

University of
Massachusetts
Amherst

Office of the Chancellor

January 20, 2023

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

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

Dear Sir/Madam:

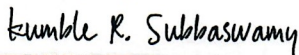
Pursuant to M.G.L. Chapter 268A, Section 6, I enclose the following documents for filing with the Ethics Commission as required under the statute:

1. Disclosure of Financial Interest form, dated November 17, 2022 and Memorandum, dated November 18, 2022, from Research Professor Beverly Woolf requesting permission to employ her brother-in-law, Dr. Burton Woolf, to write a final report from the four workshops held 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 January 20, 2023, which permits Research Professor Beverly Woolf to employ her brother-in-law, Dr. Burton Woolf, to write a final report from the four workshops held 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:

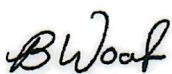

E2C62B100CBB443
Kumble R. Subbaswamy
Chancellor

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:	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:	bev@cs.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.	<p>Please describe the particular matter.</p> <p>I request permission to hire my brother-in-law, Dr. Burt Woolf, to assist in the preparation of a final report and analysis of four NSF workshops. The final report is designed to establish a funding track in the next NSF Con-Accel solicitation for AI-directed education. Dr. Woolf facilitated design and implementation of the workshops in October 2022.</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 help prepare the final report. He will:</p> <ul style="list-style-type: none"> <i>Review</i> 17 hours of audio/visual recordings to extract pertinent information about research projects described by participants; <i>Tabulate</i> data on 160 participants; 17 keynote addresses; 6 breakout groups; five Q&A session; 100 organizations; 4 workshops; 52 participants with project ideas; two brainstorming sessions; <i>Describe</i> participant interests in five workshop areas (e.g., Design, Development and Testing; Assessment; Learning at Scale; Diversity, Equity and Inclusion; Entrepreneurial, Not for Profit, Government Systems) ; <i>Classify</i> participants by organization, location, affiliation (e.g., k12, Non-Profit, private sector, public sector, academics, entrepreneurs, and government, university computer science/education/other). <p>This final report will require coordination with all speakers, and a final report dissemination in late January 2023.</p> <p>Information about the final report and Dr. Burt Woolf's role</p> <p>Dr. Woolf is an experienced communicator and a skilled recorder of workshops, specifically classifying the diversity and engagement among participants in workshops. In the final report describing the Con-Accel Workshop October 18-25, 2022, he will describe communication among the full range of project stakeholders, including professionals from computer science, educational practice, learning theory, and public policy; researchers from multiple disciplines.</p> <p>Dr. Burt Woolf has worked for UMass-Amherst for many years as well as for my research group. He is an adept social networker and power user of technology applications. Dr. Burt Woolf will be paid a fee of \$10,000. The "position" was not bid publicly as he was the facilitator for the four workshops and developed the scope and context of the workshops.</p> <p>He worked with me on two previous NSF supported project. He facilitated the four days of workshops upon which this final report is based and also convened two multi-day workshops, in which 40 leaders explored a complex set of issues and came to consensus</p>

	<p>about a structure for addressing priority concerns in computer science, educational practice, learning theory, and public policy. For both projects, we developed a conceptual framework and initial documentation that provided the base for a 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. Dr. Woolf facilitated the 4 days of workshops upon which this final report is based.</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 preparing the final report and was responsible for the positive outcome of four NSF Con-Accel Workshop October 18-25, 2022. This NSF research required creative problem solving, consensus-building, and participatory decision-making, all of which was facilitated by Dr. Burt Woolf.</p> <p>The quality of the final report will play a critical role in the success of our NSF research and proposal efforts. The final report will integrate the separate workshops in both logistical aspects and description of the funding track.</p> <p>Here is the scope of work for Dr. Burt Woolf in preparing the final report:</p> <ol style="list-style-type: none"> 1) Identify Promising Possibilities for NSF investment. Articulate why this is a unique opportunity for NSF to make a big difference and which projects are well positioned to take advantage of that opportunity. Possible proposal topics for the funding track include: Metaverse; Learner-Data Ecosystem; Immersive Performance Assessments; (to address critical complex human activity; Hybrid Learning; Scaling Up Tutoring for a Collective Outcome (not just the individual) ; The "Library" 2) Tease apart collaborations and synergies. Identify which combinations (integration, blending, piggybacking, dovetailing) of research efforts would amplify the impact of AI in education. Which projects overlap or work toward similar impact. 3) Establish convergent themes in user communities, In what ways might we engage users to help address and overcome inherent limitations, barriers and biases in our research efforts so that we might be more effective in realizing our vision for AI in education? 4) Determine how learning at scale can accelerate solutions. Researchers currently use technology for single issues (e.g., measure student interest, or student answers) in small (30 person) studies. Once technology is used at scale we can accelerate solutions and scale up impact. For example, use Hybrid Learning or Immersive Performance Assessment for a large group e.g., neurodiverse kids that needs serious help. 5) Catalogue challenges/goals for stakeholders in AI-driven education. Identify possible challenges for AI in Education, for example: Make social justice the object of AI-driven education (e.g., racism, economic inequity); Combine and integrate technology/expertise/solutions for a common purpose; Identify more effective Implementation strategies (e.g., role of teachers); Improve access to technology. <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.</p>

	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.
Write an X by all that apply.	FINANCIAL INTEREST IN THE PARTICULAR MATTER <input type="checkbox"/> I have a financial interest in the matter. <input checked="" type="checkbox"/> My immediate family member has a financial interest in the matter. <input type="checkbox"/> My business partner has a financial interest in the matter. <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. <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.
Financial interest in the matter	Please explain the financial interest and include a dollar amount if you know it. The proposed NSF Fee of \$10,000 will be between 3% and 4% of Dr. Burt Woolf's total earned consulting revenue that he anticipates for academic year 2022/2023. 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.
Employee signature:	 _____
Date:	November 17, 2022

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

	<p><input type="checkbox"/> I am assuming responsibility for the particular matter, or</p> <p><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.</p>
Appointing Authority signature:	<p>DocuSigned by:</p> <p><i>Kumale R. Subbaswamy</i></p> <p>E2C6ZBT00CBB443...</p>
Date:	<p>01/20/2023</p>
Comment:	

Attach additional pages if necessary.

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

Form Revised February, 2012

University of
Massachusetts
Amherst

Manning College of Information
& Computer Sciences

November 18, 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 writer for a final report for four workshops supported under the National Science Foundation (NSF) by the Convergence Accelerator Program. The NSF award, ITE #2230697, *Personalized Adventures in Learning (PAL): Future of AI and Education*, was designed to support establishment of a funding 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 were completed successfully in Oct 18-25, 2022 with Burt Woolf as facilitator. Dr. Woolf facilitated communication among the full range of project stakeholders, including professionals from computer science, educational practice, learning theory, and public policy.

The NSF final report requires creative thinking, an ability to identify promising research possibilities, tease apart collaboration and synergies, establish convergent themes, and catalogue challenges for stakeholders. Dr. Burt Woolf can do all this and assist in preparation of the final report. The final report is designed to establish a funding track in the next NSF Con-Accel solicitation for AI-directed education.

For this NSF funded project, Dr. Burt Woolf will:

- Review 17 hours of audio/visual recordings to extract pertinent information about research projects described by participants;

- Tabulate data on 160 participants; 17 keynote addresses; 6 breakout groups; five Q&A session; 100 organizations; 4 workshops; 52 participants with project ideas; two brainstorming sessions.

- Describe participant interests in five workshop areas (e.g., Design, Development and Testing; Assessment; Learning at Scale; Diversity, Equity and Inclusion; Entrepreneurial, Not for Profit, Government Systems).

- Classify participants by organization, location, affiliation (e.g., K12, Non-Profit, private sector, public sector, academics, entrepreneurs, and government, university computer science/education/other);

Dr. Burt Woolf worked with me on two previous NSF supported project. He facilitated the four days of workshops upon which this final report is based and also 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. For both projects, we developed a conceptual framework and initial documentation that provided the base for a set of findings and recommendations.

Dr. Woolf is an experienced communicator and a skilled recorder of workshops, specifically classifying the diversity and engagement among participants in workshops. In the final report describing

the Con-Accel Workshop October 18-25, 2022, he will describe communication among the full range of project stakeholders, including professionals from computer science, educational practice, learning theory, and public policy; researchers from multiple disciplines.

Dr. Burt Woolf has worked for UMass-Amherst for many years as well as for my research group. He is an adept social networker and power user of technology applications. He provided management support to UMass 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.

Considering the short timeframe of the project and the importance of report, the decision to hire a facilitator requires urgency. The final report will require coordination with all speakers, and a final report dissemination in late January 2023. 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 \$10,000 which will be between 3% and 4% of Dr. Burt Woolf's total earned consulting revenue anticipated for the academic year 2022/2023.

Sincerely,



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

University of
Massachusetts
Amherst

Office of the Chancellor

January 20, 2023

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 November 17, 2022 Disclosure of Financial Interest and November 18, 2022 Memorandum. You request permission to employ your brother-in-law, Dr. Burton Woolf, to write a final report from the four NSF-sponsored workshops held 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 this final report is designed to establish a funding track in the next NSF Convergence Accelerator solicitation for AI-directed education, and have requested to employ Dr. Woolf to write this report at a fee of \$10,000.

Your Disclosure and Memorandum provide specific details regarding the scope of work to be completed by Dr. Woolf in connection with writing this final report. You indicate that Dr. Woolf has worked with you on two previous NSF-supported projects, including facilitating the four days of workshops upon which this final report is based. You also indicate that Dr. Woolf convened two multi-day workshops for one of your previous NSF-supported projects, in which 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.

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.

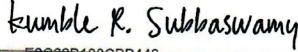
Based on the information you have provided, I determine that the responsibility for Dr. Burton Woolf's supervision and review have been assigned to Dr. Erik Learned-Miller.

This determination, which will allow you to utilize the services of your brother-in-law through February 28, 2023, must be reviewed and re-evaluated prior to any further appointment. If you wish to retain Dr. Burton Woolf on your final report beyond February 28, 2023, please submit your request to the Chancellor of the Amherst campus to make such a review and reevaluation by February 1, 2023.

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:

E2C02B100C8B443...
Kumble R. Subbaswamy
Chancellor

Enclosures

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