

Project Documentation

Local Authority Enforcement Monitoring System

General Specification and Overview

Version History.

Version No.	Date	Synopsis
1.0	15/02/2007	First distribution
1.1	26/10/2007	Revised data requirement

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1 Glossary

Application Providers	Providers of Local Authority Software. This refers to both commercial and in-house suppliers.
CBT	Computer Based Training
CoP	Code of Practice
Enforcement Monitoring System	A collection of related modules. The new system to be developed by this project that will effectively replace the OCD database and OCD forms. This will potentially have several modules.
GSi	Government Secure Intranet. Available to government subscribers and defines the standards for internet security levels.
LA	Local Authority
LAEMS	Local Authority Enforcement Monitoring System – the new system for monitoring to replace the OCD Monitoring System
Module	A discreet “part” of a whole system or application. (e.g Purchasing and accounts payable are separate modules in a finance system)
OCD	Official Controls Directive
OCD Monitoring System	The existing LA enforcement monitoring system
XML	Extensible Markup Language. A computer language primarily used to facilitate the sharing of data between different systems

2 Purpose of Document.

This document is intended to provide LAs and providers of LA systems with a broad understanding of the Local Authority Enforcement Monitoring System (LAEMS). A list of, and links to, other key documents can be found at [Annex A](#)

Detailed understanding of the use of the system will be provided with training sessions, which will be scheduled according to the development and implementation timescales of each LA's application provider.

3 The Basics of the System.

LAEMS will replace the current OCD monitoring system used to report Local Authority food law enforcement activities to the Food Standards Agency (FSA).

LAEMS will be a web-based system to which LAs will be able to upload data generated from the local system(s) on which they record data on food law enforcement activities.

Once uploaded to LAEMS, the LA data will be aggregated to the pre-defined categories required by the FSA e.g. interventions, sampling, enforcement etc.

LAs will then be able to view, on-screen, the results of the aggregation process and assess whether amendments to the data are required. Amendments may then be made to these aggregate level data.

Once LAs are content that the aggregate data are correct, they will be required to confirm the accuracy of the data before it is submitted for evaluation and publication by the FSA. A more detailed overview on the data delivery process is available at:

<http://www.food.gov.uk/multimedia/pdfs/laemsdatadeliverymappingdoc.pdf>

Email enquiries can be sent to laems@foodstandards.gsi.gov.uk

4 Responsibilities

4.1 Local Authorities

LAs will be required to maintain accurate records on their local systems. LAEMS requires good quality data from each LA in order to work at its intended best. Poor quality data in the systems used by LAs to record their food law enforcement activities will result in an equally poor aggregate data that requires extra effort on the part of the LA to adjust.

All data sent to the FSA for monitoring returns under the new system MUST be in XML format. No other format will be accepted. XML is the e-government standard.

All data are provided on the basis that they will be used by the FSA for evaluation and the results published.

The LA retains sole responsibility for ensuring:

- desktop hardware availability,
- internet connectivity and
- use of an appropriate Browser for its users.

LAs should retain copies of past returns and/or reports. However, the FSA will take all reasonable steps to ensure LA return history is kept online.

4.2 FSA

To supply a web hosted application (LAEMS) which will enable:

- LA specific login,
- data load and
- adjustments of FSA monitoring return data by that LA until satisfied that the data, as represented in an aggregate screen data summary view, is an accurate representation for the LA.

The LAEMS server will be provided by the FSA who will also ensure suitable performance and availability (standard supported hours are nominally 8:30am - 5:00pm Monday to Friday).

The FSA will maintain the system in accordance with ongoing development of the Code of Practice and Practice Guidance for as long as this is practical.

5 LAEMS General Systems Overview

5.1 The approach to the design of the system

The primary ideas behind the new LAEMS system are;

- The FSA will capture data at the same level that LAs are currently recording their food law enforcement activity i.e. each enforcement activity undertaken by the LA (inspections, prosecutions, samples, enforcement actions etc) will be sent in as recorded for each premises.
- The FSA will issue guidance on the definitions of the categories of enforcement activity required for monitoring to LAs and the providers of LA software.
- LAEMS will provide the ability for LAs to map their unique enforcement activity codes to those used by the FSA.
For example, the FSA will require data on samples of meat and meat products, whereas LAs may wish to record the data by a more specific product type e.g. lamb. The mapping process would be used to aggregate the more detailed data from LA databases to the required FSA categories. The mapping of LA codes for activities/products etc to the FSA monitoring categories will initially require some LA effort. However, it will not be necessary to revisit this process every year unless new codes are added to the LA system or the FSA require additional data to that previously supplied, in which case these can be added to the existing mapping.

More information on the mapping of LA 'activity codes' can be found at

<http://www.food.gov.uk/multimedia/pdfs/laemsdatadeliverymappingdoc.pdf>

- The detailed data supplied by LAs will be aggregated by LAEMS and a data summary produced. LAs will have the opportunity to review the summary and make adjustments to rectify any inaccuracies.
- The provision of detailed data is intended to reduce the effort required to collect the data for sending to the FSA. Aggregating these data to the required level for FSA monitoring will take place on LAEMS.
- This will afford the system a degree of 'future-proofing' i.e. allowing the FSA to update the way data is used at the aggregate level without requiring the LAs to undertake any further changes to their existing systems, or how they supply data to the FSA. Any updates of this nature will be included in the on-screen data summary which LAs will be required to check and agree, so the FSA will not 'move the goalposts' without reference to LAs.
- Additionally, the FSA will be more able to identify significant underlying trends to the headline data.
- The FSA will introduce the concept of "responsibility type". This is quite simply the area of food law enforcement applicable to the various activity that the FSA is monitoring. These will initially be limited in LAEMS to;
 - Food Standards
 - Food Hygiene
 - Animal Feed
 - Primary production
 - Imported Foods

For example, LAs with responsibility for both Food Hygiene and Food Standards will be required to distinguish between the activities which relate to each. Separate data summaries will be shown for each 'responsibility' e.g. FH, FS, Animal Feed and Primary Production.

The FSA also acknowledges that it is often best working practice for an authority to use one "physical" activity (e.g. a visit) to combine requirements for two or more responsibilities (e.g. **Food Hygiene** and **Food Standards**). In such instances, the FSA, for its monitoring purposes, require such a visit to be recorded twice - as both a Food Standards and Food Hygiene visit, with the appropriate details recorded for each responsibility covered.

This will enable a common approach to the collection of data for each of these areas and also to distinguish the activities by the type of responsibility to which they relate.

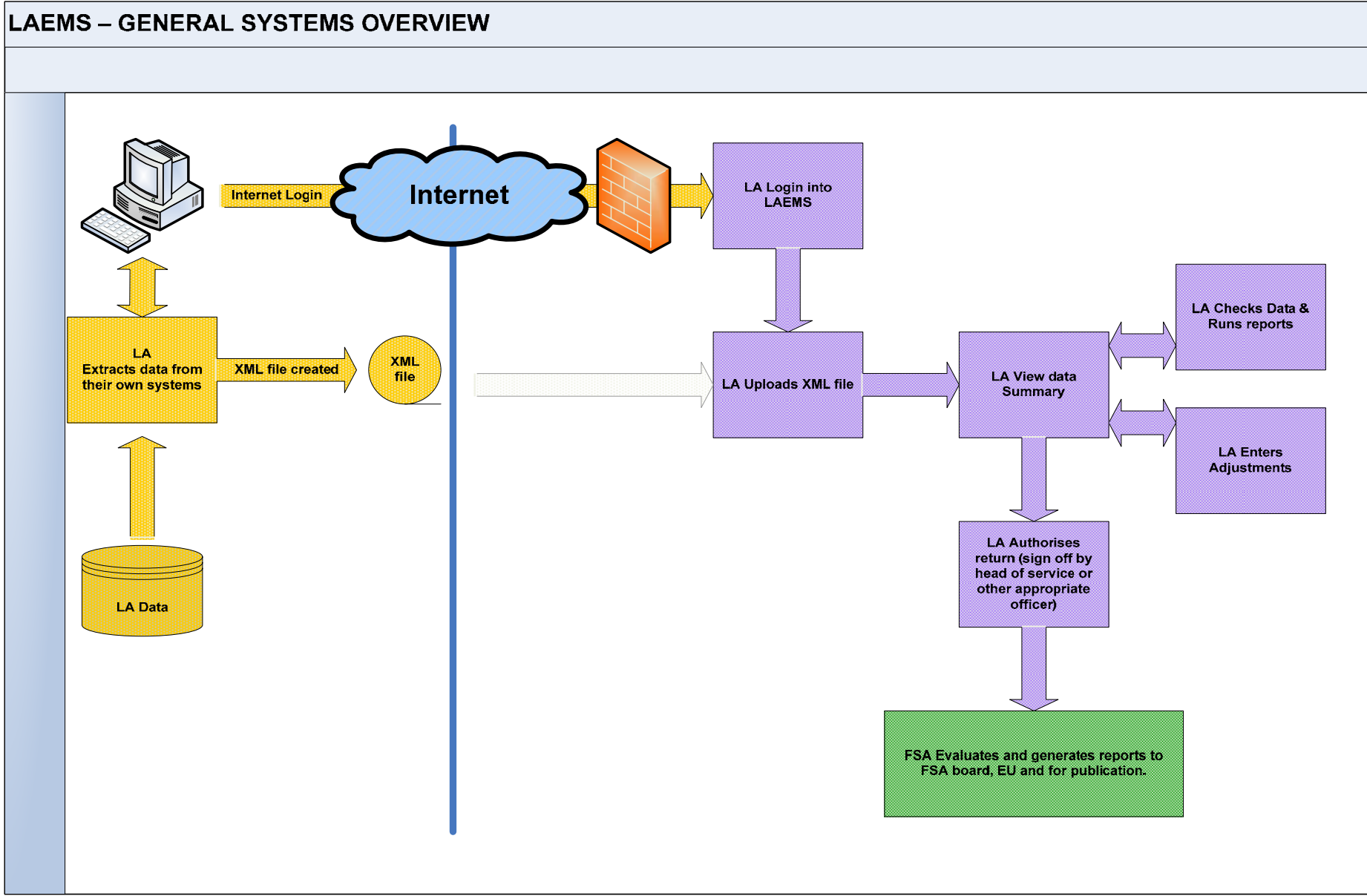
NB. Information on the data requirements from Port Health Authorities can be found in [section 10.1](#).

- To provide each LA with a unique login to view their own data and make the required modifications before 'signing-off' the return as complete. The security will also prevent other authorities from viewing and modifying any other LAs data. Each LA will be able to assign a number of users (these will not be limited to one user per user level) with different levels of security as follows:
 - LA IT officer
 - Head of service (or other appropriate officer)
 - Lead Officer for FS/FH and Officer responsible for monitoring
 - LA 'ordinary' user

The user level will determine each user's ability to access and run certain system features. For example, all users will be able to view the data, but only designated 'Head of Service' level users will be able to confirm (sign-off) the data.

- To provide a means for viewing historical returns online. These will be accumulated over time.

5.2 How the system will work



This diagram is not intended to be exhaustive or particularly detailed. It is purely to give an impression of how the key features of the system will be presented and how the system will use your data.

The key stages of the system are outlined in table 5.2.1:

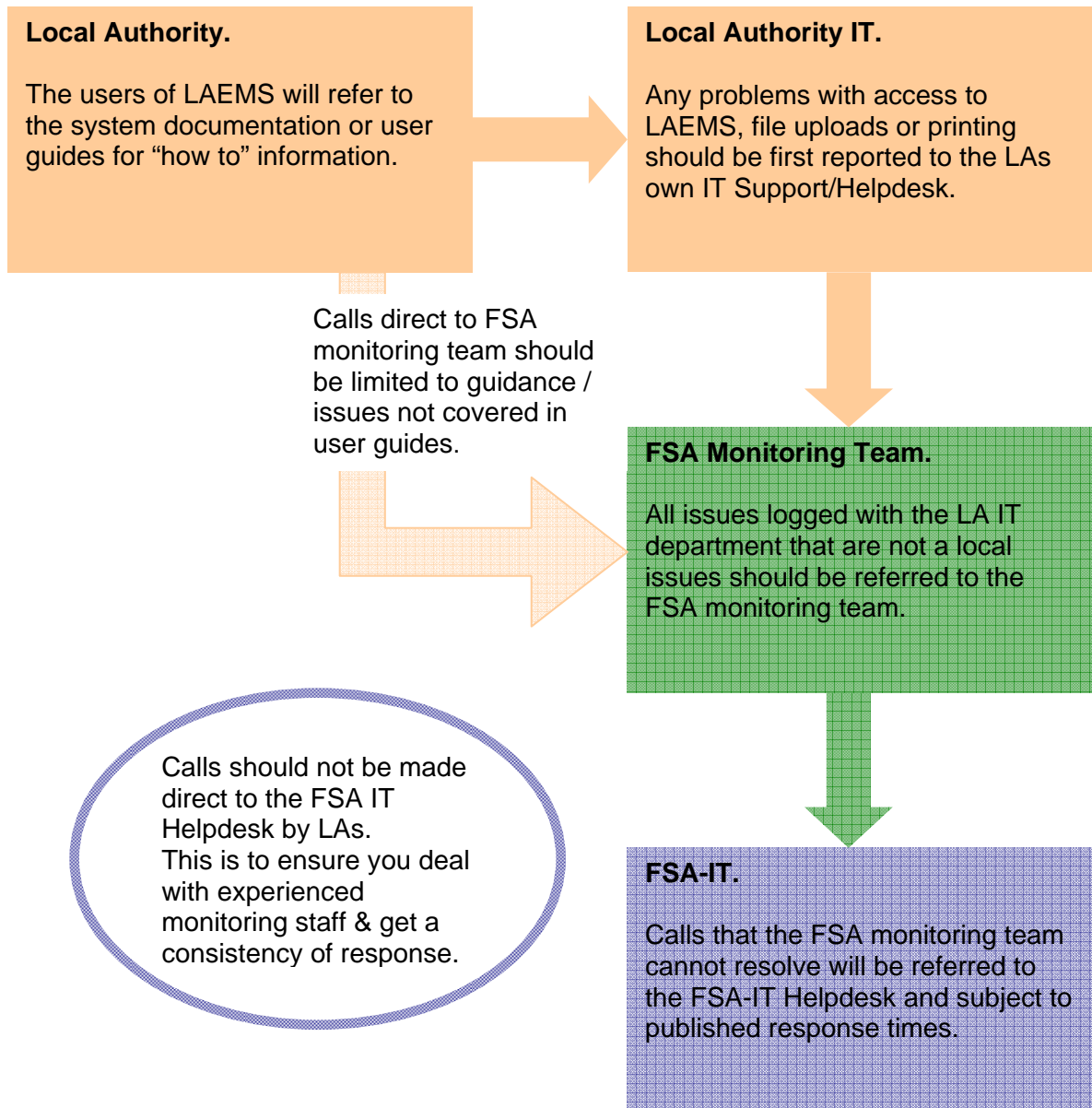
Table 5.2.1

Process to supply data to FSA	
Stage	Description
LA extracts data from their own system(s)	<ul style="list-style-type: none"> The first step in the process for completion of the monitoring return. This process is invoked by the LAs on their systems and will create an XML file for uploading into LAEMS. <p>Note: There will be a need for software development to be undertaken by the LAs application provider to create the XML file.</p>
LA Login to LAEMS	<ul style="list-style-type: none"> By clicking on the internet link the FSA will provide, the user will be connected to the LAEMS website automatically. The LA user will then be required to enter their unique authority code, login ID and password which will be verified by the LAEMS system. If the LA code, login ID and password are valid, the user will be presented with a screen which will have been appropriately filtered for their level of access
LA Uploads XML file	<ul style="list-style-type: none"> By selecting the file upload menu option, the user will be presented with a browser window (much the same as explorer) which will enable them to select the XML file created. Selecting the file will then upload the file into the LAEMS import queue. The LAEMS application will automatically begin the import of the XML data when it reaches the head of the queue (this is not expected to exceed 24hrs). The import process itself will complete the aggregation of data and construct a data summary view ready for the LA to check. An email notification will be sent to the LA when the import process has completed.
LA Maps data	<ul style="list-style-type: none"> In order for LAEMS to be able to accumulate the various enforcement activities, the activity codes used by the LA must be matched (mapped) to those required for monitoring. LAEMS will list all of the codes/categories uploaded and LAs will need to match these to the required monitoring categories, selecting the appropriate category from the drop-down menu. This process, once completed, should not need to be repeated from scratch. Mapping will only need to be updated if activities on the LA system change or the FSA require additional data. A more detailed overview on mapping and the delivery process can be found at http://www.food.gov.uk/multimedia/pdfs/laemsdatadeliverymappingdoc.pdf
LA View data summary	<ul style="list-style-type: none"> By selecting the relevant LAEMS menu item, users will be able to see their aggregated data in a data summary view & tab between the different data summary view screens.
LA checks data and runs reports	<ul style="list-style-type: none"> When the LA is satisfied all the data in the views is how they wish their return to look, they can run a check (validation) process which will check for consistency errors. <p>Note: This check is not done upon import because LAs may need to enter some information manually as it isn't recorded in their source</p>

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	systems.
LA enters adjustments	<ul style="list-style-type: none">• Any errors identified either by the automated consistency checks or by LA officers reviewing the data summary, can be corrected with a manual adjustment.• This presents the user with a familiar data summary view in which they can enter an adjusting value (e.g. +1 or -1). All adjustments are recorded separately and will be viewed on the data summary i.e. the summary will show the data as supplied, the adjustment and the total calculated from supplied + adjustment. This approach will give transparency to the adjustments made at the data summary level.
LA authorises return	<ul style="list-style-type: none">• When all the data in the data summary views is considered complete and accurate, the LA must ensure the authorising officer for the LA selects the authorise function on the screen.• This effectively constitutes electronic signoff of the annual return and can only be performed by a user with sufficient security, usually the Head of Service. <p>Note: Once the return is authorised - no further adjustments or changes can be made. However, all users at the LA will be able to view the data summary.</p>
FSA Evaluation and reports to FSA board, EU and publishes data	The FSA collate and analyse return data and prepare submissions to the FSA board for eventual publication.

6 System Support



Enquiries can be sent to laems@foodstandards.gsi.gov.uk if not covered by the training or system documentation.

6.1 Data Backup and Recovery

The FSA will ensure daily backups are taken of the LAEMS server. Recovery in the event of system or hardware failure will be undertaken in accordance with the FSA policies.

LAs will not be able to call on the backup recovery process to revert back to prior versions of their loaded data.

If individual LA data uploaded by the LA to LAEMS is considered to be in a state not suitable for correction with adjustments, the LA can make a request to the FSA monitoring team for their data to be cleared for the current year. The LA will then need to create a new XML file for import to LAEMS and complete the necessary steps that follow the upload of LA data.

7 System Information

7.1 Secure Access & Login

Each LA will be assigned an initial login ID & password which they will need to change when first logging on. LAs should designate an administrator at the authority to manage this process.

The LA administrator will have the responsibility for setting up logins for other LA staff.

Limited numbers to certain levels of access within the application will be described in detail during the training.

7.2 Data Security

The FSA has taken all reasonable steps to ensure the environment is as secure as possible including conducting penetration testing on the application (to minimise the potential for hacker access).

8 Training

It is planned that classroom style training sessions will be arranged to ensure the system features and functionality are clearly explained and LAs will have the opportunity to use the system in a test/training mode during the session.

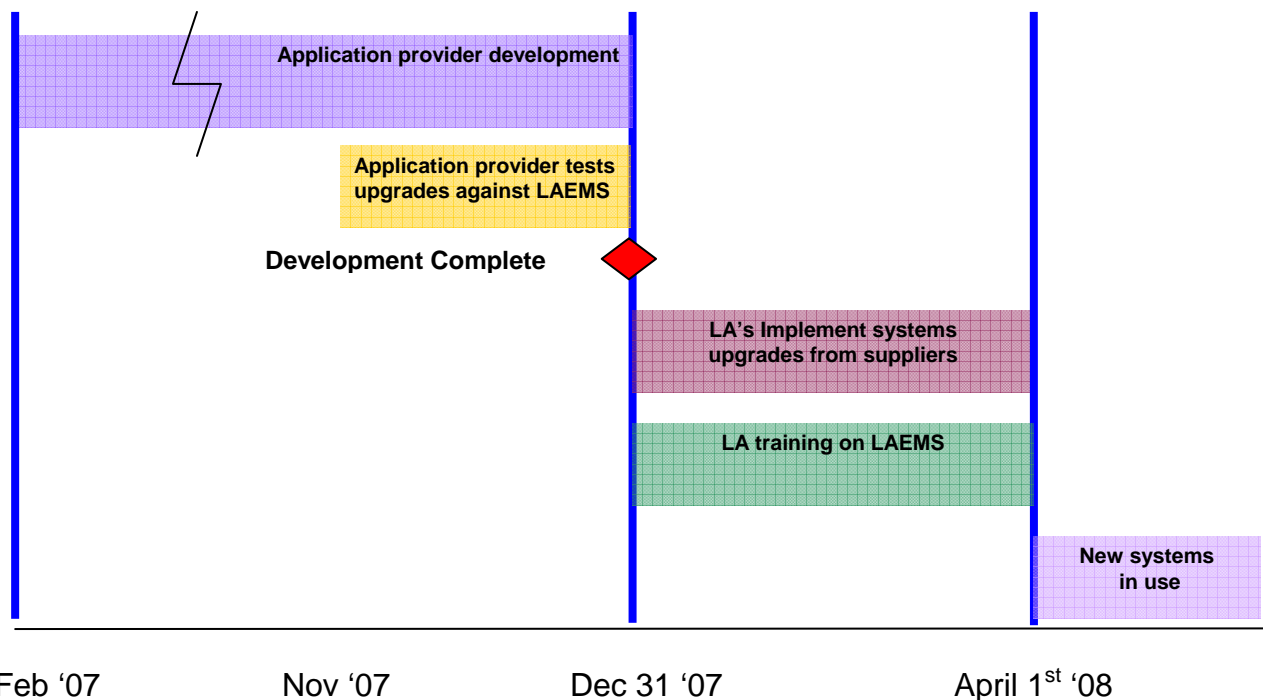
It is anticipated the training will be a 2-3 hour session.

Venues and dates will be advised well ahead of the course dates.

A Computer Based Training (CBT) module is also planned to assist LAs with training new staff.

9 Timescales

The following Gantt chart illustrates the broad timescales for the key elements affecting LAs.



Application provider development - The period during which application providers evaluate, design, develop and test the changes to their systems to accommodate the FSA requirements. Those LAs developing their own applications will have the same period to undertake the required changes.

Application provider tests upgrade against LAEMS – The system will be opened up for suppliers of LA IT systems to upload test data to check that the xml files created upload okay.

LAs implement systems upgrades from suppliers - During this period the application providers will release their updated software for LAs to implement.

LA training on LAEMS - Formal training sessions will be arranged by the FSA to train LA users in the use of the LAEMS software. This initial training will enable nominated LA staff to test their system upgrades against LAEMS. This will be followed up in Jan – Mar 2009 with training for all LA users on the use of LAEMS and augmented by a Computer Based Training (CBT) package.

New systems in use - All LAs will be expected to have upgraded their systems.

Please note: the first period for which data will be supplied using LAEMS will be 1st April 2008 – 31st March 2009.

10 Related Information

10.1 Port Health Authorities (PHAs)

For LAs dealing with products at point of entry into UK, the requirement will be for a specific PHA return to be completed. An example of this return can be found at <http://www.food.gov.uk/multimedia/spreadsheets/laemsimportedfood.xls>. This return can be completed manually on LAEMS.

For PHAs with Food Standards (FS) or Food Hygiene (FH) responsibilities for food premises e.g. a café at the port, a return for FS and/or FH will be required in addition to the PHA return.

10.2 Imported Foods (includes imported foods from inland point of sale)

To enable the FSA to monitor the sampling of imported foods, we will require all LAs to record the country of origin of each sample taken. For samples where the country of origin is not easily identifiable, either EU, Non-EU or 'country of origin not easily identifiable' can be used. The relevant codes to be used for each country of origin can be found at: <http://www.food.gov.uk/multimedia/spreadsheets/laemsxmlvaluelists.xls>
For Formal Enforcement actions taken on imported foods, both Inland and Point of Entry authorities will need to record details of the action(s) in lines 11 – 21 of the Imported Foods return.

10.3 Approved Premises

Approved premises will go back into the risk rating scheme.

10.4 Appendices.

Appendix A contains a table of documents that have been provided and a brief description of their content and purpose.

These documents will have different relevance to different audiences. Against the description of each document, there is a reference to the suggested audience. However, all documents are available to all on the FSA website.

Appendix A - Related Documents

Suggested Audience	Document Link	Description & Purpose
Relevant LA staff: - Officers with lead responsibility for Food Hygiene and Food Standards - Officers with responsibility for the monitoring return Application Developers (Providers of LA Software)	(a) Food Standards and Food Hygiene Premises (b) Food Standards and Food Hygiene Interventions (c) Food Standards and Food Hygiene Sampling Categories (d) Animal Feed Premises (e) Animal Feed Interventions (f) Animal Feed Sampling (g) Primary Production Enforcement Premises (h) Primary Production Enforcement Interventions	Tables showing the required FSA monitoring categories for to be collated in the data summary and examples of the individual activity types/products that would fall into these categories. This covers the enforcement monitoring requirements for; <ul style="list-style-type: none"> • Food Standards • Food Hygiene • Animal Feed • Primary Production
Relevant LA staff: - Officers with lead responsibility for Food Hygiene and Food Standards - Officers with responsibility for the monitoring return Application Developers (Providers of LA Software)	(i) Food Hygiene Data Summary (ii) Food Standards Data Summary (iii) Animal Feed Data Summary (split into 4 parts due to the size of the file): <ul style="list-style-type: none"> • http://www.food.gov.uk/multimedia/spreadsheets/laemsfeeddatasummary1.xls • http://www.food.gov.uk/multimedia/spreadsheets/laemsfeeddatasummary2.xls • http://www.food.gov.uk/multimedia/spreadsheets/laemsfeeddatasummary3.xls • http://www.food.gov.uk/multimedia/spreadsheets/laemsfeeddatasummary4.xls (iv) Primary Production Enforcement Data Summary (v) Imported Foods Data Requirement	These are Excel documents showing the data summary for each 'responsibility'. Each field within this document has details on what type of data is used to populate it or be accumulated into it. This should be a useful guide for EHO's and application Developers to refer to for a clearer understanding of the data used by the FSA. NB: This representation of the data summary is for guidance on the accumulation process and the data summary in LAEMS. Whilst LAEMS will use these accumulation processes and associated rules, the actual data summary will look quite different.
Relevant LA staff:	Delivery Process and Mapping	An overview of the data delivery and 'code mapping'

- Officers with lead responsibility for Food Hygiene and Food Standards - Officers with responsibility for the monitoring return Application Developers (Providers of LA Software)		processes and requirements.
Application Developers (Providers of LA Software)	XML Schema Description	A technically oriented document describing the structure of the required XML file, occurrences and examples. The XML schema defines the type, format and structure of the data that needs to be supplied by each LA. These data will be accumulated by LAEMS into the data summary view.
Application Developers (Providers of LA Software)	XML Formal LA Schema	The XML schema
Application Developers (Providers of LA Software)	XML Case Study	This is a worked up sample of the required XML file with data values as an additional reference.
Application Developers (Providers of LA Software)	XML Value List	List of codes which must be used by LAs e.g. responsibility type, risk rating type, risk rating, etc.
Application Developers (Providers of LA Software)	XML Mapping Values	List of codes to which LAs can map the codes on their local systems (if different to the required FSA monitoring codes/categories).
Application Developers (Providers of LA Software)	Design Implications	Details of key design implications.