

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name (Include any former names or nicknames used):

Peter Vance Neffenger

2. Position to which nominated:

Assistant Secretary for Homeland Security, Transportation Security Administration

3. Date of Nomination:

April 28, 2015

4. Address (List current place of residence and office addresses):

Residence:

Office:



5. Date and Place of Birth:

August 21, 1955, Salem, OH

6. Provide the name, position, and place of employment for your spouse (if married) and the names and ages of your children (including stepchildren and children by a previous marriage).

Spouse: Gail Rosemary Staba

Place of Employment: Transportation Research Board, The National Academy of Sciences, Washington, DC

Position: Senior Program Officer

No children

7. List all college and graduate degrees. Provide year and school attended.

1977: Baldwin-Wallace University, Bachelor of Arts, Magna Cum Laude, with distinction, in English

1986: Central Michigan University, Master of Arts in Business Management

1995: Harvard University, Kennedy School of Government, Master of Public Administration

2003: U.S. Naval War College, Master of Arts in National Security & Strategic Studies, with distinction

8. List all post-undergraduate employment, and highlight all management-level jobs held and any non-managerial jobs that relate to the position for which you are nominated.

Post-undergraduate employment:

1977-78: Assistant to the Director, Betterway Inc (community based corrections), Elyria, OH

1979-80: Student Affairs Consultant, AFS International, New York, NY

1980-81: Director, English-in-Action (ESL program), New York, NY

1981-Present: United States Coast Guard

Management and Non-Managerial Positions:

2014 - Present: Vice Commandant, United States Coast Guard, Washington, DC

2012 - 2014: Deputy Commandant for Operations, United States Coast Guard, Washington, DC

2010 - 2012: Director of Strategic Management and Doctrine, United States Coast Guard, Washington, DC

2010 (May - Oct): Deputy National Incident Commander, BP Deepwater Horizon Oil Spill Response

2008-2010: Commander, Ninth Coast Guard District, Cleveland, OH

2006-2008: Chief, Office of Budget & Programs, USCG Headquarters, Washington, DC

2003-2006: Sector Commander, USCG Sector Los Angeles – Long Beach, CA

2002-2003: Student, U.S. Naval War College, Newport, RI

1999-2002: Executive Officer, USCG Marine Safety Office San Francisco Bay, CA

1997-1999: Fellow on detail to U.S. Senate Appropriations Committee, Subcommittee on Transportation

1995-1997: Program Analyst, Office of Casualty Investigations, USCG Headquarters, Washington, DC

1994-1995: Student, Harvard University, Kennedy School of Government, Cambridge, MA

1991-1994: Chief of Marine Inspection/Chief of Port Operations, USCG Marine Safety Office, Mobile, AL
1989-1991: USCG Liaison Officer to the Territory of American Samoa
1985-1989: Marine Inspector/Marine Investigator, USCG Marine Safety Office, New Orleans, LA
1983-1985: Student Engineer, US Coast Guard Cutter GALLATIN (WHEC 721)
1982-1983: Training Officer, Office of Reserve, Eighth Coast Guard District, New Orleans, LA
1981-1982: USCG Officer Candidate School, Yorktown, VA
1980-1981: Director, English-in-Action (TESL program), New York, NY
1979-1980: Student Affairs Consultant, AFS International, New York, NY
1977-1978: Assistant to Director, Betterway, Inc. (community based corrections), Elyria, OH

9. Attach a copy of your resume.

My official Coast Guard biography and resume are attached.

10. List any advisory, consultative, honorary, or other part-time service or positions with Federal, State, or local governments, other than those listed above, within the last ten years.

None

11. List all positions held as an officer, director, trustee, partner, proprietor, agent, representative, or consultant of any corporation, company, firm, partnership, or other business, enterprise, educational, or other institution within the last ten years.

None

12. Please list each membership you have had during the past ten years or currently hold with any civic, social, charitable, educational, political, professional, fraternal, benevolent or religious organization, private club, or other membership organization. Include dates of membership and any positions you have held with any organization. Please note whether any such club or organization restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

2002-2014: Member, Women's Transportation Seminar (WTS International)
2003-2006: Member, Propeller Club of the United States, Port of Los Angeles-Long Beach

2003-2006: Member, Homeland Security Advisory Council, Los Angeles, CA
2003-2006: Member, Advisory Board, International Trade Education Programs, Los Angeles, CA
2005-present: Member, Pacific Council on International Policy
2008-2010: Member, City Club of Cleveland
2009-2010: Member, Cleveland Council on World Affairs
2013-present: Member, The Army and Navy Club, Washington, DC

None of these organizations restricts membership on the basis of sex, race, color, religion, national origin, age, or handicap.

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.

No

14. Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$500 or more for the past ten years. Also list all offices you have held with, and services rendered to, a state or national political party or election committee during the same period.

None

15. List all scholarships, fellowships, honorary degrees, honorary society memberships, military medals, and any other special recognition for outstanding service or achievements.

National Honor Society

F. E. Harris Scholarship, Baldwin-Wallace College

Dayton C. Miller Honor Society, Baldwin-Wallace College

USCG Foundation, Admiral James S. Gracey Award for Professionalism

U.S. Department of Justice Certificate of Appreciation for assistance in prosecuting environmental crimes

U.S. Naval War College James F. Forrestal Award for Excellence in Strategy & Force Planning

Military Awards:

Department of Homeland Security Distinguished Service Medal

USCG Distinguished Service Medal

Legion of Merit (4 awards)

Meritorious Service Medal (3 awards)
USCG Commendation Medal with Operational Distinguishing Device (3 awards)
Transportation 9-11 Medal
Presidential Unit Citation
USCG Achievement Medal (2 awards)
USCG Commandant Letter of Commendation with Operational Distinguishing Device
Department of Transportation Outstanding Unit Award
Coast Guard Unit Commendation with Operational Distinguishing Device (3 awards)
Coast Guard Meritorious Unit Commendation (4 awards)
Coast Guard Meritorious Team Commendation with Operational Distinguishing Device (5 awards)
Coast Guard Bicentennial Unit Commendation
National Defense Service Medal (2 awards)
GWOT Service Medal
Humanitarian Service Medal (2 awards)
Coast Guard Special Operations Service Ribbon (2 awards)
Coast Guard Sea Service Ribbon
Coast Guard Overseas Service Ribbon
Rifle Marksmanship Ribbon
Pistol Sharpshooter Ribbon

16. Please list each book, article, column, or publication you have authored, individually or with others. Also list any speeches that you have given on topics relevant to the position for which you have been nominated. Do not attach copies of these publications unless otherwise instructed.

“Safeguarding Our Hemisphere,” U.S. Naval Institute Proceedings, October 2013.

“Merging the Missions: Ensuring Maritime Homeland Security and Defense Through Effective Command and Control:” Paper submitted to the U.S. Naval War College in partial fulfillment of the requirements for the Degree of Master of Arts in National Security and Strategic Studies, June 2003.

As Sector Commander, Captain of the Port and Federal Maritime Security Coordinator, USCG Sector Los Angeles – Long Beach from 2003-2006, delivered various speeches to civic and business organizations, industry and veterans groups, government agencies, academic institutions, symposia and conferences on general Coast Guard themes, missions and responsibilities.

As Ninth District Commander from 2008-2010, delivered various speeches to civic and business organizations, industry and veterans groups, government agencies, academic institutions, symposia and conferences on general Coast

Guard themes, missions and responsibilities.

As Deputy National Incident Commander, BP Deepwater Horizon Oil Spill, delivered various speeches to civic and business organizations, academic institutions, government agencies and conferences on leadership during large-scale crises.

As Deputy Commandant for Operations and as Vice Commandant, delivered various speeches to government, civic and business entities, academic institutions and conferences.

(Please also see attached spreadsheet for a list of specific speeches)

17. Please identify each instance in which you have testified orally or in writing before Congress in a governmental or non-governmental capacity and specify the date and subject matter of each testimony.

Appearances at Congressional Hearings:

17 May 2010: ASSESSING THE NATION'S RESPONSE TO THE DEEPWATER HORIZON OIL SPILL, Senate Homeland Security & Governmental Affairs Committee

18 May 2010: ECONOMIC AND ENVIRONMENTAL IMPACTS OF THE RECENT OIL SPILL IN THE GULF OF MEXICO, Senate Environment & Public Works Committee

19 May 2010: THE DEEPWATER HORIZON OIL SPILL, House Transportation and Infrastructure Committee

26 May 2010: DEEPWATER HORIZON: BP OIL SPILL IN THE GULF OF MEXICO, House Natural Resources Committee

12 Jul 2010: DEEPWATER HORIZON OIL SPILL CHAIN OF COMMAND: AN EXAMINATION OF INFORMATION SHARING PRACTICES DURING A SPILL OF NATIONAL SIGNIFICANCE, House Homeland Security Committee, Subcommittee on Management, Investigations & Oversight (Field Hearing in New Orleans, LA)

22 Sep 2010: DHS PLANNING & RESPONSE: PRELIMINARY LESSONS FROM DEEPWATER HORIZON, House Homeland Security Committee

10 Jul 2012: A REVIEW OF FEDERAL MARITIME DOMAIN AWARENESS PROGRAMS, Coast Guard & Maritime Transportation Subcommittee of the House Committee on Transportation & Infrastructure

26 Feb 2013: COAST GUARD MISSION BALANCE, Coast Guard & Maritime Transportation Subcommittee of the House Committee on Transportation & Infrastructure

23 Jul 2014: IMPLEMENTING U.S. POLICY IN THE ARCTIC, Coast Guard & Maritime Transportation Subcommittee of the House Committee on Transportation & Infrastructure

18. Given the current mission, major programs, and major operational objectives of the department/agency to which you have been nominated, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?

I have been privileged to serve our Nation for over 33 years as a commissioned officer in the United States Coast Guard. During these years I have been assigned to a broad variety of operational, staff and leadership positions culminating in my current duties as Vice Commandant and second in command of the Coast Guard, the Nation's fifth armed service and premier maritime law enforcement agency. Each successive assignment has brought greater and more complex responsibilities.

As Vice Commandant, I serve as the Vice Service Chief, Chief Operating Officer and Component Acquisition Executive responsible to train, equip and organize over 50,000 men and women who keep our Nation's waters safe, secure and protected. I approve and certify all acquisition programs of record for the Service. I oversee compliance with the Chief Financial Officer and Federal Financial Reform Act of 1990 (the Coast Guard is the first Armed Service to achieve a clean audit opinion – an achievement we have maintained for two consecutive years). I serve as the senior authority for all resource requests and budget submissions for the Service.

I have served as a senior DHS field commander. I commanded the Ninth Coast Guard District encompassing all operations on the Great Lakes and St Lawrence Seaway and the Northern Border with Canada. I commanded Sector Los Angeles-Long Beach and served as the Federal Maritime Security Coordinator and Captain of the Port for the Nation's largest port complex in addition to approximately 300 miles of California coast and coastal waters. In both commands, I worked closely with interagency and international partners, with industry and private sector, with citizens groups and with non-governmental organizations to develop risk-based methods for screening vessels, cargo and people operating in our ports and waterways. I focused on determining highest risk commerce while facilitating legitimate activities.

I also established one of the nation's first interagency Area Maritime Security Committees which brought together leaders from industry, labor, government, first responder agencies and the local community to tackle the critical challenge of securing the vital Los Angeles and Long Beach ports and maritime approaches to the West Coast of the United States.

I have earned three Masters Degrees: in Business Management, Public Administration, and National Security and Strategic Studies. I served as Detailee for two years to the Senate Appropriations Committee, Subcommittee on Transportation. I have extensive experience in budget formulation and program review, having served as the Coast Guard Budget Officer from 2006-2008. In this role I helped to establish the framework for new accounting controls and management policies to ensure they were sound, well-understood and practiced uniformly throughout the Coast Guard.

I served as Deputy National Incident Commander for the BP Deepwater Horizon Oil Spill in 2010 following the tragic explosion and sinking of the Deepwater Horizon Mobile Offshore Drilling Unit, which precipitated the largest and longest oil spill in U.S. At the national level, I helped to ensure a coordinated, unified, whole-of-government effort to respond to the massive spill. I led over 50,000 people from federal, state and local agencies, tribal representatives, non-governmental organizations, and the private sector throughout five Gulf Coast states. I regularly briefed the President, Members of Congress, Cabinet Secretaries, state Governors and regional elected officials on progress and milestones.

I have traveled and served extensively, domestically and internationally, throughout my Coast Guard career in representation of my Service and the Nation, most recently as Head of the U.S. delegation to the Arctic Council symposium in Russia and as Head of the U.S. delegation to the International Maritime Organization.

If confirmed for the TSA Administrator position to which I have been nominated, I will have the privilege and opportunity to apply my law enforcement and security experience and skills to one of the most challenging jobs in our nation: protecting our transportation systems – especially aviation – from terrorists.

19. What do you believe are your responsibilities, if confirmed, to ensure that the department/agency has proper management and accounting controls, and what experience do you have in managing a large organization?

The Administrator is solely responsible for the financial performance and accountability of the agency. As Administrator I would be responsible for sound

stewardship of precious public resources. The American public puts great trust in its public servants and we must never violate that trust. Given this, the Administrator must also ensure transparency through independent review of financial records and organizational performance milestones. The Administrator must also ensure that financial and managerial teams have the required training and skills to meet these mandates.

I have been privileged to serve our Nation for over 33 years in the United States Coast Guard. During these years I have been assigned to a broad variety of operational, staff and leadership positions culminating in my current duties as Vice Commandant and second in command of the Coast Guard, the Nation's fifth armed service and premier maritime law enforcement agency. I train, equip and organize over 50,000 men and women who keep our Nation's waters safe, secure and protected. I approve and certify all acquisition programs of record for the Service. I oversee compliance with the Chief Financial Officer and Federal Financial Reform Act of 1990 (the Coast Guard is the first Armed Service to achieve a clean audit opinion – an achievement we have maintained for two consecutive years). I serve as the senior authority for all resource requests and budget submissions for the Service.

The knowledge and experience I have gained over my years of service have helped me to understand the motivations and the needs of a dynamic and distributed workforce, the workings of our government, and the importance of sound and prudent fiscal management as we strive to provide the highest quality and most efficient service to the American public.

20. What do you believe to be the top three challenges facing the department/agency, and why?

Threat: Threats to our transportation systems are real and persistent, and our transportation systems will remain targets of our enemies. We can never assume we have found “the security answer.” Our enemies will continually adapt, so we must continually adapt. We must leverage intelligence, technology and the experience of our front-line operators and private sector partners to ensure we employ effective, efficient and ever-adapting procedures to stop those who would harm us.

Customer Service: TSA interacts with millions of travelers each day – travelers who expect efficient and effective screening with minimal delay, and who expect to be treated with respect. In my current career I have routinely interacted with the public and have learned that an organization must continually reinforce this message of dignity and respect in order to make it part of an agency culture.

Retention, Training and Accountability: Front-line managers and screeners are critical to the success of TSA. Agency culture, morale and effectiveness are a direct result of consistent and career-long training, recognition and accountability.

B. POTENTIAL CONFLICTS OF INTEREST

1. Describe all financial arrangements, deferred compensation agreements, and other continuing dealings with business associates, clients, or customers. Please include information related to retirement accounts.

Please see my nominee PFDR.

2. Do you have any commitments or agreements, formal or informal, to maintain employment, affiliation, or practice with any business, association or other organization during your appointment? If so, please explain.

No

3. Indicate any investments, obligations, liabilities, or other relationships which could involve potential conflicts of interest in the position to which you have been nominated.

Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I entered into with DHS's Designated Agency Ethics Official and that has been provided to this Committee.

4. Describe any business relationship, dealing, or financial transaction which you have had during the last ten years, whether for yourself, on behalf of a client, or acting as an agent, that could in any way constitute or result in a possible conflict of interest in the position to which you have been nominated.

In connection with the nomination process, I consulted with the U.S. Office of Government Ethics and the U.S. Department of Homeland Security's (DHS) Designated Agency Ethics Official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I entered into with DHS's Designated Agency Ethics Official and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

5. Describe any activity during the past ten years in which you have been engaged for the purpose of directly or indirectly influencing the passage, defeat, or modification of any legislation or affecting the administration and execution of law or public policy.

None

6. Explain how you will resolve any potential conflict of interest, including any that may be disclosed by your responses to the above items.

See response to question 4. above.

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics, professional misconduct, or retaliation by, or been the subject of a complaint to, any court, administrative agency, the Office of Special Counsel, professional association, disciplinary committee, or other professional group? If yes:
 - a. Provide the name of agency, association, committee, or group;
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
 - c. Describe the citation, disciplinary action, complaint, or personnel action;
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

No

2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.

No

3. Have you or any business or nonprofit of which you are or were an officer ever been involved as a party in an administrative agency proceeding, criminal proceeding, or civil litigation? If so, please explain.

Divorce granted February, 11, 1999, by the District Court of Montgomery County, Texas, 9th Judicial District.

4. Have you ever been convicted (including pleas of guilty or *nolo contendere*) of any criminal violation other than a minor traffic offense? If so, please explain.

No

5. Have you ever been accused, formally or informally, of sexual harassment or discrimination on the basis of sex, race, religion, or any other basis? If so, please explain.

No

6. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination.

No additional information

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees?

Yes

2. Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistle blowers from reprisal for their testimony and disclosures?

Yes

3. Will you cooperate in providing the Committee with requested witnesses, including technical experts and career employees, with firsthand knowledge of matters of interest to the Committee?


Yes

4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes


F. Affidavit

Peter V. Neffenger being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.



Signature of Nominee

Subscribed and sworn before me this 8 day of May, 2015.



Notary Public

R. SUMITRIA WHITE
NOTARY PUBLIC DISTRICT OF COLUMBIA
My Commission Expires January 14, 2018

