

**University of
Massachusetts
Amherst**

Office of the Chancellor

February 24, 2023

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

RE: Alice Y. Cheung - Disclosure under M.G.L. Chapter 268A, Section 6

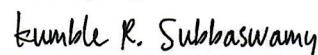
Dear Sir/Madam:

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, both dated December 12, 2022 from Professor Alice Y. Cheung to request permission to employ her spouse, Dr. Hen-Ming Wu, as a Research Professor A on two National Science Foundation (NSF) grants in the Department of Biochemistry and Molecular Biology.
2. My letter of determination, dated February 24, 2023, which permits Professor Alice Y. Cheung to employ her spouse, Dr. Hen-Ming Wu, as a Research Professor A on two National Science Foundation (NSF) grants in the Department of Biochemistry and Molecular Biology.

Very truly yours,

DocuSigned by:


E2C8B100CBB449

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 "Establishing a core signaling mechanism for the multifunctional FERONIA receptor kinase" and "Pollen-stigma interactions: events and players that set off the path to reproductive success". Dr. Wu is co-PI on these grants. The first one will end on July 31, 2023; the second one on May 31, 2025. To replace the first grant indicated above, support will switch to 100% on the second grant. Dr. Wu holds a Ph.D. in Chemistry and his expertise in molecular biology, biochemistry and biophysics are synergistic with my expertise in genetics and cell biology. 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. Dr. Wu is an invaluable member of my research laboratory who participates in all aspects of the research. Dr. Wu has been the co-author of close to sixty 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 in the matter	<p>Please explain the financial interest and include a dollar amount if you know it.</p> <p>Dr. Wu's salary is derived from the two NSF grants as listed above. His annual salary is \$21,490.30 for 17.8% time. Salary is based on union requirements and expertise.</p>
Employee signature:	<p>DocuSigned by:</p> <div style="border: 1px solid black; padding: 2px; display: inline-block;">Alice Cheung</div> <p>88593DBD3D5F48A</p>
Date:	12/12/2022

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:	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 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:	DocuSigned by: <i>Kumble R. Subbaswamy</i>
Date:	52C62BT00CBB443... February 24, 2023
Comment:	

Attach additional pages if necessary.

File copy with:

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

Form Revised February, 2012

UMassAmherst

College of Natural Sciences Biochemistry and Molecular Biology

December 12, 2022

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-Principle 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 is an invaluable member of my research laboratory who participates in all aspects of the research. He 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 70 publications, with close to 60 of them from UMass in the last 25 years, some serving as either the first or senior author, many of them are highly cited and in very reputable journals. He is instrumental in mentoring research trainees at all levels, from postdoctoral fellows, graduate students, and

undergraduates. His expertise in molecular biology, biochemistry and biophysics are synergistic with my expertise in genetics and cell biology. 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. During our tenure at UMass, we 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. We are an internationally known team but Dr. Wu is known in his own right for having made important contributions to our field, and reputed to be creative and dedicated as well as generous in helping to advance the research of others in our field. His continued appointment on the UMass faculty not only ensures the success of our own research program, but will also continue to contribute to the vibrancy and visibility of research activity at UMass. He is clearly an asset to the University.

Dr. Wu's current appointment will terminate on February 24, 2023. His salary (17.8% time, at \$21,490.30 annually) is paid from two grants from the National Science Foundation entitled "Establishing a core signaling mechanism for the multifunctional FERONIA receptor kinase" and "Pollen-stigma interactions: events and players that set off the path to reproductive success". Dr. Wu is co-PI on these grants. The first one will end on July 31, 2023; the second one on May 31, 2025. To replace the first grant indicated above, support will switch to 100% on the second grant. Dr. Wu is also a co-investigator in a NIH grant application that is currently pending.

Your permission for the renewal of Dr. Wu's appointment will allow a long-standing productive collaboration to continue.

Sincerely,

DocuSigned by:

Alice Y. Cheung
8B593DBD3D5F48A...

12/12/2022

Alice Y. Cheung
Professor

University of Massachusetts Amherst

Office of the Chancellor

February 24, 2023

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 Disclosure of Financial Interest and Memorandum, both dated December 12, 2022. 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: "Establishing a core signaling mechanism for the multifunctional FERONIA receptor kinase" and "Pollen-stigma interactions: events and players that set off the path to reproductive success". You state that the first of these grants will end of July 31, 2023, and the second one on May 31, 2025. You indicate that to replace the first grant indicated above, support will switch to 100% on the second grant. Pursuant to your Disclosure and Memorandum, Dr. Wu's annual salary would be \$21,490.30, at 17.8% effort.

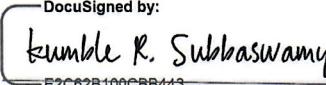
You report that you and Dr. Wu have been collaborators prior to your joining the UMASS Amherst faculty, and that your research focuses on understanding the fundamental mechanisms that control how plants grow, develop, and reproduce. As further detailed in your Disclosure and Memorandum, you indicate 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 state that during your tenure at UMASS, you both 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 additionally indicate that Dr. Wu has made immense contributions to research in your lab as well as to the educational mission of the campus by being a co-author on close to 70 publications, with almost 60 of them from UMASS in the last 25 years. You believe that his appointment on the UMASS faculty not only ensures the success of your own research program, but also will continue to contribute to the vibrancy and visibility of research activity at UMASS.

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."

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, 2023 to February 24, 2024.

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:

Kumble R. Subbaswamy
Chancellor

Enclosures

cc: Tricia Serio, Provost

Allison B. Lepper, Amherst Chief Associate Counsel