Legal Services
University of York
Heslington
York YO10 5DD

Information Governance Team

Email: foi@york.ac.uk
www.york.ac.uk/records-management/foi

Dear Owen Bennett,

Freedom of Information Request Ref: F21_371

Thank you for your request for information from the University of York. Please see our response below.

> **In the below request, the phrase 'arms trade companies' relates to, but not limited to:**
>
> **BAE Systems,**
> **Rolls Royce**
> **GKN**
> **Smiths Group**
> **Cobham**
> **VT Group**
> **General Dynamics**
> **General Electric**
> **Halliburton,**
> **L3 Communications,**
> **Northrup Grumman**
> **Raytheon.**
>
> **Could you please provide:**

1. **The total amount, in pounds sterling, that the university has received in research funding from arms trade companies in the last five financial years. Details should be broken down for each company, year-by-year for the last five financial years.**

Please see the table below.

2. **The total amount, in pounds sterling, that the university has received in the form of industrial consultancy and industrial research fees from arms trade companies in the last five financial years. Details should be broken down for each company, year-by-year for the last five financial years.**

Please see the table below.

Organisation	Year	Research Funding (Question 1)	Other (Question 2)
BAE Systems	2015/16	22,355	27,239
	2016/17	0	51,422
	2017/18	20,000	-3,299
	2018/19	0	0
	2019/20	0	0
Rolls Royce	2015/16	0	2,700
	2016/17	78,770	3,922
	2017/18	126,263	1,350
	2018/19	152,162	0
	2019/20	93,637	0
GKN	2015/16 - 2019/20	0	0
Smiths Group	2015/16 - 2019/20	0	0
Cobham	2015/16 - 2019/20	0	0
VT Group	2015/16 - 2019/20	0	0
General Dynamics	2015/16 - 2019/20	0	0
General Electric	2015/16 - 2019/20	0	0
Halliburton	2015/16 - 2019/20	0	0
L3 Communications	2015/16 - 2019/20	0	0
Northrup Grumman	2015/16 - 2019/20	0	0
Raytheon	2015/16 - 2019/20	0	0

3. **The total amount, in pounds sterling, that the university has received in research funding from the Ministry of Defence over the last five financial years. Details should be broken down, year-by-year for the last five financial years.**

£0 (for all years).

4. **The total amount, in pounds sterling, that the university has received in the form of industrial consultancy and industrial research fees from the Ministry of Defence over the last five financial years. Details should be broken down, year-by-year for the last five financial years.**

£0 (for all years).

5. **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. Details should be broken down, year-by-year for the last five financial years.**

Details of the University's investment portfolio is located on the web: Financial information - About the University. This page contains the information for all years except 31 July 2016, which is listed below.

Funds held at 31 July 2016

Fund Name	Fund Code	£
ROYAL LONDON ETHICAL BD M (INC)	B7MT2J6	829,889.81
RATHBONE ETHICAL BD INST (INC)	B7FQJT3	802,813.37
M&G CHARIFUND (INC)	549462	792,755.20
SCHRODER EQ INC TR FOR CHARITIES INST (INC)	3231164	512,492.57
FIRST STATE STEWART GBL EMRG MKTS LDRS 'B' (ACC)	3387454	398,119.18
ASI GBL ETHICAL EQ 'I' (INC)	683382	861,040.31
SARASIN SOCIALLY RESP 'P' INST (INC)	B75JDT0	968,863.65
CHARITIES PROPERTY FUND	208075	248,399.58
PROPERTY INC TST FOR CHARITIES RET (INC)	B0517P1	364,744.37
Revenue Account	RVSTG	8,569.06
Trading Account	TRSTG	177,732.27
Total		**5,965,419.37**

6. **Please also confirm if any shares are held in the above companies as part of a pension fund or endowment, either directly or indirectly through an externally managed fund. Details should be broken down, year-by-year for the last five financial years.**

Information not held.

University staff may participate in Universities Superannuation Scheme, NHS pension scheme, University of York Pension fund, People's Pension fund. Each of these pension funds are separate from the University and we have no knowledge of their investments.

If you are dissatisfied with the handling of your request, you have the right to ask for an internal review. Your internal review request should be submitted in writing by **17 November 2021** to foi@york.ac.uk, detailing your grounds for appeal/complaint.

If you are not content with the outcome of the internal review, you have the right to apply directly to the Information Commissioner for a decision.

I hope this information is useful.

Yours sincerely,

Information Governance Team