



UNIVERSITY OF MASSACHUSETTS  
AMHERST

374 Whitmore Administration Building  
181 Presidents Drive  
Amherst, MA 01003-9313

RECEIVED  
STATE ETHICS COMMISSION  
2013 SEP 30 AM 9:40

Office of the Chancellor

voice: 413.545.2211  
fax: 413.545.2328  
www.umass.edu

September 25, 2013

Legal Division  
State Ethics Commission  
One Ashburton Place  
Boston, MA 02108

RE: Disclosure under M.G.L. Chapter 268A, Section 6

Dear Sir/Madam:

Pursuant to M.G.L. Chapter 268A, Section 6, I enclose the following documents for filing with the Ethics Commission as required under the statute:

1. Disclosure of Financial Interest form, dated September 11, 2013, and Memorandum, undated, from Dr. Melinda Novak, Professor and Department Chair, Department of Psychology, relative to her request for permission to employ her spouse, Dr. Jerrold Meyer, as Co-Principal Investigator on a NIH grant by providing assays of various substances found in rhesus monkey hair.
2. My letter of determination, dated September 25, 2013, which permits Dr. Melinda Novak to employ her spouse, Dr. Jerrold Meyer, as the Co-Principal Investigator.

Very truly yours,

Kumble R. Subbaswamy  
Chancellor

Enclosures

**DISCLOSURE BY NON-ELECTED STATE EMPLOYEE OF FINANCIAL INTEREST  
AND DETERMINATION BY APPOINTING AUTHORITY  
AS REQUIRED BY G. L. c. 268A, § 6**

RECEIVED  
STATE ETHICS COMMISSION

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|---|--|
| <b>STATE EMPLOYEE INFORMATION</b>   |  |
| Name:   | Melinda Novak  |
| Title or Position:  | Professor and Department Chair   |
| State Agency:   | University of Massachusetts  |
| Agency Address:   |  |
| Office Phone:   |  |
| Office E-mail:  |  |
| My duties require me to participate in a particular matter, and I may not participate because of a financial interest that I am disclosing here. I request a determination from my appointing authority about how I should proceed. |  |
| <b>PARTICULAR MATTER</b>  |  |
| Particular matter<br><br>E.g., a judicial or other proceeding, application, submission, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, decision, determination, or finding. | I am the Principal Investigator on a grant that was run through Harvard Medical School for the last 15 years to the New England Primate Research Center. This grant has 4 subcontracts, one of which was to UMass for biological assays of hormones in hair, saliva and plasma samples obtained from rhesus monkeys at the Center. The PI on the subcontract at UMass was Prof. Jerrold Meyer who is my husband. Because of the announced closure of the New England Primate Research Center this spring, I have worked to transfer the entire grant to UMass. As a result of this transfer, the subcontract and the main grant are now combined at UMass. Thus, I am the PI of the large grant and Jerry Meyer is also the Co-investigator on this large grant. His role has not changed. He is in charge of all biological assays conducted in the Psychology Department Assay Core. We have collaborated for many years, and I seek permission to have this collaboration continue. |
| Your required participation in the particular matter:<br><br>E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.   | Please describe the task you are required to perform with respect to the particular matter.<br><br>Principal supervision of a National Institutes of Health grant on which my husband, Prof. Jerrold Meyer, is a Co-Investigator and receives a summer salary.   |
| <b>FINANCIAL INTEREST IN THE PARTICULAR MATTER</b>  |  |
| Write an X by all   |  |

|                                  |   |
|----------------------------------|---|
| that apply.                      | <input type="checkbox"/> I have a financial interest in the matter.<br><input checked="" type="checkbox"/> My immediate family member has a financial interest in the matter.<br><input type="checkbox"/> My business partner has a financial interest in the matter.<br><input type="checkbox"/> I am an officer, director, trustee, partner or employee of a business organization, and the business organization has a financial interest in the matter.<br><input type="checkbox"/> I am negotiating or have made an arrangement concerning future employment with a person or organization, and the person or organization has a financial interest in the matter. |
| Financial interest in the matter | Please explain the financial interest and include a dollar amount if you know it.<br><br>Summer salary for Prof. Jerrold Meyer in the amount of \$12,000.   |
| Employee signature:              | <i>Melende Norah</i>  |
| Date:                            | 9/11/13   |

#### DETERMINATION BY APPOINTING OFFICIAL

|   |   |
|---|---|
|   | <b>APPOINTING AUTHORITY INFORMATION</b>   |
| Name of Appointing Authority:   | Kumble R. Subbaswamy  |
| Title or Position:  | Chancellor  |
| Agency/Department:  | Office of the Chancellor  |
| Agency Address:   | University of Massachusetts, Amherst<br>374 Whitmore Administration Building<br>181 Presidents Drive<br>Amherst, MA 01003-9313  |
| Office Phone:   | 413-545-2211  |
| Office E-mail   | chancellor@umass.edu  |
|   | <b>DETERMINATION</b>  |
| Determination by appointing authority:<br><br>Write an X by your selection. | As appointing official, as required by G.L. c. 268A, § 6, I have reviewed the particular matter and the financial interest identified above by a state employee.<br><br><input type="checkbox"/> I am assigning the particular matter to another employee, or<br><input type="checkbox"/> I am assuming responsibility for the particular matter, or<br><input checked="" type="checkbox"/> I have determined that the financial interest is not so substantial as to be deemed likely to affect the integrity of the services which the Commonwealth may expect from the employee. |
| Appointing Authority signature:   | <i>Stone Good</i> / <i>KR Subbaswamy</i>  |
| Date:   | 9.12.13 / 09-25-2013  |
| Comment:  |   |

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**Attach additional pages if necessary.**

**File copy with:**

**State Ethics Commission, One Ashburton Place, Room 619, Boston, MA 02108**

**Form Revised February, 2012**



UNIVERSITY OF  
MASSACHUSETTS  
Tobin Hall  
135 Hicks Way  
University of Massachusetts  
Amherst, MA 01003-9271

Department of Psychology

TEL: 413 545-2387  
FAX: 413 545-0996

Dear Chancellor Subbaswamy,

I am the Principal Investigator on an NIH grant that was run through Harvard Medical to the New England Primate Research Center for the last 15 years. The current grant has 4 subcontracts, one of which was to UMass for the assay of hormones in hair, saliva, and blood samples obtained from the rhesus monkeys at the Center. The PI on the subcontract is Jerrold Meyer, Emeritus Professor, who is my husband. Because of the announced closure of the New England Primate Research Center this spring, I have worked to transfer the entire grant to UMass. As a result of this transfer, which has been approved by the NIH, the subcontract and the main grant are now combined at UMass. Thus, I am PI of the large grant, and Jerry Meyer is the Co-Investigator on this grant. His role has not changed. He is in charge of all biological assays in the Psychology Department Assay Core. I do not supervise his activities. Consistent with the designation of Co-investigator, we are collaborators. I seek permission to have this collaboration continue.

Sincerely,

A handwritten signature in cursive script, reading "Melinda Novak".

Melinda Novak  
Professor and Department Chair

Approval

A handwritten signature in blue ink, reading "Steve Goodwin".

Steve Goodwin, Dean of CNS

9/12/13

Date

A handwritten signature in cursive script, reading "Kumble Subbaswamy".

Kumble Subbaswamy, Chancellor

9/26/13

Date



UNIVERSITY OF MASSACHUSETTS  
AMHERST

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181 Presidents Drive  
Amherst, MA 01003-9313

Office of the Chancellor

voice: 413.545.2211  
fax: 413.545.2328  
www.umass.edu

September 25, 2013

Dr. Melinda Novak, Professor and Department Chair  
Department of Psychology  
University of Massachusetts Amherst  
Tobin Hall  
135 Hicks Way  
Amherst, MA 01003-9271

Dear Dr. Novak:

I acknowledge receipt of your undated Memorandum and Disclosure of Financial Interest, dated September 11, 2013. You request permission to employ your spouse, Dr. Jerrold Meyer, on a NIH grant, as the Co-Principal Investigator.

You report that that Jerrold has a combination of skills that would be impossible to find in another Co-Principal Investigator and that seven (7) years ago, while serving as the PI on a subcontract of this grant, Dr. Meyer developed a revolutionary approach to studying the stress response system over time through a new procedure for quantifying cortisol from hair. His role in the grant is to provide assays of various substances in rhesus monkey hair, including cortisol and other relevant hormones. He is the world's leading expert on this topic, and this grant went through a successful competing renewal in large part because of this revolutionary procedure. In summary, a continuation of his appointment is crucial to the success of Dr. Novak's grant and future funding prospects.

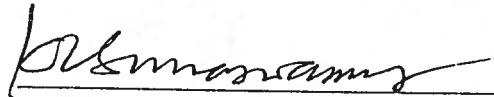
Massachusetts General Laws, Chapter 268A, Section 6, in part, prohibits a state employee from employing immediate family members and from compensating them for services rendered, except when I "make a written determination that the interest is not so substantial as to be deemed likely to affect the integrity of the services which the Commonwealth may expect from [. . . you], in which case it shall not be a violation for [. . . you] to participate in the particular matter." (M.G.L., Chapter 268A, Section 6.)

I determine that any personal interest you may have in this appointment is not so substantial as to be deemed likely to affect the integrity of your services to the Commonwealth and the Department of Public Health.

This determination, which will allow you to utilize the services of your spouse for one (1) year, must be reviewed and re-evaluated prior to any further appointment. A request should be submitted to the Chancellor of the Amherst campus to make such a review and reevaluated by August 1, 2014, if you wish to retain Dr. Jerrold Meyer in his work in your department and on your research project.

As directed by statute, I am sending a copy of this written "determination" letter, along with your memorandum and disclosure form, to the State Ethics Commission for filing. The statute requires you to advise the Ethics Commission of the nature and circumstances of the particular matter and make full disclosure of the financial interest. I am fulfilling that requirement by enclosing your memorandum and disclosure form along with a copy of this letter.

Sincerely,

A handwritten signature in dark ink, appearing to read 'K. Subbaswamy', written over a horizontal line.

Kumble R. Subbaswamy  
Chancellor

Enclosures

cc: James Staros, Provost  
Brian W. Burke, Senior Counsel

**Laura L. Dziuban**

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**From:** Ceil Thompson  
**Sent:** Friday, September 20, 2013 12:09 PM  
**To:** Brian W. Burke  
**Cc:** Laura L. Dziuban; Melinda Novak  
**Subject:** FW: Qualifications of Meyer for grant OD001180

Melinda Novak has provided a description of Dr. Meyer's unique qualifications to provide service on the NIH grant for which the disclosure form was submitted. Please let us know if there is additional information needed to make the decision.

Thank you,

Ceil Thompson

Director, Administrative Services  
College of Natural Sciences  
University of Massachusetts  
Amherst, MA 01003  
(413) 545-6543

-----Original Message-----

**From:** Melinda Novak [<mailto:Mnovak@psych.umass.edu>]  
**Sent:** Friday, September 20, 2013 12:00 PM  
**To:** Ceil Thompson  
**Subject:** Qualifications of Meyer for grant OD001180

Dr. Jerrold Meyer is uniquely qualified to serve in the role as Co-Pi. Seven years ago, while serving as the PI on a subcontract of this grant, Dr. Meyer developed a revolutionary approach to studying the stress response system (Davenport et al., 2006; 2008). Previously, all measures of the stress hormone, cortisol, whether from saliva or plasma represented brief time points. By developing a new procedure of quantifying cortisol from hair, Dr. Meyer was able to establish the first chronic measure of cortisol over a period of months. Since that time, Dr. Meyer has received samples from all over the world to measure hair cort in a variety of species. e.g., polar bears (3 publications), rhesus macaques (4 publications), greyhounds (study in process), humans with adverse childhood experiences (under review), stress in nurses (in process), mother-infant interactions (in process). His role on the grant is to provide assays of various substances in rhesus monkey hair, not only including cortisol but also other relevant hormones. He is the world's leading expert on this topic, and this grant went through a successful competing renewal in large part because of this revolutionary procedure.