

Job Description

Post title	Research Compliance Officer - (Due Diligence)
Faculty / Directorate (Tier 1)	Research Management and Innovation Directorate
School / Division / Department (Tier 2)	Research Governance, Ethics and Integrity
Tier 3	Research Security
Grade	6
Reporting to	Research Security & Compliance Manager
Line management	0
Job category	Professional Services
Job function	Research Operations

Role Purpose
The Research Compliance Officer (Due Diligence) supports the delivery of King's College London's research due diligence, quality assurance and compliance activities. The postholder provides operational coordination and support for third-party due diligence and research compliance processes, contributing to activities that promote responsible, secure and compliant research across the University. Acting as a central point for triaging, coordinating and responding to due diligence requests, the role will help to ensure that reviews are progressed efficiently, consistently and in line with institutional procedures and funder requirements. As part of the University's Research Security function, the postholder will support activities that promote research security, Trusted Research and responsible research practice. The role will facilitate the implementation of proportionate, risk-based and effective compliance processes, and contribute to the continuous improvement of services that help researchers navigate an increasingly complex regulatory and risk environment. In addition, the role plays a key institutional coordination function in relation to NHS R&D governance audit outcomes. The postholder will act as the University's lead coordinator for the receipt, escalation and monitoring of audit findings and governance breaches arising from NHS Trust partners, ensuring these are communicated appropriately within King's and reported externally where required. The postholder will also support the coordination of external audit, review and assurance activities as required. The postholder will work closely with the Research Security & Compliance Manager and will also support activities led by the Head of Research Security and International Regulations Manager as required. Through effective engagement with academic and professional services colleagues, the role will contribute to a coordinated approach to research risk management and assurance, helping to embed a culture of responsible, secure and compliant research across the University and delivering proportionate, efficient and researcher focused compliance support. King's adopts a hybrid working model. When on campus, the role holder will be based at the Lavington Street Building, part of the King's Guy's Campus.

Key Responsibilities

Due Diligence Coordination

- Support the Research Security & Compliance Manager with the institutional due diligence process for third-party organisations, in line with University procedures and the requirements of funders such as NIHR, Wellcome Trust and UKRI.
- Coordinate, triage and respond to due diligence requests arising from research collaborations, funding applications and other research related activities, ensuring appropriate routing, prioritisation and timely progression and responses.
- Liaise with internal stakeholders, including Finance, Contracts. Procurement and other research support teams to gather, validate and organise information and documentation required to support due diligence reviews, risk assessments and institutional decision-making.
- Undertake background checks and information gathering using appropriate sources and tools, including sanctions screening and publicly available information where appropriate.
- Maintain accurate records, databases, management information and audit trails relating to due diligence and compliance activities, ensuring information is complete, up to date and accessible for review and assurance purposes.
- Identify, monitor and escalate potential issues, risks or trends arising from due diligence activity where appropriate.

Research Compliance and Risk Management

- Support compliance with internal policies and procedures as well as external regulatory requirements relating to research security, research compliance and institutional assurance.
- Support monitoring of adherence to due diligence, compliance and assurance processes, helping to identify opportunities for improvement and support effective risk management.
- Support preparation for internal and external audits, reviews and assurance activities through the provision of accurate records, documentation and supporting evidence.
- Ensure due diligence, compliance and assurance activities align with relevant institutional requirements, funder expectations and external guidance.
- Contribute to the development and implementation of proportionate compliance and assurance processes that support responsible and secure research.

Audit and Assurance Support

- Act as the University's lead coordinator for NHS R&D governance audit findings and associated improvement activities.
- Receive, log and maintain records of audit findings, governance breaches and compliance concerns arising from NHS Trust partners, ensuring information is accurately recorded and appropriately communicated.
- Maintain action logs and monitor progress against agreed actions arising from audits, reviews and assurance activities, following up with stakeholders and escalating issues where appropriate.
- Support the collection, collation and organisation of information and evidence required for external audits, reviews and assurance activities as required.
- Support analysis of recurring themes, trends and issues arising from audits, reviews and assurance activities to inform organisational learning, continuous improvement and institutional assurance.

Research Security and Compliance Support

- Support delivery of the University's Research Security and Trusted Research initiatives.
- Assist with the development of guidance, communications, training materials and awareness activities relating to research compliance, research security and responsible research practice.

- Provide operational support for projects and activities led by the Head of Research Security and across the wider Research Security Team.
- Support the implementation of new processes, systems, policies and institutional requirements.
- Assist with monitoring developments relating to research security, international collaboration, regulatory requirements and compliance activities.
- Provide support for wider research security, compliance and international regulatory activities as required.

Stakeholder Support and Guidance

- Act as a point of contact for due diligence, compliance and assurance enquiries, providing advice and guidance to researchers and professional services colleagues on relevant processes, requirements and documentation.
- Build effective working relationships with stakeholders across the University, including Procurement, Finance, Intellectual Property & Licensing, Contracts, Pre and Post Award and academic departments.
- Support researchers and departments in understanding and fulfilling their responsibilities relating to third-party due diligence, research compliance and risk management processes.
- Escalate complex, sensitive or high-risk issues to the Research Security & Compliance Manager or relevant specialist colleagues where appropriate.
- Support the delivery of training and engagement activities that promote compliance, research security and good practice.

Data Management, Reporting and Continuous Improvement

- Support the preparation of reports, dashboards, management information and committee papers relating to due diligence, assurance and compliance activities.
- Maintain and improve the quality, accuracy and accessibility of compliance and assurance data held within institutional systems.
- Analyse information to identify trends, risks, recurring issues and opportunities for improvement.
- Support the development of reporting tools, management information and process guidance.
- Identify opportunities to improve processes, systems and service delivery, supporting the implementation of practical and proportionate improvements.
- Contribute to a culture of continuous improvement and high-quality service delivery across the Research Security Team.

The above list of responsibilities may not be exhaustive, and the post holder will be required to undertake such tasks and responsibilities as may reasonably be expected within the scope and grading of the post.

Our Expectations

There are some key duties and responsibilities that we ask all employees to adhere to.

We ask that the successful candidate:

- Positively contributes to an environment at King's that truly represents [Our Principles in Action](#) where every individual feels safe, secure, and supported.
- Complies at all times with the requirements of health and safety regulations to ensure their own wellbeing and that of their colleagues.

- Develops an understanding of sustainability, including its impact on the University and the work we do, and engages in sustainable practices in the workplace.
- Ensures they are working in a safe environment, complying with policies and regulations, ensuring confidentiality and only releasing confidential information obtained during the course of employment to those acting in an official capacity.
- Complies with King's protocols on the appropriate use of telephone, email and internet facilities.

Equal Opportunities

At King's, we believe that the diversity of our community and a culture that is welcoming, open, inclusive and collaborative, are great strengths of the university.

The Equality Act of 2010 protects the rights of our students and staff and provides a framework to fulfil our duties to eliminate unlawful discrimination, harassment and victimisation and in addition, to advance equality of opportunity and foster good relations between those who share a protected characteristic and those who do not. At times, this will include balancing rights and beliefs that can feel in tension.

We are committed to free speech and to academic freedom, believing that our foundational purpose as a university, is to create spaces where a wide range of ideas, including ideas that are controversial, can be discussed and debated, and where members of our community can express lawful views without fear of intimidation, harassment or discrimination.

When engaging in the robust exchange of ideas, we ask that our community is mindful of our Dignity at King's guidance

We welcome your thoughts on how organisations can create an inclusive environment, including one which supports free speech and the exchange of a wide range of ideas.

Additional Information

Is Disclosure and Barring Service Clearance (DBS) required for this role:

☐ Yes ☐ Unsure ☒ No

If yes or unsure, please refer to appendix A at the end of this document (Please note all clinical roles require a DBS check)

Does this role require the post holder to undergo any Occupational Health Clearances?

☐ Yes ☐ Unsure ☒ No

If yes or unsure, please refer to appendix A at the end of this document (Please note all clinical roles require an OH Clearance)

Does this role require the post holder to hold a King's Health Partners Passport (KHP)?

☐ Yes ☐ Unsure ☒ No

If yes or unsure, please refer to appendix A at the end of this document (Please note all clinical roles require a King's Health Passport)

Person Specification

Post title:	Research Compliance Officer - (Due Diligence)		
Grade:	6		
Criteria:		To be assessed via:	
Essential:	Application <i>(this will be used for shortlisting applications)</i>	Test / Assessment	Interview
1. Experience of working in a compliance, quality assurance, audit support, risk management or related role within a higher education institution or other complex organisation.	X		X
2. Experience of coordinating complex administrative, compliance, assurance or related processes and maintaining accurate records, databases and audit trails.	X		X
3. Experience of applying policies, procedures and regulatory requirements consistently to support decision-making and compliance activities.			X
4. Demonstrated analytical skills with the ability to collate, assess and present information clearly to support decision-making and reporting activities.	X		X
5. Experience of maintaining accurate records, audit trails and management information, with a high level of attention to detail where data quality and accuracy are critical.	X		X
6. Excellent written and verbal communication skills, with the ability to provide clear guidance and build effective working relationships with a wide range of stakeholders.	X		X
7. Experience of supporting reporting, monitoring, audit, assurance or review activities, including coordinating actions, maintaining accurate records and tracking progress against agreed deadlines.	X		X

8. Demonstrated experience of supporting compliance, governance, assurance or risk management activities using a proportionate and risk-based approach to support research activity.	X		X
Desirable:	Application	Test / Assessment	Interview
1. Experience working in a higher education, research or research support environment.	X		
2. Experience of supporting research compliance, due diligence, research assurance, research management or related activities.	X		
3. Experience using research management, compliance or assurance systems such as Worktribe (or similar).	X		
4. Knowledge of the UK Trusted Research agenda, research security principles, funder compliance requirements or related regulatory frameworks.	X		
5. Experience of supporting responses to audits, compliance reviews, funder assurance activities or improvement programmes arising from audit or review findings.	X		

Last reviewed date:	<i>September 2026</i>
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Appendix A – Employment Checks

Disclosure and Barring Service Clearance (DBS)

Please select the appropriate options from the list below:

Carrying out regulated activities with children and/or adults ¹	☐ Children ☐ Adults ☐ Both ☒ None
Will there be any contact with vulnerable groups? ²	☐ Yes ☒ No
Will the post be situated in a regulation environment, for example on an NHS Premises? ³	☐ Yes ☒ No

Additional Context:

- Regulated activity with adults may involve providing health care, person care, or social work;

Regulated activity with children (under-18s) may involve providing health care, personal care, social work, unsupervised teaching or training.
- Contact with vulnerable groups must meet the frequency threshold of 4 days in a 30-day period. An adult is not considered to be vulnerable due to any personal characteristic: however, an adult may be regarded as vulnerable due to particular circumstances at a particular time, for example when they are receiving treatment in a hospital.
- KCL buildings do not qualify as regulated environments. Only NHS Trust sites qualify as regulated environments.

Further information about the disclosure scheme can be found at: www.gov.uk/dbs

Occupational Health Clearance

When reviewing the below list, please note that any exposure, no matter how frequent will result in an Occupational Health Clearance.

Please mark the box if the following the hazards / risks are associated with this post:

☐ Exposure Prone Procedure (EPP) Work	☐ Lone working
☐ Direct patient care or regular patient contact / contact with clinical specimens or pathogens / pathology work	☐ Working outside
☐ Prolonged repetitive movements / actions	☐ Exposure to noise levels (>80dbA)
☐ Moving or handling heavy loads	☐ Work with VDUs (>5hrs per week)
☐ Working shifts	☐ Food handling

☐ Working nights	☐ Driving duties
☐ Working with dust or fumes	☐ Driving LGV or PCVs
☐ Working with skin irritants / sensitisers	☐ Driving forklift trucks
☐ Working with chemicals (industrial or cleaning)	☐ Contact with latex
☐ Working in a confined space	☐ Contact with cytotoxins
☐ Working with vibrating machinery / tools	☐ Working with children
☐ Working at heights	☐ Exposure to persons with challenging or aggressive behaviour
☐ Working with sewage	☐ Vocational driving
Please also list any other Health Surveillance checks required by legislation (e.g. COSHH) / any Statutory Medical Surveillance (e.g. Asbestos, Lead):	

King's Health Partnership Passport

Please select the appropriate options from the list below:

Where will the role holder be based as part of their clinical practice?	☐ KCH - Kings College Hospital ☐ GSTT - Guys & St Thomas' Hospital ☐ SLAM - South London & Maudsley ☐ Other – Please detail below:
Will their research involve working on NHS sites outside of the above list?	☐ Yes (Research Passport also required) ☐ No
Will they require access to the CRIS Database ? (IoPPN Researchers only)	☐ Yes ☐ No