

# Procedure for Functional Reviews

## 1. Overview

The functional review process will be dialogic, collaborative, and holistic, driven by user needs and experiences to maintain the highest level of professional services to support the School's strategic aims.

The primary purpose of functional reviews is to change the planning and review process for professional services in the School, with the ultimate aim of moving SMC oversight away from a service area-based approach, which looks at *where* things are done, to one that examines cross-service functions and looks more fundamentally at *what* services need to be provided.

The key objectives of the review process are:

- To confirm that professional services align with the School's strategic priorities
- To identify area of cross-working and establish the primacy of 'one service' in support of School priorities across service areas and departments
- To assure the School Management Committee (SMC) that its professional services work effectively and in collaboration
- To assist in evaluating strengths and weaknesses in the services offered to the School community, and to identify gaps in process and emerging risks

- To ensure that professional services have mechanisms to establish appropriate performance measures and means of delivery, and to assess their own performance against them
- To benchmark professional services against good practice in the sector more widely and identify areas for improvement
- Where necessary, to recommend how professional services can be supported through any change processes.

## 2. Process

- a) Functional reviews of professional services will be performed on a rolling basis driven by the central Operational Plan.
- b) Following the annual operational planning process for service divisions, conducted between July to August each year, the Operational Plan will be scrutinized by the Chief Operating Officer and Deputy Chief Operating Officer, with a decision made on the areas required for functional review.
- c) Prospective functional reviews will be reported to SMC, which will make the final decision on the schedule for the coming academic year and establish the key headline terms for the scope of each review.
- d) Extraordinary functional reviews may also be convened, driven by such processes as: outcomes from Annual Monitoring, a rise in a level of risk monitored through the strategic risk register, audit findings, or SMC decisions.
- e) The movement to functional reviews does not exclude the possibility that a discrete service area will be reviewed under the process set out below.

## 3. Group Membership

- a) The composition of the review group will be at the discretion of the Chief Operating Officer, with guidance from SMC. The Functional Reviews will usually, but not exclusively, be chaired by a member of SMC. Membership of the review group will usually be drawn from:
  - An external member of the review group with background expertise in one of the key operational partnerships
  - Representatives from operational partnerships identified by the Operational Plan
  - Cluster representatives
  - Systems experts
  - Equality, Diversity and Inclusion (EDI) Data
  - User experience will be foregrounded through interviews (or surveys where appropriate)
  - A review coordinator, drawn from a service division not covered by the review
  - Any School officer whose professional expertise would have a valid bearing on the scope of the review

## 4. Background Information

- a) In advance of the first meeting of the review group, information on the functional area will be collated by the review coordinator, using the Functional Review Pro-Forma. The information will comprise:
  - Relevant Operational Planning documents, where available
  - Staff lists across key Operational Partners identified in the Operational Plan, with the aim of providing an overall breakdown of Staff FTE relating to the function
  - Cubane Data
  - Budgetary information
  - Risk Registers or reports
  - Recent Audit recommendations
  - Annual Monitoring or APRC outcomes
  - Outcomes of any recent Business Continuity Exercises
  - Any relevant Space Planning documentation
  - A list of critical business systems involved with service delivery
  - A target list of users to approach for feedback

## 5. Meetings

- a) An early meeting will be convened for the review group to review the background information and request clarification or corrections as required.
- b) The main aim of the review group's approach will also be established in this early meeting, alongside the scope outlined by SMC.
- c) The meeting will also establish how user feedback on the function should be collated.
- d) Further meetings will be arranged as necessary depending on matters arising and the relative complexity of the issues involved.

## 6. Report

- a) Following the review group meetings, the chair and review coordinator will draft a report on findings of the review, which will be agreed with key members of the review group.
- b) The report will propose recommendations for improvement, highlight areas of good practice, and make recommendations for action.
- c) Responsibilities for key actions will also be agreed.
- d) The report will be submitted to SMC alongside the Functional Review Pro-Forma Reports.
- e) SMC will offer final directions on the actions necessary to address the matters arising and ascribe a schedule for delivery.

# Functional Review Pro-Forma

<b>1. A target list of users to approach for feedback [Contact: Operational Partners]</b>
Users should be disaggregated from areas which share the load for delivery of the function (i.e. academic departments)
<b>2. Operational Planning [Contact: Directorate]</b>
Outline key service activities for the coming year in support of the function
<b>3. Staff List FTE [Contact: HR/ Planning]</b>
Identity staffing lists across key Operational Partners identified in the Operational Plan, with the aim of providing an overall breakdown of Staff FTE relating to the function
<b>4. Cubane Data [Contact: Directorate]</b>
Provide relevant Cubane data
<b>5. Budgetary information [Contact: Finance]</b>
Provide budgetary information supporting the function
<b>6. Equality, Diversity and Inclusion (EDI) Data [Contact: EDI]</b>
Provide relevant EDI data/ gaps in EIA
<b>7. Risk Registers or reports [Contact: Directorate]</b>
Any relevant risk registers, assessments or reports associated with the function
<b>8. Recent Audit recommendations [Contact: Secretary's Division]</b>
Any audit recommendations associated with the function
<b>9. Outcomes of any recent Business Continuity Exercises [Contact: Directorate]</b>
Any outcomes from Gold or Silver Team exercises, or local exercises
<b>10. Space Planning documentation [Contact: Estates]</b>
An estimated 'floor map' of space provisions for the function
<b>11. Business systems [Contact: DTS, Operational Partners]</b>
A list of systems and PEN test reports/ legacy issues

Further information may need to be provided as required.

## Document Review schedule

Review interval	Next review due by	Next review start
3 years	May 2023	Jan 2023

## Version history

Version	Date	Approved by	Notes
1.0	March 2020	SMC	

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## Communications and Training

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Will training needs arise from this policy	<b>No</b>
If Yes, please give details	