

# Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:  
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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 23-25, 2019

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)
<input type="checkbox"/> Good Faith Estimate	\$378.10	\$266.00	\$93.70	\$17.65 - meeting room rental costs
<input checked="" type="checkbox"/> Actual Amount				

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

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	N/A	N/A	N/A	N/A
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.): Attended a seminar on federal student loan servicing. See agenda for additional information.

5/20/2019  
(Date)

Tim Carlton  
(Printed name of traveler)

[Signature]  
(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.

5/20/2019  
(Date)

Bill Cassidy, MD  
(Signature of Supervising Senator/Officer)

# EMPLOYEE PRE-TRAVEL AUTHORIZATION

Date/Time Stamp:

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**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](http://ethics.senate.gov). Retain a copy of your entire pre-travel submission for your required post-travel disclosure.

Tim Carlton

Name of Traveler: \_\_\_\_\_

Employing Office/Committee: Senator Cassidy

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

Travel date(s): April 23-25, 2019

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

Destination(s): St. Louis, MO and Chesterfield, MO

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

I expect this trip to increase my knowledge and understanding of postsecondary loan servicing. With \$1.5T in student debt, it is important to know how these loans are serviced. In my capacity as Senator Cassidy's Education Policy Advisor, this trip will help further my understanding of the loan servicing process and better inform me on the policies that affect loan servicing in the Higher Education Act of 1965.

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:

3/22/2019  
(Date)

[Signature]  
(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, Bill Cassidy, MD hereby authorize Tim Carlton  
(Print Senator's/Officer's Name) (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) ☐

3/22/2019  
(Date)

[Signature]  
(Signature of Supervising Senator/Officer)



Dear Tim Carlton,

**Included with this invitation are the forms necessary for ethics rules compliance. By Monday, March 25, 2019, you must submit these included forms and documents directly to the Ethics Committee in Hart 220. They are:**

- 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 Office of Public Records.

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, the Lumina Foundation, and the Kresge Foundation. PNPI is the sole sponsor, planner and executor of the trip. PNPI maintains autonomy over the agenda, invitations and materials provided before and after the seminar.

We will depart for St. Louis on Tuesday, April 23 at 6:40 PM EST from Ronald Reagan Washington National Airport (DCA) and return to DCA on Thursday, April 25 at 3:15 PM EST. The formal program will begin at the Missouri Higher Education Loan Authority (MOHELA) on Wednesday, April 24 at 9:00 AM CST and will conclude on Thursday, April 25 at 10:00 AM CST. PNPI is providing airfare and will pay the costs of all lodging, meals, and ground transportation while in St. Louis. If you have any questions about the seminar, please do not hesitate to email or call us directly.

PNPI's *Federal Student Loan Servicing* seminar promises to be both educational and productive. We look forward to your participation!

Sincerely,

A handwritten signature in black ink, appearing to read "MaryEllen McGuire". The signature is fluid and cursive, with the first name "MaryEllen" and the last name "McGuire" clearly distinguishable.

MaryEllen McGuire, President  
Postsecondary National Policy Institute (PNPI)

202-407-3172

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**Wednesday, April 24**



**12:00-12:45 PM      Working Lunch**

**Presenters:** Raymond H. Bayer, Jr., Executive Director and CEO, Jennifer Farmer, Director, Federal Contracting, James Matchefts, MOHELA General Counsel, Carol Malon, Chief Financial Officer, Paul Mosquera, Chief Compliance and Risk Officer, Ginny Burns, Director, Customer Advocacy Team & Laura Catlett, Director, Contact Center

**Location:** MOHELA Headquarters Conference Room

*Over lunch, participants will take part in a Q&A focused on servicer challenges and how these challenges impact student borrowers and the service they receive.*

**12:45-1:30 PM      Servicer Compensation Model**

**Presenters:** Danny Marshall, MOHELA Federal Contracting Manager & Frank Reyes, MOHELA Controller

*Participants will review MOHELA's Direct Loan invoice and detailed income/expense statements for January 2019 to better understand the current servicer compensation models. The group will then discuss the pros and cons of the current servicer compensation model and consider recommendations for improvement.*

**1:30-2:00 PM      Agent Training, Development & Quality Assurance**

**Presenters:** Christy Baze, MOHELA Manager of Training, Development and E-Learning & Arthur Meyers, Quality Assurance Supervisor

*This session will review the process of hiring, training and monitoring call center agents.*

**2:00-2:30 PM      Escalated Call Handling, the Customer Advocacy Team & the Military VIP Team.**

**Presenter:** Ginny Burns, Director of Customer Advocacy

*This session will focus on complaint escalation and tracking.*

**2:30-3:15 PM      Federal Student Aid's (FSA) Current Student Loan Portfolio**

**Presenter:** Raymond H. Bayer, Jr., Executive Director and CEO

*This session will review and discuss the current makeup of FSA's loan portfolio, including delinquency rates, repayment plan utilization, forbearance types, and utilization.*

**3:15-3:30 PM      Break**

**3:30-4:15 PM      Fraud**

**Presenter:** Scott Lause, Assistant General Counsel

*Staff will learn about fraud against borrowers – tactics used (e.g. Doc prep companies) and the costs associated with it.*

*The visit will conclude with a discussion focused on the state of the student loan servicing industry, including the hardships, consequences, and costs of borrower default.*

**5:00 PM**                      **Depart for Hyatt Regency St. Louis at the Arch**

**5:45 PM      Return to Hyatt Regency St. Louis at the Arch**

**6:00-7:30 PM**      **Dinner at Lombardo's Trattoria,**  
**Location: 201 South 20<sup>th</sup> Street, St. Louis, MO 63103**

**Thursday, April 25**

**8:00-8:45 AM**      **Check-Out & Breakfast, Hyatt Regency St. Louis at the Arch**

**8:45-10:15 AM      Roundtable with Loan Servicers**

**Participants:** Raymond H. Bayer, MOHELA, Jim Farha, Oklahoma Student Loan Authority (OSLA), Aisha Smith, NELNET & Patricia Christel, Navient

*Staff will participate in a roundtable discussion with several servicers to better understand what they have in common, how they differ, and how they each view their role and challenges within the current system. Participants will also consider ways in which the current system could be changed to improve the borrower experience and decrease borrower defaults.*

**10:20 AM**                      **Depart Hotel for Airport**

<b>11:00 AM</b>	<b>Arrive at Airport and Check-in for Flight</b>
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**12:25 PM Depart St. Louis, Missouri (STL) for Ronald Reagan Washington National Airport (DCA), SW Airlines Flight #2236**

**3:15PM**                      **Arrive DCA**



## 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.

1. Sponsor(s) of the trip (please list all sponsors): Postsecondary National Policy Institute (PNPI)
2. Description of the trip: This trip is designed to increase staff's knowledge of the role loan servicers play in the federal Direct Loan system.
3. Dates of travel: April 23-25, 2019 (two nights overnight)
4. Place of travel: St. Louis, MO and Chesterfield, MO
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:

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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 is the sole sponsor, planner and executor of the trip. PNPI created the agenda, developed the invitation list and is managing event panels and logistics.

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 current and prospective policymakers who work on higher education issues. This event is designed to increase congressional staff's knowledge of federal student loan servicing.

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

Since 2012, PNPI has sponsored twenty congressional staff seminars on postsecondary topics including federal student aid, higher education accreditation, student data, and competency-based education.

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. PNPI also offers professional development, briefings, and boot camps to prospective policymakers.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate  <input type="checkbox"/> Actual Amounts	\$359.90 (round trip flight cost and on the ground shuttle to meetings)	\$266 (two nights)	\$89	\$0

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 arranged and organized specifically with regard to congressional participation.

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

The Missouri Higher Education Loan Authority (MOHELA) is a Direct Loan loan servicer and is located just outside of St. Louis, MO.

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

Hyatt Regency St. Louis at the Arch, 315 Chestnut Street, St. Louis, MO 63102

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

The hotel is in proximity to the loan servicer we are visiting and offers on site meeting space.

- Lodging costs \$133/night, the federal per diem. Meal costs are \$5 on day one

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:

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).

- None

- Signature of Travel Sponsor:**

**Name of Organization:** Postsecondary National Policy Institute (PNPI)

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

Telephone Number: 202-407-3172

**Fax Number:**

E-mail Address: [mcguire@pnpi.org](mailto:mcguire@pnpi.org)



**ATTACHMENT:**  
**Senate Private Sponsor Travel Certification Form**

**5. Name and title of Senate invitees:**

**Katie Brown**  
Chief Counsel  
Senator Collins

**Karen McCarthy**  
Senior Legislative Assistant  
Senator Murkowski

**Tim Carlton**  
Policy Advisor  
Senator Cassidy

**Bryce McKibben**  
Senior Policy Advisor  
Senator Murray

**Kara Marchione**  
Director of Education Policy  
Senator Murray

**Emily Smith**  
Legislative Assistant  
Senator Murphy

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

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