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Office of the Chancellor

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February 25, 2020

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

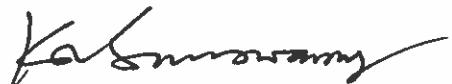
RE: Disclosure under M.G.L. Chapter 268A, Section 6

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 and Memorandum, dated December 27, 2019, from Professor Alice Y. Cheung to request permission to employ her spouse, Dr. Hen-Ming Wu, as a Research Professor A on two NSF grants in the Department of Biochemistry and Molecular Biology.
2. My letter of determination, dated February 25, 2020, which permits Professor Alice Y. Cheung to employ her spouse, Dr. Hen-Ming Wu, as a Research Professor A on two NSF grants in the Department of Biochemistry and Molecular Biology.

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:	Alice Y. Cheung
Title or Position:	Professor
State Agency:	University of Massachusetts Amherst
Agency Address:	Biochemistry and Molecular Biology 710 North Pleasant Street Amherst, MA 01003
Office Phone:	(413) 545 - 4027
Office E-mail:	acheung@biochem.umass.edu
<p>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.</p>	
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>Dr. Hen-Ming Wu, my husband, is working in my laboratory as a Research Professor A. His salary is paid from two grants from the National Science Foundation entitled "Dissecting the mechanisms of FERONIA and related receptor kinase-mediated pollen-pistil interactions" and "Establishing a core signaling mechanism for the multifunctional FERONIA receptor kinase". Dr. Wu is co-PI on these grants, which are active until March 31, 2021 and July 2020, respectively (and both of which we are preparing applications for continued funding). Dr. Wu holds a Ph.D. in Chemistry and has been conducting research in plant reproduction and signal transduction since 1988. Dr. Wu has been the co-author of close to fifty publications, many widely-cited, in our field of studies, therefore clearly has the skills and expertise to perform this work.</p>
Your required participation in the particular matter: E.g., approval, disapproval, decision, recommendation, rendering advice, investigation, other.	<p>Please describe the task you are required to perform with respect to the particular matter.</p> <p>As a PI on this grant and in the laboratory, my duties are to train students and postdocs and direct and publish research. As a major contributor of work in the same laboratory, as the sole or co-PI on several previously funded projects, current, a recently approved projects, and also pending grant applications, Dr. Wu shares the same goals and responsibilities. All of our respective duties and responsibilities are described in detail in multiple documents at OGCA and the departmental office.</p>
FINANCIAL INTEREST IN THE PARTICULAR MATTER	
Write an X by all that apply.	<p><input checked="" 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	Please explain the financial interest and include a dollar amount if you know it.

December 27, 2019

Chancellor Kumble R. Subbaswamy
Chancellor's Office
374 Whitmore Building
University of Massachusetts
Amherst MA 01003

Dear Chancellor Subbaswamy,

I am writing to request permission to renew the appointment of my spouse, Dr. Hen-Ming Wu, who was appointed Research Associate Professor in September 1997 when I joined the faculty at the University of Massachusetts. He was promoted to Research Professor A starting in the 2014 academic year after a full review based on his research performance and adhering to the standards and criteria for promotion reviews in our department and the College of Natural Sciences, and without my participation. Dr. Wu was supported through these years by research grants from federal funding agencies including the NIH, DOE, NSF and USDA, some as co-investigator (NIH) or co-Principal Investigator (co-PI) with me (as PI), some Dr. Wu was the sole PI, or with me as the co-PI. These projects are all of a collaborative nature that utilizes our overlapping expertise in molecular biology and biochemistry, complementary knowledge in biophysics, genetics and cell biology, and mutual interests in a broad range of biological phenomena.

Dr. Wu and I have been collaborators prior to arriving on the UMass Amherst campus. Our research focuses on understanding the fundamental mechanisms that control how plants grow, develop and reproduce. With these as the common core of our studies, Dr. Wu plays a leading role in investigating how various hormonal signals regulate cellular and molecular processes to achieve proper growth and development, an area broadly known as signal transduction, while I lead the investigation on dissecting the mechanisms that underlie pollination and fertilization. We contribute equally in different ways to every project in our laboratory as both areas of research depend on similar experimental expertise and both of us are knowledgeable with the fundamental principles behind each of these topics.

Dr. Wu has made immense contributions to research in our lab as well as to the educational mission of our campus. He has been a co-author on close to sixty publications, with close to 50 of them from UMass in the last 20 years, some serving as either the first or senior author, many of them are highly cited and in very reputable journals. He is instrumental to mentoring research trainees at all levels, from postdoctoral fellows, graduate students, and undergraduates. During our tenure at UMass, we have mentored more than eight

February 25, 2020

Professor Alice Y. Cheung
Department of Biochemistry and Molecular Biology
Lederle Graduate Research Center
University of Massachusetts Amherst
710 North Pleasant Street,
Amherst, MA 01003-9305

Dear Professor Cheung:

I acknowledge receipt of your December 27, 2019 Disclosure of Financial Interest and Memorandum. You request permission to continue to employ your spouse, Dr. Hen-Ming Wu, as a Research Professor A in your lab. You indicate that Dr. Wu would be paid through two grants from the National Science Foundation on which you are PI, entitled: "Dissecting the mechanisms of FERONIA and related receptor kinase-mediated pollen-pistil interactions" and "Establishing a core signaling mechanism for the multifunctional FERONIA receptor kinase". You state that these grants are active until March 31, 2021 and July 2020, respectively, and that Dr. Wu's annual salary would be \$21,490.30, at 17.8% effort.

You report that both of you have been collaborators prior to your joining the UMASS Amherst faculty, and that your research focuses on understanding the fundamental mechanisms that control how plants grow, develop, and reproduce. You state that Dr. Wu's expertise in molecular biology, biochemistry and biophysics are synergistic with your expertise in genetics and cell biology, and that his combination of skills would be impossible to find in another hire as he has been working in the area of plant reproduction and signal transduction since 1988. You further state that Dr. Wu plays a leading role in investigating how various hormonal signals regulate cellular and molecular processes to achieve proper growth and development, an area broadly known as signal transduction, while you lead the investigation on dissecting the mechanisms that underlie pollination and fertilization. You both contribute equally in different ways to every project in your laboratory, as both areas of research depend on similar experimental expertise and you both are knowledgeable with the fundamental principles behind each of these topics. You state that even though you and Dr. Wu are an internationally known team, Dr. Wu is known for having made important contributions to the field and is reputed to be creative, dedicated and generous in helping to advance the research of others in the field. In fact, you indicate that during your and Dr. Wu's tenure at UMASS, both of you

have mentored more than eight undergraduates, most of them on multi-year projects, and many are co-authors on papers with direct contributions to reported results. You further believe that his appointment on the UMASS faculty not only ensures the success of your own research program, but will also continue to contribute to the vibrancy and visibility of research activity at UMASS.

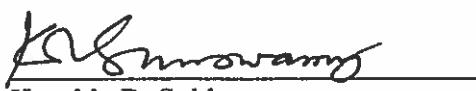
Department Chair Dr. Jennifer Normanly endorses the collaboration, and acknowledged the fact that you and Dr. Wu have a long-standing and productive collaboration in which you have co-published numerous high impact journal articles and co-mentored postdoctoral fellows, graduate students and undergraduates. She further acknowledges that your research collaboration has enhanced the international visibility of UMASS Amherst and views this collaboration as an economical means of retaining two very productive researchers.

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 Biochemistry and Molecular Biology. This determination will allow you to utilize the services of your spouse for one (1) year from February 25, 2020 through February 24, 2021.

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