

Management Compliance Handbook.

This guidance has been designed to assist managers ensure compliance within their Faculty and Professional Services (PS) Divisions across a number of regulatory, legislative and University policy requirements, and covers:

1. Business Continuity and Risk Management
2. Register of Interests (including the International ROI)
3. Hospitality and Gifts Register
4. Safeguarding and Prevent
5. Freedom of Speech and Academic Freedom (including external speaker procedure)
6. Competition and Markets Authority (CMA)
7. UK Visas and Immigration (UKVI)
8. Office for Students (OfS)
9. Data Protection
10. Freedom of Information (FOI) and Data Subject Access Requests
11. Records Management
12. Export Controls

Please note that this is not an exhaustive list of compliance functions, and covers the areas managed through the Division of General Counsel, Governance and Compliance. (GCGC)

Business Continuity and Risk Management

The University has a central Business Continuity Plan and Institutional Risk Register. Each Faculty and Professional Services Division is required to have local level business continuity plans and risk registers. Expectations are set out in the University's [Business Continuity Management Policy](#) and the [Risk Management Framework](#).

Local Business Continuity plans

Each Faculty and Professional Services Division is expected to identify potential threats to their activities, examine the impact of disruption and make local plans for responding to incidents in order to improve resilience. This aims to:

- Improve resilience of the University's people, assets, systems and infrastructure
- Maintain contingency arrangements that are safe and secure for all personnel
- Develop procedures which promote continuity and facilitate the co-ordinated recovery of priority activities
- Support incident response and recovery with effective command and communication structures

Local risk registers

Each Faculty and Professional Services Division is expected to:

- identify and assume ownership of risks which can affect the fulfilment of their objectives
- assess the likelihood of risks occurring and their potential impact
- employ suitable measures to treat risks appropriately
- monitor and review progress in managing risks

Executive Deans and Professional Services Directors are expected to identify and monitor local risks, discuss mitigation strategies with their management teams and if necessary, report to the University Executive.

University point of contact:

Ben Toogood, Risk and Resilience Senior Manager - B.P.Toogood@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Have a local Business Continuity plan.
- Have a local risk register.

Relevant webpage(s):

[Business Continuity and Risk Management: Governance and Compliance: University of Sussex](#)

Compliance indicators:

Your Faculty or PS Division operates a risk register to proactively manage risks to the delivery of your objectives in accordance with the University's Risk Management Framework?

Your Faculty or PS Division has a Business Continuity Plan in place and you have a nominated person to manage this and your local risk register.

Your Faculty or PS Division has a process in place to review both the risk register and Business Continuity Plan as directed by the Business Continuity Policy and Risk Management Framework. (every three years as a minimum)

Register of Interests (Including the International ROI)

The Governance Team maintains a central Register of Interests for Council members, the University Executive Team, staff with access to privileged information and level 3 finance authority. The register forms a record of interests which might influence the approach taken to University business to ensure that any potential conflicts of interest are properly managed as appropriate. Faculty's and PS Divisions are required to maintain local level registers for all staff not included within the central register.

University point of contact:

Louise Spenceley, Governance and Compliance Senior Manager - L.spenceley@sussex.ac.uk

Support available: Advice and guidance, Register of Interests template.

Each Faculty or PS Division should:

- Familiarise themselves with [staff code of conduct and policy on registration and declaration of interests](#).
- Maintain a local Register of Interests for all staff not included in the University register.

Declarations of interest should be declared under the following categories:

- a) all directorships registered under the Companies Act, whether or not they are remunerated
e.g. directorship of a company.
- b) remunerated employment, office or profession or other activity
e.g. any paid employment or position held e.g. board member, external examiner.
- c) other interests, for example: business relationships and/or clients known to have business relationships with the University of Sussex or its associated companies or which might affect their business; any significant shareholdings in organisations which have business with the University of Sussex or its associated companies; unremunerated posts, honorary positions and other connections which may give rise to a conflict of interest or of trust
e.g. trustee, board member, committee member.
- d) interests where known and material held by spouse, partner, parents, children and siblings as categorised in (a), (b) and (c) above.
e.g. Spouse/family member is an employee of another HEI, student at Sussex.

The Governance Team also manages the International Register of Interests.

Declarations of International Interests should be declared under the following categories:

Academic Staff working on a project which is:

- a) with an institution based outside the UK;
- b) funded (in whole or in part) by an institution or company that is based outside the UK;
- c) funded (in whole or in part) by a government other than the UK government or a UK devolved administration.

Professional Services Staff working on a project which is:

- a) a joint enterprise with an institution based outside the UK;

- b) based outside the UK;
- c) routinely employing an agency or persons based outside the UK;
- d) funded (in whole or in part) by an institution, company or government

Any staff member declaring an international partnership or collaboration should complete and return [a declaration of international interest form](#) to Louise Spenceley for inclusion in the central register.

Relevant webpage(s):

[Avoidance of other forms of conflict of interest: Probity and good conduct of University business: Governance and Compliance : University of Sussex](#)

[International Partnerships and Collaborations: Probity and good conduct of University business: Governance and Compliance: University of Sussex](#)

Compliance indicators:

Your Faculty or PS Division maintains a local Register of Interests.
Your Faculty or PS Division has a dedicated manager for the process.
You send out an annual reminder to all staff in your Faculty or PS Division to highlight the process and requirements of declarations of interest.

Hospitality and Gifts Register

The University's requirements with respect to hospitality and gifts (whether given or received) are set out in the [University's Anti-Bribery Policy](#).

All offers of hospitality and gifts (given, received or offered, even if declined) with a value of over £100 must be recorded in the Hospitality Register, maintained by the central Governance Team. Records should be kept updated by each Faculty or Professional Services Division for annual collation by the Governance Office using the Hospitality and Gifts Register Form.

In addition, for any hospitality or gift (given or received) with a value over £100 (per person or event), written permission must be obtained in advance as below:

- In the case of all staff, from an Executive Dean or Professional Services Director.
- In the case of an Executive Dean and Professional Services Director, written permission must be obtained from the Chief Operating Officer.
- In the case of the University's Executive Team, written permission is required from the Vice-Chancellor, except in the case of the Chief Operating Officer (who should seek written permission from the Director of Human Resources) and the Vice-Chancellor (who should seek written permission from the Chair of Council)

University point of contact:

Louise Spenceley, Governance and Compliance Senior Manager - L.spenceley@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Familiarise themselves with the [University's Anti-Bribery Policy](#).

Relevant webpage(s):

[Hospitality and Gifts Register: Probity and good conduct of University business: Governance and Compliance: University of Sussex](#)

Compliance indicators:

Your Faculty or PS Division maintains a record of any hospitality and gifts for inclusion in the central register.

Your Faculty or PS Division has a dedicated manager for the process.

You send out an annual reminder to all staff your Faculty or PS Division to highlight the process and requirements in relation to hospitality and gifts.

Safeguarding and Prevent

The University of Sussex is committed to providing a safe environment for all members of its community regardless of their age; disability gender reassignment, marriage and civil partnership, race; religion or belief, sex, sexual orientation.

The University, as a higher education provider, is not subject to the same legal safeguarding duties as schools, further education colleges, local authorities, and care providers. However, as part of creating a safe environment for its community and aside from its legal disclosure and barring obligations, it has a moral and ethical responsibility to help *safeguard* the welfare of children and adults at risk by reporting any such concerns.

The University is committed, through its core [values](#) of diversity, friendliness, inclusion, innovation and professionalism and to treating all people with respect and dignity; to challenge any form of bullying, harassment, discrimination, intimidation, exploitation or abuse; and to safeguard **children and adults at risk**. All members of the University community have an essential role to play in keeping *children and adults at risk* safe.

Policy

The University of Sussex Safeguarding Policy can be found [Safeguarding: University of Sussex](#) Operational Safeguarding Guidance has been prepared to assist staff. This can be accessed by clicking on the Safeguarding Guidance tab on the left-hand side of the webpage or clicking [here](#).

University point of contact:

Louise Spenceley, Governance and Compliance Senior Manager - L.spenceley@sussex.ac.uk

Support available: Advice and guidance, training.

Each Faculty or PS Division should:

- Familiarise themselves with the [University Safeguarding approach](#) and [Safeguarding Policy](#)
- Ensure that all staff complete the mandatory Safeguarding Essentials training package on LearnUpon
- Ensure that all new staff complete the Safeguarding Essentials course within one month of joining the University.

Relevant webpage(s):

[Safeguarding: University of Sussex](#)

Compliance indicators:

You are aware of your responsibilities within the University's Safeguarding Policy and have mechanisms in place to ensure compliance within your Faculty or PS Division.
You have completed the mandatory Safeguarding Essentials course on LearnUpon and ensured that all staff have completed it.
You have at least two dedicated Local Safeguarding Officers within your Faculty or PS Division.
You and any staff within your Faculty or PS Division who fall within the nominated cohort have completed the mandatory Prevent training on LearnUpon.
You are aware of the DBS guidance for managers and have you incorporated this into your recruitment processes within your Faculty or PS Division.

Freedom of Speech and Academic Freedom including (external speakers)

The University of Sussex is proud to offer all our staff, students, members and visiting speakers the opportunity to engage with a democratic teaching, learning and research environment that encourages debate and challenges received wisdom.

If you are a member of staff or a University of Sussex student and are intending on having an external speaker at a University event, you must complete an external speaker procedure.

- For events being organised by a student, student group, staff member of department **within the Students' Union**, please follow the [Students' Union External Speaker Procedure](#).
- For events that fall outside of the Students' Union remit, please complete the online External Speaker Request Form below using the University of Sussex [External Speaker Procedure](#) as guidance.

University point of contact:

Louise Spenceley, Governance and Compliance Senior Manager - L.spenceley@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Familiarise themselves with the [Freedom of Speech Code of Practice and External Speaker Procedure](#)
- Ensure the External Speaker Procedure is completed for all external speakers.

Relevant webpage(s):

[External speaker request procedure: Policies and guidance: Governance and Compliance: University of Sussex](#)

<https://www.sussex.ac.uk/about/academic-freedom-and-freedom-of-speech>

Compliance indicators:

You have mechanisms in place within your Faculty or PS Division to ensure the University's External Speaker Procedure is completed for every external speaker event, outside of the remit of the Students' Union External Speakers Procedure.

All staff within your Faculty or PS Division are aware of the University's Freedom of Speech Code of Practice.

University External Speaker Procedure at a glance:

- Stage 1 – Self-Assessment
- Stage 2 – Local Assessment
- Stage 3 – University Assessment

If you answer YES to EITHER self-assessment questions, you must proceed to Stage 2 (Local Assessment) and contact your Executive Dean or Professional Services Director. Please retain details of action taken within Stage 2, for audit purposes and progression to Stage 3 (where required).

You only need to move on to Stage 3 (University Assessment) if the Stage 2 assessment does not result in an approval of the event.

To proceed to Stage 3, please contact I.spenceley@sussex.ac.uk providing full details of all the action taken within Stage 2.

Please complete one form per event and in accordance with the [Freedom of Speech Code of Practice and External Speaker Procedure](#). Where there are multiple speakers attending the same event, please provide details of each speaker in the space provided. Please ensure that you consider the self-assessment questions in stage 1 for each speaker.

*Please note that if the political/reputational etc climate around a topic has changed since the risk assessment is conducted, it is the organiser's responsibility to review ahead of the event. *

Competition and Markets Authority (CMA)

The University is responsible for maintaining compliance with CMA guidance to Higher Education Institutions on consumer protection legislation, to ensure that it complies with relevant legislation and the Office for Students (OfS) 'C' conditions of registration.

University point of contact:

Caroline Roberts, Head of Legal Services and Deputy Director of General Counsel and Governance Services (GCGC) - C.roberts@sussex.ac.uk

For any questions about CMA compliance, please contact an AQP Curriculum Manager for further guidance.

Support available: Advice and guidance.

Relevant webpage(s):

<https://www.sussex.ac.uk/adqe/curriculum/cmacompliance>
[Database and CMA Handbook](#)

Compliance indicators:

You understand your responsibilities to provide accurate, accessible and timely published information to students and applicants.

You are aware of and have disseminated the link to the Database and CMA Handbook within your Faculty or PS Division.

The CMA handbook contains information to help you understand what might relate to CMA compliance and includes the following information:

- Guidance around how to remain CMA compliant when approving course and module changes, and when adding these changes to the database.
- Guidance around assessing if a change is 'material' or not.
- A list of key contacts, outlining responsibility for decision-making and for maintaining information in the database.
- A summary of timelines and processes associated with making changes to courses and modules.
- A step-by-step instruction guide for making changes in the database.
- A set of Frequently Asked Questions for making changes to courses and modules, whilst remaining CMA compliant.

UK Visas and Immigration (UKVI) – Staff information

The University is required to comply with UK Visas and Immigration legislation and guidance in relation to staff recruitment and also sponsored International students.

If you are a manager or recruiter at Sussex, there is a points-based system that applies to EU nationals and rules for people with visas.

Immigration permissions

There are different types of visa and immigration status which are relevant for recruitment of non-UK nationals e.g. the EU Settlement Scheme for EU, EEA and Swiss nationals.

Skilled Worker visas

The UK government's Skilled Worker visa has replaced the Tier 2 (General) work visa.

Find out more about:

- [the Skilled Worker visa \(GOV.UK\)](#)
- [the Academic Technology Approval Scheme element of applying for a Skilled Worker visa.](#)

Sussex roles eligible for visa sponsorship

See details of [salary requirements and tradeable points](#) to find out if specific roles at Sussex are eligible for visa sponsorship. This is useful for both **job applicants** and **managers** at Sussex.

Temporary worker visas

The UK government's Temporary Work – Government Authorised Exchange visa is a sub-set of a visa that has replaced the Tier 5 temporary worker visa.

Find out more about [the Temporary Work – Government Authorised Exchange visa \(GOV.UK\)](#).

Managers and recruiters

If you are interviewing people for a job at Sussex, and someone needs a visa or has an EU settlement status, see [immigration guidance for managers](#).

University point of contact:

hrcompliance@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Ensure that recruitment is undertaken in line with immigration guidance.

Relevant webpage(s):

[UKVI compliance – information for staff: Academic Registrar's Office: Academic Registry: University of Sussex](#)

[Recruitment and employment forms: Human Resources: University of Sussex](#)

[Visa information for staff: Business Services and Resourcing Team: Human Resources: University of Sussex](#)

Compliance indicators:

All managers or recruiters within your area are aware of the immigration guidance and who to contact to seek advice.

You ensure that recruitment within your Faculty or PS Division is undertaken in line with immigration guidance.

UK Visas and Immigration (UKVI) – Student information

The University is a Student Visa Sponsor, which means we can sponsor international students to obtain a student visa to study with us.

Student Sponsor status is granted by the Home Office department UK Visas and Immigration (UKVI).

To maintain this status, we must ensure we comply fully with [UK Immigration Rules](#) and [student sponsorship guidance](#).

At the offer stage (when offers are made and accepted), we have a [Confirmation of Acceptance for Studies \(CAS\) issuing policy \[PDF 256KB\]](#) and provide information on [how to apply for a student visa](#) using the CAS issued by the University. We also provide information about the [responsibilities of student visa-holders](#).

At the registration stage and while studying, we supply [extensive advice and support for student visa-holders](#).

University point of contact:

UKVIcompliance@sussex.ac.uk

Support available: Advice and guidance.

Relevant Webpage(s):

[Visas and immigration : University of Sussex](#)

Office for Students (OfS)

The Office for Students' (OfS) is the independent regulator of Higher Education in England. They were established in 2018 and their primary aim is to ensure that English higher education is delivering positive outcomes for students- past, present and future. The OfS seeks to ensure that students, from all backgrounds (particularly the most disadvantaged), can access, succeed in, and progress from higher education. The OfS is concerned with all students within its remit: from the UK and beyond; undergraduate and postgraduate; studying full time or part time and campus based or distance learners¹.

The University is regulated by the Office for Students (OfS) and is required to comply with a series of [Conditions of Registration](#) to maintain its status as a registered Higher Education Provider.

The Division of General Counsel, Governance and Compliance (GCGC) maintains oversight of the assurance activities the University undertakes to ensure it complies with the OfS Conditions of Registration. It also monitors the publication of any new regulation and guidance as it emerges and ensures that colleagues across the University are aware of any changing requirements.

Condition of Registration Group:	Executive Lead:
A: Access and participation for students from all backgrounds	Pro-Vice-Chancellor for Education and Students - Kate O'Riordan
B: Quality, reliable standards and positive outcomes for all students	Pro-Vice-Chancellor for Education and Students - Kate O'Riordan
C: Protecting the interests of all students	Pro-Vice-Chancellor for Education and Students - Kate O'Riordan
D: Financial sustainability	Chief Financial Officer - Jacinda Humphry
E: Good governance	Interim Chief Operating Officer and University secretary – Emma Potts
F: Information for students	Interim Chief Operating Officer and University secretary – Emma Potts
G: Accountability for fees and funding	Chief Financial Officer - Jacinda Humphry

University point of contact:

Louise Spenceley, Governance and Compliance Senior Manager - L.spenceley@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Ensure that you are aware of the Executive Lead for each Condition of Registration.
- Contact the Governance and Compliance Senior Manager, in the Division of General Counsel, Governance and Compliance if you have any concerns or questions about institutional compliance with the Conditions of Registration.
- Contact the Governance and Compliance Senior Manager, in the Division of General Counsel, Governance and Compliance if you are concerned about a reportable event, or become aware of something that you think may need reporting to the OfS.

¹ [Securing student success: Regulatory framework for higher education in England \(officeforstudents.org.uk\)](https://www.officeforstudents.org.uk)

- Contact the Governance and Compliance Senior Manager, in the Division of General Counsel, Governance and Compliance for any administrative enquiries relation to the OfS online portal.

Relevant webpage(s):

[Conditions of registration - Office for Students](#)

[OfS Reportable events](#)

Data Protection

Data protection is about the fair and appropriate use of information relating to identifiable individuals.

The University has a duty to comply with the principles and requirements of the Data Protection Act 2018, the UK's General Data Protection Regulation, and any codes of practice issued by the Information Commissioner's Office when processing personal data. Failure to do so could have significant financial, regulatory and reputational impacts for the University.

The purpose of the University's Data Protection Policy is to:

- Outline the data protection principles and define key terms;
- Detail the rights of data subjects;
- Lay out the University's obligations under data protection legislation; and
- Make clear the specific responsibilities for compliance within the University.

University point of contact:

dpo@sussex.ac.uk (for queries relating to personal data breaches); GDPR@sussex.ac.uk (for general data protection queries)

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Ensure all members of staff are aware of the University's Data Protection Policy.
- Ensure all new members of staff undertake their mandatory Data Protection training.
- Ensure all potential personal data related risks are identified and reported to the Data Protection team.
- Ensure any activity that may require personal data to be processed is discussed with the Data Protection officer to manage any risks.
- Ensure that the [policy guidance and template](#) is used when drafting a new or updating an existing policy.

Relevant webpage(s):

[Data Protection Policy](#); [Data Protection pages](#); [Transferring data outside the UK](#); [Reporting data breaches](#); [Policies at the University](#)

Compliance indicators:

Your Faculty or PS Division has a mechanism in place to identify when a personal data breach has occurred and report breaches to the Data Protection Officer immediately.

Your Faculty or PS Division liaise with the Data Protection Officer to ensure appropriate contractual arrangements are in place whenever an external party processes personal data on behalf your Faculty or PS Division.

Your Faculty or PS Division liaise with the Data Protection Officer if you intend to process personal data that is likely to result in a high risk to individuals or if you are thinking of delivering any major project which requires the processing of personal data.

Your Faculty or PS Division liaise with the Data Protection Officer whenever personal data is transferred outside of the UK.

You appoint an Information Asset Owner who ensures that your Information Asset Register reflects all information assets related to all processing of personal data within your Faculty or PS Division.

Freedom of Information and Data Subject Access Requests

The **Freedom of Information** Act makes provision for any person to make a request to the University for information, for the University to respond whether it holds that information and, if so, subject to exemptions, to communicate that information. The University normally has 20 working days to respond to a Freedom of Information (FOI) request.

Individuals (commonly known as 'data subjects') have the right to access personal data that the University holds about them by making a **Data Subject Request** (SAR) either verbally or in writing. The University normally has one calendar month to respond to a SAR.

University point of contact: foi@sussex.ac.uk (for Freedom of information requests); dpo@sussex.ac.uk (For queries relating to data subject requests, or requests from third parties for personal data held by the University)

University point of contact:

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Ensure all staff are aware that all University correspondence (emails, Teams messages and Zoom messages etc) are subject to Freedom of Information and Subject Access requests.
- Members of staff understand the University's requirements to meet external deadlines and support the collection of required information to respond to requests.

Relevant webpage(s):

[Freedom of Information; FAQs on Freedom of Information; Data subject rights of Individuals](#)

Compliance indicators:

If your Faculty or PS Division receives an email from the Information Management team regarding a FOI or SAR, the request is prioritised in order for the University to meet the statutory deadline.
You nominate a sufficient number of <i>Information Owners (data owners)</i> to ensure that all FOI or SAR deadlines set by the Information Management team are met.

Records Management

Effective records management ensures that the University runs as efficiently as possible and meets its various obligations. Proper records management guarantees that all of the University's records are created, received, used, and disposed of in our day-to-day work in a way that facilitates their most efficient and effective use.

The Records Management Policy applies to all University records, regardless of how they were created and how they are stored (for example, whether hard copy or digital; held by individuals or in centralised systems) and covers the entire life cycle of records from creation through to disposal.

The purpose of the Policy is to:

- To outline the importance of, and principles which underpin, good records management;
- To make clear individual and institutional responsibilities with regard to records management at the University; and
- To provide a basis from which the University's Master Records Retention Schedule can be understood and utilised.

The Master Records Retention Schedule provides specific detail about which records make up the University's key business records, how long these should be retained, and what the recommended disposal action following the end of the retention period is. It applies to master records in all media and formats.

University point of contact:

GDPR@sussex.ac.uk

Support available: Advice and guidance.

Each Faculty or PS Division should:

- Ensure all members of staff are aware of the Records Management Policy.
- Only used the University approved and supported storage options, e.g., Box, OneDrive for Business, or research storage, are used.
- Manage data in line with the appropriate classification guidance.

Relevant webpage(s):

[Records Management Policy, Master Records Retention Schedule, Information Classification and Handling Policy; Records Management Top Tips; Frequently Asked Questions on records management](#)

Compliance indicators:

Appropriate file naming and version controls are in place across your Faculty or PS Division and the protocols are documented and available to colleagues.

All records, including emails, that are created or handled at your Faculty or PS Division are classified as described in the University's Information Classification and Handling Policy (e.g., sensitive records and emails are clearly marked as 'Sensitive'). Sensitive information includes commercial information, research data, special categories of personal data, or information relating to contractual or legal obligations.

Access to your records, including group email boxes, is controlled based on who should be able to view or edit them, and access is regularly reviewed especially when someone leaves or moves into a different role.

Your records, including individual and group emails, are regularly reviewed and disposed of if no longer needed.

Your key business records are retained for as long as described in the University's Master Records Retention Schedule and the recommended disposal action following the end of the retention period is implemented accordingly.

Records that have a historical or institutional value are archived through the University Collections team at the Library.

Paper records are disposed confidentially and securely by using confidential waste bins that are available across your Faculty or PS Division.

Export Controls and the National Security & Investment Act

The University works within a vibrant and productive international research community with our research benefiting from collaboration and investment from across the world. While most of our activities are free of constraints, certain technology, equipment and partner organisations are subject to legal restrictions.

Members of the University who work or carry out research in any of the following [17 sensitive sectors](#) (as identified by the UK government) should ensure that they follow University guidance related to [Export Controls](#) and the [National Security and Investment \(NSI\) Act](#):

Advanced Materials	Critical Suppliers to Government	Quantum Technologies
Advanced Robotics	Cryptographic Authentication	Satellite and Space Technologies
Artificial Intelligence	Data Infrastructure	Suppliers to the Emergency Services
Civil Nuclear	Defence	Synthetic Biology
Communications	Energy	Transport
Computing Hardware	Military and Dual-Use	

To determine whether you may need an export licence, or whether you need to submit a notification in accordance with the NSI Act, you should:

- a. Familiarise yourself with the University's [Export Controls and Sensitive Technology Transfers policy](#) (which also includes guidance on how to comply with the NSI Act – see pg. 12)
- b. Complete an [Export Controls Enquiry Form](#) and return it to exportcontrols@sussex.ac.uk – this should be done as far in advance as possible in case a licence application is required. As required by the form, you can use the government's [Goods Checker](#) tool to search for any terms related to your work and check for controls
- c. If - having read the guidance - there is a possibility that you may need to submit a notification in accordance with the NSI Act, you should contact exportcontrols@sussex.ac.uk as soon as possible for support

Bespoke training is available to all members of the University, and you can enrol onto a relevant course by contacting exportcontrols@sussex.ac.uk.

Who to contact for any advice around these policies or for any training needs:

University point of contact:

exportcontrols@sussex.ac.uk

Relevant webpage(s):

[Trusted Research](#)

[Managing Security-Related Risks in Internationalisation](#)

Examples of compliance:

You are aware of the policy and processes around export controls and the NSI Act and ensure these are disseminated to your Faculty or PS Division.

You are aware of what training is available and have disseminated this to your Faculty or PS Division.
