



Job Description

This form summarises the purpose of the job and lists its key tasks. It is not a definitive list of all the tasks to be undertaken as those can be varied from time to time at the discretion of the School, in consultation with the postholder.

Job title: Research Compliance Manager

Department/Division: LSE Research & Innovation **Accountable to:** The Research Accountant and Head of Research Awards

Job Summary

LSE is a leading social science institution with some of the greatest global impact. Our researchers are world-leading thinkers on critical issues.

LSE Research and Innovation's mission is to help develop and sustain an environment that makes LSE the best place to do excellent and impactful research. Within the Division the Research Awards team, has specific responsibility for managing a portfolio of research projects from a range of external funding bodies. The team works to bridge the requirements of its research community and those of external funders/regulators and the LSE's own financial regulations.

The Research Compliance Manager will play a critical role in ensuring that all research activities within LSE adhere to relevant regulations, funder terms and conditions and internal compliance policies. This position requires a combination of financial expertise and a strong understanding of regulatory frameworks. The post holder will work collaboratively with research support teams, the legal department, Finance Division, academic units and regulatory bodies to maintain robust compliance while promoting financial integrity across the LSE. They will develop, implement, and oversee compliance programmes, policies, and procedures to mitigate risks associated with research activities.

Duties and Responsibilities

Compliance:

- Stay updated on financial regulations, regulatory framework and funder terms and conditions applicable to the research funding environment.
- Interpret and communicate regulatory and financial changes to relevant stakeholders.
- Develop and implement compliance policies and procedures to ensure adherence to funder terms and conditions.
- Ensure that staff are trained on and understand compliance policies.
- Monitor and enforce adherence to established policies.
- Document and investigate any instances of non-compliance or financial irregularities.

Audit and Funder Assurance:

- Manage all Funder Assurance visits, including responding to any recommendations.
- Work closely with colleagues in the Research Awards team to manage the relationship with the Auditors contracted to undertake audits on individual projects as required by funder terms and



conditions.

- Developing the use of data from the LSE's systems to monitor compliance with internal controls, to provide assurance where appropriate, to identify areas where action is required to strengthen the effectiveness of controls, and to track the effectiveness of such action in providing assurance.

Financial Oversight:

- Conduct regular reviews of processes and transactions to ensure accuracy and compliance of the School's research grants and fellowships, Open Access grant and training grants
- Collaborate with research support teams to establish and maintain internal controls that safeguard financial assets.

Risk Assessment:

- Identify and assess financial and compliance risks across LSE's funder research portfolio.
- Work with cross-functional teams to develop and implement risk mitigation strategies.
- Conduct periodic risk assessments to proactively address emerging risks.

Reporting and Documentation:

- Maintain accurate and comprehensive records of financial transactions and compliance activities.
- Prepare regular reports on financial and compliance performance for management and regulatory authorities.

Cross-Functional Collaboration:

- Collaborate with Research Awards Managers, finance colleagues, research support, legal, research teams and other departments to integrate compliance into processes.
- Serve as a liaison between the LSE and regulatory bodies.
- Work with the Heads of Research Development and the Research Awards to develop and maintain processes to ensure smooth handover of new awards.

Line Management:

- Supervise and manage two Research Awards Administrative Assistants, ensuring productivity, efficiency, and adherence to LSE policies and procedures.
- Provide leadership, guidance, and support to direct reports, fostering a positive and productive work environment.
- Conduct regular performance evaluations, set performance goals, and provide constructive feedback and coaching to team members.
- Manage employee schedules, workload distribution, and workflow to optimize team performance and meet operational objectives.
- Address employee concerns, conflicts, and disciplinary issues in accordance with LSE policies
- Collaborate with HR on recruitment, onboarding, training, and development initiatives for direct reports.
- Monitor and report on performance metrics, identifying areas for improvement and implementing corrective actions as needed.

Continuous Improvement:

- Stay informed about industry best practices in regulatory and financial compliance.
- Propose and implement continuous improvement initiatives to enhance regulatory and financial and compliance processes.

Flexibility

To deliver services effectively, a degree of flexibility may be required in the duties performed in order to meet the exigencies of service. Job roles may also naturally develop over time and ongoing substantial changes to a role will be discussed between line managers and their staff, with job descriptions updated as and when appropriate.

**Equity, Diversity and Inclusion (EDI)**

LSE is committed to building a diverse, equitable and truly inclusive university. All posts (and post holders) will seek to ensure diversity and inclusion, while opposing all forms of unlawful and unfair discrimination on the grounds of age, disability, gender identity, marriage and civil partnership, pregnancy and maternity, race, nationality, ethnic or national origin, religion or belief, sex and sexual orientation, or social and economic background.

Ethics Code

Posts (and post holders) are assumed to have a responsibility to act in accordance with the School's Ethics Code and to promote the principles and values that the Code enshrines. The Ethics Code clearly states that the whole LSE community, including all staff, students, and governors of LSE, are expected to act in accordance with the principles which are set out in the Code. As such you are required to read and familiarise yourself with it. The School's Effective Behaviours Framework is designed to support this Code. It sets out examples for the six behaviours that all staff are expected to demonstrate, these can be found on the following link: [click here](#)

Environmental Sustainability

The post holder is required to minimise environmental impact in the performance of the role, and actively contribute to the delivery of the LSE Environmental Policy.