

Professor David W. Keith
Gordon McKay Professor of Applied Physics
John A. Paulson School of Engineering and Applied Sciences
Professor of Public Policy, Harvard Kennedy School of Government
Harvard University, Pierce Hall, 29 Oxford Street
Cambridge, MA 02138

Dear Professor Keith,

As you are aware, the overarching mission of the SCoPEX Advisory Committee is to ensure that the SCoPEX project is undertaken in a transparent, responsible, and legitimate manner and that it meaningfully contributes both to science and to building appropriate public engagement and trust. Operating independently from the research team we consider our mandate is to provide advice and guidance on the research and governance of the project.

Our work comprises four complementary elements:

- A technical review
- A legal and regulatory review
- A societal review, and
- A financial review

The results of these reviews will inform the committee's recommendations on whether and how SCoPEX should move forward, and we are grateful for your assurance that our input will be taken seriously and fully considered as part of the research process.

It is against this background that we have undertaken the financial review. This review is based on the information you have kindly shared with the Committee, our informal discussions with you (on 08/20 and 10/2/22) and Harvard's public disclosure (<https://geoengineering.environment.harvard.edu/funding>). This review has identified the following concerns/issues related to the financial disclosures. We request clarification from you, on the following, to assist in finalizing our review.

1. In your memorandum to the Committee dated June 10, 2020 it was stated *inter alia* that "We do not accept donations from corporations, foundations or individuals if the majority of their current profits or wealth come from the fossil fuel industry, unless they can clearly demonstrate that they do not have a conflict of interest and present a strong track record of supporting efforts to address climate change." In addition, you provided two examples as to why funding from fossil fuel derived wealth would be unacceptable (in the case of Exxon) but acceptable (in the case of Tom Steyer or Rockefeller Foundation), based on what the Committee considers to be a relatively subjective rating scale. In light of these criteria, can you clarify (a) how the contribution from Laura and John Arnold is consistent with your policy?
2. The Committee notes that at least one donor (Bill Gates¹) has funded other experiments and research on large scale SRM. Do any project funders, whether

¹ The Committee is advised that this donation is not from the BMGF, but from Gates' personal funds.

individuals, foundations, institutions, corporations, affiliates or collaborators stand to benefit financially or politically from the results of this work? The Committee would also be grateful to be informed of the actions that you have taken (or intend to take) to mitigate such potential conflicts of interest.

3. The Committee is advised that there are different kinds of intellectual property that could be generated from SCoPEX, including copyright, patent, trademark, industrial design and geographical indicators. We would welcome a clear statement of the specific principles governing intellectual property generated by the project, and how these principles will apply to members of the SCoPEX project team, its contractors, collaborators and other third parties. As you have stated that all intellectual property from the project will be in the public domain would you consider publishing it under the relevant Creative Commons license structure?

In addition to the specific issues raised above, we seek your assurance that:

1. The Advisory committee will be kept updated on any changes to current Harvard and SCoPEX policy governing the acceptance of philanthropic donations.
2. The Advisory Committee will be informed of the identity of all additional sources and amount of monetary and in-kind support accepted for the SCoPEX experiment.
3. All funding sources will be clearly identified and publicly listed.
4. SCoPEX does not accept resources from anonymous donors.
5. Donations are accepted to provide broad project support, and are without conditionalities that direct the use of such funding to specific project activities.

We look forward to receiving a response to the matters raised, and welcome any further information that would assist the Committee in completing the financial review.