



UNIVERSITY OF MASSACHUSETTS
AMHERST

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

RECEIVED
STATE ETHICS COMMISSION
2015 AUG -3 AM 11:08

OFFICE OF THE CHANCELLOR

voice: 413.545.2211
fax: 413.545.2328
www.umass.edu

July 27, 2015

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 June 10, 2015, and Memorandum, dated June 12, 2015, from Dr. Jesse Mager, Associate Professor, College of Natural Sciences, Department of Veterinary and Animal Sciences, relative to his request for permission to employ his spouse, Dr. Kimberly Tremblay, as a participant and collaborator on his grant.
2. My letter of determination, dated July 27, 2015, which permits Dr. Jesse Mager to employ his spouse, Dr. Kimberly Tremblay, as a participant and collaborator.

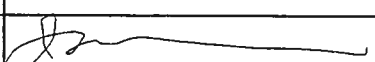
Very truly yours,

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

STATE EMPLOYEE INFORMATION	
Name:	Jesse Mager 2015 AUG -3 AM 11:08
Title or Position:	Associate Professor
State Agency:	University of Massachusetts
Agency Address:	661 North Pleasant Street Amherst, MA 01003
Office Phone:	413 545 7368
Office E-mail:	jmager@vasci.umass.edu
	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.
PARTICULAR MATTER	
Particular matter E.g., a judicial or other proceeding, application, submission, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, decision,	I have received an NIH grant in which my wife, Dr, Kimberly Tremblay is a participant as a collaborator in the proposed work. The grant is to assess many newly generated knock-out mouse lines that exhibit embryonic lethality during early gestation. I have enlisted Dr. Tremblay for her expertise during organogenesis stages (embryonic days 7-9), which perfectly complement my own area of expertise (embryonic days 1-7). Our combined expertise allow for the thorough analysis required to accomplish the work. Dr. Tremblay is the only qualified scientist on our campus with the required expertise. Conducting a search outside the area for a person with her expertise would be impractical because of the short period of the work.
Your required participation in the particular matter: E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.	To accomplish the proposed experimental analysis, I will be Dr, Tremblay's "supervisor" since I am the sole Principal Investigator (PI) on the proposal and she is a collaborator. Additionally Dr. Tremblay will receive summer compensation for her effort on the project; PI's are responsible for approving all expenses incurred under the grant.
FINANCIAL INTEREST IN THE PARTICULAR MATTER	
Write an X by all that apply.	<input checked="" type="checkbox"/> I have a financial interest in the matter. <input checked="" type="checkbox"/> My immediate family member has a financial interest in the matter. <input type="checkbox"/> My business partner has a financial interest in the matter. <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. <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	Dr. Tremblay is my spouse. As such we share our financial resource, meaning I have an interest in increasing her pay. Dr. Tremblay will receive one month summer salary in years 1-5 of the grant (\$10,311 per year). Professor Tremblay's current salary is \$94,614.26, so the summer salary request would represent 10.8979% of her current academic year (9 month) salary.
Employee signature:	

Date:	06/10/15
-------	----------

DETERMINATION BY APPOINTING OFFICIAL

	APPOINTING AUTHORITY INFORMATION
Name of Appointing Authority:	Kumble R. Subbaswamy
Title or Position:	Chancellor
Agency/Department:	Chancellor's Office
Agency Address:	University of Massachusetts Amherst 374 Whitmore Administration Building 181 President's Drive Amherst, MA. 01003
Office Phone:	413-545-2211
Office E-mail	chancellor@umass.edu
	DETERMINATION
Determination by appointing authority: 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. <input type="checkbox"/> I am assigning the particular matter to another employee, or <input type="checkbox"/> I am assuming responsibility for the particular matter, or <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:	
Date:	07/27/2015
Comment:	

Attach additional pages if necessary.

File copy with:

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



UNIVERSITY of
MASSACHUSETTS
661 North Pleasant Street
Amherst, MA 01003-9286

Department of Veterinary
and Animal Sciences

June 12, 2015

To: Kumble R. Subbaswamy, Chancellor

I have received an NIH grant in which my wife, Dr. Kimberly Tremblay, is a participant as a collaborator. I am therefore writing to disclose what may be perceived as nepotism and request your support and approval in this matter.

The grant is to assess many newly generated knock-out mouse lines that exhibit embryonic lethality during early gestation. I have enlisted Dr. Tremblay for her expertise during organogenesis stages (embryonic days 7-9), which perfectly complement my own area of expertise (embryonic days 1-7). Our combined expertise allow for the thorough analysis required to accomplish the work.

Dr. Tremblay is the only qualified scientist on our campus with the required expertise. Conducting a search outside the area for a person with her expertise would be impractical because of the short period of the work.

To accomplish the proposed experimental analysis, I will be Dr. Tremblay's "supervisor" since I am the sole Principal Investigator (PI) on the proposal and she is a collaborator. Additionally Dr. Tremblay will receive 1-month summer compensation for her effort on the project. PI's are responsible for approving all expenses incurred under the grant.

Sincerely,

A handwritten signature in black ink, consisting of a stylized 'J' followed by a horizontal line.

Jesse Mager, Ph.D.
Associate Professor
Veterinary & Animal Science
jmager@vasci.umass.edu
413-545-7368



UNIVERSITY OF MASSACHUSETTS
AMHERST

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

OFFICE OF THE CHANCELLOR

voice: 413.545.2211
fax: 413.545.2328
www.umass.edu

July 27, 2015

Dr. Jesse Mager, Associate Professor
College of Natural Sciences
Department of Veterinary and Animal Sciences
University of Massachusetts Amherst
Integrated Science Building
661 North Pleasant Street
Amherst, MA 01003-9301

Dear Dr. Mager:

I acknowledge receipt of your June 12, 2015 Memorandum and June 10, 2015 Disclosure of Financial Interest. You request permission to employ your spouse, Dr. Kimberly Tremblay, as a participant and collaborator on your NIH grant, which assesses many newly generated knock-out mouse lines that exhibit embryonic lethality during early gestation.

You report that that Kimberly is an uniquely qualified scientist, who possesses the requisite knowledge and expertise during organogenesis stages (embryonic days 7-9), which perfectly complement his own area of expertise (embryonic days 1-7). Your combined expertise allow for the thorough analysis required to accomplish the work on the grant.

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.)

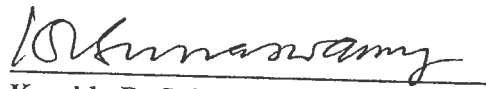
I determine that any personal interest you may have in this appointment is not so substantial as to be deemed likely to affect the integrity of your services to the Commonwealth and the Department of Veterinary and Animal Sciences.

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 reevaluation by July 1, 2016, if you wish to retain Dr. Kimberly Tremblay in her work in your lab.

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 cursive script, reading "Kumble R. Subbaswamy", written over a horizontal line.

Kumble R. Subbaswamy
Chancellor

Enclosures

cc: Katherine S. Newman, Provost
Brian W. Burke, Senior Counsel