



University of East Anglia

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[REDACTED]

07 July 2016

Dear [REDACTED]

Freedom of Information Act 2000 – Information request (ref: FOI_16-125)

We have now considered your request of 17 June 2016 for information relating to University investments.

Our response is on pages 3-4 of this letter, together with a copy of your request and within the attached documents entitled, respectively, Appendix A_Data file_FOI_16-125.xlsx and Appendix B_Data file_FOI_16-125.pdf.

On this occasion, it is not possible to provide all the requested information. The Act contains a number of exemptions that allow public authorities to withhold certain information from release. We have applied the following exemption to part of your request.

s.40(2), Personal information	Disclosure of information would contravene one of the data protection principles
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In line with s.40(2) of the Act we have removed certain personal data from Appendix B_Data file_FOI_16-125 as we believe that information identifying certain UEA staff and journalists external to UEA are 'personal data', as defined by section 1(1) of the Data Protection Act 1998 (DPA).

We believe that disclosure of the information relating to individuals would be against the first data protection principle under the DPA; namely that information must be fairly and lawfully processed, and that the processing also meets one of the conditions set out in Schedule 2 of that Act. We do not have consent for the release of this information, and in this case we do not consider disclosure of the data to be necessary under any of the other conditions of Schedule 2.

Where information has been removed from the accompanying file in accordance with s.40(2), we have replaced the text with a block of solid black text.

We hope this information will meet your requirements, however if you are not satisfied you have the right of appeal. If you wish to appeal, please set out in writing your reasons for appealing and send to the above address. You must appeal within 60 calendar days of the date of this letter. Any appeal received after that date will not be considered nor acknowledged. This policy has been reviewed and approved by the Information Commissioner's Office.

You also have a subsequent right of appeal to the Information Commissioner's Office. Further information is available on their website:

https://ico.org.uk/Global/contact_us, or by telephone on 0303 123 1113.

Please note that any material over which UEA has copyright is released on the understanding that you will comply with all relevant copyright rules regarding reproduction and/or transmission of the information provided.

Please quote our reference given at the head of this letter in all correspondence.

Yours sincerely

Dave Palmer
Information Policy and Compliance Manager
University of East Anglia

Response to Freedom of Information Act 2000 request (FOI_16-125)

What was the market value of the institution's endowment funds on 31 July 2015?

The market value of the University's endowment fund on 31 July 2015 was £734,000.00

On 31 July 2015 were the institution's endowment funds managed directly by the institution, or indirectly by an external fund manager(s), or a combination of both? If external fund manager(s) are used, please provide the name of each company used, along with the % of the endowment funds that they were managing

The University's endowment funds were managed by both the institution (71%) and Barclays Wealth (29%)

If the university invests directly in companies what is the market value invested in each company on 31 July 2015 - [see example here](#)

The University invests in Mobile Tornado, the market value as at 31 July 2015 was £15,000.00

If the university holds investments through an external fund manager please provide the investment portfolio for that manager from 31 July 2015, which includes the market value for each of their investments – [see example here](#).

The requested information is in the attached file entitled Appendix_A_Data file_FOI_16-125.xlsx

Does the institution have an ethical investment policy, or similar? If so, please state if it is publically available, and provide a web link. If it is not publically available, please provide a copy

The University's investment policy is available at <https://portal.uea.ac.uk/finance/endowment-fund-investment>

Does the institution apply any specific investment inclusions or exclusions to endowment funds or financial investments? If so, please provide details on what they are.

Details of the review of investment policy implementation is available at <https://portal.uea.ac.uk/finance/endowment-fund-investment>

Has the university made any public statements regarding divesting from fossil fuel companies or ethical investment in the last 4 years? Please provide link to statements

Yes, the University has made such statements. The current statement is available on our website here: <https://portal.uea.ac.uk/arm/internal-communications/announcements/fossil-fuel-divestment>

Prior statements are not displayed on our website and therefore are provided within the attached file entitled Appendix_B_Data file_FOI_16-125.pdf.

[Information exempted pursuant to s.40(2), Freedom of Information Act]

Some of the data within the above-noted document is exempt from release for the reasons stated in the above letter.