

LOCAL AUTHORITY ENFORCEMENT MONITORING SYSTEM

DESIGN IMPLICATIONS

Version History.

Version No.	Date	Synopsis
1.0	15/02/2007	First distribution
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Overview

The purpose of this document is to provide a "one-stop" reference detailing the design implications for data held within Local Authority applications in order to provide the information required by the FSA.

The new monitoring system at the FSA has been designed particularly to provide a consistency of approach for the authorities providing the data, and, as far as possible, to include sufficient flexibility to future-proof the application so that further changes to requirements can be handled through data rather than code changes. Hence the decision to ask authorities to provide data at a highly granular level but with the added flexibility given by the mapping functions. See <http://www.food.gov.uk/multimedia/pdfs/laemsdatadeliverymappingdoc.pdf> for more details on mapping.

The primary, indeed only, requirement from the FSA is that the Local Authorities provide accurate data in XML validated against the XML schema provided. The application that accumulates this data also allows for manual adjustments to be made to correct minor errors. Such adjustments will be recorded and validated to ensure general data integrity.

This document is designed to describe elements of the structure and hierarchy implicit within the schema in order to indicate the data the authorities will need to keep within their own applications.

System designers should pay particular attention to the following elements and aim to build in future flexibility to expand or reduce the values that can be assigned.

ResponsibilityType

One of the keys to the design of the new monitoring system has been to try and ensure a consistency of approach to enable local authorities to provide data on a number of areas of responsibility in the same way. The FSA currently has a requirement for monitoring activities in four areas:

- **Food Standards (FS),**
- **Food Hygiene (FH),**
- **Animal Feed (AFU),** and
- **Primary Production (PPE).**

This is the primary split in the data hierarchy, and, therefore, each **Intervention**, **Enforcement** and **Sample** activity must be defined to one of these areas.

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 considered as two with the appropriate details recorded for each responsibility covered.

The valid **ResponsibilityType** codes for inclusion in the XML are:

Code	Applies to
FH	Food Hygiene
FS	Food Standards
AFU	Animal Feed
PPE	Primary Production

PremiseType

PremiseType is one of the elements included in the MAP process which is explained in more detail in a separate document.

It is expected that authorities will need to use significantly more detailed codes/descriptions for describing the activities they perform and the premises they perform them at than are necessary for the FSA's reporting requirements. However, the FSA requires that each of the authority codes can be MAPPED to one, and only one, of the FSA's broader codes.

A list of the premises categories required for monitoring for each 'responsibility' can be found at:

- **Food Hygiene/Standards** - <http://www.food.gov.uk/multimedia/spreadsheets/laemsfhfspremises.xls>
- **Animal Feed** - <http://www.food.gov.uk/multimedia/spreadsheets/laemsfeedpremises.xls>
- **Primary Production** - <http://www.food.gov.uk/multimedia/spreadsheets/laemsppepremises.xls>

Where a premise might appear to fall into two or more categories advice should be sought from the FSA to ensure a consistent evaluation across authorities.

RiskRatingType

This element identifies the Risk Rating system used by each Local Authority to determine the **RiskRating** applied to each premise under the given **ResponsibilityType**.

The valid **RiskRatingType** codes for inclusion in the XML are:

ResponsibilityType	Code	Applies to
FH	CoP	Code of Practice
FS	CoP	Code of Practice
	LACORS	LACORS
AFU	CoP	Code of Practice

	LACORS	LACORS
PPE	CoP	Code of Practice

RiskScoreType and RiskScore

As part of the future-proofing of the application, the FSA will be collecting the individual elements of the **RiskScore**. This means that, for each premise within a given area of the authority's responsibility, the Local Authority needs to record within its own application each element (**RiskScoreType**) of the **RiskScores**. The FSA recommends that this be data-driven rather than hard-coded as this allows for change within the values of the elements. Also, the FSA recommends that the acceptable values of **RiskScore** for each **RiskScoreType** be held as data rather than hard-coded as this allows for flexible future-proofing of the authority's application.

It is feasible that the number of scoring elements may vary in the future. Local Authority systems should build such flexibility into these changes to scoring.

By requiring each individual element of the **RiskScores** at this point, it allows the FSA to change its internal reporting requirements in the future without requiring further changes from the Local Authorities.

Activities (General) - Interventions, Enforcements, Convictions and Samples

The majority of the data required by the FSA relating to **Activities** is formed of elements included in the MAP process discussed above, and in greater detail in a separate document.

However, one significant consideration is not covered by the MAP process: which **Activities** should be included in which **Financial Year**. To this end, it is important that each **Activity** undertaken by the Local Authority should have a date of its undertaking recorded by the Local Authority. The FSA will NOT be collecting the individual dates but they need to be held in order for the Local Authority to determine whether the **Activity** should be included in the end of year statistics. For the majority of **Activities**, the date that determines its inclusion is the date of undertaking - e.g. the date of an inspection or the date a caution was issued.

There are two exceptions:

- For **Prosecutions**, the date that determines inclusion is the date on which the result of the prosecution is obtained, rather than the start of a prosecution.
- For **Samples**, the date that determines inclusion is the date on which the results of the sample are received, not the date on which the sample was taken.

A list of the categories of intervention required for monitoring for each 'responsibility' can be found at:

- Food Hygiene/Standards – <http://www.food.gov.uk/multimedia/spreadsheets/laemsfhfsinterventions.xls>
- Animal Feed – <http://www.food.gov.uk/multimedia/spreadsheets/laemsfeedinterventions.xls>
- Primary Production - <http://www.food.gov.uk/multimedia/spreadsheets/laemsppeinterventions.xls>

ImportedFrom

The **Imported Foods** division at the FSA needs to monitor **Sample** activity specifically for food products imported from countries outside the European Union. Therefore, the Local Authority applications need to record the country of origin for all samples where the original product has been imported from a non-EU country. The FSA requires that when the data is extracted, the country should be identified using the ISO 3166 2-digit code (see <http://www.iso.org/iso/en/prods-services/iso3166ma/02iso-3166-code-lists/list-en1.html>). If it's not possible to identify the precise country of origin, then one the FSA's generic codes should be used. These codes are "EU", "Non-EU" and "Not easily identifiable".

A list of the required values for country of origin can be found at: <http://www.food.gov.uk/multimedia/spreadsheets/laemxmlvaluelists.xls>

SampleStatus

The FSA only needs to monitor those samples which were sent to an accredited laboratory for analysis/examination.

Therefore, the only valid **SampleStatus** code for inclusion in the XML is **Official**. The Agency accept that not all samples sent to an accredited laboratory for analysis/examination, will be 'Official' samples in the strictest sense i.e. taken in accordance with the necessary regulations. However, these samples would be official controls, as defined in 882/2004, hence retaining the sample status within the system of 'official'.