Employee Post-Travel Disclosure of Travel Expenses

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Post-Travel Filing Instructions: Complete this form within **30 days** of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☒ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute (Education & Society)

Travel date(s): Oct. 2-3, 2019

Name of accompanying family member (if any): _____
Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING **DID NOT INCREASE** DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☒ Good Faith Estimate ☐ Actual Amount	$453	$150	$229	N/A

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☐ Good Faith Estimate ☐ Actual Amount	N/A	N/A	N/A	N/A

Provide a description of all meetings and events attended. *See* Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Examined economic mobility from poverty, how federal funding an policies influence community efforts to enhance mobility, and experiences of various Charlotte community initiatives to enhance mobility. See attached.

10/21/2019 — *(Date)*
Jeffrey Wrase — *(Printed name of traveler)*
(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

10/21/2019 — *(Date)*
Chuck Grassley — *(Signature of Supervising Senator/Officer)*

(Revised 1/3/11)

Form RE-2

Renaissance West Community Initiative—met with representatives from the "Leading on Opportunity Task Force" at the Renaissance West community to discuss the Charlotte-based efforts of the Task Force to promote economic mobility;

Community Culinary School of Charlotte—served dinner at the culinary school designed to help "students" obtain upward economic mobility to economically challenged individuals; met with students; learned about how the school's program works;

Foundation for the Carolinas—had group discussions with Charlotte-based advocates and regional experts on affordable housing, "social capital," and how federal policies help or hinder local efforts to enhance upward economic mobility.

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EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

ETHIC AUG27'19PM12:15

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the **Select Committee on Ethics** in **SH-220**. Incomplete and late travel submissions will **not** be considered or approved. This form **must** be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Name of Traveler: Jeffrey M. Wrase

Employing Office/Committee: Senate Finance Committee

Private Sponsor(s) (list all): The Aspen Institute, Inc. (Education and Society Program)

Travel date(s): October 2, 2019 - October 3, 2019

*Note: If you plan to extend the trip for any reason you **must** notify the Committee.*

Destination(s): Charlotte, NC

Explain how this trip is specifically connected to the traveler's official or representational duties:

The program examines economic mobility from poverty and how federal funding and policies influence community efforts to enhance mobility. As Chief Economist of the Finance Committee, which oversees programs designed to reduce poverty and enhance mobility, the program matter is well connected to my duties.

Name of accompanying family member (if any): None

Relationship to Employee: ☐ Spouse ☐ Child

I certify that the information contained in this form is true, complete and correct to the best of my knowledge:

8/27/2019
(Date)

(Signature of Employee)

TO BE COMPLETED BY SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Majority, Secretary for the Minority, and Chaplain):

I, Chairman Chuck Grassley *(Print Senator's/Officer's Name)* hereby authorize Jeffrey M. Wrase *(Print Traveler's Name)*

an employee under my direct supervision, to accept payment or reimbursement for necessary transportation, lodging, and related expenses for travel to the event described above. I have determined that this travel is in connection with his or her duties as a Senate employee or an officeholder, and will not create the appearance that he or she is using public office for private gain.

I have also determined that the attendance of the employee's spouse or child is appropriate to assist in the representation of the Senate. *(signify "yes" by checking box)* ☐

8/27/2019
(Date)

(Signature of Supervising Senator/Officer)

(Revised 10/19/15)

Form RE-1

THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

Aspen Retreat for Senior Congressional Staff Network on Mobility from Poverty

One Community's Efforts to Increase Mobility with a Focus on Housing and Social Capital

Omni Hotel
132 E Trade St.
Charlotte, NC 28202

October 2 – 3, 2019

AGENDA

Retreat Goals:

- Deeply examine how Charlotte and surrounding Mecklenburg County, North Carolina, are responding to low rates of mobility from poverty through significant private-sector, non-profit, philanthropy, and public-sector coordination;
- Directly engage with low-income North Carolinians and direct-service providers to understand their experiences, as well as with business and government leaders and policy experts to understand how federal funding and policies are influencing the work in Charlotte and Mecklenburg County;
- Examine how housing policies and decisions enable and/or inhibit proximity to employment opportunities and the crucial role social capital plays in mobility from poverty;
- Engage in active learning and build working relationships with experts and practitioners from various fields of expertise, as well as with colleagues from different parties and chambers.

Wednesday, October 2, 2019

8:30 – 9:30 AM	**Participants arrive at Charlotte airport** (see p. 6 for flight information)
9:30 – 10:00 AM	**Participants arrive at Omni Hotel**
	Transportation to Omni Hotel, 132 E Trade St., Charlotte, NC 28202
11:00 AM	**Aspen staff and participants will depart hotel on chartered bus for Renaissance West Community Initiative, 3610 Nobles Ave, Charlotte, NC**
11:30 AM	**Arrive at Renaissance West Community Initiative**
	Location: 3610 Nobles Ave, Charlotte, NC
11:30 – 12:30 PM	**Working Lunch – Welcome, Introductions, Overview of Convening**
	Location: Renaissance West Community Initiative

Faculty:

- **Ross Wiener**, Aspen Institute

After introductions and context-setting, Congressional staff and faculty members will share two learning objectives for the convening.

12:45 – 1:00 PM **Break**

12:45 – 2:00 PM **Session I: Understanding the Charlotte context: Leading on Opportunity Task Force**

Faculty:

- **Dr. Ophelia Garmon-Brown**, SVP, Community Wellness and Education, Novant Health, Co-chair, Leading on Opportunity Task Force
- **Mr. Dee O'Dell**, Senior Vice President, US Bank, Co-chair, Leading on Opportunity Task Force and US Bank

Guiding questions:

- *What provoked the Leading on Opportunity Task Force? What motivated each of you to invest in leading this effort as co-chairs? What are your most important learnings about mobility, and about Charlotte, as a result of co-chairing the Task Force?*
- *How did the Leading on Opportunity Task Force determine the cross-cutting factors of racial segregation and social capita, and the specific content areas the Task Force ultimately agreed on? What were other important ideas you explored but ultimately did not prioritize, and why?*
- *What are your reflections two and a half years since publication of the Task Force Report? Where has progress been swifter and deeper than you anticipated, and what challenges and emerging issues are most important to acknowledge and address?*

2:00 – 2:15 PM **Break**

2:15 – 5:15 PM **Site visit: Renaissance West Community Initiative**

Key site visit participants:

- **William "Mack" McDonald**, CEO, Renaissance West Community Initiative and other RWCI staff
- **Ann Clark,** RWCI Board Member, former Superintendent of CMS

Timeline:

- Introduction and tour of the RWCI facility (30 minutes)
- RWCI panel discussion (45 mins)
- Small group roundtables with RWCI families and service providers (75 minutes)
- Reflection on conversations (30 minutes)

Guiding questions for panel discussion:

- *What is the history of the Renaissance West Community Initiative (RWCI)? How does it reflect Charlotte's history and urban development, and how is it unique?*
- *What is the profile of RWCI residents and beneficiaries? Who is not able to be served by RWCI and what are alternatives in Charlotte and Mecklenburg County*

for residents who could benefit from RWCI but can't get in? In what ways does RWCI ameliorate and in what ways does RWCI exacerbate the history of racial segregation in Charlotte?

- *How do Federal programs support RWCI efforts to serve Charlotte, like Hope IV, housing vouchers, and/or the Community Development Block Grant, as well as others? What additional state and local programs support RWCI? What role does philanthropy play in RWCI?*
- *What are the lessons from RWCI that should inform future investment and policy?*

For break-out discussions:

- *How is RWCI different from the community you lived in previously? How do you access the services that RWCI offers, and how does RWCI facilitate your engaging in the broader Charlotte community? What do you wish you could change about RWCI?*
- *Who are the primary partners of RWCI and what services are offered here? What facilitates coordination across service providers, and what makes coordination hard?*

5:15 – 6:00 PM **Transportation to Hotel**

Location: Omni Hotel, 132 E Trade St., Charlotte, NC 28202

7:00 – 7:30 PM **Transportation to Dinner**

Location: Community Culinary School of Charlotte (CCS), 9315-D Monroe Road, Charlotte, NC

7:30 – 9:00 PM **Networking Dinner with Expert Faculty**
Staffers will have the opportunity to network with participants during the reception.

Remarks by Richard Reeves, *Brookings Institution*

9:00 – 9:30 PM **Transportation to Hotel**

Location: Omni Hotel, 132 E Trade St., Charlotte, NC 28202

Thursday, Oct. 3, 2019

8:00 – 8:30 AM **Walk to Foundation for the Carolinas**

Location: 220 N. Tryon St. #2137, Charlotte, NC 28202

8:30 – 9:00 AM **Continental Breakfast**

9:00 – 10:15 AM **Session II: Affordable Housing and Mobility: Lessons for Policy**

Faculty:

- **Anthony Trotman**, Assistant County Manager, Mecklenburg County
- **Dionne Nelson**, Laurel Street Residential
- **Fulton Meachem**, President and Chief Executive Officer, Charlotte Housing Authority
- **Scott Farmer**, Executive Director, North Carolina Housing Finance Agency

Guiding questions:

- *What's the status of affordable housing in Charlotte relative to demand? What are promising developments that have been spurred by the Leading on Opportunity Task Force? What are the major impediments to expanding access to affordable housing in Charlotte?*
- *What are the respective roles of the City of Charlotte, Mecklenburg County, and the State of North Carolina in advancing affordable housing? How has collaboration across governing entities changed – or not – since the Leading on Opportunity Task Force Report? How does state policy set the context in which this work happens, and what are the practical and political dynamics that are most important to understand?*
- *What federal programs are impacting access to affordable housing in Charlotte? Who administers these federal grants/incentives, and how are these resources influencing mobility work in Charlotte? What is the importance and role of the Local Initiatives Support Corporation (LISC)?*
- *How is gentrification, and the rising cost of housing, impacting access to affordable housing? In what ways is historic segregation being either addressed or exacerbated as Charlotte continues to grow and develop – both in terms of market developments and public-private partnerships seeking to advance mobility?*

10:15 – 10:30 AM **Break**

10:30 – 11:45 AM **Session III: How Social Capital Enables Productive Relationships and Mobility**

Faculty:

- **Molly Shaw**, President and CEO, Communities In Schools (CIS), Charlotte-Mecklenburg
- **Federico Rios** – Assistant Manager Equity and Immigration Integration, Charlotte
- **Kandi Deitemeyer**, President, Central Piedmont Community College

Guiding questions:

- *What is being done to build social capital that increases mobility? How is social capital being defined for the mobility efforts underway in Charlotte?*

- *What's working, and where are the biggest opportunities to increase social capital? What are you learning about the challenges in building social capital that increases mobility?*
- *20 years ago, Robert Putnam identified Charlotte as among the lowest in inter-racial trust and informal socialization across segregated communities. How are recent efforts to intentionally increase social capital addressing this legacy?*
- *How are faith communities and the private sector supporting and participating in the efforts to improve Charlotte's social capital?*
- *How is social capital being measured, for baseline and progress? How are interim measures being developed defined to measure growth to a goal or set of goals, and how can activities be aligned to those measures and goals to create a systemic, measurable, and accountable approach to increasing social capital?*

11:45 – 12:30 PM **Working Lunch with discussions of previous sessions**

12:30 – 1:45 PM **Session IV: Leading on Opportunity: Update on Progress**

Faculty:

- **Stephanie Kripa Cooper-Lewter**, Executive Director, Leading on Opportunity Council
- **Laura Clark**, President and CEO, United Way of Central Carolinas
- **Brian Collier,** Executive Vice President, Foundation for the Carolinas
- **Alanna Williams,** Policy Associate, Opportunity Insights
- **Rob Kelly,** President and CEO, FORCLT

Guiding questions:

- *How is the Leading on Opportunity Council advancing the recommendations of the Leading on Opportunity Task Force? How are public and private entities supporting and participating in this work?*
- *What are the biggest successes to date? How are those successes being measured and communicated?*
- *What are the biggest learnings in this work? What are the biggest challenges in advancing mobility in Charlotte, and what lessons would you share with others who want to advance a mobility agenda?*
- *How are federal programs specifically being utilized as part of these efforts, and what changes in policy would be most important in unlocking greater progress?*

1:45 – 2:00 PM **Break**

2:00 – 3:00 PM **Session V: Implications for Federal Policy**

Faculty will be encouraged to share one take-away and one suggestion for ways in which the federal role can play a more effective role in Charlotte's efforts. The majority of time will be used for staff to engage with faculty and each other in considering Charlotte's efforts in the federal context.

3:00 – 3:15 PM **Break + Complete Retreat Evaluation**

3:15 – 3:50 PM **Final Discussion**

Congressional staff participants will share their take-aways and ideas for further exploration, future site visits and/or events in DC, and ideas/issues that are ripe for policy development.

3:50 PM **Adjourn**

Staffer Arrival/Departure Times

Kara	Marchione	AA 400	10/2	8:38 AM	10/3	6:08 PM
Ryan	Martin	AA 400	10/2	8:38 AM	10/3	6:08 PM
Marisa	Morin	AA 400	10/2	8:38 AM	10/3	6:08 PM
Scott	Winship	AA 400	10/2	8:38 AM	10/3	6:08 PM
Jeffrey	Wrase	AA 400	10/2	8:38 AM	10/3	8:16 PM

The Aspen Institute Education & Society Program
Appendix to Private Sponsor Travel Certification Form
Senior Mobility from Poverty Retreat, October 2-3, 2019.

Question 5. Name and title of Senate invitees.

Jeff Wrase	Deputy Staff Director	Senate Finance Committee
Jennifer Kuskowski	Policy Advisor	Senate Major Leader McConnell
Ryan Martin	Senior Human Services Advisor	Senate Finance Committee
Amy Marie Pellegrino	Health Policy Director	Senate Special Committee on Aging
Tim Carlton	Policy Advisor	Senator Cassidy
Scott Winship	Executive Director	Senate Joint Economic Committee
Charles Cogar	Legislative Director	Senator Scott
Beth Nelson	Senior Health Policy Advisor	Senate HELP Committee
Laura Berntsen	Minority Chief Human Services Advisor	Senate Finance Committee
Gabriella Camozzi	Legislative Assistant	Senator Durbin
Beth Cooper	Professional Staff	Senate Banking Committee
Nikki McKinney	Professional Staff	Senate HELP Committee
Kara Marchione	Director of Education Policy	Senate HELP Committee
Jordan Hynes	Professional Staff	Senate HELP Committee
Courtney Temple	Legislative Director	Sen. Tillis

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) -- The Bill & Melinda Gates Foundation is not a sponsor of this trip and did not play a role in organizing, planning or conducting the trip. The Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network; however, the Foundation did not earmark any funding for this trip.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) – The Aspen Institute organizes numerous

educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

Question 18. Reason for selecting the location of the event or trip (response continued) -- Staff will hear from Charlotte leaders about their response to this finding and what factors contributed to the ranking.

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THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

August 14, 2019

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming Mobility from Poverty retreat for Senior Congressional Staff from **11:30 AM Wednesday, October 2, 2019** to **4:00 PM Thursday, October 3, 2019** at the Omni Hotel, 132 E Trade St., Charlotte, NC 28202.

At this convening, staffers learn about how economic mobility has changed over time and the challenges affecting policymakers' efforts to increase economic mobility in America. Charlotte is an extraordinary context for learning about mobility from poverty efforts because of unprecedented government, private-sector, philanthropic, and civil society engagement and coordination on this topic. Harvard economist Raj Chetty identified Charlotte as the major metropolitan area in the United States with the least upward mobility among its young people, which provoked the *Leading on Opportunity* task force and resulting recommendations that create a frame for our site visit and learning together. Staffers will learn about recent evidence on the effectiveness of interventions designed to address the impact of segregation and the role of social capital in accessing opportunity. The convening will focus on potential roles for Congress and the executive branch in increasing mobility from poverty and will create opportunity for dialogue with beneficiaries, service providers, and local/state policymakers. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We are committed to working with you and the House Ethics Committee to ensure compliance with the House rules regarding privately-funded sponsored travel. Enclosed you will find all the forms necessary for filing the trip with the Ethics Committee:

- A detailed agenda listing discussion sessions
- A completed Primary Trip Sponsor Form
- A list of invited House staffers
- A blank Traveler Form
- Completed Grantmaking Trip Sponsor Form from the Bill & Melinda Gates Foundation

You must complete the Traveler Form and submit it with the enclosed agenda, list of invited staffers, and Primary Trip Sponsor Form directly to the Senate Ethics Committee (220 Hart) no later than Friday, August 30, 2019. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the site visit.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The retreat is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at **11:30 AM on Wednesday, October 2, 2019**, at Omni Hotel and will conclude at **4:00 PM on Thursday, October 3, 2019**. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is business casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Ross Wiener Doug Mesecar

THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

Aspen Retreat for Senior Congressional Staff Network on Mobility from Poverty

One Community's Efforts to Increase Mobility with a Focus on Housing and Social

Omni Hotel
132 E. Trade St.
Charlotte, NC 28202

October 2-3, 2019

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THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

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THE ASPEN INSTITUTE
EDUCATION & SOCIETY PROGRAM

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PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

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1. Sponsor(s) of the trip (please list all sponsors): The Aspen Institute, Inc. (Education and Society Program)

2. Description of the trip: Aspen Institute Education and Society program sponsored convening for senior education staffers on mobility from poverty.

3. Dates of travel: October 2-3, 2019

4. Place of travel: Charlotte, NC

5. Name and title of Senate invitees: Attached.

6. I *certify* that the trip fits one of the following categories:

   ☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

   OR

   ☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) *(see question 9)*.

7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.

   AND

   ☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.

8. I *certify* that:

   ☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.

   AND

   ☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**
I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and **one** overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

OR

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and **two** overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10).*

OR

☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**
If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and execution of the convening. (see continued response)

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas. (see continued response)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The Aspen Institute Education and Society program has been conducting convenings for Congressional education staff for over twelve years.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general (see continued response)

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
☒ Good Faith estimate ☐ Actual Amounts	$415 (roundtrip coach airfare, local shuttle transportation)	$130	$75	none

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation **or** b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

b) The trip is organized specifically with regard to Congressional staff participation to support their learning on issues related to mobility from poverty.

18. Reason for selecting the location of the event or trip

In a recent study by Harvard economist Raj Chetty, the Charlotte area ranked last among the 50 largest metro areas in the US for upward mobility (see continued response).

19. Name and location of hotel or other lodging facility:

Omni Charlotte Hotel, Charlotte, NC

20. Reason(s) for selecting hotel or other lodging facility:

The hotel provides a central location to the meeting sites.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Lodging is $130 per day, which is $1 higher than the per diem rate (which changed to $129 on 10/1/19)

Meals are 10/2/19 $45 per day and 10/3/19 $30 per day, which is lower than the per diem rate.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Roundtrip coach commercial airfare; local shuttle bus transportation (coach-class)

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

None

25. I hereby *certify* that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you *must* include a completed signature page for each additional sponsor):

Signature of Travel Sponsor: Elliot Gerson

Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 2300 N Street NW, Suite 700, Washington, DC 20037

Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

SIGNATURE PAGE FOR ADDITIONAL SPONSOR

(to be completed by each additional sponsor)

I hereby *certify* that the information contained on pages 1-4 of the certification form and any accompanying addenda, all submitted in connection with the _____ trip
Dates of Travel (Month Day, Year)

to _____ is true, complete, and correct.
Place of Travel

Signature of Travel Sponsor: _____

Name and Title: _____

Name of Organization: _____

Address: _____

Telephone Number: _____

Fax Number: _____

E-mail Address:
_____

Instructions

(Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics ("Ethics Committee") has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the *Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, prior to filling out the *Private Sponsor Travel Certification Form* and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.

- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.

- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:

  a. the stated mission of the organization sponsoring the trip;
  b. the organization's prior history of sponsoring congressional trips, if any;
  c. other educational activities performed by the organization besides sponsoring congressional trips;
  d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
  e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
  f. whether there is an adequate connection between a trip and official duties;
  g. the reasonableness of the total amount spent by a sponsor of the trip;
  h. whether there is a direct and immediate relationship between a source of funding and an event;
  i. the maximum *per diem* rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
  j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
  k. any other factor deemed relevant by the Select Committee on Ethics.

  Consult the *Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel*, including the *Glossary of Terms*, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.

- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least **thirty (30) days** before the date of the proposed trip.

Filling out the Private Sponsor Travel Certification Form (Question by Question Instructions)

1. *Sponsor(s) of the trip (please list all sponsors):* A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.

2. *Description of the trip:* Provide a brief statement about the purpose of the trip.

3. *Dates of travel:* Provide the dates of departure and return.

4. *Place of travel*: Provide the destination(s) for the trip.

5. *Name and titles of Senate invitees:* Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.

6. *I certify that the trip fits one of the following categories:* A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.

7. *Financing of the trip, earmarked funds and in-kind contributions:* Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.

8. *Lobbyist/agent of a foreign principal involvement:* Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a *de minimis* way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

   Example: A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a *de minimis* level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. *Lobbyist/agent of a foreign principal accompaniment standards:* Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. *At any segment of the trip* means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). *At any point throughout the trip* means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a *de minimis* way. This is a broader prohibition than the *at any segment of a trip* standard.

   "De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a *de minimis* exemption. *De minimis* means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered *de minimis*. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

10. *If travel includes two overnight stays:* The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.

11. *An itinerary for the trip is attached to this form:* The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.

12. *Briefly describe the role of each sponsor in organizing and conducting the trip:* A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.

13. *Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:* Provide a brief description of the stated mission of each sponsor and how it relates to the trip.

14. *Briefly describe each sponsor's prior history of sponsoring congressional trips:* Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.

15. *Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):* Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.

16. *Total expenses for each participant:* Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

17. *Congressional participation:* For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.

18. *Reason for selecting the location of the event or trip:* The location of the trip *must be related to its purpose.* A brief but detailed description of the reason for the selection of the location must be provided.

19. *Name and location of hotel or other lodging facility:* Include the exact name and address of the hotel or other lodging facility.

20. *Reasons for selecting hotel or other lodging facility:* Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.

21. *Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel:* Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government *per diem* rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.

22. *Describe the type and class of transportation being provided:* While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.

23. *Expenses for recreational activity, alcohol, or entertainment:* The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.

24. *List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:* Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.

25. *Certification:* The trip sponsor *must* sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor *must* complete its own signature page and certify that the information contained in the form is true, complete, and correct.

JOHNNY ISAKSON, GEORGIA, CHAIRMAN
CHRISTOPHER A. COONS, DELAWARE, VICE CHAIRMAN

PAT ROBERTS, KANSAS
JAMES E. RISCH, IDAHO

BRIAN SCHATZ, HAWAII
JEANNE SHAHEEN, NEW HAMPSHIRE

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United States Senate

SELECT COMMITTEE ON ETHICS

October 1, 2019

Jeffrey M. Wrase
Committee on Finance
United States Senate
Washington, DC 20510

Dear Mr. Wrase:

This responds to your recent correspondence concerning an invitation you received to travel to *Mobility from Poverty* in Charlotte, North Carolina, on October 2–3, 2019, sponsored by the Aspen Institute (Aspen). Aspen certified to the Select Committee on Ethics (the Committee) that it will pay the *necessary expenses*[1] related to the travel and that it is neither a lobbyist, lobbying firm, agent of a foreign principal, or otherwise acting as a representative or agent of a foreign government. Aspen has also certified that it does not retain or employ a registered lobbyist or agent of a foreign principal and that no registered lobbyist or agent of a foreign principal will accompany you at *any point throughout your trip.*[2]

Based on information and materials available to the Committee, and assuming the **actual** travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip **may be accepted** under relevant Senate Rules and the Committee's *Regulations and Guidelines for Privately-Sponsored Travel*, so long as at the time of the payment or reimbursement, Aspen is neither a registered lobbyist or lobbying firm under the Lobbying Disclosure Act of 1995, or an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the completed *Employee Pre-Travel Authorization* and the *Employee Post-Travel Disclosure of Travel Expenses* (Form RE-1 and Form RE-2), along with a copy of the *Private Sponsor Travel Certification Form,* and all relevant attachments (e.g., the private sponsor's invitation and itinerary) **within 30 days of the conclusion of Privately-Sponsored Travel.**

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[1] The term "necessary expenses" has a specific definition. *See Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 8.

[2] The term "any point throughout your trip" has a specific definition. *See id.* at 2.

Finally, Senate Rule 34 requires a reporting individual[3] on his or her Financial Disclosure Report, to make an annual disclosure of the receipt of payments or reimbursements under Senate Rule 35 from a private sponsor for officially-related travel expenses where, in the aggregate, travel expenses exceed $390 from that sponsor during a calendar year. However, if a Member, officer, or employee properly reports the receipt of necessary expenses for such travel to the Secretary of the Senate within 30 days of the travel, as discussed above, the travel expenses need not be disclosed a second time on their Financial Disclosure Report.

I hope you find this information helpful. If you have any additional questions, please do not hesitate to contact the Committee.

Sincerely,

Karen P. Gorman

for Deborah Sue Mayer
Chief Counsel and Staff Director

Enclosure: Travel Checklist

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[3] A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 ($127,914 for CY 2019) or is a political fund designee and is required to file Financial Disclosure Reports.