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October 25, 2019

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, 2019, and Memorandum, undated, from Research Professor Beverly Woolf to request permission to employ her brother-in-law, Dr. Burton Woolf, as a facilitator for a one-time, two-day NSF (award #1936915) sponsored workshop entitled, "DIRECT: A Framework for Diagnosis, Recommendation, and Training in Continuous Workforce Development" to be scheduled in either late October or November, 2019.
2. My letter of determination, dated October 25, 2019, which permits Research Professor Beverly Woolf to employ her brother-in-law, Dr. Burton Woolf, as a as a facilitator for a one-time, two-day NSF (award #1936915) sponsored workshop entitled, "DIRECT: A Framework for Diagnosis, Recommendation, and Training in Continuous Workforce Development" to be scheduled in either late October or November, 2019.

Very truly yours,



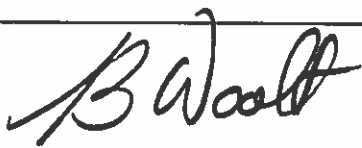
Kumble R. Subbaswamy
Chancellor

Enclosures

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

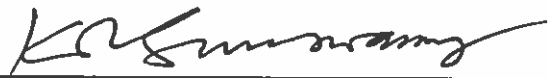
	STATE EMPLOYEE INFORMATION
Name:	Beverly Woolf
Title or Position:	Research Professor
State Agency:	College of Information and Computer Sciences
Agency Address:	University of Massachusetts, Amherst 140 Governors Dr. Amherst, MA 01003
Office Phone:	(413) 545-4265
Office E-mail:	A257 LGRC
	My duties require 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, determination, or finding.	<p>Please describe the particular matter.</p> <p>I request permission to hire my brother-in-law, Dr. Burton Woolf, to facilitate a one-time NSF sponsored workshop to address issues of communication among academics, government officials and industry executives.</p> <p>For this new NSF funded project, Dr. Burton Woolf will design and facilitate a two-day planning workshop in the Fall of 2019 at UMass-Amherst and provide, as necessary, advance and follow-up support services in connection with the workshop. The overall purpose of the workshop is to <i>develop plans for two years of diagnosis, recommendation, and training in continuous workforce development</i>. This research is a high priority for the White House and the National Science Foundation. NSF acted under a very tight timeline to award funding for this work and we at UMass need the services of Dr. Burton Woolf to succeed in this work.</p> <p>Information about the study and the role Dr. Burton Woolf will play. The NSF award is # 1936915, "DIRECT: A Framework for Diagnosis, Recommendation, and Training in Continuous Workforce Development." It addresses worker reskilling and retraining and will collect and analyze data from a large partner corporation in the manufacturing industry and will interview real workers and stakeholders. The research team will need to converge in terms of their expertise in computer science, educational technology, and social and economic analyses of the labor market to propose an effective, fair, and scalable software solution that can help a broad segment of workers in the US workforce, in both the manufacturing industry and beyond. The research focuses on building a "smart job matcher," a system that uses artificial intelligence (AI) and deep learning to diagnose a worker's skills and detect the skill gap between the job he/she has and the skills required when AI and robots enter the workplace. This research will guide workers through the process of job selection and upskilling in their entire career. We will develop a software framework that performs worker profile diagnosis, training program, recommendation, and intelligent training.</p> <p>Dr. Burton Woolf will organize a two-day workshop in late October or November, 2019 to facilitate communication among various partners, including experts from Stanley, Black and Decker, academia (AI, data science, and labor) and city officials. This workshop will involve experts from:</p> <ul style="list-style-type: none"> • AI, sociology and labor economics who will design surveys, discuss how to build models that effectively capture the cognitive, emotional, and physical state of workers through non-invasive measurements and by running preliminary experiments; • Psychology and training/education to identify barriers workers face in collaborating with robots, digital manufacturing and the internet of things;

	<ul style="list-style-type: none"> • Industry and academia to develop training paradigms for workers to effectively communicate with robots and workers. • Data science and training/education to discuss how to diagnose manufacturing skill level, skill gaps and to recommend training of workers. • City officials and employment specialists who will discuss the requirements for job and training program recommendations, combining the different perspectives of employer, employee, and algorithm developer. <p>A facilitator is critical to our process as he will organize and plan the workshop activities, moderate discussion panels, and synthesize the findings. The facilitator can help us with everything from high-level visioning and collaboration during the workshop to hour-by-hour logistics before and after the workshop. Without such facilitators, many workshops are finish without a memorable program or well-articulated consensus.</p> <p>Dr. Burton Woolf will facilitate activities among a strong team of researchers in the disciplines of computer science, education, labor analysis, economics, and psychology, and will be asked to form a strong partnership among University of Massachusetts Amherst, Stanley, Black & Decker, the world's leading tool manufacturing company, and the city of Holyoke, Massachusetts. The team will identify concrete research problems that once solved, can benefit real-world workers through site visits, worker interviews and workshops. They will develop solutions that are not only scientifically valid but also practically relevant by considering worker well-being and fairness, privacy, and transparency requirements, and test training software in the real world and evaluate its effectiveness in helping real workers to plan their future career paths and upskilling.</p>
<p>Your required participation in the particular matter:</p> <p>E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.</p>	<p>Please describe the task you are required to perform with respect to the particular matter. The tasks of Dr. Burton Woolf include:</p> <ul style="list-style-type: none"> • Prior to the workshop, work with the PI and Co-PIs to develop a process to meet the objectives of the convergence workshop, set logistics for the event, support the preparation of handouts and related materials, and engage participants in advance for preparation; • At the workshop, facilitate events according to the agreed upon program, to achieve the primary objectives; and • After the workshop, provide follow-up support services to summarize the process and synthesize the results produced by the participants. <p>Dr. Burton Woolf's background and expertise.</p> <p>Dr. Burton Woolf is unique in that he focuses on adult transformative learning within organizations, and how to achieve institutional mission and vision. He has rare and exceptional skills and education. He is a master group process facilitator, adept social networker, and power user of technology applications. He has facilitated many groups at UMass-Amherst, see attached resume.</p> <p>The quality of the workshop experience itself will play a critical role in the success of our NSF research efforts. With a workshop entailing a conversation among high-level professionals, we will pay close attention, not only to the <i>logistical aspects</i> of the meetings (e.g., how the space is set up, hospitality provided, recreational breaks, etc.), but also to the <i>process design</i> of the meetings (e.g., how the agenda is structured, how the sessions are facilitated, etc.). These may appear to be common-sense issues, but attention to these details before, during, and following the workshops, will provide an efficient and rewarding working environment in which highly effective results can be produced by the participants.</p> <p>This NSF research requires creative problem solving, consensus-building and participatory decision-making. Thus, it is crucial to keep participants focused on their appointed tasks and to make sure that their attention is not diverted by distracting influences within the meeting environment. We maintain that all activities related to the workshop sessions be organized and implemented impeccably. We can count on Dr. Burton Woolf to do this.</p> <p>I offered Dr. Burton Woolf a role as a consultant for a new NSF sponsored research project for a one-time fee of \$8,000. The "position" was not bid publicly. I will be his supervisor in the new project.</p>

	FINANCIAL INTEREST IN THE PARTICULAR MATTER
Write an X by all that apply.	<p><input type="checkbox"/> I have a financial interest in the matter.</p> <p><input checked="" type="checkbox"/> My immediate family member has a financial interest in the matter.</p> <p><input type="checkbox"/> My business partner has a financial interest in the matter.</p> <p><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.</p> <p><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.</p>
Financial interest in the matter	<p>The timing constraints on this NSF award made it mandatory that the decision of facilitator be made very quickly. There was no time for an open search. The recipients of this award are similarly under pressure now to produce results very quickly.</p> <p>I have enlisted the services of Dr. James Allan, Professor & Chair of the Faculty, College of Information and Computer Sciences, to be his supervisor for pay determination or performance evaluation. Dr. Allan, along with, Laura Haas The Dean of the College, have already written a letter supporting the hiring of Dr. Burton Woolf.</p> <p>The proposed NSF fee of \$8,000 will be between .04 and .07 (4%-7%) of the total earned consulting revenue for Dr. Woolf for academic year 2019-2020.</p>
Employee signature:	
Date:	Sept 11, 2019

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:	374 Whitmore Administration Building University of Massachusetts – Amherst, 181 Presidents Drive Amherst, MA 01003
Office Phone:	(413) 545-2211
Office E-mail	chancellor@umass.edu
	DETERMINATION
Determination by appointing authority:	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.
Write an X by your selection.	<input checked="" 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 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:	10/25/2019
Comment:	

Attach additional pages if necessary.

File copy with:

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



UNIVERSITY OF MASSACHUSETTS AMHERST

Computer Science Building
140 Governors Drive
Amherst, MA 01003-9264

COLLEGE OF INFORMATION AND COMPUTER SCIENCES

voice: 413.545.2744
fax: 413.545.1249
www.cics.umass.edu

Kumble R. Subbaswamy
Chancellor
UMass Amherst
374 Whitmore Building
Amherst, MA 01003

Dear Dr. Subbaswamy,

This is an Ethics Disclosure request to hire Dr. Burton Woolf, my brother-in-law, as a facilitator for a one-time workshop for NSF supported research on the Future of the Workplace. This research is a high priority for the White House and the National Science Foundation. NSF acted under a very tight timeline to award funding for this work and we at UMass need the services of Dr. Burton Woolf to succeed in this work.

Information about the study and the role Dr. Burton Woolf will play.

The NSF award is # 1936915, "DIRECT: A Framework for Diagnosis, Recommendation, and Training in Continuous Workforce Development." It addresses worker reskilling and retraining and will collect and analyze data from a large partner corporation in the manufacturing industry and will interview real workers and stakeholders. The research team will need to converge in terms of their expertise in computer science, educational technology, and social and economic analyses of the labor market to propose an effective, fair, and scalable software solution that can help a broad segment of workers in the US workforce, in both the manufacturing industry and beyond. The research focuses on building a "smart job matcher," a system that uses artificial intelligence (AI) and deep learning to diagnose a worker's skills and detect the skill gap between the job he/she has and the skills required when AI and robots enter the workplace. This research will guide workers through the process of job selection and upskilling in their entire career. We will develop a software framework that performs worker profile diagnosis, training program, recommendation, and intelligent training.

Dr. Burton Woolf will organize a two-day workshop in late October or November, 2019 to facilitate communication among various partners, including experts from Stanley, Black and Decker, academia (AI, data science, and labor) and city officials. This workshop will involve experts from:

- AI, sociology and labor economics who will design surveys, discuss how to build models that effectively capture the cognitive, emotional, and physical state of workers through non-invasive measurements and by running preliminary experiments;
- Psychology and training/education to identify barriers workers face in collaborating with robots, digital manufacturing and the internet of things;
- Industry and academia to develop training paradigms for workers to effectively communicate with robots and workers.
- Data science and training/education to discuss how to diagnose manufacturing skill level, skill gaps and to recommend training of workers.
- City officials and employment specialists who will discuss the requirements for job and training program recommendations, combining the different perspectives of employer, employee, and algorithm developer.

A facilitator is critical to our process as he will organize and plan the workshop activities, moderate discussion panels, and synthesize the findings. The facilitator can help us with everything from high-level visioning and collaboration during the workshop to hour-by-hour logistics before and after the workshop. Without such facilitators, many workshops are finish without a memorable program or well-articulated consensus.

The tasks of Dr. Burton Woolf include:

- Prior to the workshop, work with the PI and Co-PIs to develop a process to meet the objectives of the convergence workshop, set logistics for the event, support the preparation of handouts and related materials, and engage participants in advance for preparation;
- At the workshop, facilitate events according to the agreed upon program, to achieve the primary objectives; and
- After the workshop, provide follow-up support services to summarize the process and synthesize the results produced by the participants.

Dr. Burton Woolf's background and expertise.

Dr. Burton Woolf is unique in that he focuses on adult transformative learning within organizations, and how to achieve institutional mission and vision. He has rare and exceptional skills and education. He is a master group process facilitator, adept social networker, and power user of technology applications. He has facilitated many groups at UMass-Amherst, see attached resume.

The quality of the workshop experience itself will play a critical role in the success of our NSF research efforts. With a workshop entailing a conversation among high-level professionals, we will pay close attention, not only to the *logistical aspects* of the meetings (e.g., how the space is set up, hospitality provided, recreational breaks, etc.), but also to the *process design* of the meetings (e.g., how the agenda is structured, how the sessions are facilitated, etc.). These may appear to be common-sense issues, but attention to these details before, during, and following the workshops, will provide an efficient and rewarding working environment in which highly effective results can be produced by the participants.

This NSF research requires creative problem solving, consensus-building and participatory decision-making. Thus, it is crucial to keep participants focused on their appointed tasks and to make sure that their attention is not diverted by distracting influences within the meeting environment. We maintain that all activities related to the workshop sessions be organized and implemented impeccably. We can count on Dr. Burton Woolf to do this.

Hiring and Supervision of Dr. Burton Woolf

The timing constraints on this NSF award made it mandatory that the decision of facilitator be made very quickly. There was no time for an open search. The recipients of this award are similarly under pressure now to produce results very quickly.

I have enlisted the services of Dr. James Allan, Professor & Chair of the Faculty, College of Information and Computer Sciences, to be his supervisor for pay determination or performance evaluation. Dr. Allan, along with, Laura Haas The Dean of the College, have already written a letter supporting the hiring of Dr. Burton Woolf.

The proposed NSF fee of \$8,000 will be between .04 and .07 (4%-7%) of the total earned consulting revenue for Dr. Woolf for academic year 2019-2020.

If you need any more information please let me know.

Regards,



Beverly Woolf
Research Professor
College of Information and Computer Sciences

October 25, 2019

Beverly Woolf, Research Professor
College of Information and Computer Sciences
University of Massachusetts Amherst
140 Governors Drive
Amherst, MA 01003-9264

Dear Professor Woolf:

I acknowledge receipt of your September 11, 2019 Disclosure of Financial Interest and undated Memorandum. You request permission to employ your brother-in-law, Dr. Burton Woolf, as a facilitator for a one-time, two-day NSF (award #1936915) sponsored workshop entitled "DIRECT: A Framework for Diagnosis, Recommendation, and Training in Continuous Workforce Development". The workshop will be scheduled in either late October or November 2019, and its overall purpose is to develop plans for two years of diagnosis, recommendation, and training in continuous workforce development. You would employ your brother-in-law for this one-time workshop at a fee of \$8,000.00.

You state that this research is a high priority for the White House and the National Science Foundation, and that this award will address worker reskilling and retraining, will collect and analyze data from a large partner corporation in the manufacturing industry, and will interview real workers and stakeholders. Additionally, you report this research focuses on building a "smart job matcher", a system that uses artificial intelligence and deep learning to diagnose a worker's skills and detect the skill gap between the worker's job and the skills required when artificial intelligence and robots enter the workplace. You state that this research is intended to guide workers through the process of job selection and upskilling in their entire career.

You indicate that Dr. Burton Woolf has facilitated many groups at UMass-Amherst. You request that Dr. Burton Woolf be hired as a facilitator for this one-time, two-day NSF workshop due to his focus on adult transformative learning within organizations and achieving institutional mission and vision, along with his combination of skills in group process facilitation, social networking, and use of technology applications. You report that this NSF research requires creative problem solving, consensus-building and participatory decision-making, and that it is crucial to keep participants focused on their appointed tasks and ensure that their attention is not diverted by distracting influences within the meeting environment. You indicate Dr. Burton Woolf

has the experience in organizing and planning workshop activities, and moderating discussion panels and synthesizing findings, all which provide an efficient and rewarding working environment in which participants can produce highly effective results. Finally, you report that all activities related to the workshop sessions must be organized and implemented impeccably and that you can count on Dr. Burton Woolf to do this.

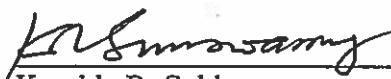
Massachusetts General Laws Chapter 268A, Section 6, in part, prohibits a state employee from employing immediate family members and from compensating them for services rendered except when I make a written determination that the matter has been assigned to another employee in which case it shall not be a violation for you to participate in the particular matter.

Based on the information you have provided, I determine that the responsibility for Dr. Burton Woolf's supervision and review have been assigned to Dr. James Allan.

This determination, which will allow you to utilize the services of your brother-in-law through January 31, 2020, must be reviewed and re-evaluated prior to any further appointment. If you wish to retain Dr. Burton Woolf on your project beyond January 31, 2020, please submit your request to the Chancellor of the Amherst campus to make such a review and reevaluation by December 31, 2019.

The statute requires you to advise the Ethics Commission of the nature and circumstances of the particular matter make full disclosure of the financial interest. 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.

Sincerely,


Kumble R. Subbaswamy
Chancellor

Enclosures

cc: Allison B. Lepper, Associate Counsel
John McCarthy, Provost