Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:
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SECRETARY OF THE SENATE
PUBLIC RECORDS
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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): Postsecondary National Policy Institute (PNPI)

Travel date(s): April 19-20, 2017

Name of accompanying family member (if any): N/A

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	$50.88	$94	$79	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.):

05/02/17 (Date)

Andrew LaCasse (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.

5/8/17 (Date)

Lamar Alexander (Signature of Supervising Senator/Officer)

(Revised 1/3/11)

Form RE-2

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Date/Time Stamp:

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EMPLOYEE PRE-TRAVEL AUTHORIZATION

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: Andrew LaCasse

Employing Office/Committee: Senate HELP Committee

Private Sponsor(s) (list all): Postsecondary National Policy Institution (PNPI)

Travel date(s): April 19-20, 2017

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

Destination(s): Warrenton, VA

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

I handle higher education for the HELP Committee and the Committee is in the process of reauthorizing the Higher Education Act. This seminar will enhance my understanding of data issues in higher education to support student choice and access.

Name of accompanying family member (if any): _____

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:

03/16/17
(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, Lamar Alexander *(Print Senator's/Officer's Name)* hereby authorize Andrew LaCasse *(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)* ☐

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(Date)

Lamar Alexander
(Signature of Supervising Senator/Officer)

(Revised 10/19/15)

Form RE-1

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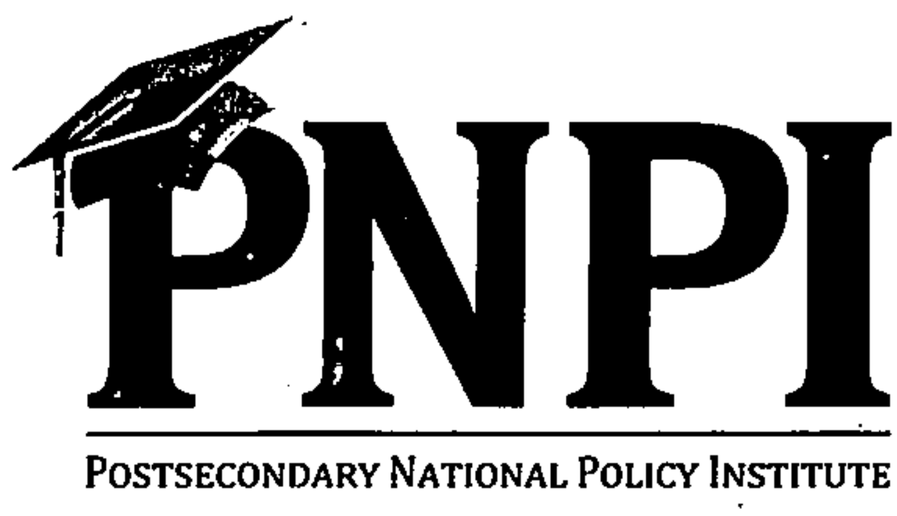

Postsecondary Data Primer

Wednesday, April 19 - Thursday, April 20
Airlie Conference Center
Warrenton, VA

SEMINAR GOALS

Introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education.
Introduce staff to, and extend their knowledge of, postsecondary data sets housed and maintained outside of the U.S. Department of Education.
Deepen staff understanding of federal data privacy and security laws, particularly as it relates to student level data.
Introduce staff to data linkages across federal agencies.
Lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

AGENDA

Wednesday, April 19

10:00AM-10:30AM **Arrive at Airlie Conference Center**

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10:30AM-12:00PM **Introduction to Federal Postsecondary Data Sets**

Speakers:
MaryEllen McGuire, President, Postsecondary National Policy Institute (PNPI)
Mamie Voight, Vice President of Policy Research, Institute for Higher Education Policy (IHEP)
Jason Delisle, Resident Fellow, American Enterprise Institute (AEI)

Questions for Discussion:

What are the primary postsecondary data sets housed at the U.S. Department of Education? What data does each set contain? What are the data currently used for? What data are currently missing?
What data exist on student loans, the student loan portfolio and student loan repayment? What data are missing on student loans, the student loan portfolio and student loan repayment?
What are the key metrics in and across the federal education databases?

12:00PM-1:15PM **Working Lunch with Experts**

Lunch will provide an opportunity for staff to ask our data panelists additional questions.

1:15PM-1:30PM **Break**

1:30PM-2:45PM **Other Postsecondary Data Sets**

Speakers:
Jennifer Engle, Senior Program Officer, The Bill & Melinda Gates Foundation
Amy Laitinen, Director for Higher Education, New America

Discussion Questions:

What postsecondary data sets exist outside of the U.S. Department of Education? What data do these sets contain? How different are their metrics from those used at ED?
Why are outside data systems necessary?
What are the shortcomings of these data sets?
Do outside data sets differ from the federal data sets, complement the federal data sets or supplement the federal data sets?

2:45PM-3:00PM **Break**

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3:00PM-4:00PM **Interactive Data Training & Exercise**

Facilitators:
Mamie Voight, Vice President of Policy Research, IHEP
Jared Bass, Federal Director, PNPI

4:00PM-4:30PM **Day One Wrap-Up**

Facilitators:
MaryEllen McGuire, President, PNPI
Jared Bass, Federal Director, PNPI

Discussion Questions:

After today's panels, are there any questions that are still outstanding?
Were there any topics not covered today that you had hoped would be?

4:30PM-5:30PM **Hotel Check-in & Break**

5:30PM-7:00PM **Dinner**

Thursday, April 20

8:30AM–9:30AM **Breakfast & Check-out**

9:30AM-10:45AM **Data Privacy & Security**

Speakers:
Joanna Grama, Director of Cybersecurity and IT GRC Programs, EDUCAUSE

Discussion Questions:

What are the major privacy and security considerations surrounding postsecondary data?
What is the difference between privacy and security?
What are the current rules around collecting data and securing data?
What is the Family Educational Rights and Privacy Act of 1974 (FERPA)?
What rights do students have with regard to their personal data?
What responsibilities do IHEs have with regard to collecting, storing and sharing data? What limitations do they face?
What responsibilities does the Federal Government have with regard to collecting, storing and sharing data?
What are the tradeoffs between privacy and security?

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10:45AM-10:55AM **Break**

10:55AM-12:15PM **Linkages Across Federal Data Systems**

Speakers:
David Bergeron, Senior Fellow, Center for American Progress (CAP)
Rachel Zinn, Director, Workforce Data Quality Campaign(WDQC)

Discussion Questions:

What federal agencies other than the U. S. Department of Education collect and maintain postsecondary data?
What partnerships currently exist among federal agencies to share postsecondary data?
What roadblocks have been encountered by policymakers when trying to link federal databases? What road blocks have been overcome?
Specific to workforce data, what linkages exist at the federal level and between the federal government and states?

12:15PM-1:30PM **Working Lunch with Experts**

Lunch will provide an opportunity for staff to ask the day's panelists additional questions related to privacy, security and linkages that are of interest to them.

1:30PM-2:30PM **Wrap Up Discussion**

Facilitators:
MaryEllen McGuire, President, PNPI
Jared Bass, Federal Director, PNPI

Discussion Questions:

What new information did you learn from today's panels?
What remaining questions do you have about federal postsecondary data systems in general?
What follow-up might you be interested in?

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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): Postsecondary National Policy Institute (PNPI)

2. Description of the trip: See attached.

3. Dates of travel: April 19-20, 2017

4. Place of travel: Warrenton, VA

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*).

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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:

PNPI has created the agenda, developed the invitation list, and is managing all event logistics.

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.

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

In addition to multi-day seminars, PNPI sponsors Hill-based briefings for larger Hill audiences and is available to all congressional staff for postsecondary related research support. Our website offers resources including summaries of recent postsecondary reports and primers on higher education issues.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
☒ Good Faith estimate ☐ Actual Amounts	$53.50 (calculated using Google Maps from U.S. Capitol - round trip)	$94	$79	N/A

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:

This trip is arranged and organized specifically with regard to congressional participation.

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

Airlie is located approximately 60 minutes south of DC providing convenient access for congressional staff. In addition to meeting space, this location offers on-site accommodations.

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

Airlie Conference Center, 6809 Airlie Road, Warrenton, VA 20187

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

The facility provides both meeting space and overnight lodging on-site.

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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 for congressional staff costs $94/night, the federal per diem. Meal costs are $46 on day one (lunch, dinner, incidentals) and $33 on day two (breakfast, lunch, incidentals), both rates are at the federal 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:

The staff will drive their personal vehicles to the seminar 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:

N/A

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: _____

Name and Title: MaryEllen McGuire, President

Name of Organization: Postsecondary National Policy Institute (PNPI)

Address: 718 7th Street NW, Floor 2, Washington, DC 20001

Telephone Number: 202-841-7359

Fax Number: _____

E-mail Address: mcguire@pnpi.org

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ATTACHMENT:
Senate Private Sponsor Travel Certification Form

2. Description of the Trip:

This seminar is designed to introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education and postsecondary data sets housed and maintained outside of the U.S. Department of Education. We will also deepen staff understanding of federal data privacy and security laws, particularly as it relates to postsecondary data, and introduce staff to data linkages across federal agencies. Finally, we plan to lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

A detailed agenda is attached.

5. Name and title of Senate invitees:

Katie Brown
Legislative Assistant
Senator Collins

Lauren Davies
Education Policy Advisor
Senator Alexander

Josh Delaney
Legislative Assistant
Senator Warren

Andrew LaCasse
Education Policy Advisor
Senator Alexander

Kara Marchione
Director of Education Policy
Senator Murray

Bryce McKibben
Policy Advisor
Senator Murray

Karishma Merchant
Legislative Assistant
Senator Kaine

Bob Moran
Education Policy Advisor
Senator Alexander

All staff were invited due to their employment with a Member who sits on the Senate HELP Committee.

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

PNPI provides professional development to Congressional staff who work on higher education issues. This seminar is designed to introduce staff to, and extend their knowledge of, the postsecondary data sets housed and maintained at the U.S. Department of Education and postsecondary data sets housed and maintained outside of the U.S. Department of Education. We will also deepen staff understanding of federal data privacy

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and security laws, particularly as it relates to postsecondary data, and introduce staff to data linkages across federal agencies. Finally, we plan to lead staff through a data training exercise meant to increase their ability to access and analyze postsecondary data.

A detailed agenda is attached.

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

PNPI has sponsored fourteen prior seminars on the topics of college cost (held in Towson, Maryland in May 2012), student financial aid (held at New America and George Mason University in August 2012, the George Washington University in August 2013, the University of Virginia in August 2014 and the Kent Manor Inn in Stevensville, MD in May 2015), higher education accreditation (held in Owings Mills, Maryland in January 2013 and in Warrenton, VA in March 2016), competency-based education and prior learning assessment (held in Manchester, New Hampshire in May 2013), MOOCs and online learning (held at the Airlie Center in Warrenton, VA in April 2014), Minority-Serving Institutions (held in Atlanta, GA in October 2014 and in Seattle, WA in October 2015), non-traditional students (held at the Kent Manor Inn in Stevensville, MD in August 2015), and loan servicing (held in Harrisburg, PA in August 2016). PNPI also sponsored a general issues Boot Camp (held at Kent Manor in Stevensville, MD in June 2016). All prior PNPI trips have been approved by the Ethics Committee.

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March 9, 2017

Dear Andrew LaCasse,

We are writing to invite you to participate in the Postsecondary National Policy Institute's (PNPI) seminar on postsecondary data, April 19-20, 2017 in Warrenton, VA.

This seminar is designed to extend your knowledge of the postsecondary data sets housed and maintained within and outside the U.S. Department of Education. It will also deepen your understanding of federal data privacy and security laws, particularly as it relates to student level data. Finally, it will introduce you to data linkages across federal agencies.

PNPI fully complies both with the rules enacted by the United States Senate and with the provisions contained in S.1 (P.L. 110-81) as they relate to privately-funded travel of Congressional staff. Included with this invitation are all the forms necessary for Ethics rules compliance.

By Monday, March 20, 2017, you must submit the following forms and documents directly with the Ethics Committee in Hart 220:

- A copy of this PNPI invitation;
- A completed Private Sponsor Travel Certification Form with all attachments, including a Senate invitee list;
- An itinerary and agenda; and
- A completed and signed Employee Pre-Travel Authorization Form.

After receiving the completed travel package, the Ethics Committee will review the package and issue an approval for travel to you or your sponsoring Member. The Ethics Committee advises all Senate employees to maintain copies of all submitted forms for their own records. After the seminar, we will provide you with a post-travel form that you will need to complete and submit to the Ethics Committee.

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Even if you are unsure you will be able to attend the seminar, please submit the paperwork so you will have the option to participate. **Paperwork submitted to the Ethics Committee after the deadline will not be considered**. For planning purposes, **PNPI must receive your RSVP no later than March 16**. Please send your RSVP directly to Jared Bass at bass@pnpi.org.

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 foundations supporting PNPI are the Bill and Melinda Gates Foundation and the Lumina Foundation. PNPI maintains autonomy over the agenda, invitations and materials provided before and after the seminar.

The program will begin at Airlie Conference Center in Warrenton, VA on Wednesday, April 19 at 10:00 AM and will conclude on Thursday, April 20 at 2:30 PM. If you have any questions about the seminar, please do not hesitate to email or call us directly.

PNPI's seminar on Postsecondary Data promises to be both educational and productive. We look forward to your participation!

Sincerely,

MaryEllen McGuire, President
Postsecondary National Policy Institute (PNPI)
mcguire@pnpi.org
202-841-7359

Jared Bass, Federal Director
Postsecondary National Policy Institute (PNPI)
bass@pnpi.org
215-285-8347

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