users at each location.

Spending is roughly by:

- Council (including councils outside the area)
- CCG
- Self Funding

Contracts

Contracts are about the cycle of finding, renewing and removing (or embargoing) service providers. With this information we can understand and influence (or shape) the market. We can also track embargoed providers through their company ownership to get a richer understanding of risk.

- Commissioning - who is commissioned, when, for what, how much and for how long?
- Embargoed - who has been decommissioned, when and why?

Care

Feedback

Feedback deals with perception: How the public, professionals and service users view service providers. With this information, we can find positive and negative trends and themes, giving insight into how well the care provider is seen to be doing. This includes;

- Complaints - from the public, service users or care providers
- Compliments - from the public or service users
- Surveys - what are the results of statutory annual surveys?
- User Ratings - what ratings are available on trusted sites like NHS choices
- Professional Feedback - what are nurses, social workers and other professionals feedback?

Services

Services covers knowing the supplier: what beds are available and where, who has been placed at each location and how they are funded, what services are offered and who runs the services. By combining this information with location, we get a picture of the local adult social care landscape. We can also determine risks based on factors like high staff turnover and mix of service users by funding.

- Vacancy - how many beds are available, for what, where and at what cost?
- Placement - how many service users are placed, why and at what cost?
- Spread - how many service users are funded by the council, CCG, self funded?
- Specialisms - what sort of specialist services are on offer and where?
- Services - what services does the care provider offer?
- Staffing - who manages the care home? What's the turnover and type of staff?

Location

Location covers the where: where service users are (or wish to be); where service providers provide services and have vacancies. With this information, we can understand and predict local patterns of supply, demand and risk.

- Geolocation - where is care located? Including postcodes, map locations and other geographic classifications.
- Demand - where are service users asking to be placed? Where did they originally live?
- Supply - where is available care located?

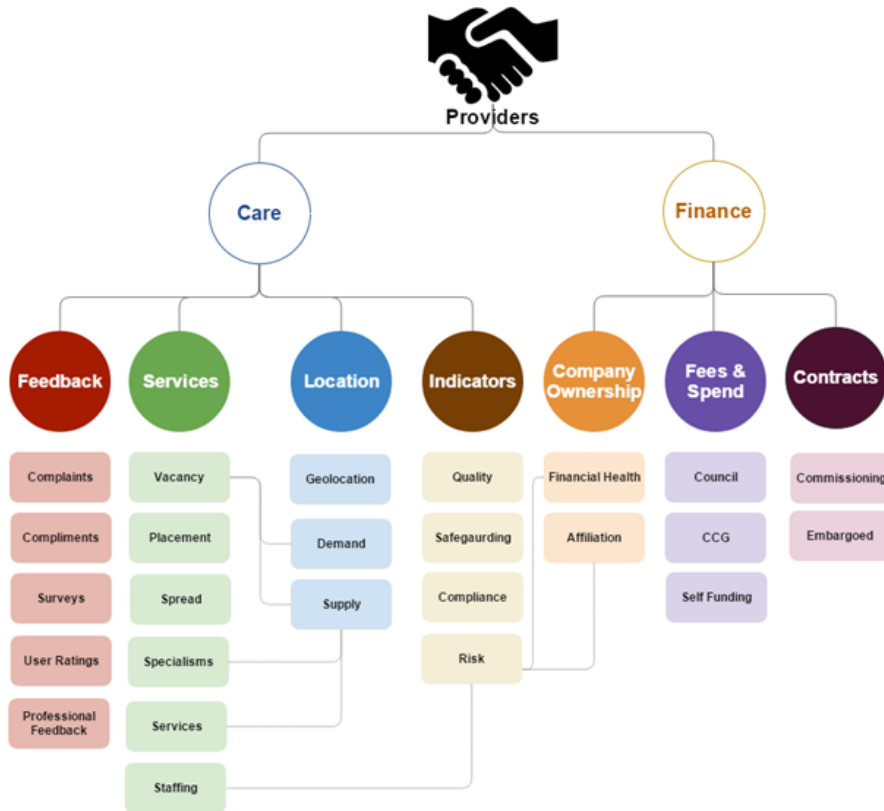
Indicators

Indicators determine how good service providers are: at compliance with regulators, at meeting service users' needs and at minimising risk. With this information, we can determine which service providers are doing well, need improving, are at risk or are due for decommissioning.

- Quality - what are the location's council inspection outcomes?
- Safeguarding - which activity is going on, when, what for and what was the outcome?
- Compliance - what are the location's regulatory inspection outcomes?
- Risk - how likely is the location to fail to meet quality, safeguarding or compliance inspections?

The available information can be found in the [recommendation](#) section.

The Adult Social Care Landscape



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ADULT SOCIAL CARE

Adult Social Care CQC Regulated **ADULT SOCIAL CARE PROVIDERS
INFORMATION TYPES**

Icon made by Icons8



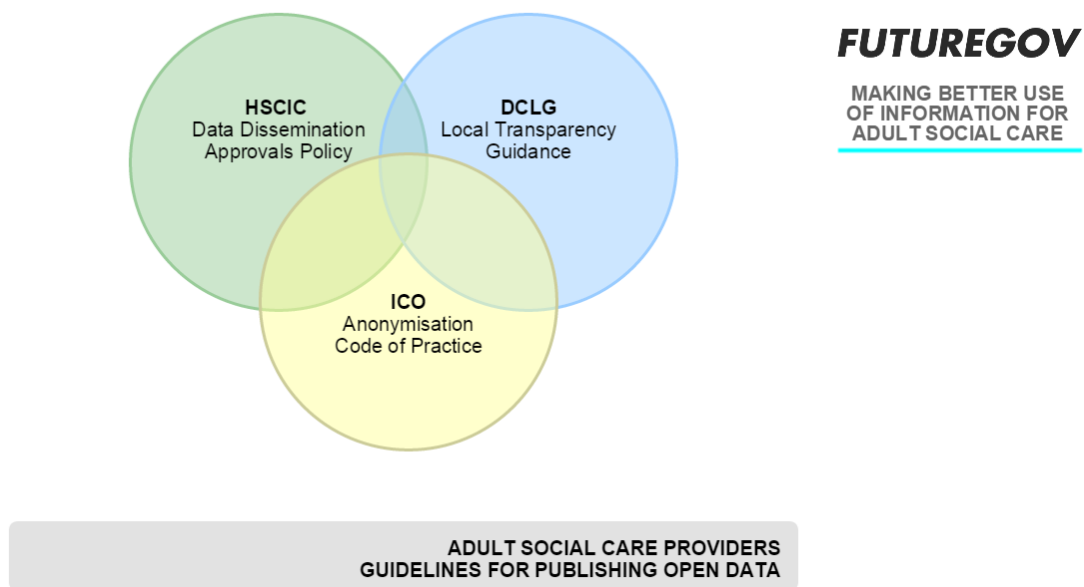
Part IV: The Impact of Governance and Legislation

Adult social care is considered a sensitive area as it is part of the health and social care ecosystem. Concerns about privacy in light of projects such as [Care.Data](#), puts data release in the public eye. Privacy and commercial sensitivity were unsurprisingly the key concerns raised by the council's staff.

Councils have an obligation to release more data and be more transparent while ensuring the protection of the public's privacy, respecting the commercial sensitivity of providers and complying with governance and legal obligations. This may be seen as a barrier, however, there are several mechanisms in place to guide decisions on publication of open data.

Disclaimer: This section summarises the underlying legislation and governance obligations and the information already in the public domain or released under [FOIA](#). This is guidance only and does not constitute legal advice or a complete list of the council's obligations.

Legal Obligations



Data Protection and Freedom of Information

The ICO publishes the [Anonymisation Code of Practice](#) to help organisations publishing open data manage the data protection risks. Compliance with this code is mandatory.

In essence, for information to be anonymous, it must not be possible to identify a member of the public from either the information itself or when combined with other available information.

This is not an impossible hurdle but it does require careful thought, expertise and consideration of all information currently published. In the [recommendation](#) section, I have flagged any information that could increase this risk and recommend an anonymisation audit.

The Local Government Transparency Code

The DCLG publishes the [Local Transparency Guidance](#) for local government organisations publishing open data. The guides help local government publish meaningful and consistent information, making the publications valuable, relevant and useful.

The relevant guides for this project are: [general publication guidance](#), [spending and procurement](#) and [organisation information](#). Compliance with this code is mandatory.

The guides cover how to prepare information for publication, how to decide what to publish, what's exempt, preventing fraud, choosing formats and correctly licensing your publication. It also covers how to manage open data once it's published and mandatory publications for local government organisations. In the [recommendation](#) section, I list relevant recommendations for this project.

Health and Social Care Transparency

The HSCIC publishes the [Data Dissemination Approvals Policy](#) to make simplify sharing of information across the health and social care section while protecting privacy and complying with relevant legislation. The guide isn't mandatory for councils, but it is the gold standard guide to releasing data in this domain.

For this project, the relevant section is on page 4: Aggregate data. This covers the "small number policy" - suppressing numbers that are small enough to allow a member of the public to be identified; and aggregating numbers to protect individuals.

In the [recommendation](#) section, I recommend small number suppression and aggregation where there may be a risk of exposure. Suppression and aggregation reduces the value and usefulness of the information it protects; this is the constant tension of compliance versus transparency.

Information Governance Policies

Neither Sutton council or Devon council has a specific information governance policy about adult social care providers*. They follow the [Freedom of Information Guidance](#), applying section 43 on case by case basis for commercial sensitivity. Both councils provided information about their previous FOIA requests and had no objections to publishing compliant open data. They did express concerns about data anonymisation and small number suppression. Based on this and the council's [legal obligations](#), I added specific recommendations in the [recommendation](#) section.

** Based on interviews with Tanya Campbell (Sutton) and Martin Lawrence (Devon).*

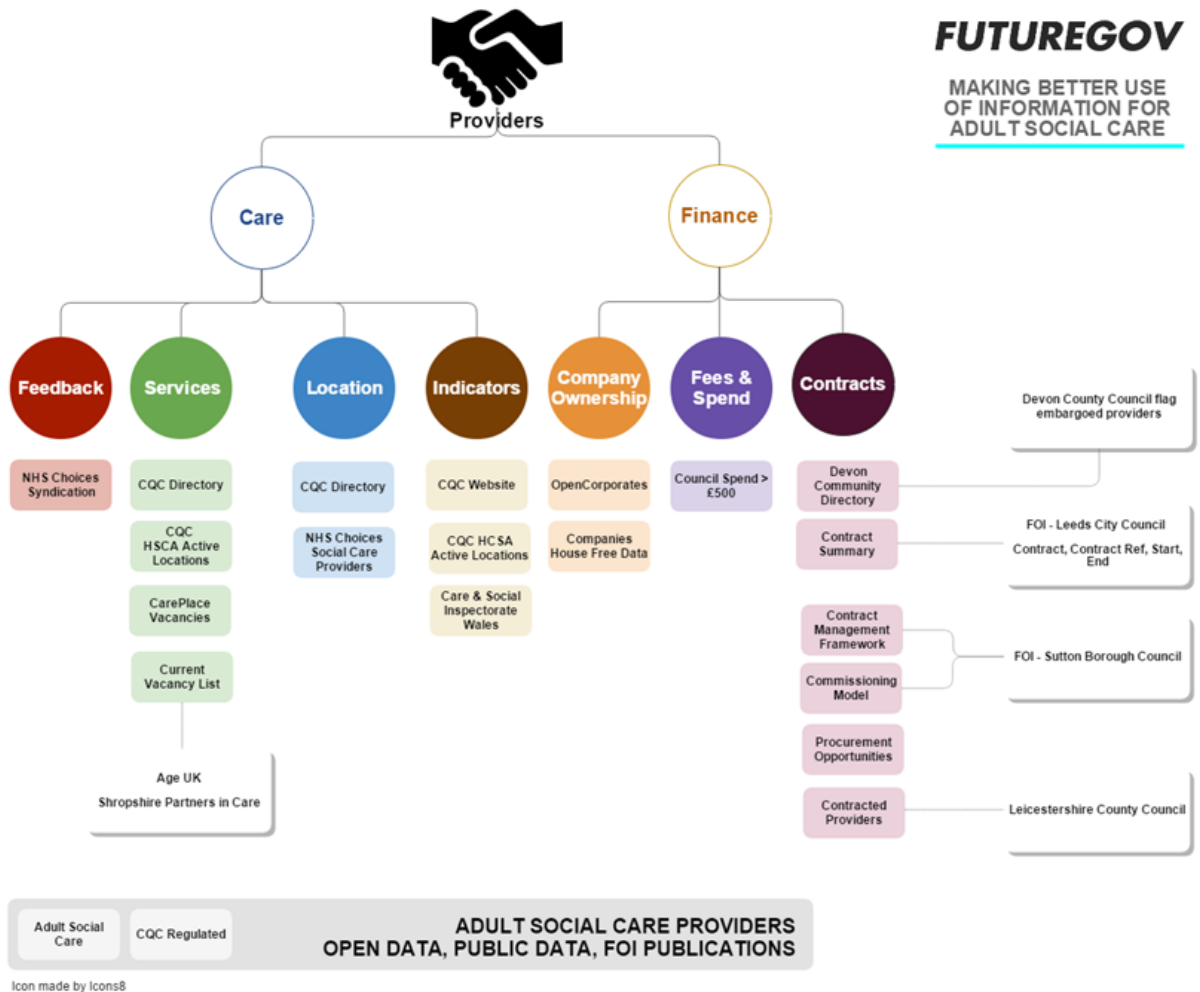
Commercial Sensitivity and Public Domain

Concerns about commercial sensitivity were raised by several members of staff in Devon and Sutton. Guidance on FOIA responses, which can be applied to open data publication, are published in the [Freedom of Information Guidance](#).

As a demonstrator, I researched FOIA and existing open data to understand and justify open data publication. The results showed most of the information that caused concern is already in the public domain. This includes:

- Fees - Fees paid to individual providers may be provided as ranges or statistics showing the largest, smallest and average values. This protects individuals rather than commercial sensitivity. (Example: [Living Wage and fees for residential care for younger adults](#))
- Spend
 - All councils publish spend over £500 ([Devon Council](#) - [Sutton Council](#) - [Kingston Council](#)).
 - All councils publish procurement ([Devon Council](#) - [Sutton Council](#))
- Contracts and tender
 - Devon Council publishes [block](#) but not spot contracts including adult social care.
- Vacancies
 - Sutton Council publishes vacancy information where available on [CarePlace](#)
- Staffing
 - Sutton Council publishes high level staffing information on [CarePlace](#)
 - [CQC](#) publishes details of the care home manager and [accountable person\(s\)](#).

Information in the Public Domain



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Part V: Recommendations

This section provides and justifies recommendations for open data publication. Areas of risk are flagged for further investigation: the focus is on areas where protecting members of the public means aggregating numbers, redacting notes or suppressing small numbers. Please refer to the Working Practice Agreement signed with FutureGov for full details of information sharing for this project.

Technical Criteria

Based on the research and requirements from FutureGov and the stakeholder councils, the technical criteria for source information includes:

1. Timeliness
 - a. Datasets must be current, up-to-date and available regularly.
 - b. Datasets will include as much history as possible.
2. Format
 - a. Datasets available as structured data are preferred.
 - b. Other relevant information - documents, images etc. is useful as guides.
3. Security
 - a. Datasets will be sent to FutureGov through secure channels.
 - b. Dataset names will be consistent to improve automation and reduce costs.

Candidates for Publication

These are datasets that can be published as open data once cleared by governance and audited for anonymisation. The [UK Anonymisation Network](#) (UKAN) provides key resources and anonymisation advice.

By Provider

Commercial sensitivity is a key concern raised about providers. The proposed candidates have been carefully screened to ensure the information is justified or already in the public domain.

[S] - where information is available from Sutton Council. (All information is currently available from Devon Council. No information from Kingston Council is included).

| | | |
|-----------------|-------------------|--|
| Services | CQC Location ID | CQC's unique ID for each regulated location. |
| | CQC Provider ID | CQC's unique ID for each regulated provider. |
| | Location Name [S] | Care provider's name |
| | Website | Care provider's website |
| | CQC Website | Location's page on CQC website. |

| | | |
|----------------|------------------------------|--|
| | Date Commissioned | Date care provider was commissioned by the council |
| Vacancy | Vacancy Updated Date | Date the vacancy was last updated. This information is available on Careplace . |
| | Vacancy Contact | Contact name at the care home for vacancies. This information is available on Careplace . |
| | Vacancy Telephone Number | Contact number at the care home for vacancies. This information is available on Careplace . |
| | Vacancy Email | Contact email at the care home for vacancies. This information is available on Careplace . |
| | Residential Vacancies | Beds at the care home for residential vacancies. This information is available on Careplace . |
| | Nursing Vacancies | Beds at the care home for nursing vacancies. This information is available on Careplace . |
| | Short Stay Vacancies | Beds at the care home for short stay vacancies This information is available on Careplace . |
| Quality | Placement Suspension Flag | Based on Devon Community Directory text: "DCC DOES NOT CURRENTLY COMMISSION WITH THIS PROVIDER." |
| | Quality Threshold Suspension | Date of suspension – Used to produce the Placement Suspension Flag . |
| | Safeguarding Suspension | Date of suspension – Used to produce the Placement Suspension Flag that is in the public domain. |

| | | |
|--|------------------------------|---|
| | Safeguarding Advisory Notice | Date of advisory notice – Used to produce the Placement Suspension Flag that is in the public domain. |
|--|------------------------------|---|

By Provider (Redacted)

To ensure service users are protected, numbers may be redacted to comply with ICO and HSCIC guidelines regarding suppressing small numbers. Alternatively ranges may be used to provide anonymity.

[S] - where information is available at Sutton Council.

| | | |
|---------------|----------------------------|----------------------------------|
| Supply | Residential Placements [S] | Number of residential placements |
| | Nursing Placements [S] | Number of nursing placements |
| | Short Stay Placements [S] | Number of short stay placements |

Existing Publications

Due to the Cabinet Office's efforts, open data for adult social services exists in a landscape of [NII](#) open data publication. Documenting relevant sources of open data ensured the candidates for publication did not overlap with existing publications.

As a point of reference, I also listed closed data sent to the council by external organisations. There is potential to publish this information, which I recommend is published done by the external organisation (the data owner). This respects intellectual property, ensures trust (because the information is from the original or trusted source) and ongoing maintenance of the publication.

** Licence information is provided in square brackets [] and lists the most restrictive licence.*

Fees & Spend

- [Council Spending](#) - England council spending information over £500 [Open Data]
- [Contracts By Authority](#) - South-west England councils block contracts for tender [Unknown - Paul Collinge or Sarah MacKereth at Devon may have more information]

Services

- [CQC Directory](#) - CQC regulated care providers locations and services [Open Data]
- [HSCA Active Locations](#) - Extended list: current CQC regulated providers [Open Data]

Location

- [Postcode Lookup](#) - Geographical information based on ONS and Royal Mail intellectual property [Closed Data]

Unpublished Sources

Services

- [Home Vacancies](#) - Management of vacancies in and around Devon
- [Delayed Transfer of Care](#) - NHS report on the number of patients delayed receiving care at trust level [Unknown]

Services, Indicators & Location

- [MI CQC Compliance](#) - Links CQC and Devon Council's care providers. Includes information about locations, placements, supply, quality and safeguarding [Closed Data]
- [Sutton Identifier Report](#) - Individuals receiving commissioned care at Sutton Council [Closed Data]

Excluded Sources

- [Devon Community Directory](#) - No access to the underlying [Open Objects](#) system. Out of date extracts (2014) are available in [XML](#) and [CSV](#) formats.
- [Careplace](#) - No access to underlying system to extract information in a usable form.
- [Market Town OP Nursing Care Home Demand Model](#) - may not be continuously available and grouped by Market Town.

Stakeholder Questions

The project stakeholders asked broad questions about adult social care:

1. What do I know about care providers?
2. What type of care is available in an area?

These were broken down into more specific questions below. I added contacts at the council who could provide this information as well as indicating the potential for publication.

| Area | Question | Potential Publication | Contact |
|--------------|--|--|-------------------------|
| Fees & Spend | How much does the council spend per user on adult social care? | Largest, smallest and average values by month. | Maggie Anderson (Devon) |
| | How much does the council spend in each defined area on adult social care? | Information can also be grouped by market | |

| | | | |
|------------------|--|---|--|
| | How much does the council spend by type of care? | <p>town, type of care and type of funding.</p> <p>Grouping by postcode area i.e. first half of postcode, may allow individual providers and therefore service user's to be identified.</p> <p>Small numbers must be redacted to protect service user's confidentiality.</p> <p>Spend by provider can be inferred from the over £500 open data.</p> | |
| | How much does the council spend by type of care in each postcode area? | | |
| | How much do other funding organisations spend per user on adult social care? | | |
| | How many service users self-fund by postcode or council area? | Estimated from NHS GP register. Available in Market Town OP Nursing Care Home Demand Model . | Mel Burke (Devon) |
| Contracts | How many commissioning contracts have been issued by the councils for adult social care provision? | <p>Block contracts are in the public domain for Devon.</p> <p>Spot contracts are not currently available.</p> | <p>Paul Feven (Sutton)</p> <p>Paul Collinge (Devon)</p> <p>Sarah MacKereth (Devon)</p> |
| | Who was awarded the contract? | | |
| | When was the contract awarded? | | |
| | What services were provided? | | |
| | How long was the contract in place for? | | |
| Services | <p>How many service users are placed with a provider?</p> <ul style="list-style-type: none"> How many are placed by the council? How many are placed by other organisations? | At Devon, this information is published in the MI CQC Compliance Report and Market Town OP Nursing Care Home Demand Model . | <p>Maggie Anderson (Devon)</p> <p>Mel Burke (Devon)</p> |

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| | <ul style="list-style-type: none"> How many are arranged their own placement? | <p>It is also available in the Quality Improvement Team's weekly reports.</p> <p>At Sutton, this information is partially available from the Identifier Report.</p> <p>Small numbers must be redacted to protect service user's confidentiality.</p> | <p>Sally Yigit (Devon)</p> <p>Andrew Jackson (Sutton)</p> |
| | <p>How many people work in each care home?</p> <ul style="list-style-type: none"> How many are contract staff? How many are full time? | <p>Information may be available for council-owned (in house) care homes</p> | <p>Damian Furniss (Devon)</p> |
| | <p>Is there a registered manager?</p> <ul style="list-style-type: none"> Since when? | <p>CQC publish the "Accountable Person" on their website (example).</p> <p>The registered manager is published as open data in HSCA Active Locations.</p> | |
| | <p>How many service users have been assessed?</p> <ul style="list-style-type: none"> How many requests went out? How many were completed? How long did it take to complete assessments? | <p>Reviews of residents in care homes could be reported, including % reviewed, how long it took.</p> <p>If grouped by provider, postcode area or market town, small numbers must be redacted to protect service user's confidentiality.</p> | <p>Maggie Anderson (Devon)</p> |

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| | <p>How many officers are in charge of arranging care?</p> <ul style="list-style-type: none"> • How many are local authority? • How many are NHS? • How many are commissioned independent broker? | <p>Further investigation required.</p> <p>Leads include: teams completing assessment and panels that control admissions.</p> | <p>Damian Furniss (Devon)</p> |
| | <p>What type of care do officers arrange?</p> <ul style="list-style-type: none"> • In which area? | | |
| Indicators | <ul style="list-style-type: none"> • How much safeguarding activity has there been with each provider? <ul style="list-style-type: none"> ◦ What were the outcomes? | <p>At Devon, this information is published in the MI CQC Compliance Report and Market Town OP Nursing Care Home Demand Model.</p> | <p>Maggie Anderson (Devon)</p> <p>Mel Burke (Devon)</p> |
| | <ul style="list-style-type: none"> • What quality improvement work is happening with each provider? <ul style="list-style-type: none"> ◦ When did they occur? ◦ What type or reason? ◦ What was the outcome? | <p>It is available in the Quality Improvement Team's weekly reports.</p> <p>It is also available from a Mr Manager report that was excluded as there was no link back to CareFirst IDs</p> | <p>Sally Yigit (Devon)</p> <p>Carol Milverton (Devon)</p> |
| | <ul style="list-style-type: none"> • How many users have been relocated from a care home? <ul style="list-style-type: none"> ◦ Why? | <p>This information is not currently available. It may be stored in social care team logs.</p> | |
| | <ul style="list-style-type: none"> • How many complaints or registered concerns occurred an area? <ul style="list-style-type: none"> ◦ How many per type of care? | <p>At Devon, this may be available in Mr Manager or in the complaints database from Information Governance.</p> | <p>Carol Milverton (Devon)</p> <p>Martin Lawrence (Devon)</p> |

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| | | If grouped by provider, postcode area or market town, small numbers must be redacted to protect service user's confidentiality. | Tanya Campbell (Sutton) |
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Conclusion

After an initial survey of available information and interviews, the focus during this six week phase was on immediately useful information that could be published as soon as possible from all councils. Clearance from information governance teams and an anonymisation audit are recommended for due diligence and compliance with the council's legislative responsibilities.

Marc Barto, the project lead, has been put in touch with relevant members of Devon Council to follow up on information such as complaints and the Devon Community Directory. A post-report follow-up will be arranged with Devon, Sutton and Kingston council to provide a final data analysis handover. In the meantime, FutureGov are progressing with the prototype demonstrator.

The recommendations are based on the research detailed here, professional experience, knowledge of applicable legislation, guidance from key institutions such as the HSCIC and the ODI, and the requirements for high quality, structured data for open data publication.

The technical specification contains low level details of recommendations for redaction, aggregation, small number suppression which protect the privacy and confidentiality of personal information. Where applicable, areas to review with the information governance team regarding commercial sensitivity are highlighted.

In conclusion, the councils have access to and produce a rich variety of information that can be published to improve transparency and accountability. Commercial sensitivity is less of a concern than initially thought as majority of the information is already in the public domain. The recommendations therefore provide a strong, justified and compliant starting point for open data release in the adult social care sector.

Appendix A - Existing Publications

Council Spending

All local councils in England publish spending information over £500 under the [Local council transparency and accountability policy](#). This includes spending on adult social care.

Frequency: Monthly

License: Open Data ([OGL](#))

| Published By | Publication | Published since |
|---|---|-----------------|
| Devon County Council | Expenditure over £500 | May 2010 |
| London Borough of Sutton | Payments to Suppliers Over £500 | August 2010 |
| The Royal Borough of Kingston Upon Thames | Items of spend | April 2012 |

NB: If the councils can provide the SupplierID for their finance systems, this will make published care data more valuable and useful. This reconciliation is underway at Devon Council and should be considered a priority for Sutton Council and Kingston Council.

Contracts By Authority

Devon County Council publishes contract and tender information on the [Contract Store](#). For adult social care, only block contracts are available. A sample can be found in the secure folder as: Contract Store - Contracts By Authority 20150308.xls.

Frequency: Ad-Hoc

License: Unknown, assumed to be publically accessible data*

** Based on correspondence with Graham Foster of Due North Support, the council retain ownership of any information.*

CQC Directory

Weekly cut-down version of the monthly [HSCA Active Locations](#). Does not include inspection outcomes and details of staffing or beds.

Frequency: Weekly

License: Open Data ([OGL](#))

| Published By | Publication | Published since |
|--------------|-------------------------------|-------------------|
| CQC (Weekly) | CQC Directory | 26 September 2012 |

HSCA Active Locations

Monthly cut-down version of the files received by the councils. Does not include inspection outcomes.

Frequency: Monthly

License: Open Data ([OGL](#))

| Published By | Publication | Published since |
|---------------|---------------------------------------|-----------------|
| CQC (Monthly) | HSCA Active Locations | N/A |

Procurement card spending

Devon Council publishes [spending on the council's procurement cards](#) as a CSV.

Frequency: Unknown

License: Open Data

Appendix B - Unpublished Sources

Home Vacancies

| | |
|--|--|
| Dataset Name/Location | K:\CorData\Shared\Homes Vacancies\Home Vacancies.xlsx |
| Organisation/Department | Devon County Council Standard and Personal Brokerage Team |
| Why is this data/information is collected or used? | To track service providers' readiness to supply by monitoring: <ul style="list-style-type: none">• types and numbers of beds available• services provided and• good standing (no suspensions for quality or safeguarding reasons). |
| Other related information | <ul style="list-style-type: none">• MI CQC Compliance Report - by Location ID• Postcode Lookup - by Postcode |
| What information is included in this data? | Care home locations, high level quality outcomes, high level safeguarding outcomes, contact details for vacancies and vacancies. |
| What information is not included in this data? | Details of quality outcomes and safeguarding outcomes. Number of beds. Care home services and specialisms. |
| What licences or intellectual properties exist in this data? | Location information is subject to ONS and Royal Mail intellectual property. In practical terms, publishing the Town and Postcode for context is acceptable. |
| How often is this available? | Monthly refresh from CareFirst with ad-hoc manual updates throughout the month. |
| What systems were used to produce it? | Care First Postcode Lookup |
| What does each column mean? | See documentation : Vacancies sheet, Plymouth & Torbay sheet. |
| Future plans for this data | Unknown |
| What data should be removed? | CareFirst ID - Organisation ID Additional comments |

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| What formats is the data available in? | Password protected Excel document |
| Who to contact with enquiries? | Maggie Anderson (Devon), Nick Wood (Devon) |

Postcode Lookup

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|--|---|
| Dataset Name/Location | K:\CEXProject\CExeGov\Public Health\JSNA\SPC_Cluster_JSNA_CCG_Postcode_Lookup.xlsx |
| Organisation/Department | Devon Council Public Health |
| Why this data/information is published | To provide standard reference for location information. |
| Other related information | NHS Postcode File |
| What information is included in this data? | Extensive geographical classifications and hierarchies. |
| What information is not included in this data? | N/A |
| What licences or intellectual properties exist in this data? | ONS Royal Mail |
| How often is this available? | Quarterly |
| What systems were used to produce it? | N/A |
| What does each column mean? | See documentation |
| Future plans for this data | Unknown |
| What data should be removed? | This file is provided for guidance only. The information is subject to intellectual property. Columns such as postcode can published with other data for context. |
| What formats is the data available in? | Excel document |
| Who to contact with enquiries? | Simon Chant (Devon) |

MI CQC Compliance

| | |
|--|--|
| Dataset Name/Location | P:\StratCor\Performance Review\...MI CQC Compliance YYYYMMDD.xlsx |
| Organisation/Department | Devon Council MIS |
| Why this data/information is published | To link CQC providers to Devon Council providers and import care information into the Business Intelligence system. |
| Other related information | N/A |
| What information is included in this data? | Care home locations, placements, supply, quality and safeguarding |
| What information is not included in this data? | Adult Domiciliary care clients on block or framework contracts |
| What licences or intellectual properties exist in this data? | Closed data from CQC (Inspection outcomes) |
| How often is this available? | Monthly |
| What systems were used to produce it? | Care First |
| What does each column mean? | See documentation |
| Future plans for this data | Unknown |
| What data should be removed? | <p>Inspection Outcomes - Owned by CQC</p> <p>Care First IDs to be redacted - use CQC LocationID Client Counts checked for small number redaction. % of beds and Occupancy checked for small number redaction.</p> <p>Safeguarding and quality inspection ratings to be checked for commercial sensitivity.</p> <p>Overall results are already in the public domain: Devon County Council flag providers that are no longer being commissioned and CQC publish ratings.</p> |

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| What formats is the data available in? | Excel document |
| Who to contact with enquiries? | Maggie Anderson (Devon) |

Delayed Transfers of Care

| | |
|--|---|
| Dataset Name/Location | DTOC <MONTH YEAR> ALL.xls |
| Organisation/Department | Devon Council Public Health |
| Why this data/information is published | To track the number of patients delayed receiving care |
| Other related information | N/A |
| What information is included in this data? | NHS provider (not care home) delays split by NHS and Social Care. |
| What information is not included in this data? | Postcode or postcode area for delayed individuals |
| What licences or intellectual properties exist in this data? | Unknown - Appears to be publically accessible data released by NHS England. |
| How often is this available? | Monthly |
| What systems were used to produce it? | N/A |
| What does each column mean? | See documentation |
| Future plans for this data | N/A |
| What data should be removed? | N/A |
| What formats is the data available in? | Excel document |
| Who to contact with enquiries? | Public Health MIS |

Sutton Identifier Report

| | |
|--|--|
| Dataset Name/Location | Andy CQC Identifier Report for Edafe v3.xlsx |
| Organisation/Department | Sutton Council Sam Barker / Andy Jackson |
| Why this data/information is published | In response to provided template. |
| Other related information | N/A |
| What information is included in this data? | Patient IDs, services received, care received and supplier location |
| What information is not included in this data? | Links to CQC providers Vacancies Placements Delays Quality and Safeguarding details and outcomes |
| What licences or intellectual properties exist in this data? | Closed data owned by Sutton Council |
| How often is this available? | Unknown |
| What systems were used to produce it? | Frameworki |
| What does each column mean? | See documentation |
| Future plans for this data | N/A |
| What data should be removed? | PatientID must be redacted. Data must be aggregated before release. Counts must be checked for small number redaction. |
| What formats is the data available in? | Excel document |
| Who to contact with enquiries? | Sam Barker / Andy Jackson |

Appendix C - Excluded Sources

Devon Community Directory

Devon's continuously updated [website](#) containing provider information. Extracts are available via [Open Objects](#), managed by Dennis Platt (Devon). There has been [open data publication](#) which is now out of date.

Frequency: Ad-Hoc

License: Unknown

Careplace

Sutton's continuously updated [website](#) containing provider information including vacancies. No further information available.

Frequency: Ad-Hoc

License: Unknown

Market Town OP Nursing Care Home Demand Model

Quarterly report produced by Mel Burke (see [documentation](#)). The report is fairly new and takes considerable resource to produce. It is currently used by a single member of staff and may not be produced in the future.

Frequency: Quarterly

License: Unknown

Quality Improvement Team Weekly Reports

High quality weekly reports produced by Sally Yigit of the Quality Improvement Team. The reports are in Word format and are produced from systems such as Care First. It was not possible to trace back all the sources of information or corresponding extracts, however, the [Market Town OP Nursing Care Home Demand Model](#) is the source of self-funded estimates. The reports have been uploaded securely to FutureGov for guidance.

Frequency: Weekly

License: Unknown