Ref No: FOI 5272
Date: 23/01/2023
Subject: Funding

## REQUEST

Please list all the projects, industrial consultancy and industrial research that the university has received funding for over the past 5 academic years, 2018-2019, 2019-2020, 2020-2021 and 2021-2022. Details should be broken down by each university department, showing the company or government body who have provided funding, the start and end date of each contract, title of the project/research, and total funding of each project/research year-by-year for the past four academic years.

## RESPONSE

Clarification Issued

As we have previously communicated to you, we have combined the two requests you have submitted to the University (FOI 5271 and FOI 5272) for the purposes of determining whether the appropriate cost limit is likely to be exceeded. Within your first request (FOI 5271) you make reference to 'arm trade companies' and provide a limited number of examples. The University does not have a means by which to classify companies as 'arms trade companies' within its systems and therefore it would require a subjective assessment to categorise companies the University has had an involvement with for the purposes of this request. In addition to this subjective assessment, we would also be required to manually search through any records and identify such companies in the absence of being able to categorise them. Given the above, and having reviewed the content of your second request (FOI 5272), it is likely that to provide you with the information you have requested within both requests will exceed the appropriate cost limit as specified within section 12 of the Freedom of Information Act. In order to allow us to provide you with information for your first request, we would suggest that you provide a defined list of companies you define as 'arms trade companies'. In order to allow us to provide you with some information in response to your second request, we would advise you to narrow the parameters of the information you are requesting. For example, you may wish to limit the scope of your request to a specific Department within the University or reduce the number of years for which you are requesting information.

Clarification Received

I hope this has narrowed things down enough.

I am requesting information on the following companies: BAE Systems, Rolls Royce, Nuclear Graduates, Atkins, Atos, Defence Science and Technology Laboratory (Dstl), Mott MacDonald, Boeing, Lockhead Martin, Caterpillar, Airbus, Leonardo, Thales, Leidos, GKN, Smiths Group, Cobham, VT Group, General Dynamics, General Electric, Halliburton, L3 Technologies, Northrop Grumman, Raytheon, QinetiQ, Elbit Systems, United Technologies, Babcock International, Serco, Meggitt, AirTanker, Chemring and Ultra Electronics, British Aircraft Corporation, Racal, JCB, Selex ES, English Electric, Vickers Office of Naval Research, and the Ministry of Defence.

For each of the above companies, please list all the research funding, projects, industrial consultancy and industrial research fees that the university has received over the past 5 academic years, 2018-2019, 2019-2020, 2020-2021 and 2021-2022. Details should be broken down by each university department, showing the company or government body who have provided funding, the start and end date of each contract, title of the project/research, and total funding of each project/research year-by-year for the past four academic years.

A previous, similar FOI can be seen here:
https://eur02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.whatdotheyknow.com%2Frequest%2Fresearch_and_financial_relations_9&data=05%7C01%7Cfoi%40live.lancs.ac.uk%7Cd39a77e0fec6464efbbb08dace3d2b63%7C9c9bcd11977a4e9ca9a0bc734090164a%7C0%7C0%7C638049059939337753%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C2000%7C%7C%7C&sdata=wrXm6kSCXwKqJ5lN0nDq6fSG2ciHbQDT23XjTJ1ecfI%3D&reserved=0

Please also confirm if any shares are held in the above companies as part of a pension fund or endowment.

If possible, please could you also provide a portfolio statement for the fund(s) the university has investments in. If you do not have a copy of this, please send me a list of the names of the fund(s) and the corresponding management companies. If this will take you over the cost limit then ignore this.

## RESPONSE

The University does not have a list of “arms trade companies”. This request has been processed using the list of companies provided.

Please see the table below for information relating to the funding provided to the University.

| Amount | Department | Funder | Project Title | Start Date | End Date |
|---|---|---|---|---|---|
| *Please see below | Physics | Leonardo UK Ltd | IAA: Infrared Imaging Arrays | 01/11/2018 | 01/04/2020 |
| £1,196 | Computing | Defence Science & Technology | SL: How to use unconventional defence methods | 10/02/2020 | 31/03/2020 |

| | | | | | |
|---|---|---|---|---|---|
| | | Laboratory (DSTL) | used in conventional organisations | | |
| £69,713 | Biomedical and Life Sciences | Defence Science & Technology Laboratory (DSTL) | Understanding the Mechanisms of antibiotic induced weight loss and subsequent impact on Immunity | 01/01/2022 | 31/12/2024 |
| £59,740 | Psychology | Defence Science & Technology Laboratory (DSTL) | Analysis of CCTV footage to understand behavioural responses during emergency incidents in public places | 22/09/2020 | 17/05/2021 |
| £99,679 | Psychology | Defence Science & Technology Laboratory (DSTL) | SL: Testing assumptions regarding potential behavioural responses during an emergency | 09/05/2022 | 09/05/2023 |
| £132,530 | Psychology | Defence Science & Technology Laboratory (DSTL) | Computational Social Science – Social Data Bias | 01/09/2021 | 31/07/2022 |
| £199,780 | Psychology | Defence Science & Technology Laboratory (DSTL) | DSI:SL: Computational Social Science – Social Data Bias | 01/07/2022 | 30/04/2023 |
| £15,169 | Department of Languages and Cultures | BAE Systems Plc | ISF: #SharedStories: HS 1.017 2B-06 (POTRA Sandpit) | 10/02/2020 | 31/05/2020 |

**We are unable to provide all details relating to this funding as we believe that to release the requested information would, or would be likely to, prejudice the commercial interests of the University. Therefore, this information is exempt under section 43(2) of the Freedom of Information Act 2000 as information whose disclosure would, or would be likely to, prejudice commercial interests. This acts as our refusal notice.*

*Section 43 is a qualified exemption and therefore we are required to conduct a public interest test.*

*The argument to maintain the section 43 exemption is that to the release the information pertaining to the monetary amounts received from funders, and associated project details, may potentially jeopardise the relationship the University has with those funders. A high proportion of the University's funding relates to research and to release the information*

*requested may not only jeopardise that funding and consequently the ability of the University to conduct world class research, but give funders cause to take their funding and associated research to other institutions. This may consequently reduce the University's ability to recruit highly qualified members of research staff. All of these factors impact the commercial interests of the University and its ability to operate in the highly competitive higher education sector. We do not believe it is in the public interest to undermine the ability of the University to operate in a competitive, commercial environment, which is a likely consequence of the release of the requested information.*

*Having considered the wider public interest in openness and transparency and the arguments made in favour of maintaining the exemption, we believe that the balance of public interest in maintaining the exemption outweighs that of disclosing the information. This acts as our refusal notice.*

We can confirm that we do not have any holdings in any of our endowment portfolios with any of the companies listed. Lancaster University do not have any independent pension funds and we have no access to the day to day holdings of the schemes we are members of.

Please see attached for the University's portfolio statements as of 30/09/2022.

Your request i.d. is: 5272. Please quote this in all enquiries.

The University aims to comply fully with its obligations under the Freedom of Information Act 2000 and to ensure that the service it provides for those wishing to gain access to information is helpful and effective.

The personal information you have supplied will be used only to process your request; some details will be retained for our records after the request has been answered. This information will not be passed on to other parties unrelated to the University unless we are required to do so by law, or where it would be necessary to answer the request in full (in which case we would seek your consent for any transfer).

Process for Making a Complaint

If you feel the service you have received does not meet our aims or your expectations, you are entitled to request that the University undertakes an internal review of the way we have responded to this request. Requesters should make requests for an internal review no later than 40 working days after the date of this document. The University is not obliged to accept internal reviews after this point.

To request an internal review, please write to:

Head of Governance Services
University House

Lancaster University
Bailrigg
Lancaster
LA1 4YW

Email: information-governance@lancaster.ac.uk

If, following our internal review, you are dissatisfied with the response provided, you may write to the Information Commissioner's Office, for details visit www.ico.org.uk.