Date/Time Stamp:

Employee Post-Travel Disclosure of Travel Expenses

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): American Accountability Foundation; Conservative Partnership Institute; Heritage Foundation

Travel date(s): May 5-6, 2022

Name of accompanying family member (if any): NA

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	$105	$99	$62.02	

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

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

Provide a description of all meetings and events attended. *See* Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

Attached to email transmitting post-travel form. I attended all sessions held.

5/25/22 (Date) Catharine (Katie) Bailey (Printed name of traveler) Catharine Bailey (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.

5/26/22 (Date)

(Signature of Supervising Senator/Officer)

(Revised 1/3/11) **Form RE-2**

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): American Accountability Foundation (AAF), Heritage Foundation, and Conservative Partnership Institute (CPI)

2. Description of the trip: Effective Oversight Training Retreat

3. Dates of travel: May 5-6, 2022

4. Place of travel: Cambridge, MD

5. Name and title of Senate invitees: See 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:

Each sponsor was involved in organizing the trip by preparing an agenda and identifying speakers, and each sponsor will participate in the trip by providing speakers.

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

See attached.

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

See attached.

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

See attached.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
☐ Good Faith estimate ☒ Actual Amounts	$105	$99	$62.02	

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:

The trip is organized specifically with regard to congressional participation.

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

Location is owned by the trip sponsor CPI, economical, and conducive to education and training.

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

Decoursey Bridge, Cambridge, MD (property owned by trip sponsor CPI)

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

Location is owned by the trip sponsor CPI, economical, and conducive to education and training.

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:

The cost of lodging ($99/night) is less than the federal government per diem rate of $121/night.

The cost of meals ($59/day) is less than the federal government per diem rate of $64/day.

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:

Sponsors will provide round-trip bus transportation to/from the retreat location.

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:

No entertainment will be provided to, paid for, or reimbursed to Senate invitees.

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: _____

Name and Title: Tom Jones

Name of Organization: American Accountability Foundation

Address: 300 Independence Avenue, SE, Washington, DC 20003

Telephone Number: (202) 495-0720

Fax Number: _____

E-mail Address: info@americanaccountabilityfoundation.com

0000000001851 RECEIVED BY: SECRETARY OF THE SENATE Date: May 26, 2022

CHRISTOPHER A. COONS, DELAWARE, CHAIRMAN
JAMES LANKFORD, OKLAHOMA, VICE CHAIRMAN

BRIAN SCHATZ, HAWAII
JEANNE SHAHEEN, NEW HAMPSHIRE
JAMES E. RISCH, IDAHO
DEB FISCHER, NEBRASKA

SHANNON HAMILTON KOPPLIN, CHIEF COUNSEL AND STAFF DIRECTOR
WILLIAM B. CABLE, CHIEF CLERK

HART SENATE OFFICE BUILDING, ROOM 220
SECOND AND CONSTITUTION AVENUE, NE
WASHINGTON, DC 20510-6425

TELEPHONE: (202) 224-2981
FACSIMILE: (202) 224-7416
TDD: (202) 228-3752

United States Senate

SELECT COMMITTEE ON ETHICS

May 4, 2022

Catharine Bailey
Office of Senator Mike Braun
United States Senate
Washington, DC 20510

Dear Ms. Bailey:

This responds to your recent correspondence requesting approval from the Select Committee on Ethics (the Committee) to accept an invitation you received to travel to the Effective Oversight Training Conference in Cambridge, MD, on May 5–6, 2022, sponsored by American Accountability Foundation, The Heritage Foundation, and Conservative Partnership Institute (collectively, the Sponsors). Provided that you adhere to the guidance set forth below, it appears that it is permissible for you to accept necessary expenses from the Sponsors in connection with this trip.

Background

Based on your communication with the Committee, the background in this matter is as follows.[1] You are employed as a legislative director in the Office of Senator Mike Braun. The sponsors invited you to travel to the Effective Oversight Training Conference in Cambridge, MD, on May 5–6, 2022. The sponsors certified to the Committee that they will pay the necessary expenses[2] related to the travel and that they are neither a lobbyist, lobbying firm, agent of a foreign principal, or otherwise acting as a representative or agent of a foreign government. The sponsors have also certified that they do 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.[3]

Discussion

Privately-sponsored travel includes any gift of travel and travel-related expenses for travel outside the Senate duty station, including transportation, lodging, food and refreshments, and conference fees and materials, whether paid for directly, reimbursed, or provided directly, from a private individual or entity, in connection with a Member's, officer's, or employee's official Senate duties. Incorporating reforms from the Honest Leadership and Open Government

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[1] If this letter does not correctly recite the facts, contact the Committee immediately.

[2] 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.

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

Act of 2007 (HLOGA), Pub. L. 110–81 (2007), Senate Rule 35.2 permits Members, officers, and employees to accept privately-sponsored travel only with the prior written approval of the Committee.

The Committee's approval process is governed by the *Regulations and Guidelines for Privately-Sponsored Travel and Glossary of Terms* (collectively, *Travel Regulations*). The *Travel Regulations* contain detailed requirements regarding who may sponsor travel; time limits for trips; and the type and amount of expenses that can be reimbursed.

Entities that do not retain or employ a lobbyist or foreign agent and all non-profit organizations designated as tax-exempt organizations under § 501(c)(3) of the Internal Revenue Code of 1986, regardless of whether they retain or employ a lobbyist or foreign agent, may sponsor domestic trips for up to three days. The three-day limitation means three 24-hour periods, calculated from the time of arrival in the trip location to the time of departure from the trip location. For such trips, neither lobbyists nor foreign agents may accompany a Senate invitee at any point throughout the trip, other than in a *de minimis* way.[4] This means that neither lobbyists nor foreign agents may accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited.[5]

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.**[6]

Consistent with these standards and Committee precedent, the sponsors' factual representations, it appears that it is permissible for you to accept necessary expenses from the sponsors in connection with this trip, provided that the actual travel and travel-related expenses conform to the information and materials you provided, and the travel and all required documents are disclosed to the Secretary of the Senate (Office of Public Records).

Finally, Senate Rule 34 requires a reporting individual[7] 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 $415 from that sponsor during a calendar year. However, if a Member,

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[4] The term "*de minimis*" has a specific definition. *See Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 3.

[5] *See Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel* at 5; *see also Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 2-3.

[7] A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 ($135,468 for CY 2022) or is a political fund designee and is required to file Financial Disclosure Reports.

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,



Shannon Hamilton Kopplin
Chief Counsel and Staff Director

Enclosure: Travel Checklist

0000000001854 RECEIVED BY: SECRETARY OF THE SENATE Date: May 26, 2022

Effective Oversight Training Retreat

Presented by American Accountability Foundation, The Heritage Foundation, and Conservative Partnership Institute

THURSDAY, MAY 5 - FRIDAY, MAY 6, 2022

DAY ONE

11:00 am - 12:00 pm	**Morning Welcome Reception** Speakers: Tom Jones, AAF and Mike Howell, The Heritage Foundation
12:00 - 1:30 pm	**Lunch Session - Topic: Welcome Remarks and Overview of Retreat** *Intro: Why research matters An overview of effective research strategies from previous Congressional, corporate, and non-profit research activities, including how effective research has changed policy debates.* Speaker: Tom Jones, AAF
1:30 - 3:00 pm	**Session #1 Working With Outside Groups Involved in Oversight** *Effective strategies when working with oversight organizations to maximize the effectiveness of Congressional oversight activities.* Speaker: Alexa Walker, RSC & Scott Gast, Compass Legal
3:30 - 4:30 pm	**Session #2 Not All Lawsuits Are Created Equal** *How to work with legal experts to leverage research and advance conservative priorities in the courts.* Speaker: TBD
4:30 - 6:30 pm	– BREAK –
6:30 - 8:30 pm	**Dinner Session - Topic: Oversight Agenda for the 118th Congress** Speaker: TBD

0000000001855 RECEIVED BY: SECRETARY OF THE SENATE Date: May 26, 2022



DAY TWO

8:00 - 8:30 am	**Breakfast**
8:30 - 9:30 am	**Session #1 Using FOIA to Advance Congressional Oversight** *Effective strategies for identifying and securing records necessary to properly conduct oversight.* Speakers: Mike Howell and Roman Jankowski, Heritage
9:30 - 10:30 am	**Session #2 Researching Appointees and Nominees** *How to conduct effective research into Presidential appointees and nominees, including how this research can help congressional staff perform proper oversight.* Speaker: Tom Jones, AAF
10:30 - 11:00 am	**– BREAK –**
11:00 am - 1:00 pm	**Session #3 Turning Research and Oversight into Policy Solutions** *Best practices for creating a work product that helps Members of Congress who sit on committees tasked with Oversight* Speaker: Capital Research Center (TBD)
1:00 - 2:00 pm	**Lunch Session - Topic: Communicating Oversight Goals and Successes** *How staff either succeed or fail to work with outside groups and media. Parties off the Hill must know what oversight committees are doing, but there's a specific way to communicate their intentions and goals.* Speaker: Phil Reboli, Conservative Partnership Institute
2:00 - 3:00 pm	**Session #4 Communicating the Value of Oversight to Capitol Hill Staff** *All staff, not just those on relevant committees, perform an oversight function. This session will address specific ways that staff in personal offices can perform oversight with limited resources and how they can leverage their Member's position on various committees.* Speaker: Matt Buckham, AAF

0000000001856 RECEIVED BY: SECRETARY OF THE SENATE Date: May 26, 2022

From: Thomas Jones
To: Thomas Jones
Cc: Howell, Mike
Subject: Researcher Staff Retreat 5/5 & 5/6
Date: Wednesday, March 30, 2022 12:22:50 PM
Attachments: AAF Senate Sponsor Form - Addendum.docx
AAF Retreat Senate Sponsor Form.pdf
AAF Oversight Training Retreat Agenda.docx
AAF Oversight Training Retreat Congressional Invitee List.docx
Effective Oversight Training Retreat (6).pdf

Oversight Colleagues –

Now through the next few years will be some of the most important years for congressional oversight in our nation's history. With that in mind, and appreciating that the need to organize and refine oversight skills and coordination is more pronounced, the American Accountability Foundation, the Heritage Foundation, and the Conservative Partnership Institute are jointly organizing an off-site staff and outside investigator retreat focused on research.

We believe the ability to get outside Washington and have a bi-cameral session where leaders from the research community meet to exchange best practices for oversight and research will significantly enhance effectiveness this year and in the next Congress.

We hope you can join us for the two day event on Maryland's beautiful Eastern Shore on May 5th and 6. Transportation will be provided to and from the venue, as well as lodging at the retreat. A complete invitation as well as the completed necessary ethics forms for the Senate Ethics Committee are attached.

Since the event is scheduled for May 5th, paperwork needs to be submitted to the Ethics Committee no later than April 5th. If you could RSVP yes or no by April 4th if you will be attending we would greatly appreciate it. We look forward to seeing you.

Mike Howell, The Heritage Foundation
Tom Jones, American Accountability Foundation