

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

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 rTw

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.

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

Advice and guidance, Register of Interests template.

Each

- 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.

a) all directorships registered under the Companies Act, whether or not they are remunerated
e.g. directorship of a company.

b) remuneration received from any source other than the University, including but not limited to:
fees, honoraria, consultancy, directorships, etc.

- 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

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)

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Advice and guidance.

Each

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

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

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

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 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.

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

All

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

- 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.

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

You appoint an Information Asset Owner who ensures that your Information Asset Register

The 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

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

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 _____ and the _____:

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