



Office of the Chancellor

August 3, 2022

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 May 16, 2022 and Memorandum, dated May 11, 2022, from Dr. Dominique Alfandari, Professor, College of Natural Sciences, Department of Veterinary and Animal Sciences, requesting permission to employ his spouse, Dr. Helene Cousin, as a Co-PI on his NIH R01 grant, "Mechanisms of Cranial Neural crest cells".
2. My letter of determination, dated August 3, 2022, which permits Dr. Dominique Alfandari to employ his spouse, Dr. Helene Cousin, as a Co-PI on the above-referenced grant.

Very truly yours,

DocuSigned by:

Kumble R. Subbaswamy

E2C62B100CBB443

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:	Dominique Alfandari
Title or Position:	Professor
State Agency:	University of Massachusetts Amherst
Agency Address:	661 North Pleasant Street, ISB 427B, Amherst, MA 01054
Office Phone:	(413) 577-4269
Office E-mail:	alfandar@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, determination, or finding.	Dr. Cousin is my Wife. She has been working with me to understand Cranial neural crest cell migration for 2 decades. We have published together more than 40 manuscripts in peer-reviewed journals. She is the co-principal investigator on a RO1 funded grant with me "Mechanism of Cranial Neural crest cells, which is in its second competitive renewal. Dr. Cousin is a 9 month Lecturer and has 3 month effort listed on the grant (for May 2022 – August 2022). Dr. Cousin and I will continue to collaborate intellectually and will continue to share a lab space in the Integrated Sciences Building. I believe that her expertise is critical for the grant success and that the fact that we are married does not constitute a conflict of interest. Dr. Cousin is widely recognized as a uniquely gifted embryologist and has taught embryology course at cold spring harbor and Harvard.
Your required participation in the particular matter: 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. Dr. Cousin will continue her work to fulfill the Aims of the project in our shared space. Dr. Fissore the chair of the department will supervise Dr. Cousin as any of the other faculty.
	FINANCIAL INTEREST IN THE PARTICULAR MATTER
Write an X by all that apply.	☒ I have a financial interest in the matter. ☒ My immediate family member has a financial interest in the matter. ☐ My business partner has a financial interest in the matter. ☐ I am an officer, director, trustee, partner or employee of a business organization, and the business organization has a financial interest in the matter. ☐ 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. Dr. Cousin is committed to 3 month effort during the summer for the NIH grant. Given Umass policy she typically takes 2.5 month for a salary of \$23,715.68
Employee signature:	D. Alfandari, Professor, VASCI
Date:	5/16/2022

DocuSigned by:

Dominique Alfandari

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DETERMINATION BY APPOINTING OFFICIAL

	APPOINTING AUTHORITY INFORMATION
Name of Appointing Authority:	Kumble R. Subbaswamy
Title or Position:	Chancellor
Agency/Department:	University of Massachusetts / Office of the Chancellor
Agency Address:	374 Whitmore Building Amherst MA 01003
Office Phone:	(413) 545-2211
Office E-mail	chancellorswamy@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. ☐ I am assigning the particular matter to another employee, or ☐ I am assuming responsibility for the particular matter, or ☒ 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:	DocuSigned by: <i>Kumble R. Subbaswamy</i> E2C62B100CBB443...
Date:	August 3, 2022
Comment:	

Attach additional pages if necessary.

File copy with:

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



UNIVERSITY of
MASSACHUSETTS
ISB rm 427B
Amherst, MA 01003-9286

Department of Veterinary
and Animal Sciences

Dominique Alfandari, Ph.D.

Professor

Phone: (413) 577 4269

Fax (413) 545 6326

Email alfandar@umass.edu

Wednesday, May 11, 2022

Chancellor Kumble Subbaswamy
University of Massachusetts Amherst
374 Whitmore Administration
Building 181 Presidents Drive
Amherst MA 01003

Dear Chancellor Subbaswamy,

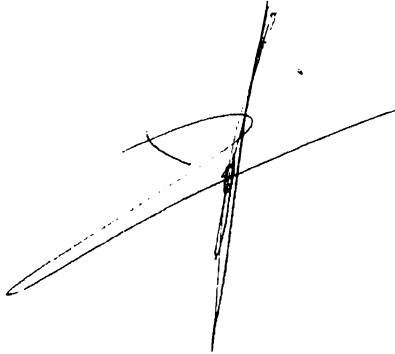
I am writing to provide an update and request that Dr. Cousin may continue to work on the NIH funded project "Mechanism of Cranial Neural crest cells" during the summer as specified in the grant R01DE016289. Dr. Cousin is my Wife and has been my collaborator for more than 20 years. She is currently holding an appointment in the department of veterinary and animal sciences as a Lecturer (9 month). She is also the Co-PI on the above mentioned NIH R01 grant and has listed 3 month summer effort for May 2022 - August 2022.

Dr. Cousin received her PhD with honors at the University Pierre and Marie Curie, did her Post doc in Dr. Desimone laboratory at the University of Virginia and has worked at UMass since 2003. She is a recognized embryologist that has been asked to teach several laboratory courses on *Xenopus* embryology most notably at Harvard and Cold Spring harbor. She has presented her work at national and international conferences and published over 28 publications including multiple chapters of the Cold Spring Harbor protocol in 2019 as the sole author.

Her work was and is critical to the fruition of many of our most significant manuscripts including a ground breaking study in 2012 published in *Developmental Cell*. She is an essential part of our lab contributing to the training of undergraduate, graduate students as well as post doctoral fellows. Dr. Cousin and I will continue to collaborate intellectually and will continue to share lab space in the Integrated Sciences Building.

I request that she'd be allowed to maintain her current position in our shared laboratory and continue her work on our shared grant. Thank you for your time and consideration.

Sincerely,

A handwritten signature in black ink, appearing to be 'Dom D. Alfandari'. The signature is stylized with a large, sweeping 'D' and a long, horizontal stroke extending to the right.

Dom
D. Alfandari



Office of the Chancellor

August 3, 2022

Dominique Alfandari, PhD
Associate Professor
Department of Veterinary and Animal Sciences
Integrated Science Building, Room 427B
University of Massachusetts Amherst
661 North Pleasant Street,
Amherst, MA 01003-9301

Dear Dr. Alfandari:

I acknowledge receipt of your May 16, 2022 Disclosure of Financial Interest and May 11, 2022 Memorandum. You request permission to appoint your spouse, Dr. Helene Cousin, as a Co-PI for 3-months (May 2022 to August 2022), on your NIH R01 grant, "Mechanism of Cranial Neural crest cells". You indicated that Dr. Cousins' salary for this 3-month period, 100% FTE, will be \$23,715.68.

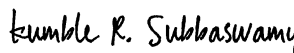
In your Disclosure and Memorandum, you report that Dr. Cousin is widely recognized as a uniquely gifted embryologist, and is an essential part of your lab, contributing to the training of undergraduate and graduate students as well as post-doctoral fellows. You indicate that the aforementioned NIH R01 grant is its second competitive renewal, and that Dr. Cousin's expertise was and is critical for the grant's success.

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.)

Based upon the information in the disclosures you have submitted, 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 through July 31, 2023, must be reviewed and re-evaluated prior to any further appointment. If you wish to retain Dr. Cousin on your projects beyond July 31, 2023, please submit your request to the Chancellor of the Amherst campus to make such a review and re-evaluation by April 1, 2023.

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,

DocuSigned by:

E2C62B100CB843
Kumble R. Subbaswamy
Chancellor

Enclosures

cc: Tricia Serio, Provost
Allison B. Lepper, Amherst Chief Associate Counsel