

University of
Massachusetts
Amherst

Office of the Chancellor

October 14, 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 and Memorandum, dated September 2, 2022, from Research Professor Beverly Woolf requesting permission to employ her brother-in-law, Dr. Burton Woolf, to facilitate three Ideation Workshops from October 18-25, 2022 in support of her NSF-funded project titled: "*Personalized Adventures in Learning (PAL): Future of AI and Education*" (award ITE#2230697).

2. My letter of determination, dated October 14, 2022, which permits Research Professor Beverly Woolf to employ her brother-in-law, Dr. Burton Woolf, to facilitate three Ideation Workshops from October 18-25, 2022 in support of her NSF-funded project titled: "*Personalized Adventures in Learning (PAL): Future of AI and Education*" (award ITE#2230697).

Very truly yours,

DocuSigned by:

Kumble R. Subbaswamy

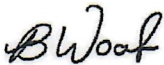
E2C62B100CB8443
Kumble R. Subbaswamy
Chancellor

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. Burt Woolf, to facilitate three NSF sponsored workshops that address issues of communication among academics, government officials and industry executives.</p> <p>For this NSF funded project, #ITE 2230697, <i>Personalized Adventures in Learning (PAL): Future of AI and Education</i>, Dr. Burt Woolf will design and facilitate three virtual workshops in Oct 2022 and provide advance and follow-up support services. The overall purpose of the workshops is to realize practical applications. Significant technology exists for AI and education, as does knowledge of what needs to be done. What is needed <i>now</i> is a <i>concerted effort</i> among diverse stakeholders to create real solutions to be put-to-use immediately. These workshops are designed to establish tracks for proposals in the next NSF Con-Accel solicitation, demonstrate the large community of stakeholders that can address education technology issues, and shed light on the types of cross-cutting education technology partnerships capable of delivering transformative impacts for teaching and learning. The workshops will investigate paths to large-scale adoption for AI-based educational/workplace platforms, systems, and tools, to investigate education and workplace solutions, and to optimize every point in the education process. Academics, entrepreneurs, and government leaders will collaborate using team science and human-centered design to rapidly move projects toward deliverables for broad scale national impact. We need the services of Dr. Burt Woolf to succeed in this work.</p> <p>Information about the study and Dr. Burt Woolf's role</p> <p>An experienced facilitator is essential for the successful completion of these workshops to guide an interdisciplinary team towards a unified vision and plan. Dr. Burt Woolf will facilitate communication among the full range of project stakeholders, including professionals from computer science, educational practice, learning theory, and public policy; researchers from multiple disciplines will work with users of resulting applications, and users in the field, entrepreneurs, and government employees. Dr. Burt Woolf will focus on the following tasks for the Con-Accel Workshop October 18-25, 2022:</p> <ul style="list-style-type: none"> ▪ convene multi-day workshops and create a structure for addressing priority concerns; ▪ organize interactive and collaborative activities for expert participants; ▪ manage conversations among high-level experts; ▪ direct conceptual framework and initial documentation for the final report; ▪ conduct <i>logistical aspects</i> of the meetings (virtual platform); ▪ manage the <i>process design</i> of the meetings (e.g., structure of the agenda, daily facilitation); ▪ design the sequence and flow of activities as well as the agenda for each event; ▪ keep participants focused on the core goals of the workshop; and

	<ul style="list-style-type: none"> produce quality outcomes in a relatively short period of time. <p>Dr. Burt Woolf is a unique facilitator. His focus is on adult transformative learning within organizations, and the achievement of institutional mission and vision. He has worked for UMass-Amherst for many years as well as for my research group. He has rare and exceptional skills and education that few people possess. He is a master group process facilitator, adept social networker, and power user of technology applications. Dr. Burt Woolf will be paid a fee of \$25,000. The "position" was not bid publicly. I request that you be his supervisor, during his brief stay in CICS.</p> <p>Dr. Burt Woolf is a former consultant to the UMass-Amherst campus and provided management support to Auxiliary Enterprises (Residential/Retail Dining, Bookstore, Hotel, Conference Services, etc.). He presented key findings of the culture-change projects facilitated for the Vice Chancellor of A&F (focus on customer service and strategic planning across 9 divisions), and for the Executive Director of Auxiliary Enterprises (focus on building high performing teams in 12 operating units). For the Vice Chancellor of Information Technologies, he led a team-building retreat for IT senior managers (focus on leadership development). For Auxiliary Enterprises Division, he led a strategic visioning process; directed an internal administrative review and quality assessment process; designed and facilitated two leadership development retreats, four departmental think tanks, and a management profiling survey.</p> <p>He worked with me on a previous NSF supported project, tasked to develop a future research agenda in the realm of learning, technology and education. He convened two multi-day workshops, in which 40 leaders explored a complex set of issues and came to consensus about a structure for addressing priority concerns in computer science, educational practice, learning theory, and public policy. Based on his facilitation, we developed a conceptual framework and initial documentation that proved to be basis for an extremely compelling set of findings and recommendations. The quality of the workshop experience itself played a critical role in the success of our efforts. Dr. Burt Woolf paid close attention not only to the <i>logistical aspects</i> of the meetings, but also to the <i>process design</i> of the meetings.</p> <p>Dr. Woolf offers experience across a wide variety of quality-of-life fields including higher education, community and economic development; arts, culture, and heritage development; tourism development; education & training; conservation/preservation of the natural & built environment; and outdoor recreation. He has a proven record of professional success in all aspects of organizational management; strategy and vision planning; creative problem-solving processes and coordination of large-scale events and projects.</p>
<p>Your required participation in the particular matter: 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.</p> <p>As the Principal Investigator, I am responsible for the positive outcome for these workshops. This NSF research requires creative problem solving, consensus-building, and participatory decision-making. Thus, it is crucial to provide a professional experience that supports participants to focus on their task and that all activities be organized and implemented impeccably. We can count on Dr. Burt Woolf to do this.</p> <p>The quality of the workshop experience will play a critical role in the success of our NSF research and proposal efforts. With workshops entailing discussions among high-level professionals, we will need to maintain the continuity of the separate workshop with exceptional attention to detail in both the logistical aspects and process design of the workshop.</p> <p>Here is the scope of work for Dr. Burt Woolf:</p>

	<ul style="list-style-type: none"> • Support the convening of three workshops in October 2022, including weekly planning meetings with PI, invitations process, editing descriptive materials, evaluating technology platforms, arranging as needed for technical support, assisting PI in organizational matters, etc. ; • Assist the PI in the design, sequence and flow of the workshops; • Develop the process design of the meetings (i.e. structure of the agenda, who participates, etc.); • Attend to logistical aspects of the meetings (virtual platform); • Organize the interactive and collaborative aspects of the workshop with expert participants; • Develop and direct the conceptual framework and initial documentation that will be the basis for findings and recommendations to be written up in the final project report; • Manage conversations among high-level professionals and support their completion of required deliverables; and • Support workshop participants to engage in the work at hand, keep focused on the core goals of the workshop, and produce quality outcomes in a relatively short period of time. <p>Dr. Burt Woolf's background and expertise. Dr. Burt Woolf is unique in that he focuses on adult transformative learning within organizations, and how to achieve institutional missions and visions. 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, including the successful workshops for earlier projects.</p>
<p>Write an X by all that apply.</p>	<p align="center">FINANCIAL INTEREST IN THE PARTICULAR MATTER</p> <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>
<p>Financial interest in the matter</p>	<p>Please explain the financial interest and include a dollar amount if you know it.</p> <p>The proposed NSF Fee of \$25,000 will be between 18% and 24% of Dr. Burt Woolf's total earned consulting revenue that he anticipates for academic year 2022/2023.</p> <p>I have enlisted the services of Dr. Erik Learned-Miller, Professor & Chair of the Faculty, College of Information and Computer Sciences, to be his supervisor for pay determination and performance evaluation. Dr. Learned-Miller, along with Dr. Laura Haas, Dean of the College, have already written letters of support to hire Dr. Burt Woolf.</p>
<p>Employee signature:</p>	
<p>Date:</p>	<p>Sept 2, 2022</p>

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: 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 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:	DocuSigned by: <i>Kumble R. Subbaswamy</i>
Date:	E2C62B100CBB443... <i>10/14/2022</i>
Comment:	

Attach additional pages if necessary.

File copy with:
State Ethics Commission, One AshBurt Place, Room 619, Boston, MA 02108

University of
Massachusetts
Amherst

Manning College of Information
& Computer Sciences

Sept 2, 2022

Dr. Kumble R. Subbaswamy
Chancellor
374 Whitmore Administration Building,
University of Massachusetts – Amherst,

Dear Dr. Subbaswamy,

This is an Ethics Disclosure request to hire Dr. Burt Woolf, my brother-in-law, as a facilitator for three workshops supported under the National Science Foundation (NSF) by the Convergence Accelerator Program. This project has a short funding timeline and we at UMass required the services of Dr. Burt Woolf to successfully complete the work. The NSF research requires creative problem solving, consensus-building, and participatory decision-making. It is crucial to provide a professional experience that supports the participants to focus on their tasks and that all activities be organized and implemented impeccably. We can count on Dr. Burt Woolf to do this.

Information about the study and Scope of Work. The NSF award, ITE #2230697, *Personalized Adventures in Learning (PAL): Future of AI and Education*, is designed to support establishment of a track for proposals in the next NSF Con-Accel solicitation, demonstrate the large community of stakeholders that addresses education technology problems, and shed light on the types of cross-cutting education technology partnerships capable of delivering transformative impact for teaching and learning. The workshops will realize practical applications. Significant technology exists for AI and education, as does knowledge of what needs to be done. What is needed *now* is a *concerted effort* among diverse stakeholders to create real solutions to be put-to-use immediately. We seek paths to large-scale adoption for AI-based educational/workplace platforms, systems, and tools, to investigate education and workplace solutions, and to optimize every point in the education process. Academics, commercial entities, and government agencies will collaborate using team science and human-centered design to rapidly move projects toward deliverables for broad scale national impact.

An experienced facilitator is essential for the successful completion of these workshops to guide an interdisciplinary team towards a unified vision and plan. Dr. Burt Woolf will facilitate communication among the full range of project stakeholders, including professionals from computer science, educational practice, learning theory, and public policy; researchers from multiple disciplines will work with users of resulting applications, and users in the field, entrepreneurs, and government employees. Dr. Burt Woolf will focus on the following tasks for the Con-Accel Workshop October 18-25, 2022:

- convene multi-day workshops and create a structure for addressing priority concerns;
- organize interactive and collaborative activities for expert participants;
- manage conversations among high-level experts;
- direct conceptual framework and initial documentation for the final report;
- conduct *logistical aspects* of the meetings (virtual platform);
- manage the *process design* of the meetings (e.g., structure of the agenda, daily facilitation);

- design the sequence and flow of activities as well as the agenda for each event;
- keep participants focused on the core goals of the workshop; and
- produce quality outcomes in a relatively short period of time.

Dr. Burt Woolf worked with me on a previous NSF project, tasked to develop a future research agenda for learning, technology and education. He convened two multi-day workshops, in which 40 leaders explored a complex set of issues and came to consensus about a structure for addressing priority concerns in computer science, educational practice, learning theory, and public policy. We wrote the *Roadmap to Education Technology* in which experts and visionaries identified big computing ideas that defined education technology and how technology can incorporate deeper knowledge about human cognition and develop dramatically more effective instructional strategies. Based on his facilitation, we developed a conceptual framework that provided the basis for an extremely compelling set of findings and recommendations. The quality of the workshop experience itself played a critical role in the success of our efforts. Dr. Burt Woolf paid close attention not only to the *logistical aspects* of the meetings, but also to the *process design* of the meetings.


Background and Expertise of Dr. Burt Woolf. Dr. Burt Woolf is a unique facilitator. His focus is on adult transformative learning within organizations, and the achievement of institutional mission and vision. He has worked for UMass-Amherst for many years as well as for my research group. He has rare and exceptional skills and education that few people possess. He is a master group process facilitator, adept social networker, and power user of technology applications.

Dr. Burt Woolf is a former consultant to the UMass-Amherst campus and provided management support to Auxiliary Enterprises (Residential/Retail Dining, Bookstore, Hotel, Conference Services, etc.). He presented key findings of the culture-change projects facilitated for the UMass Vice Chancellor of A&F (focus on customer service and strategic planning across 9 divisions), and for the Executive Director of Auxiliary Enterprises (focus on building high performing teams in 12 operating units). For the UMass Vice Chancellor of Information Technologies, he led a team-building retreat for IT senior managers (focus on leadership development). For UMass Auxiliary Enterprises Division, he led a strategic visioning process; directed an internal administrative review and quality assessment process; designed and facilitated two leadership development retreats, four departmental think tanks, and a management profiling survey.

Dr. Burt Woolf offers experience across a wide variety of quality-of-life fields, including higher education, community and economic development; arts, culture, and heritage development; tourism development; education & training; conservation/preservation of the natural & built environment; and outdoor recreation. He has a proven record of professional success in all aspects of organizational management; strategy and vision planning; creative problem-solving processes and coordination of large-scale events and projects.

Hiring and supervision of Dr. Burton Woolf. Considering the short timeframe of the project and the importance of the preparation for the workshop, the decision to hire a facilitator requires urgency. This does not allow for an open search. Dr. Erik Learned-Miller, Professor & Chair of the Faculty, Manning College of Information and Computer Sciences, has already agreed to supervise Dr. Burt Woolf for pay determination and performance evaluation. Both Drs. Learned-Miller and Laura Haas, Dean of the College, have written letters of support to hire Dr. Burt Woolf. Dr. Burt Woolf will be paid a fee of \$25,000, which will be between 18% and 24% of Dr. Burt Woolf's total earned consulting revenue anticipated for the academic year 2022/2023.

Sincerely,



Dr. Beverly P. Woolf
Research Professor
College of Information and Computer Sciences

University of
Massachusetts
Amherst

Office of the Chancellor

October 14, 2022

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 2, 2022 Disclosure of Financial Interest and Memorandum. You request permission to employ your brother-in-law, Dr. Burton Woolf, to facilitate three Ideation Workshops from October 18-25, 2022 in support of your NSF-funded project titled: "*Personalized Adventures in Learning (PAL): Future of AI and Education*" (award ITE#2230697). You indicate that these workshops play a critical role in the success of your NSF research and further proposal efforts. You request to employ your brother-in-law for these three NSF-sponsored Ideation Workshops at a fee of \$25,000.

In your Disclosure of Financial Interest form and Memorandum, you state that the Ideation Workshops are part of the Convergence-Accelerator ("Con-Accel") program and are designed to establish tracks for proposals in the next NSF Con-Accel solicitation, demonstrate the large community of stakeholders that can address education technology issues, and shed light on the types of cross-cutting education technology partnerships capable of delivering transformative impacts for teaching and learning. Your Disclosure and Memorandum provide specific details regarding the scope of work to be completed by Dr. Woolf in connection with these Ideation Workshops.

You indicate the Dr. Woolf has facilitated other groups at UMass-Amherst, including convening two multi-day workshops for one of your previous NSF-supported projects, and that the quality of the workshops played a critical role in the success of your NSF research and proposal efforts. You indicate that Dr. Woolf has a focus on adult transformative learning within organizations and the achievement of institutional mission and vision, that he is a master group process facilitator, adept social networker, and power user of technology applications. You further report that this NSF research requires creative problem solving, consensus-building and participatory decision-making, and states that it is crucial to provide a professional experience that allows the participants to focus on their tasks and that all activities be organized and implemented impeccably. You believe that Dr. Woolf can do this.

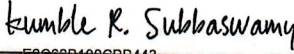
Massachusetts General Laws Chapter 268A, Section 6, in part, prohibits a state employee from employing immediate family members and from compensating them for services rendered except when I make a written determination that the matter has been assigned to another employee in which case it shall not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

This determination, which will allow you to utilize the services of your brother-in-law through November 15, 2022, must be reviewed and re-evaluated prior to any further appointment. If you wish to retain Dr. Burton Woolf on your project beyond November 15, 2022, please submit your request to the Chancellor of the Amherst campus to make such a review and reevaluation by October 31, 2022.

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,

DocuSigned by:

E2C82B1086BB443...
Kumble R. Subbaswamy
Chancellor

Enclosures

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