

**NOMINATIONS TO THE NATIONAL
TRANSPORTATION SAFETY BOARD, FEDERAL
MARITIME COMMISSION, AMTRAK BOARD
OF DIRECTORS, WHITE HOUSE OFFICE
OF SCIENCE AND TECHNOLOGY POLICY,
AND THE FOREIGN COMMERCIAL SERVICE**

HEARING

BEFORE THE

**COMMITTEE ON COMMERCE,
SCIENCE, AND TRANSPORTATION
UNITED STATES SENATE**

ONE HUNDRED SIXTEENTH CONGRESS

FIRST SESSION

—————
JULY 24, 2019
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Printed for the use of the Committee on Commerce, Science, and Transportation



Available online: <http://www.govinfo.gov>

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U.S. GOVERNMENT PUBLISHING OFFICE

52-730 PDF

WASHINGTON : 2023

SENATE COMMITTEE ON COMMERCE, SCIENCE, AND TRANSPORTATION

ONE HUNDRED SIXTEENTH CONGRESS

FIRST SESSION

ROGER WICKER, Mississippi, *Chairman*

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DEB FISCHER, Nebraska	BRIAN SCHATZ, Hawaii
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STEVEN WALL, *General Counsel*

KIM LIPSKY, *Democratic Staff Director*

CHRIS DAY, *Democratic Deputy Staff Director*

RENAE BLACK, *Senior Counsel*

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FOREIGN COMMERCIAL SERVICE**

WEDNESDAY, JULY 24, 2019

U.S. SENATE,
COMMITTEE ON COMMERCE, SCIENCE, AND TRANSPORTATION,
Washington, DC.

The Committee met, pursuant to notice, at 10:50 a.m. in room SH-216, Hart Senate Office Building, Hon. Roger Wicker, Chairman of the Committee, presiding.

Present: Senators Wicker [presiding], Cantwell, Moran, Blumenthal, Young, and Markey.

**OPENING STATEMENT OF HON. ROGER WICKER,
U.S. SENATOR FROM MISSISSIPPI**

Senator WICKER. So I want to now thank our nominees for being here.

We have seven nominees before our committee today who have been nominated for important roles in a wide range of this committee's various areas of jurisdiction.

Michael Graham has been nominated to serve as a Member of the National Transportation Safety Board. Mr. Graham currently serves as the Director of Flight Operations Safety, Security, and Standardization for Textron Aviation. Prior to his safety-centric work in the aviation industry, Mr. Graham served his country as a naval aviator flying A7s and F/A-18s for nine years.

Jennifer Homendy has also been nominated to serve as a Member of the NTSB for a new 5-year term. She has served as a Member of the NTSB since August 2018 and previously worked as a Democratic Staff Director on the House Transportation and Infrastructure Committee's Subcommittee on Railroads, Pipelines, and Hazardous Materials.

Robert Sumwalt III, has been nominated to serve as Chairman of the NTSB for a three-year term. He has served as Chairman of the NTSB since August 2017, and has been on the Board since his nomination by President George W. Bush in 2006.

Prior to his service at the NTSB, Mr. Sumwalt worked for U.S. Airways as a check airman, instructor pilot, and air safety representative between 1986 and 2004.

We're also joined today by Carl Bentzel, who has been nominated to serve as Commissioner of the Federal Maritime Commission. Mr. Bentzel currently works as a consultant on energy and transportation policy issues at Bentzel Strategies, LLC.

He previously spent 9 years as Democratic Senior Counsel to the Senate Commerce Committee's then Subcommittee on Surface Transportation and Merchant Marine, as well as 4 years as the Democratic Counsel to the House Committee on Merchant Marine and Fisheries.

Our fifth nominee today is Mr. Todd Rokita. He has been nominated to be a Member of the Amtrak Board of Directors. Mr. Rokita spent four terms in the House of Representatives representing Indiana's 4th District, notably as a member of the House Committee on Transportation and Infrastructure. He held assignments on the Subcommittee on Railroads, Pipelines, and Hazardous Materials as well as the Subcommittee on Aviation.

Before his time in the House, he served as Indiana's Secretary of State. Upon election at 32 years of age, he was the youngest Secretary of State in the country.

Also joining us today is Michael Kratsios, who has been nominated to be an Associate Director of the Office of Science and Technology Policy. Mr. Kratsios currently serves as President Trump's top technology advisor in his capacity as Deputy Assistant to the President for Technology Policy. He has served in this role for over 2 years and advises the President on a wide range of policy issues, including artificial intelligence, unmanned aerial systems, autonomous vehicles, telecommunications, and rural broadband.

And, finally, testifying today is Ian Steff, who's been nominated to be Assistant Secretary of Commerce and Director General of the United States and Foreign Commercial Service.

Mr. Steff currently serves as Deputy Assistant Secretary of Commerce for Manufacturing and previously led then-Governor Pence's Innovation and Entrepreneurship Initiative as Indiana's Chief Innovation Officer.

I want to thank all of you for being here today and for your willingness to serve in these key positions of public service. I look forward to learning more about each of our nominees' qualifications and backgrounds, but, first, I will turn to Ranking Member Cantwell for her opening remarks.

**STATEMENT OF HON. MARIA CANTWELL,
U.S. SENATOR FROM WASHINGTON**

Senator CANTWELL. Thank you, Mr. Chairman, and I'll try to go as quickly as I can on this because we do have a crowded agenda of nominees here today, and they are fulfilling very important roles for the Nation.

I want to start by welcoming the NTSB Board Chairman Robert Sumwalt and Jennifer Homendy and the nominee, Mr. Graham. Obviously the NTSB plays a very important role in investigating transportation accidents and making recommendations and I appreciate the hard work the Board has put into the Amtrak accident

investigation in DuPont, Washington, and I know the Board is working hard in conjunction with other stakeholders to investigate the two recent crashes of Boeing 737 Max aircraft and making appropriate recommendations on that, as well.

So having continuity at the NTSB is important and I know Mr. Sumwalt's term is up on August 9. It's unfortunate the White House didn't get us the paperwork until just this Monday, but I'm still hopeful we can work through these issues and try to get this done before the August break.

In addition, I hope the White House, though will work expeditiously to fill the remaining open Board seat as soon as possible. We urgently need an NTSB that is operating at full strength.

I would also like to welcome former Representative Todd Rokita, who we just had a chance to meet and talk, the Amtrak Board of Directors nominee.

Amtrak is very important to the state of Washington, but it needs investment to maintain services that are both efficient and safe. So I look forward to hearing your comments on that.

And also the nominee of Michael Kratsios—is that how you say it? Kratsios. OK. Thank you so much for your willingness to be the Associate Director of the Office of Science and Technology Policy and the U.S. Chief Technology Officer.

This is a very important position in the Nation setting up technology priorities and the associated research budget.

I would note that the National Science Board recently sounded the alarm about investments in making science a priority because of China's leading in the second largest investment of R&D, a key driver for global competitiveness, and China is on track to overtake the U.S. in R&D in the next few years.

So in spite of this, the Trump Administration has continued to put forward budgets that request cuts in non-defense-related science investments and so I look forward to hearing from you about how we can change that because I certainly believe in making major investments.

Mr. Steff's nomination to the Secretary of Commerce and Director General of the United States Foreign Commercial Service, your responsibilities in the ITA expanding exports couldn't be a more important role.

As a state that has one in three people's jobs related to trade exports, I guarantee you I believe in the growing economy outside the United States. That's where 95 percent of consumers are. So I hope that you will give us a very aggressive approach to what the agency can do to further U.S. exports.

I have dialogued with the Chairman about just even further fixing our port infrastructure because of the competitiveness we're seeing from other nations and making sure that we not only have the opportunities to do business with these countries but that we can deliver our products in a timely fashion and compete on a global basis.

And finally, Mr. Bentzel's nominee to be the Commissioner of the Federal Maritime Commission. It's a critical mission to monitor the law and practices of foreign governments that could have discriminatory or negative impacts on shipping conditions. So I look for-

ward to hearing about those issues and thank you for mentioning your time at the House Merchant Marine and Fisheries.

So thank you very much.

Senator WICKER. Thank you, Senator Cantwell.

There is a series of votes on the Floor beginning at 11. Senator Moran has graciously agreed to preside over this hearing while I go and vote early and come right back and before that, Senator Moran is recognized to say a few words of introduction for Michael Graham.

Senator Moran, you're recognized.

**STATEMENT OF HON. JERRY MORAN,
U.S. SENATOR FROM KANSAS**

Senator MORAN. Mr. Chairman, thank you.

Senator WICKER. You have the gavel.

Senator MORAN. Thank you very much.

I'm proud to introduce Michael Graham to this committee. As a Kansan, he has been nominated to the National Transportation Safety Board.

Michael Graham, for the last three decades, has committed his life to service and aviation safety. He was a naval aviator and a flight instructor and now in his capacity as the Director of Flight Operations, Safety, Security, and Standardization for Textron Aviation.

As a naval aviator, Mr. Graham advanced from Ensign to Lieutenant Commander, flew more than 1,800 flight hours. He has flown multiple deployments, including piloting the F/A-18 Hornet in Operation Desert Storm.

Mr. Graham also spent time as a division leader, leading combat air patrol missions over Iraq and Kuwait in support of Operation Southern Watch.

After his deployment, he took on a new role as flight instructor for all phases of student training in flying the F/A-18.

Following his distinguished military service, Mr. Graham continued his dedication to a career in flight safety, first at Boeing McDonnell Douglas as an F/A-18 air crew instructor and avionics integration engineer and eventually as Director of Flight Operations, Safety, Security, and Standardization for Textron, where he has now worked for over 20 years.

In this capacity, he is responsible for the safety and security operations of all domestic and international flights conducted in support of the company.

Finally, Mr. Graham serves in multiple capacities throughout the aviation industry. He's the head of the National Business Aviation Association's Safety Committee, Single Pilot Safety Working Group, is a member of the General Aviation Information Analysis Team of the Aviation Safety Information Analysis and Sharing Program, and is Chair of the Air Charter Safety Foundation.

Long and decorated career in service and safety and I'm honored that he has been nominated and I look forward to his testimony today in hopes that with real expectation that he will impress my colleagues as much as he impresses me.

Mr. Graham, I thank you for your service to our country and your willingness to continue that effort.

With that, I recognize the Senator from Connecticut, Senator Blumenthal.

**STATEMENT OF HON. RICHARD BLUMENTHAL,
U.S. SENATOR FROM CONNECTICUT**

Senator BLUMENTHAL. Thanks, Senator Moran, and I join in welcoming Mr. Graham and congratulating him on his nomination as well as Mr. Sumwalt on your renomination.

I particularly want to introduce to the Committee, Ms. Homendy. As a native of Connecticut, and I hope her family in Plainville, Southington, and Farmington, and New Britain perhaps are watching today from afar, but she has performed with real distinction and dedication as a member of this Board so far and as we all know, the NTSB performs a vital function in investigating unfortunate major crashes and transportation disasters when they occur and providing recommendations which need to be followed more rigorously and more frequently by the agencies to which they are directed.

Ms. Homendy for years has served as one of the go-to staffers in Congress on rail safety matters and outspoken in her support of full implementation of positive train control during her time at the NTSB and I look forward to her continued service and congratulate her and her family on her great performance and service to our Nation.

Thank you very much.

Senator MORAN. I now recognize the Senator from Indiana, Senator Young.

**STATEMENT OF HON. TODD YOUNG,
U.S. SENATOR FROM INDIANA**

Senator YOUNG. Thank you, Mr. Chairman.

I'm pleased to introduce a fellow Hoosier, Mr. Ian Steff. Since June 2017, Ian has served with distinction as the Deputy Assistant Secretary of Commerce for Manufacturing.

Given his record of service, this February Ian was nominated as Assistant Secretary of Commerce and Director General of the U.S. Foreign and Commercial Service.

While Ian was born and raised near Buffalo, New York, we are proud to call Ian a Hoosier. He's joined today by his wife Brittany, a native Hoosier. I'm told Ian and Brittany's two sons, Daniel and Owen, are at home in Indiana this morning tuning in to watch Dad. So, Daniel, Owen, know that your dad's going to do great serving our country. We're really proud of him.

In addition to Ian's important work that I've already mentioned and credentials being from the great state of Indiana, throughout Indiana he's known for his sterling record of service that began under then Governor Mike Pence and continued through Indiana's current Governor Eric Holcomb.

Prior to Ian's tenure at the Department of Commerce, he served as Indiana's first-ever Chief Innovation Officer. In addition, in that capacity, Ian was the Executive Vice President of the Indiana Economic Development Corporation. At the IEDC, Ian was the state's senior-most advisor on science, technology, and advanced manufacturing.

He spearheaded the state's effort to support Hoosier entrepreneurship and innovation in the IT, life sciences, nanotechnology, and energy storage sectors.

I'm pleased to watch Ian continue building on his record of success at the Federal level and given his record so far, both at the Department of Commerce and in the Hoosier State, I have great confidence he's going to successfully lead the Department of Commerce's Commercial Service.

He's well suited to support our Hoosier and American businesses and help us grow our exports abroad.

Now it's my distinct honor to introduce a second Hoosier this morning, my very good friend and fellow Hoosier, Congressman Todd Rokita. Welcome, Todd.

In May, Representative Rokita was nominated to serve as a Member of the Amtrak Board of Directors, a fitting position given his prior service in Congress and his personal passion for transportation.

In 2002, Todd, who is a native of Munster, Indiana, became the Hoosier State's youngest Secretary of State. As Secretary, Todd spearheaded Indiana's efforts to modernize and bring efficiencies to Indiana's election infrastructure.

Following his successful tenure as Indiana Secretary of State, he was elected to represent Indiana's 4th Congressional District and I had the pleasure of beginning to serve Indiana with Todd in 2011 as members of the U.S. House of Representatives.

We served for 8 years together in Congress and throughout that time, there's really one word that comes to mind when I think of Todd and it's a fighter. He has fought hard and supported the best interests of Hoosiers and the American people and I have confidence this strong work ethic and his passion for doing what is right will continue in his role in overseeing Amtrak.

Throughout his 8 years of dedicated service representing Hoosiers in the House of Representatives, Todd rose to become Vice Chairman of the House Budget Committee but perhaps more importantly for the hearing today, he was a senior member of the House Transportation and Infrastructure Committee.

Given his background, I believe he is eminently qualified to serve as a passionate and dedicated member of Amtrak's Board of Directors.

Thank you, Mr. Chairman.

Senator MORAN. Thank you, Senator Young.

We're now ready for what we're all gathered here to hear from all of you and we will begin with the Kansan, Mr. Michael Graham, and work our way down the table. Thank you.

STATEMENT OF MICHAEL GRAHAM, NOMINEE FOR BOARD MEMBER, NATIONAL TRANSPORTATION SAFETY BOARD

Mr. GRAHAM. Thank you, Senator.

Chairman Wicker, Ranking Member Cantwell, and Distinguished Members of the Committee, I sincerely appreciate this opportunity to appear before you today and I am honored to be President Trump's Nominee to be a Member of the National Transportation Safety Board.

Before I begin, I would like to introduce a very special person joining me today, my wife Lori. She's my biggest supporter and has blessed my life for over 30 years. Without her, I would not be here today.

Not here today but watching online are my two sons, Matthew Graham of Boston and Zachary Graham of Houston, who I am very proud of.

Additionally, I would like to acknowledge and thank Drs. Tom and Elsa Demubinski, Pam Darwin, and Doug Carr for joining me today.

I started my career in service to my country in the U.S. Navy and spent 9 years in that capacity. If confirmed, it would be an honor and a privilege to serve my country again as a Board Member of the NTSB.

My entire career has been in aviation with most of it in the safety field. As a safety professional, my mandate has been to serve my squadron or flight department by identifying risks and eliminating or reducing them to an acceptable level while completing the mission.

In my current role as Director of Safety at Textron Aviation, I supervise and conduct safety investigations, identify, troubleshoot, and problem-solve safety gaps to develop recommendations for the company and the industry.

As a matter of fact, as a party member, my team of investigators help the NTSB conduct countless investigations. I am ready to hit the ground running.

While my background is in aviation, I am dedicated to learning about and improving safety in all modes of transportation. My focus is on zero—zero preventable deaths.

Should I be confirmed, I am committed to working with Congress on this mission.

The safety roles I held in my professional career have been organized similarly to the NTSB, an independent entity focused solely on safety without a conflict of interest through accuracy of factual information and transparency.

Like the NTSB, I work with all departments and their leaders to advise them on their operational risk, make safety policy and recommendations, highlight awareness, and collaborate between functional departments and the industry to ensure safe operations for all.

If confirmed, I bring a unique experience to the Board as an original equipment manufacturer with a large flight operation and as a military flight operations officer focused on safety in the high-risk environment of aircraft carriers.

My extensive experience and training in safety management systems can be implemented across all modes of transportation. I have found that SMS is the most effective way of mitigating risk while ensuring the safety of employees and the public.

I am not a lobbyist nor an academic. I'm a real world operator who has been safely managing the risk of company operations by building a robust safety culture. I lead by example and strive to have organizations not just meet minimum standards but to be world-class in their performance.

I work within the industry to develop best practices and steer meaningful change in the interest of safety. You can expect me to do the same at the NTSB, if confirmed. That is my promise to Congress, the President, and the American people.

I appreciate your time and thank you for your consideration of my nomination to serve as a Member of the National Transportation Safety Board.

I'm happy to answer any questions you may have.

[The prepared statement and biographical information of Mr. Graham follow:]

PREPARED STATEMENT OF MICHAEL GRAHAM, NOMINEE FOR BOARD MEMBER,
NATIONAL TRANSPORTATION SAFETY BOARD

Thank you, Chairman Wicker, Ranking Member Cantwell, and distinguished members of the Committee. I sincerely appreciate this opportunity to appear before you today, and I am honored to be President Trump's nominee for Member of the National Transportation Safety Board (NTSB).

Before I begin, I would like to introduce a very special person joining me today, my wife, Lori. She is my biggest supporter and has blessed my life for over 30 years. Without her, I would not be here today. Not here today, but watching online are my two sons, Matthew Graham of Boston, Massachusetts and Zachary Graham of Houston, Texas, who I am very proud of. Additionally, I would like to acknowledge and thank Jim Wilt, Drs Tom and Elsa Dembinski, and Pam Darwin for joining me today.

I started my career in service to my country in the U.S. Navy and spent 9 years in that capacity. If confirmed, it would be an honor and privilege to serve my country again as a Board Member of the NTSB. My entire career has been in aviation, with most of it in the safety field. As a safety professional, my mandate has been to serve my squadron or flight department by identifying risks and eliminating or reducing them to an acceptable level while completing the mission.

In my current role as Director of Safety at Textron Aviation Inc., I supervise and conduct safety investigations, identify, troubleshoot and problem solve safety gaps to develop recommendations for the company and the industry. As a matter of fact, as a party member, my team of investigators helped the NTSB conduct countless investigations. I am ready to hit the ground running.

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The safety roles I held in my professional career have been organized similarly to the NTSB—an independent entity focused solely on safety, without a conflict of interest, through accuracy of factual information and transparency. Like the NTSB, I worked with all departments and their leaders to advise them on their operational risks, make safety and policy recommendations, highlight awareness, and collaborate between functional departments and the industry to ensure safe operations for all.

If confirmed, I bring unique experience to the Board as an Original Equipment Manufacturer with a large flight operation, and as a military flight operations officer focused on safety in the high-risk environment of aircraft carriers. My extensive experience and training in Safety Management Systems (SMS) can be implemented across all modes of transportation. I have found SMS is the most effective way of mitigating risk while ensuring the safety of employees and the public.

I am not a lobbyist nor an academic. I am a real-world operator who has been safely managing the risks of company operations by building a robust safety culture. I lead by example and strive to have organizations not just meet minimum standards, but to be world class in their performance. I work within the industry to develop best practices and steer meaningful change in the interest of safety. You can expect me to do the same at the NTSB, if confirmed. That is my promise to Congress, the President and the American people.

I appreciate your time and thank you for your consideration of my nomination to serve as a Member of the National Transportation Safety Board. I am happy to answer any questions you may have.

A. BIOGRAPHICAL INFORMATION

1. Name (Include any former names or nicknames used): Michael "Mike" Edward Graham.
2. Position to which nominated: Board Member, National Transportation Safety Board.
3. Date of Nomination: January 9, 2019.
4. Address (List current place of residence and office addresses):
Residence: Information not released to the public.
5. Date and Place of Birth: August 21, 1963; Albuquerque, NM.
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: Lori Priddy Graham; Owner of Designing IHS, LLC; Executive Director of 100th of the 19th Foundation
Son: Matthew Thomas Graham (28 years old); Son: Zachary John Graham (25 years old).
7. List all college and graduate degrees. Provide year and school attended.
BSME, University of New Mexico, Albuquerque, NM, 1986.
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.
All previous employment relevant to nominated position.
(a) Naval Aviator/Fleet Pilot—F/A-18, A-7E / Flight Instructor F/A-18—U.S. Navy; NAS Lemoore, CA, NAS Beeville, TX, NAS Whiting Field, FL, & NAS Pensacola, FL; 1986–1995; Division Leader, Training Officer, Avionics/Armament Division Officer, Naval Air Training and Operation Procedures Standardization (NATOPS) Evaluator, Navy Occupational Safety and Health (OSHA) Officer, Assistant Safety Officer, Scheduling Officer, Drug and Alcohol Program Manager, Communication Security (COMSEC) Officer.
(b) F/A-18 Aircrew Instructor/Subject Matter Expert—Boeing/McDonnell Douglas; St. Louis, MO; 1995–1997; Integration Engineer and Operational Analyst.
(c) Director, Flight Operations Safety, Security & Standardization—Textron Aviation, Inc. (Cessna/Hawker/Beechcraft); Wichita, KS; 1997 to present; Demonstration/Transportation/Production Flight Test & Delivery Pilot, Oversees Managers of Air Safety Investigation, Airport Operation and Control Tower, Training Supervisor.
9. Attach a copy of your resume. See Attachment 1.
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.
(a) Air Charter Safety Foundation: Chairman July 2018 to present, Vice Chairman July 2017–July 2018, Board of Governors 2013 to present.
(b) National Business Aviation Association Safety Committee, Single Pilot Safety Working Group Lead, 2015 to present.
(c) General Aviation—Information Analysis Team, 2017 to present.
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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.). 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 disability.
(a) Air Charter Safety Foundation, 2012 to present, Chairman, Vice Chairman, Member

- (b) National Business Aviation Association Safety Committee, 2012 to present, Single Pilot Safety Working Group Chairman, Member
- (c) General Aviation—Information Analysis Team, 2017 to present, Member
- (d) Westwood Presbyterian Church, 2015 to present, Member
- (e) Eastminster Presbyterian Church, 2001–2015, Member
- (f) Ninnescah Sailing Association, 2004–2009, Member and Junior Sailing Chair
- (g) Republican Precinct Committeeman, 2018 to present, Precinct 514
- (h) American Legion Post 4 Wichita, KS, 2017 to present, Member
- (i) Team RWB (Red, White & Blue), 2018 to present, Member

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.

Republican Precinct Committeeman—No debt.

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.

Republican Precinct Committeeman, 2018–March 2019, Precinct 514 Wichita, Sedgwick County, KS.

15. 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.

No donations over \$500.

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

- (a) U.S. Navy (1986–1995)
 - a. Navy Achievement Medal for OSHA Safety Program
 - b. Joint Meritorious Unit Commendation
 - c. Southwest Asia Service Medal w/Bronze Star
 - d. National Defense Service Medal
 - e. Armed Forces Expeditionary Medal
 - f. Battle “E” Award
 - g. Sea Service Deployment Ribbon (2nd Award)
 - h. Top Eleven Award (Air Wing 11) for best landing grades on USS Abraham Lincoln (2 Awards), 1991
- (b) McDonnell Douglas
 - a. Quality Achievement Award, McDonnell Douglas, 1997
- (c) Cessna Aircraft Company
 - Leading Edge Award (3 Awards), Cessna Aircraft Company, 2001, 2005, 2006.

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

Presentations:

2019 Air Charter Safety Symposium, March 12, 2019, NTSB Training Center, Ashburn, VA, “ACSF Year-in-Review & Challenges Ahead”.

National Business Aviation Association—Business Aviation Convention & Exhibition (NBAA–BACE) Single Pilot Safety Standdown, October 15, 2018, Orlando, FL, “Moving from Safety Awareness to Safety Performance: Balancing Business and Flying Priorities”, Panel Moderator and Presenter.

FAA InfoShare, September 20, 2018, New Orleans, LA, “Aviation Safety Action Program (ASAP) Reported Wake Turbulence Event.”

2018 Air Charter Safety Symposium, March 13, 2018, NTSB Training Center, Ashburn, VA, "Aviation Safety Action Program (ASAP) Panel Discussion".

FAA InfoShare, March 22, 2013, Baltimore, MD, "Flying in/out of an Uncontrolled Airport".

Twin Cessna Flyers Fly-In Convention, Tucson, AZ, May 18, 2017, "Single Pilot Accident Data and Safety Issues".

FAA InfoShare, April 20, 2017, Pittsburgh, PA, "Aviation Safety Action Program (ASAP) at an Original Equipment Manufacturer (OEM)".

2017 Air Charter Safety Symposium, March 7, 2017, NTSB Training Center, Ashburn, VA, "Aviation Safety Action Program (ASAP) at an Original Equipment Manufacturer (OEM)".

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an "alias" or "handle" you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

Facebook: Mike Graham, Dormant,
<https://www.facebook.com/profile.php?id=100011424901210>

Twitter: Mike Graham@0989295, Dormant,
<https://twitter.com/gra0989295>

LinkedIn: Mike Graham, Active,
<https://www.linkedin.com/in/mike-graham-3a2918146/>

DailyMile: Mike G., Deleted,
<http://www.dailymile.com/people/citationdude#ref=tophd>

Strava: Mike Graham, Active.

19. 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. None.

20. 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 started my career in service to my country in the U.S. Navy and spent 9 years in that capacity. If confirmed, it would be an honor and privilege to serve my country again as a Board Member of the NTSB. My entire career has been in aviation, with the majority of it in the safety field. As a safety professional, my mandate is to serve my squadron or flight department by managing the risks of the operation and reducing them to an acceptable level to complete the mission. Advising Congress on programs that will do this nationwide in all modes of transportation will be my focus.

The safety roles I held in my professional career have been organized similar to the NTSB, as an entity embedded in the organization but independently reports outside the organization to ensure accuracy and transparency with no conflicts of interest. Like the NTSB, I worked with all departments and their leaders to advise them on their operational risks, make safety and policy recommendations, highlight awareness, and collaborate between functional departments and the industry to ensure safe operations for all.

I bring unique experience to the Board as a Director of Safety. With my dual experience as an Original Equipment Manufacturer with a large flight operation and as a military flight operations officer with a safety focus and operations in the high-risk environment of an aircraft carrier. My extensive experience and training in Safety Management Systems (SMS) can be implemented across all modes of transportation. An SMS is the most effective way of mitigating risk while maximizing resources.

I'm not a lobbyist, an academic, or a policy institute advisor. I'm an operator who has been managing the risks of its operations by following the rules and regulations in order to complete the company's mission. I lead by example and strive to have organizations not just meet minimum standards, but be world class in their performance. I work within the industry to come up with best practices and steer meaningful change in the interest of safety. You can expect for me to do the same at the NTSB, if confirmed. That is my promise to Congress, the President and the American people.

21. 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?

If confirmed, I will abide by the legislative mandate of the NTSB. I will work closely with the Chairman, Board Members and the staff of the NTSB to regularly evaluate and ensure the effectiveness and accountability of the department. This includes being a good steward of the budget provided by Congress and meeting all requests and deadlines of Congressional committees.

My management training and experience started early in my aviation career in the U.S. Navy. Besides being a Division Leader in Attack and Strike Fighter aircraft, I managed and led an avionics/armament division for a deployed fleet squadron. I also served as Training Officer for the West Coast F/A-18 Fleet Replacement Squadron and Assistant Safety/OSHA Officer for over 600 personnel.

As a military contractor, I helped lead a major avionics effort to deliver critical design changes for the new Strike Fighter F/A-18 E/F aircraft. I led the avionics integration effort as liaison between software engineers and the U.S. Navy Flight Test and Weapons School Community. The result was a quality product within price and on performance, while reducing schedule and technical risks to the production aircraft's software development.

As Director of Flight Operations Safety, Security & Standardization at Textron Aviation, I am responsible for the safe and secure operations of all domestic and international flights conducted in support of the largest general aviation (GA) manufacturer in the world. During my time as Director, I successfully led the aviation safety, security, and standardization efforts in merging two iconic aircraft companies, Cessna and Beechcraft, into one company with 9 separate and unique flight departments.

I currently direct the Safety Management System (SMS) for all flight operations which includes several hundred personnel. In addition, I also oversee two operating airports, a control tower and the largest and most active aircraft accident air safety investigator department, second only to the NTSB.

Additionally, I collaborate across the aviation industry to promote safety and awareness among single pilot operators, the charter industry and general aviation. As Chair of the Single Pilot Safety Working Group of the National Business Aviation Association's Safety Committee, Chairman of the Air Charter Safety Foundation, and member of the General Aviation—Information Analysis Team (GA-IAT), I work with other industry experts to reduce the accident rate of single pilot, charter and GA operators, providing best practices, awareness, training, tools and resources for these operators. I am passionate about safety.

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

(a) *Effectively Influencing Accident Rates for All Modes of Transportation.*

Determining probable cause of an accident is important so we can categorize the event. This is also important for tracking and determining trends of accident causation. If our strategy is to truly decrease accident rates in all modes of transportation, then we need to determine all the underlying factors behind the accident.

The only way to do this is to determine the human factors that attributed to the cause of the accident and understand these issues. I feel the NTSB should focus more time and effort on the human factors of an accident. Many of the recent NTSB accident reports are void of human factors analysis of the accident. More thorough analysis is required and should be supported in the accident analysis and causation report. This analysis includes a better understanding in four areas: People, Environment, Actions and Resources.

Future investigations and reports should include thorough analysis of the physical, physiological, psychological and psychosocial factors of those involved in the accident. The environment is important but not just the physical but the organizational environment that they subjected to. Their actions need to be better understood for making a determination of accident causation, as well as the resources they are provided (or not provided) and how they interact and use these resources. Until we determine the drivers behind the accident and address these human factors, we cannot significantly decrease accident rates.

(b) *Data Downloads, Analysis and Sharing.*

The NTSB is severely undermanned in its data lab. Major accidents are given priority and are thoroughly analyzed quickly. However, the majority of accidents are non "Go Team", and their data drives are not downloaded or analyzed for as long as a year after the accident or not at all. The lack of personnel in the lab is evident, but so is its capability of the technology used.

Many of the Party Members to an accident currently have the capability to download accident data on-site and the ability to start analyzing it immediately, but they are not always allowed to do this. Removing this hindrance would help the Investigators-in-Charge begin to pinpoint possible accident causes earlier in the investigation. It also would give the Party Members the ability to address areas of concern in their products quicker and formulate fixes or warnings to the industry faster, helping to avert another accident in this area. Eventually, when the NTSB Data Lab gets to analyzing this accident at a later date, they will be able to confirm the accuracy or inaccuracy of the data.

(c) Unmanned Vehicles.

Technology advances in unmanned vehicles is progressing quickly and will soon inundate the transportation industry. Many modes of transportation have already adopted unmanned transportation vehicles and they are growing at an exponential rate. The NTSB needs to get ahead of this and become experts in the field quickly.

Integration of these vehicles with manned vehicles will be an issue, but so will the analysis of technical short falls in the unmanned vehicles. This has the potential for causing accidents. The NTSB needs to expand the staff of experts in the design, programming, integration and fail-safe systems of unmanned vehicles. The investigators have already worked on a few of these accidents, but no one can fully appreciate the risk of unmanned vehicle accidents, with how fast they are progressing and the increased numbers of vehicles coming online.

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.

I have no financial arrangements, deferred compensation agreements or other continuing dealings with business associates, clients or customers. I have a retirement account created by my current employer, Textron, Inc. which is a defined contribution plan. I will also continue to participate in Textron, Inc.'s defined benefit pension plan. The benefit value will be established upon my resignation from Textron. Both plans are described in Part 3 of my Executive Branch Personnel Public Financial Disclosure report.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO to identify potential conflicts of interest. I agreed to take those actions that are outlined in my letter to the DAEO; a copy is enclosed. These commitments constitute my ethics agreement as identified in the ethics regulations.

Upon my confirmation, I will resign from my position with Textron, Inc. Because I will continue to participate in this entity's defined benefit pension plan, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Textron, Inc. to provide this contractual benefit, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of one year after my resignation from Textron Inc., I also will not participate personally and substantially in any particular matter involving specific parties in which I know Textron, Inc. is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will also resign from my positions with the Air Charter Safety Foundation and the National Business Aviation Association. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is the sole owner of Designing IHS, LLC. As long as my spouse is an owner of the company, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Designing IHS, LLC, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). I also will not participate personally and substantially in any particular matter involving specific parties in which I know a client of my

spouse is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO to identify potential conflicts of interest. I agreed to take those actions that are outlined in the letter to the DAEO; a copy is enclosed. These commitments constitute my ethics agreement as identified in the ethics regulations. I am not aware of any other potential conflicts of interest.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Governmental Ethics and the NTSB's DAEO 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 have entered into with the NTSB's DAEO and that has been provided to this Committee. Pursuant to that agreement:

- As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.
- Upon confirmation, I will resign from my position with Textron, Inc. I hold stock in Textron, Inc. I do not hold stock options or restricted stock. If I rely on a *de minimis* exemption under 5 C.F.R. § 2640.202 with regard to any of my financial interests, including Textron Inc., I will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, I will not participate personally and substantially in the particular matter that to my knowledge has a direct and predictable effect on the interests, unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1). In that event, I understand I also may be directed to divest my interest in Textron, Inc., and will do so within 90 days of such order.
- I also participate in Textron, Inc.'s defined benefit plan. Because I will continue to participate in this entity's defined benefit pension plan, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Textron, Inc., to provide this contractual benefit, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of one year after my resignation from Textron Inc., I also will not participate personally and substantially in any particular matter involving specific parties in which I know Textron, Inc. is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).
- Upon confirmation, I will resign from my positions with the Air Charter Safety Foundation and the National Business Aviation Association. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).
- My spouse is the sole owner of Designing IHS, LLC. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Designing IHS; LLC, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). I also will not participate personally and substantially in any particular matter involving specific parties in which I know a client of my spouse is a party or rep-

resents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

- If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.
 - I will meet in person with the NTSB's DAEO during the first week of my service in the position of Board Member in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305.
 - Within 90 days of my confirmation, I will document my compliance with the ethics agreement by notifying OGE in writing when I have completed the steps described in the ethics agreement.
6. Describe any activity during the past ten years, including the names of clients represented, 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.

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. No.

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. None.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? 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.

ATTACHMENT 1

MICHAEL E. GRAHAM**OBJECTIVE**

An executive level position with the National Transportation and Safety Board that allows me to employ my decades of experience to contribute to US National transportation safety and security.

FLIGHT QUALIFICATIONS**RATINGS & CERTIFICATIONS**

Airline Transport Pilot: Airplane MEL
CE-500, CE510S, CE-525S,
CE-560XL, CE-680, CE-750
Commercial Pilot: Airplane SEL
FAA First Class Medical

AIRCRAFT FLOWN

Civil
CE-750, CE-700, CE-680/A
CE-560XL, CE-560
CE-550, CE-525C/B/A
CE-525, CE510, C208
BE-76, BE-250
C172, C182, C206

Military

F/A-18 A, B, C, D
A-7E, TA-7C
TA-4J, T-2C, T-34C
CE-530, L-39, PT22

EXPERIENCE**DIRECTOR, FLIGHT OPERATIONS SAFETY, SECURITY & STANDARDIZATION**

Textron Aviation, Inc (Cessna/Hawker/Beechcraft), Wichita, KS

Sep 1997 – Present

Responsible for the safe and secure operations of all domestic and international flights conducted in support of the company. Flight departments supervised include Demonstration, Transportation, Training, Pro-Ownership, Production Flight Test & Delivery across 3 divisions, Engineering/Experimental, and Defense. Direct the Safety Management System (SMS) and its certification. Direct all safety and security initiatives, develop and promote a positive safety culture, and ensure all flight operations personnel operate in a standardized manner. Direct and manage threat risk assessments for all international flight operations. Direct and manage daily operations at two company airports and a control tower. Supervise the largest general aviation Air Safety Investigation Department.

Production Flight Test / Delivery / Demonstration Pilot - Evaluate production aircraft for acceptance and delivery to clients; deliver new and used aircraft to clients; perform post-maintenance and ferry flights; provide technical and professional assistance to the new aircraft and advanced design teams; and demonstrate the features and benefits of the Cessna Citation X, Sovereign, Excel/XLS/XLS+, Ultra/Encore+, Bravo, CJ, Mustang and Caravan aircraft to prospective clients, ensuring safe, comfortable, and timely demonstrations. My efforts resulted in countless aircraft demonstrations and hundreds of satisfied customer deliveries.

Safety, Compliance & Training Supervisor – Responsible for planning, developing, implementing and conducting safety and training programs for all department pilots. Developed and implemented a Safety Management System (SMS) within the Production Flight Test Department. This system allowed Textron Aviation to minimize the risks of flight testing while maximizing resources.

F/A-18 AIRCREW INSTRUCTOR / SUBJECT MATTER EXPERT

Boeing/McDonnell Douglas, St. Louis, MO

Mar 1995 – Sep 1997

Instructed Fleet Naval Aviators in the use of proprietary simulators/software and developed new courseware for U.S. and foreign military pilots. Evaluated F/A-18 E/F proposed designs, and led/managed Proprietary Programs as Operational Analyst and Lead Integration Engineer. Worked closely with an integrated product team to develop a design that solved concerns of fighter aircraft target cueing. The data produced by this process enabled the customer to make informed decisions on performance vs. price and lessened both the schedule risk and technical risk to the production aircraft's software development.

NAVAL AVIATOR / FLEET PILOT – F/A-18, A-7E / F/A-18 FLIGHT INSTRUCTOR

U.S. Navy, VFA-125, VA/VFA-94, VA-122, VT-25/26/2

Jun 1986 – Mar 1995

As a carrier based Naval Aviator, advanced from Ensign to Lieutenant Commander while accumulating 1800 accident free hours. As a Division Leader, led Combat Air Patrol (CAP) missions over Iraq and Kuwait in support of Southern Watch. The capstone of my Navy career was the two highly successful operational deployments, flying the F/A-18 Hornet in Desert Storm and the A-7E Corsair during Westpac '89 - '90. Instructed all phases of student training in flying the F/A-18 aircraft. Collateral duty responsibilities included managing personnel, coordinating training and safety programs. Never lost an aviator or aircraft to enemy action or accident under my command.

MICHAEL E. GRAHAM

Training Officer: Scheduled and tracked all academic, simulator and flight events for 70 replacement pilots and 40 instructor pilots. Helped graduate over 300 Fleet Pilots who served aboard aircraft carriers around the world. Implemented a new "Instructor-Under-Training (IUT)" syllabus that reduced required sorties by 50% to expedite training of qualified instructors and ease manning shortfalls. Was handpicked to develop the first ever F/A-18 Aircrew Coordination Training (ACT) syllabus for fleet-wide implementation. Personally, trained the first select group of ACT Instructor Pilots.

Avionics / Armament Division Officer: Led over 50 personnel during transition and training from the A-7E to the F/A-18C. This was accomplished in the shortest turnaround time ever seen by the Navy with the onset of Desert Storm.

Naval Air Training and Operation Procedures Standardization (NATOPS) Evaluator: One of two Instructor pilots who served as the model manager for all Navy and Marine F/A-18s. Evaluated all F/A-18 Standardization Pilots.

Navy Occupational Safety and Health (OSH) Officer: Created and implemented OSH program for 600 squadron personnel. The program contained the most comprehensive training and tracking system ever seen by Wing, Safety School and Industrial Hygiene Auditors. The Wing adopted this program as the model for all squadrons.

ADDITIONAL LEADERSHIP ROLES

AIR CHARTER SAFETY FOUNDATION:

Board of Governors, 2012 – Present; Vice-Chairman, 2017 – 2018; Chairman, 2018 - Present

NATIONAL BUSINESS AVIATION ASSOCIATION:

Safety Committee, 2012 – Present;
Chairman of Single Pilot Safety Working Group, 2016 – Present

FEDERAL AVIATION ADMINISTRATION:

General Aviation Safety Information Analysis Team, 2017 - Present

EDUCATION

UNIVERSITY OF NEW MEXICO:

B.S. in Mechanical Engineering, 1986

TEXTRON AVIATION:

Building Leadership Capabilities, October 2007
Developing Leadership Excellence Course, September 2008
Six Sigma Green Belt Certified, February 2010

UNIVERSITY OF SOUTHERN CALIFORNIA:

Aviation Safety Management Systems Course, January 2009

U.S. DEPARTMENT OF TRANSPORTATION, TRANSPORTATION SAFETY INSTITUTE:

Basic Aircraft Accident Investigation Course, April 2018

AWARDS

UNITED STATES NAVY:

Top Eleven Award (Air Wing 11) for best landing grades on USS Abraham Lincoln - two times - 1991
Navy Achievement Medal for Occupational Safety and Health program - 1993

MCDONNELL DOUGLAS:

Quality Achievement Award 1997

CESSNA AIRCRAFT:

Leading Edge Award - 2000, 2005, 2006

BOY SCOUTS OF AMERICA:

District Award of Merit, White Buffalo District- 2008

Senator MORAN. Mr. Graham, thank you very much.
Ms. Homendy.

**STATEMENT OF HON. JENNIFER HOMENDY, NOMINEE TO BE A
MEMBER, NATIONAL TRANSPORTATION SAFETY BOARD**

Ms. HOMENDY. Thank you, Chairman Wicker, Ranking Member Cantwell, and Members of the Committee, for this opportunity.

Every time I appear before this committee, I recall all the great memories of negotiating bipartisan legislation with my Senate colleagues over the 14 years I served as the Democratic Staff Director of the Subcommittee on Railroads, Pipelines, and Hazardous Materials. I believe that experience provided me with a strong foundation for the important work I'm doing today at the NTSB.

Exactly one year ago today, the Senate confirmed me to be a Member of the NTSB. It was, and continues to be, a great honor and privilege to serve the American people and work with each of you to improve transportation safety.

I'm honored that you're now considering my renomination for a full term. I want to once again thank Senator Schumer for recommending me and President Trump for nominating me.

I also want to thank my husband Mike who's with me today for his strong support and for being a great father to our daughter Lexi, and because this job can't be done alone, I want to thank my team, my senior advisor Erik Strickland, and my confidential assistant, Nick Greene.

I also want to thank Senator Blumenthal for his kind words and for his unwavering commitment to safety.

This past year has been busy. I've launched to five accidents: a series of natural gas pipeline explosions and fires in Merrimack Valley, Massachusetts, with the Chairman; an experimental aircraft crash in Fredericksburg, Virginia; a natural gas pipeline release and subsequent fire in San Francisco, California; a midair collision of two float-equipped planes near Ketchikan, Alaska; and most recently, a sky-diving plane crash on the Hawaiian Island of Oahu.

On behalf of the NTSB, I want to once again extend our deepest sympathies to the families and friends of those who died in these accidents and I wish the fullest recovery to those who were injured.

Since last August, I participated in 11 Board meetings to consider nine accident reports and two safety studies. I've also made it one of my top priorities to visit each of our four regional offices to get to know our investigators as well as our Federal partners in the Department of Transportation and U.S. Coast Guard and various stakeholders.

From just one year, I have three main take-aways I'd like to share.

First, we have the most amazing staff. Whether it's our investigators who stand ready 24/7 to travel throughout the United States or internationally in response to transportation disasters, our research and engineering team who provide technical support to accident investigations and conduct studies that examine critical safety issues in all modes of transportation, our Transportation Disaster Assistance Division who provide support to victims and family members affected by accidents, or the hundreds of others at

the NTSB who work tirelessly to support our safety mission, their hard work, professionalism, and dedication is why I believe the NTSB is so highly regarded as the number one safety agency in the world.

Second, over the last decade, our Nation's transportation system has seen significant improvements in safety. With that said, when an accident occurs, the consequences are devastating, particularly for those who've lost loved ones or were injured.

The NTSB's goal is zero—zero accidents, zero injuries, and zero deaths. Until that goal is reached, there's a lot more that we as a nation can do to improve safety and that's why I believe the NTSB's mission is so critical.

The traveling public counts on us to conduct thorough and objective accident investigations and to issue reports and safety recommendations that are substantiated by evidence and based on facts.

Third, in my confirmation hearing last year, I committed to working with this Committee to improve safety across all modes of transportation. I believe and will continue to believe that an ongoing dialogue between the Board and this committee is crucial to address safety gaps identified through our accident investigations and safety recommendations, many of which are included on our Most Wanted List.

Thank you again for this opportunity, and I look forward to answering your questions.

[The prepared statement and biographical information of Ms. Homendy follow:]

PREPARED STATEMENT OF HON. JENNIFER HOMENDY, NOMINEE TO BE A MEMBER,
NATIONAL TRANSPORTATION SAFETY BOARD

Thank you, Chairman Wicker, Ranking Member Cantwell, and Members of the Committee for the opportunity to appear before you today.

Every time I appear before this Committee, I recall fondly the memories of negotiating bipartisan legislation with my Senate colleagues over the 14 years I served as the Democratic Staff Director of the Subcommittee on Railroads, Pipelines, and Hazardous Materials. I believe that experience provided me with a strong foundation for the important work I'm doing today at the National Transportation Safety Board (NTSB).

Exactly one year ago today, the United States Senate confirmed me to be a Member of the NTSB. It was and continues to be a great honor and privilege to serve the American people and work with each of you to improve transportation safety, prevent accidents and injuries, and save lives. I'm honored that you are now considering my re-nomination for a full term. I want to once again thank Senator Schumer for recommending me and President Trump for nominating me.

I also want to thank a few people who are closest to me. First and foremost, I want to thank my husband, Mike, for supporting me in all my endeavors and for being a great father to our daughter, Lexi. Second, this job can't be done alone so I want to thank my team: my senior advisor, Erik Strickland, and my confidential assistant, Nick Greene. I also want to thank my colleagues at the Board, Chairman Sumwalt, Vice Chairman Landsberg, and all the NTSB staff for their continued dedication to safety.

This past year has been busy. I've launched to five accidents: a series of natural gas pipeline explosions and fires in Merrimack Valley, Massachusetts (with Chairman Sumwalt); an experimental aircraft accident in Fredericksburg, Virginia; a natural gas pipeline release and subsequent fire in San Francisco, California; a mid-air collision of two float-equipped planes near Ketchikan, Alaska; and, most recently, a skydiving plane crash on the Hawaiian island of Oahu. On behalf of the NTSB, I want to once again extend our deepest sympathies to the families and friends of those who died in these accidents, and I wish the fullest recovery to those who were injured.

Since last August, I've participated in 11 Board meetings to consider nine accident reports—most recently, a school bus fire in Oakland, Iowa, and the collision of an Amtrak train and CSX freight train in Cayce, South Carolina—and two safety studies on pedestrian safety and motorcycle safety. Additionally, I testified on pipeline safety before the Subcommittee on Railroads, Pipelines, and Hazardous Materials of the Committee on Transportation and Infrastructure (T&I), highway safety before the T&I Subcommittee on Highways and Transit, Amtrak oversight before this Committee, and motorcycle safety and rear seat belt use before the Joint Committee on Transportation of the Connecticut General Assembly.

From just one year, I have three main takeaways I'd like to share:

First, we have the most amazing staff at the Board. Whether it's our investigators who stand ready 24/7 to travel throughout the United States or internationally in response to transportation disasters; our research and engineering team who provide technical support to accident investigations and conduct studies that examine critical safety issues in all modes of transportation; our transportation disaster assistance division who provides support to victims and family members affected by accidents; or the hundreds of others at the NTSB who work tirelessly to support our safety mission, their hard work, professionalism, and dedication is why I believe the NTSB is so highly regarded as the number one safety agency in the world.

That's also why I've made it one of my top priorities to visit each of our four regional offices (Anchorage, Alaska; Denver, Colorado; Seattle, Washington; and Ashburn, Virginia) this year, as well as our Federal partners in the U.S. Department of Transportation and U.S. Coast Guard, and various stakeholders.

Second, over the last decade, our Nation's transportation system has seen significant improvements in safety. With that said, when an accident does occur, the consequences are devastating, particularly for those who have lost loved ones or were injured. The NTSB's goal is zero—zero accidents, zero injuries, and zero deaths. Until that goal is reached, there is a lot more that we, as a nation, can do to improve safety and that is why the NTSB's mission is so critical. The traveling public counts on us to conduct thorough and objective accident investigations and to issue reports and safety recommendations that are substantiated by evidence and based on fact. Those recommendations will, if implemented, prevent the reoccurrence of a similar tragedy, and most importantly, save lives.

Third, in my confirmation hearing last year, I committed to working with this Committee to improve safety across all modes of transportation. I believe, and will continue to believe, that an ongoing dialogue between the Board and this Committee is crucial to address safety gaps identified through our accident investigations and safety recommendations, many of which are included in our Most Wanted List of Transportation Safety Improvements, such as reducing speeding-related crashes, ending alcohol and other drug impairment, strengthening occupant protection, and ensuring the safe shipment of hazardous materials.

Chairman Wicker, I appreciate all the work that you and Ranking Member Cantwell have undertaken to address safety, particularly your oversight of positive train control implementation and your work to strengthen aviation safety, child safety in automobiles, and the safety of commercial motor vehicles. If confirmed, I look forward to continuing to work with you and the Members of this Committee in your endeavors.

Thank you again for this opportunity, and I look forward to answering your questions.

A. BIOGRAPHICAL INFORMATION

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

Jennifer Lynn Homendy
 Jennifer Esposito Homendy
 Jennifer Lynn Esposito (maiden name)

2. Position to which nominated: Member, National Transportation Safety Board (reappointment), for a term expiring December 31, 2024.

3. Date of Nomination: January 9, 2019.

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

Residence: Information not released to the public.
 Office address: National Transportation Safety Board, 490 L'Enfant Plaza East, SW, Washington, DC 20590.

5. Date and Place of Birth: November 26, 1971; New Britain, CT.

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).

Michael Homendy (spouse) Software Development Manager Robbins-Gioia, LLC

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

The Pennsylvania State University, Bachelor of Arts. Humanities, 1994

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.

Member, National Transportation Safety Board, August 2018 to present (term expires December 31, 2019)

Democratic Staff Director, Subcommittee on Railroads, Pipelines, and Hazardous Materials, Committee on Transportation and Infrastructure, U.S. House of Representatives, June 2004 to August 2018

Legislative Representative, International Brotherhood of Teamsters, 1999 to June 2004

Legislative Representative, Transportation Trades Department, AFL-CIO, 1997–1999

Manager of Government Relations, American Iron and Steel Institute, 1996–1997 (Legislative Assistant, 1996)

Senate Assistant, National Federation of Independent Business (NFIB), 1994–1996

Following graduation from The Pennsylvania State University in September 1994, I served as a paid temporary staff assistant for Congressman Lamar Smith (R-TX). I was offered a permanent position but declined because I accepted a position with the NFIB. Immediately prior to graduation, I worked as an unpaid intern for Senator Arlen Specter (R-PA, at the time) in his Harrisburg, Pennsylvania district office.

9. Attach a copy of your resumé. See attached resumé.

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.

I have not held 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.

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.

2017: President, Baffa Academy Association, a parent association for my daughter's dance academy (not compensated). I resigned from this position upon confirmation on July 25, 2018, in accordance with the terms of my ethics agreement with the NTSB's Designated Agency Ethics Official (DAEO). For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Baffa Academy Association is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

On and off from 2010–2016: Board Member and President of the River Meadows Community Association (not compensated).

2012–2015: Partner, Mommy Trader Movement, LLC (MTM), Fredericksburg, Virginia (not compensated). MTM was initially formed to help 5,000 local mothers buy, sell, and trade used toys, clothing, furniture, and other items through a Facebook group page to help reduce family expenses. Over time, MTM expanded to host events that raised funds for the benefit of a local YMCA financial hardship campaign and various Fredericksburg families-in-need. MTM also organized classes aimed at reducing costs for families; promoted local family-friendly events and small businesses; and published family-friendly articles in Fredericksburg Parent and Family magazine. Articles I authored, individually or with others, are listed under Question #17.

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 religiously affiliated organization, private club, or other mem-

bership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.). 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 disability.

- Member, Fredericksburg Country Club (2015 to present)
- Member, YMCA (Fredericksburg, VA) (October 2017–March 2018)
- Member, Cape Fear Triathlon Club (January 2018 to present)
- Member, USA Triathlon (January 2014 to present)
- President, Baffa Academy Association (August 2017–July 2018)
- Member, American College of Sports Medicine (2013 to present)
- Member, Fredericksburg Cycle Club (2014)

None of the above organizations restrict 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.

I currently serve as a Member of the National Transportation Safety Board. I was nominated by the President in April 2018 and confirmed by the United States Senate in July 2018 (campaign debts/liabilities not applicable).

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.

I have not held a membership or office with a state or national political party or election committee. Additionally, I have not held a paid position or served in a formal or official advisory position in a political campaign within the past ten years.

15. 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.

I have not made any political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$500 or more in the past 10 years.

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

Fellow, 115th Congress, Stennis Center for Public Leadership

Honorary Recognition and Membership Award, United Transportation Union, adopted by the Board of Directors by resolution in 2007, in recognition of my “immeasurable assistance in support of railroad workers and their welfare.”

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

I have not authored, individually or with others, any books or publications.

Articles, columns, and blogs

Drink or Drive-Pick One, NTSB Safety Compass, April 29, 2019. Link: <https://safetycompass.wordpress.com/2019/04/29/drink-or-drive-pick-one/>

Don't Rely on the Luck of the Irish for a Safe Ride Home, NTSB Safety Compass, March 15, 2019. Link: <https://safetycompass.wordpress.com/2019/03/15/dont-rely-on-the-luck-of-the-irish-for-a-safe-ride-home/>

Connecticut Needs a Motorcycle Helmet Law, Hartford Courant, March 10, 2019. Link: <http://www.courant.com/opinion/op-ed/hc-op-homendy-ntsb-motorcycle-helmet-law-0310-20190310-6obz2gtlbfexpiwr6fpoclxmlu-story.html>

Ten Year. Later: Remembering Chatsworth With Action, NTSB Safety Compass, September 12, 2018. Link: <https://safetycompass.wordpress.com/2018/09/12/ten-years-later-remembering-chatsworth-with-action/>

Although they are not relevant to the position for which I have been nominated, I authored (individually and with others) a column in Fredericksburg Parent and

Family Magazine in 2013 called *Frugal Living with Mommy Trader Movement*. I also authored two articles in Penn State Harrisburg's The Capital Times (student newspaper) in 1993.

- *Frugal Living with Mommy Trader Movement: Giving Back to Our Community*, Fredericksburg Parent and Family Magazine, November 2013
- *Frugal Living with Mommy Trader Movement: Dress to Impress for Less*, Fredericksburg Parent and Family Magazine, August 2013
- *Frugal Living with Mommy Trader Movement: 25 Free or Cheap Things to Do in Fredericksburg and Beyond*, Fredericksburg Parent and Family Magazine, July 2013
- *Frugal Living with Mommy Trader Movement: Make Your Own Beauty Products*, Fredericksburg Parent and Family Magazine, May 2013
- *Frugal Living with Mommy Trader Movement: Making Money on Household Cleaners*, Fredericksburg Parent and Family Magazine, April 2013
- *Frugal Living with Mommy Trader Movement: Trim Your Waistline and Your Wallet*, Fredericksburg Parent and Family Magazine, February 2013
- *Strategy for Sensible Eating*, Penn State Harrisburg's The Capital Times, October 25, 1993
- *Aquatic Aerobics*, Penn State Harrisburg's The Capital Times, October 25, 1993

Speeches

Lifesavers National Conference on Highway Safety Priorities, Workshop: Research and Efforts to Combat Speeding, March 31, 2019.

Brotherhood of Locomotive Engineers and Trainmen, Fourth National Convention, October 5, 2018. Link: <https://www.nts.gov/news/speeches/JHomendy/Pages/homendy-20181003.aspx>

Pipeline Safety Trust Annual Conference, October 19, 2018. Link: <http://pstrust.org/wp-content/uploads/2018/10/Homendy-Presentation-web.pdf>

From June 21, 2004 through August 19, 2018, I served as Democratic Staff Director of the Subcommittee on Railroads, Pipelines, and Hazardous Materials and participated in numerous panel discussions on the legislative outlook in Congress and various railroad, pipelines, and hazardous materials transportation issues. I did not keep a list of those panel discussions, but I have appeared before the following organizations: the American Gas Association, the American Public Transportation Association, the American Association of State Highway and Transportation Officials, Women in Transportation Seminar, Women in Government Relations, the Transportation Trades Department, AFL CIO, the One Rail Coalition, the Association of American Railroads, the International Brotherhood of Locomotive Engineers and Trainmen, and the International Brotherhood of Teamsters.

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an "alias" or "handle" you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

Facebook: Jennifer Ellie (active)

Twitter: Marlee the dog @marlee_milo (active). My husband created another account for me in 2011 but it's inactive (@JenHomeND).

Instagram: I created an account for my minor daughter using my contact information; however, the account is managed by my daughter (and in her name). I established the account solely for oversight purposes. Please contact me should you have further questions regarding this account.

Pinterest: I had an account through Facebook (Jennifer Ellie) but it's dormant.

19. 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.

Subcommittee on Highways and Transit, Committee on Transportation and Infrastructure, U.S. House of Representatives, *Every Life Counts: Improving the Safety of our Nation's Roadways*, April 9, 2019

Subcommittee on Railroads, Pipelines, and Hazardous Materials, Committee on Transportation and Infrastructure, U.S. House of Representatives, *Pipeline*

Safety: Reviewing the Unmet Mandates and Examining Additional Safety Needs, April 2, 2019

Committee on Commerce, Science, and Transportation, United States Senate, April 12, 2018, Nomination of Jennifer L. Homendy, of Virginia, to be a Member of the National Transportation Safety Board for a term expiring December 31, 2019; confirmed July 24, 2018; sworn-in August 20, 2018

20. 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?

On August 20, 2018, I was sworn in as the 44th Member of the National Transportation Safety Board (NTSB) for a term expiring December 31, 2019. Since joining the NTSB, I have launched on the NTSB Go-Team to two pipeline accidents: Merrimack Valley, Massachusetts (training launch) and San Francisco, California. I have participated in a number of Board meetings to consider and approve final accident reports, findings, probable causes, and recommendations (in all modes of transportation). Additionally, I spearhead three issues on the NTSB's Most Wanted List of Transportation Safety Improvements: implementation of positive train control, ending alcohol and other drug impairment in transportation, and combatting speeding-related crashes.

If confirmed, I would consider it a great honor and privilege to continue to serve my country to improve safety across all modes of transportation to prevent accidents and injuries and save lives.

Prior to joining the NTSB, from June 2004 through August 2018, I served as the Democratic Staff Director of the Subcommittee on Railroads, Pipelines, and Hazardous Materials for the Committee on Transportation and Infrastructure of the U.S. House of Representatives.

During that time, I worked extensively with the NTSB, the Department of Transportation (DOT), the DOT's Inspector General, the Amtrak Inspector General, the Government Accountability Office, and transportation stakeholders to improve safety. I have also worked to implement many of the NTSB's safety recommendations, including recommendations on fatigue; worker training; implementing Positive Train Control; retrofitting rail tank cars that transport crude oil and other flammable liquids; installing excess flow valves on certain distribution pipelines; enhancing drug and alcohol testing of transportation workers; providing safety-critical information about pipelines to State and local emergency responders; and improving the safety of transporting hazardous materials.

Prior to my work on Capitol Hill, I served as a Legislative Representative for the International Brotherhood of Teamsters and the Transportation Trades Department, AFL-CIO, where I also focused on transportation safety. In total, I have more than 20 years of experience in surface transportation safety and some experience with aviation safety (related to the transportation of hazardous materials onboard aircraft).

Additionally, although I am not a fire fighter, I am certified in Core HazMat Operations and Mission-Specific PPE and Product Control, as prescribed by the National Fire Protection Association's 472 Standard for Competence of Responders to Hazardous Materials/Weapons of Mass Destruction Incidents, and accredited through the National Board on Fire Service Professional Qualifications. This course, developed and provided by the International Association of Fire Fighters, trains fire fighters on how best to respond to transportation accidents involving hazardous materials. Throughout my career, I have worked extensively to strengthen safety and training standards for fire fighters, hazmat teams, and other first responders.

21. 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?

If confirmed, I will work with the Chairman and other Board Members and staff, including the Managing Director and Chief Financial Officer, to ensure the Board effectively utilizes, manages, and conducts oversight of the agency's resources.

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

Reducing human factor-caused accidents in all modes of transportation. Accidents caused by human factors constitute the largest category of accidents in all modes of transportation. In rail, for example, human factors accounted for 38 percent of all train accidents, or 36 percent of all commuter and intercity passenger rail accidents, from 2012 through 2017. Technologies, such as positive train control, can help prevent human factor-caused accidents, but we also need

to address the underlying issues that lead to these accidents, including fatigue, inattention, and distraction.

Adapting to new technologies. Technology is changing the way we live, work, and travel—from unmanned aircraft systems and automated vehicles to positive train control and consumer products powered by new technologies, such as lithium batteries. Many of these technologies have the potential to significantly reduce the number of transportation accidents and save lives.

Technology also plays a significant role in accident response and investigation techniques, with the NTSB and numerous State and local response agencies now utilizing drones to assess accident scenes. All of this means the Board and staff must stay on top of emerging technology in the transportation industry, which requires substantial and continual training, the time to provide such training given the number of accidents and limited number of NTSB investigators, and the ability to purchase equipment to conduct complex accident investigations.

Reducing the time for completing accident reports. Currently, it takes about 12 to 24 months for the NTSB to complete an accident investigation and issue a final report; five investigations have now exceeded 24 months. That time-frame needs to be reduced in a manner that does not sacrifice the integrity of the Board's investigations. Although the Board has the authority to issue urgent or interim safety recommendations prior to issuing final reports, it's crucial for the traveling public, federal, state, and local agencies, and other stakeholders to be made aware of the facts, analyses, findings, and final recommendations of the Board in a timely manner so that more immediate actions can be taken to improve safety.

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.

I have no financial arrangements, deferred compensation agreements, or other continuing dealings with business associates, clients, or customers. I have a Thrift Savings Plan and I participate in the Federal Employees Retirement System, a defined benefit retirement plan. Information related to my spouse's retirement account is fully described in Part 3 of my Executive Branch Personnel Public Financial Disclosure.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO to identify potential conflicts of interest. I agreed to take those actions that are outlined in the letter to the DAEO; a copy is enclosed. These commitments constitute my ethics agreement as identified in the ethics regulations.

As explained in my ethics agreement, my spouse is employed by Robbins-Gioia, LLC, from which he receives a fixed annual salary and bonus tied to his performance. For as long as my spouse continues to work for Robbins-Gioia, LLC, I will not participate personally and substantially in any particular matter involving specific parties in which I know my spouse's employer or any client of my spouse is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Additionally, upon my confirmation to the NTSB in July 2018, I resigned from my position as President of the Baffa Academy Association, a parent association of my daughter's dance academy. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Baffa Academy Association is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the National Transportation Safety Board's DAEO to iden-

tify potential conflicts of interest. I agreed to take those actions that are outlined in a letter to the DAEO; a copy is enclosed. These commitments constitute my ethics agreement as identified in the ethics regulations. I am not aware of any other potential conflicts of interest.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO 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 have entered into with the NTSB's DAEO and that has been provided to this Committee. Pursuant to that agreement:

- I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse and minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation to the NTSB in July 2018, I resigned from my position as President of the Baffa Academy Association, a parent association of my daughter's dance academy. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Baffa Academy Association is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is employed by Robbins-Gioia, LLC, from which he receives a fixed annual salary and bonus tied to his performance. For as long as my spouse continues to work for Robbins-Gioia, LLC, I will not participate personally and substantially in any particular matter involving specific parties in which I know my spouse's employer or any client of my spouse is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with the DAEO during the first week of my confirmation in order to complete the ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with the ethics agreement by notifying the NTSB's DAEO in writing when I have completed the steps described in the ethics agreement.

6. Describe any activity during the past ten years, including the names of clients represented, 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.

As stated in Section A, Question #19, in April 2019, I testified on behalf of the NTSB before the House Committee on Transportation and Infrastructure on various legislative issues (pipeline safety and highway safety). In February, I testified on behalf of the NTSB before the Joint Committee on Transportation of the Connecticut General Assembly on House Bill 7140 in support of implementing certain NTSB safety recommendations (universal motorcycle helmet law, rear seat belt use, and Operation Lifesaver).

In addition, from June 21, 2004 through August 19, 2018, I served as the Democratic Staff Director for the Subcommittee on Railroads, Pipelines, and Hazardous Materials for the Committee on Transportation and Infrastructure, U.S. House of Representatives, where I have engaged in drafting and influencing the passage, defeat, or modification of numerous pieces of legislation.

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, adminis-

trative 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.

I have held security clearances since 2000 and have received periodic background check investigations by law enforcement related to those clearances. Additionally, as a teenager, in March 1990, I was arrested for shoplifting. See Question #4 for further information.

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.

I have not been involved as a party in an administrative agency proceeding, civil litigation, or criminal proceeding, except as described in response to Question #4. To the best of my knowledge, the businesses and nonprofits of which I am or was an officer have never been involved as a party in an administrative agency proceeding, civil litigation, or criminal proceeding.

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.

As a teenager, on March 19, 1990, a misdemeanor for shoplifting. I deeply regret my actions. In addition to court-ordered penalties, I volunteered for community service, which included speaking to students and at-risk youth.

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.

Nothing unfavorable. As far as favorable information, I believe that my extensive background and expertise in motor carrier, rail, pipeline, and hazardous materials transportation safety has brought an added professional, modal, and issue-area balance to the Board. Of the 40 ongoing major accident investigations listed on the NTSB's website, 8 involve freight and passenger railroads, including the collision of an Amtrak train and CSX freight train in Cayce, South Carolina; an accident involving two Southeastern Pennsylvania Transportation Authority trains in Upper Darby, Pennsylvania; and, the Amtrak derailment near DuPont, Washington. Five additional ongoing accident investigations involve natural gas pipelines, including the August 2, 2017, gas explosion at the Minnehaha Academy School in Minneapolis, Minnesota; the September 13, 2018, gas explosion and fire in Merrimack Valley, Massachusetts; and the February 6, 2019, gas explosion and fire in San Francisco, California. I launched as a Member of the NTSB Go-Team to the Merrimack Valley and San Francisco pipeline releases.

I would also like the Committee to know that I have a proven track record of working in environments that require collaboration, deliberation, negotiation, and teamwork. I have strong working relationships on both sides of the aisle, in the House and Senate and in the Executive Branch, including the modal agencies, and with outside entities.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? 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.

RESUMÉ OF JENNIFER L. HOMENDY

Employment Background

Board Member, National Transportation Safety Board, from August 2018 to present. Nominated by the President on April 12, 2018; Committee on Commerce, Science, and Transportation hearing held on May 16, 2018; ordered to be reported favorably on May 22, 2018; confirmed by the Senate by voice vote on July 24, 2018; and sworn in on August 20, 2018.

Democratic Staff Director, Subcommittee on Railroads, Pipelines, and Hazardous Materials, Committee on Transportation and Infrastructure, U.S. House of Representatives, from June 2004 to August 2018. Legislative areas of expertise include issues involving the railroad industry and its employees; the safety of oil and natural gas pipelines; and the transportation of hazardous material in commerce. Specific duties include drafting, negotiating, and moving legislation through the legislative process; developing legislative and oversight agendas; preparing memos, speeches, and statements for Democratic Members of Congress; delivering speeches and panel presentations on behalf of the Committee; leading hearings and Committee investigations of Federal programs, policies and regulations; and carrying out oversight of Federal rail, pipeline, and hazardous material transportation programs, including the Committee's extensive oversight investigation of the Enbridge oil pipeline spill in Marshall, Michigan, the Committee's audit of the Pipeline and Hazardous Materials Safety Administration's special permits and approvals program, and the Committee's 2017–2018 audit of the Department of Transportation's drug and alcohol testing program (across all modes).

Legislative Representative, International Brotherhood of Teamsters, from June 1999 to June 2004. Duties included representing the interests of Teamster working families before Congress and the Executive Branch. Areas of expertise included transportation and international trade. Transportation work focused on motor carrier, rail, and hazardous materials safety. Served as a cleared (classified) labor representative on the President's Advisory Committee on Trade Policy and Negotiations and the U.S. Department of Labor's Trade Advisory Committee.

Legislative Representative, Transportation Trades Department, AFL-CIO (TTD), from August 1997 to June 1999. Duties included representing the interests of transportation workers before Congress and the Executive Branch. Areas of expertise included motor carrier, rail, hazardous material, and nuclear waste transportation safety; domestic manufacturing/Buy America; appropriations/budget; innovative financing, including state infrastructure banks and credit enhancements; and worker protections, including Section 13(c) of the Federal Transit Act and Davis Bacon.

Manager of Government Relations, American Iron and Steel Institute (AISI), from March 1996 to August 1997 (promoted from Legislative Assistant). Duties included representing the interests of the American steel industry and its employees before Congress in the areas of transportation, environment, and energy; researching and preparing policy analyses of various tax and trade issues; serving as Staff Director of AISI's Committee on Traffic; coordinating political action committee contributions to Members of Congress; representing AISI at coalition meetings and fundraisers; presenting monthly reports to AISI's Board of Directors on legislative developments; interacting with Members of Congress, congressional staff, and AISI member companies; and drafting correspondence and memoranda.

Senate Assistant for Federal Governmental Relations, National Federation of Independent Business (NFIB), from September 1994 to March 1996. Duties included researching issues that affect small businesses; serving as a member of the Guardian Advisory Council Taskforce, a team of staff assigned to restructure the organization's activist/grassroots lobbying efforts; interacting with congressional staff; drafting correspondence and memoranda on various small business issues; organizing membership participation in, and issue development for, the White House Conference on Small Business held in June 1995; and providing legislative and administrative support to the Director of Federal Governmental Relations and three Senate lobbyists.

Intern, Senator Arlen Specter (R-PA, at the time), Harrisburg, PA, from 1993 to 1994.

Educational Background

Certificate, Accident Investigation Orientation for Rail Professionals, the National Transportation Safety Board, May 2017

Fellow, 115th Congress, Stennis Center for Public Leadership

The National Board on Fire Service Professional Qualifications (through the International Association of Fire Fighters), Certified in Core HazMat Operations and Mission-Specific PPE and Product Control (hazmat operations-level responder training)

The Pennsylvania State University, Bachelor of Arts in Humanities with concentrations in Public Policy and Journalism, graduated 1994

Certified Personal Trainer, American College of Sports Medicine

Senator MORAN. Thank you very much.
Mr. Sumwalt.

**STATEMENT OF HON. ROBERT L. SUMWALT III, NOMINEE FOR
CHAIRMAN, NATIONAL TRANSPORTATION SAFETY BOARD**

Mr. SUMWALT. Thank you very much.

Chairman Moran, Chairman Wicker, Ranking Member Cantwell, and Distinguished Members of the Committee, I'm honored to appear before you today as you consider my nomination to be Chairman of the National Transportation Safety Board, and I'm grateful to President Trump for the confidence that he has placed in me through this nomination.

I'd like to express particular appreciation to the Committee staff on both sides of the aisle for the hard work that they've done to squeeze me in to this hearing today. I really appreciate that.

Due to the short notice, my wife and daughter could not be here. My daughter is watching from Durham, North Carolina, and my wife is trying to figure out how to use the internet.

[Laughter.]

Mr. SUMWALT. But I am pleased that my nephew Frank Beal, who's a second-year law student, is able to join us today. Thank you, Frank, for being here.

During my tenure on the NTSB, I've served as a Member, Vice Chairman, Acting Chairman, and now for the last two years as Chairman. Under my leadership as Chairman, the agency's ranking in the Best Places to Work in the Federal Government has advanced 33 percent to our current position of number six of 29 small agencies, a position that we've held for the last two consecutive years, and according to the Partnership for Public Service, our rating for executive leadership, senior leaders has improved 22 percent over the past 2 years. Our engagement score is at an all time high, including our rating for support for diversity, which has increased 12 percent.

I've placed high management focus on addressing unresolved management accountability and controls issues, a risk to the agency. We have also prioritized eliminating the backlog with our Freedom of Information Act requests and I'm also pleased to report that we've made significant progress in each of these areas.

In addition to providing agency leadership, my tenure on the Board has clearly demonstrated my solid record as a fierce advocate for improving safety in all modes of transportation, including teen driver safety, impaired driving, distractions in transportation,

positive train control, tank car and pipeline safety, and professionalism in aviation.

I've testified before this Committee regarding pipeline, rail, and aviation safety. And, I believe that to truly improve transportation safety, our investigations must not stop at simply finding the obvious cause. I'm known for dogmatically seeking to uncover each underlying factor that may have led to the accident and I believe that if we only focus on the superficial causes, then we miss accident prevention opportunities.

Before joining the Board, I was a captain for a major U.S. airline where I flew the Boeing 737 and other transport category airplanes. I've testified twice to Congress this year regarding the 737 Max.

I believe that my demonstrated agency leadership, my safety focus, as well as my experience piloting Boeing 737s and other transport aircraft, I think that brings a unique and vital perspective to the role of NTSB Chairman.

Despite our progress, I believe there's still unfinished work that needs to be done, both from an agency leadership perspective as well as improving the safety of our Nation's transportation system.

Regarding agency leadership, we are actively seeking and implementing ways to allow the agency to be more effective and efficient, including measures to complete accident investigations in a more timely manner, and on the safety front, we are continuing to push for successful adoption of our safety recommendations.

I am honored to have been renominated to continue this work and if confirmed, I pledge to work diligently to lead the agency in functioning more effectively and efficiently as well as continuing to serve as a fierce advocate for improving transportation safety through timely, quality accident investigations and safety recommendations.

Mr. Chairman, if confirmed, I look forward to continuing to work in a professional and collegial fashion with my fellow Board members, the dedicated NTSB staff, and, of course, this committee as we work to enhance transportation safety.

Thank you very much.

[The prepared statement and biographical information of Mr. Sumwalt follow:]

PREPARED STATEMENT OF HON. ROBERT L. SUMWALT III, NOMINEE FOR CHAIRMAN,
NATIONAL TRANSPORTATION SAFETY BOARD

Thank you, Chairman Wicker, Ranking Member Cantwell, and distinguished Members of the Committee. I am honored to appear before you today as you consider my nomination as Chairman of the National Transportation Safety Board (NTSB). I am grateful to President Trump for the confidence he has placed in me through this nomination.

During my tenure on the NTSB, I have served as Member, Vice Chairman, Acting Chairman, and, for the past two years, Chairman.

Under my leadership as Chairman, the agency's ranking in the *Best Places to Work in the Federal Government* has advanced 33 percent to our current position of Number 6 of 29 small agencies—a position we have held for the past two consecutive years. According to the Partnership for Public Service, our rating for Effective Leadership: Senior Leaders improved 22 percent over the past two years. Our engagement score is at all-time high, including our rating for Support for Diversity, which increased 12 percent.

I have placed a high management focus on addressing unresolved Management Accountability and Controls (MAC) risks to the agency. We have also prioritized

eliminating the excessive backlog with Freedom of Information Act requests. I'm pleased to report that we have made significant progress on each of these priorities.

In addition to providing agency leadership, my tenure on the Board has clearly demonstrated my solid record as a fierce advocate for improving safety in all modes of transportation, including such issues as teen driver safety, impaired driving, distractions in transportation, positive train control, tank car and pipeline safety, and professionalism in aviation. I have testified before this Committee regarding pipeline, rail, and aviation safety.

I believe that to truly improve safety, our investigations must not simply stop at finding the obvious error. I'm known for dogmatically seeking to uncover each underlying factor that may have led to an accident. I believe that if we only focus on superficial causes, we miss opportunities for true safety improvements.

Before joining the Board, I was a Captain for a major U.S. airline, where I flew a Boeing 737 and other transport aircraft. I have testified to Congress twice on the 737 Max issues. I believe my demonstrated agency leadership, my safety focus, as well as my experience in piloting Boeing 737s and other transport category aircraft, brings a unique and vital perspective to the role of NTSB Chairman.

Despite our progress, I believe there is unfinished work that needs to be done—both from the agency leadership perspective, as well improving the safety of our Nation's transportation system. Regarding agency leadership, we are actively seeking and implementing ways to allow the agency to be more effective and efficient, including measures to complete accident investigations in a more-timely manner. On the safety front, we are continuing to push for successful adoption of our safety recommendations.

I am honored to have been re-nominated to continue this work and, if confirmed, pledge to work diligently to lead the agency in functioning more efficiently and effectively, as well as continuing to serve as a fierce advocate for improving transportation safety through timely, quality accident investigations and safety recommendations.

Mr. Chairman, if confirmed, I look forward to continuing to work in a professional and collegial fashion with my fellow Board Members, the dedicated NTSB staff, and this Committee, to enhance transportation safety for all.

Thank you for your time and I look forward to answering your questions.

A. BIOGRAPHICAL INFORMATION

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

Robert Llewellyn Sumwalt III.

2. Position to which nominated: Chairman, National Transportation Safety Board.

3. Date of Nomination: July 17, 2019.

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

Residence: Information not released to the public.

Office: National Transportation Safety Board, 490 L'Enfant Plaza, Washington, DC 20594.

5. Date and Place of Birth: June 30, 1956; Columbia, SC.

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).

Anne Macdonald Sumwalt (spouse), Sales Associate, Talbots, Inc.; 4809 Forest Drive, Columbia, SC 29206.

Kaylyn Mackenzie Sumwalt (daughter) Age 25

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

Bachelor of Science, 1979

Business Administration

University of South Carolina

Master of Aeronautical Science, 2014

Aviation/Aerospace Safety Systems and Human Factors in Aviation Systems

Embry-Riddle Aeronautical University

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.

National Transportation Safety Board

Incumbent ANTS Board Member (August 2006 to present)

Acting Chairman (March 2017–August 2017)
Chairman (August 2017 to present)

SCANA Corporation
Manager of Aviation
November 2004–August 2006
(Managing corporate flight department for a Fortune 500 company)

US Airways
Airline Pilot
February 1981–November 2004
Assigned to Corporate Safety Department on temporary assignment, 1997–2004

Aviation consultant
1991–2006
Self employed while working as an airline pilot and aviation department manager

9. Attach a copy of your resumé.

Resumé is 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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.). 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 disability.

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

Palmetto Club
2016 to present
Academie de L' Air et de L'Espace
Foreign Associate Member
2014 to present
Aircraft Owners and Pilots Association
Member
2005–2019
Columbia Ball
Member
Approximately 1995–2014
Cotillion Ball
Member
Approximately 2003–2014
Eastminster Presbyterian Church
Member
1995 to present
Forest Lake Club
Member
1981–2010
International Society of Air Safety Investigators
Member
Approximately 1995 to present
Royal Aeronautical Society
Fellow
2014 to present
University of South Carolina Alumni Association
Member
Approximately 1980 to present

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. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities. None.

15. 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.

Henry McMaster for Governor of SC. \$1,000. (2017)

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

Highway Safety Hero, Advocates for Highway and Auto Safety, 2019

Honorary Doctorate, Embry-Riddle Aeronautical University, 2018

Joseph T. Nall Safety Award, International Air & Transportation Safety Bar Association, 2018

Honorary Doctor of Science, University of South Carolina, 2017

Cecile S. Hatfield Award for Excellence in Aviation, 2017

Bombardier Safety Standdown Award, 2016

Fellow, Royal Aeronautical Society, 2014

Association of Air Medical Services Public Service Award, 2010

South Carolina Aviation Hall of Fame, 2009

Professional Pilot Magazine Aviation Safety Advocate of the Year, 2009

ALPA Air Safety Award, 2004

Flight Safety Foundation's Laura Taber Barbour Air Safety Award, 2003

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

Please see attached

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an "alias" or "handle" you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

LinkedIn (active): <https://www.linkedin.com/in/robertsumwalt/>

Twitter (not actively used): <https://twitter.com/smudgedad>

19. 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.

May 15, 2019—Testimony Before Subcommittee on Aviation, Committee on Transportation and Infrastructure, United States House of Representatives. Status of the Boeing 737 MAX, Washington, D.C.

April 10, 2019—Testimony Before the Committee on Commerce, Science, and Transportation Subcommittee on Transportation and Safety, United States Senate. Pipeline Safety: Federal Oversight and Stakeholder Perspectives, Washington, D.C.

March 27, 2019—Testimony Before the Committee on Commerce, Science, and Transportation Subcommittee on Aviation and Space on The State of Airline Safety: Federal Oversight of Commercial Aviation, Washington, D.C.

November 26, 2018—Testimony Before the Committee on Commerce, Science, and Transportation, United States Senate on Pipeline Safety in the Merrimack Valley: Incident Prevention and Response, Field Hearing in Lawrence, MA.

September 13, 2018—Testimony Before the Subcommittee on Railroads, Pipelines, and Hazardous Material Committee on Transportation & Infrastructure

United States House of Representatives on The State of Positive Train Control Implementation in the United States, Washington, D.C.

February 15, 2018—Testimony Before the Subcommittee on Railroads, Pipelines, and Hazardous Materials Committee on Transportation & Infrastructure United States House of Representatives on Oversight of Positive Train Control Implementation in the United States, Washington, D.C.

June 8, 2017—Testimony before the Committee on Commerce, Science, and Transportation, United States Senate. Confirmation Hearing for consideration to be reappointed as NTSB Board Member, Washington, D.C.

February 26, 2014—Testimony before the Subcommittee on Railroads, Pipelines, and Hazardous Materials Committee on Transportation and Infrastructure, United States House of Representatives, Hearing on Oversight of Passenger and Freight Rail Safety, Washington, D.C.

April 22, 2009—Testimony Before the Subcommittee on Aviation, Committee on Transportation and Infrastructure, United States House of Representatives, Hearing on the Oversight of Helicopter Medical Services, Washington, D.C.

February 24, 2009—Testimony Before the Subcommittee on Aviation, Committee on Transportation and Infrastructure, United States House of Representatives, Hearing on the U.S. Airways Flight 1549 Accident, Washington, D.C.

February 13, 2008—Testimony Before the Subcommittee on Aviation, Committee on Transportation and Infrastructure, United States House of Representatives, Hearing on Runway Safety, Washington, D.C.

May 22, 2007—Testimony Before Committee on Commerce, Science and Transportation, Subcommittee on Surface Transportation and Merchant Marine, Infrastructure, Safety, and Security, United States Senate, Hearing on Rail Safety Legislation, Washington, D.C.

January 30, 2007—Testimony Remarks Before the Subcommittee on Railroads, Pipelines and Hazardous Materials, Committee on Transportation and Infrastructure, United States House of Representatives, on safety of U.S. Railroads, Washington, D.C.

July 27, 2006—Testimony before the Committee on Commerce, Science, and Transportation, United States Senate. Confirmation Hearing for consideration to become Member of the National Transportation Safety Board, Washington, D.C.

20. 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?

In establishing the NTSB, Congress charged the agency with investigating transportation accidents and crashes, determining the probable cause, and issuing safety recommendations to prevent future accidents and crashes. As discussed below, I believe my 13-year experience at this agency and the outcomes achieved as the Chairman support my qualification for this position.

Demonstrated Leadership:

I have led the NTSB as Acting Chairman (March 2017–August 2017) and Chairman (August 2017 to present). I have provided strong leadership to establish a vision, values, and goals for the agency, which helped advance the NTSB's standing from the 9th Best Place to Work in the Federal Government to Number 6—a position we have retained for the past two consecutive years. I have set a goal for our agency to become the top-rated small Federal agency and we are working in pursuit of that goal. Our engagement score is at an all-time high. Through my leadership, the agency is actively taking measures to improve the timeliness of filling personnel vacancies, complete accident investigations in a more timely manner, and continue to strengthen employee engagement. We are actively seeking and implementing ways to allow the agency to be more effective and efficient.

To enhance effectiveness and efficiency, I have provided leadership for these specific processes:

- Addressed unresolved Management Accountability and Controls (MAC) risks to the agency, with special attention on "high risk" items.
- Prioritized eliminating the excessive backlog with Freedom of Information Act responses.

- Directed the successful development of a computerized dashboard to facilitate accident investigation tracking and accountability.
- Initiated a bi-weekly meeting with all modal directors so agency leadership can resolve investigative bottlenecks and keep investigations on schedule.
- Initiated routine meetings with the agency CFO to ensure fiscal responsibility of the agency's annual budget of \$110.4 million of American taxpayers' dollars. These meetings also are to ensure Management Accountability Controls are in place to prevent fraud, waste, or abuse.

A contributing factor to our team effectiveness as an agency is our active leadership in promoting diversity and inclusion. Under my tenure, I appointed the agency's first African American Managing Director, and upon his retirement, the agency's first female Managing Director. I also hired the agency's first female General Counsel, and I promoted the agency's first female African American to lead one of the agency's divisions.

Experience:

In addition to providing agency leadership, my 13 years on the Board has clearly demonstrated my solid record as being a fierce advocate for improving transportation safety and accident investigation processes in all transportation modes. I have been involved with deliberating and determining the probable cause of over 200 transportation accident investigations. I have been Board Member On Scene for 35 transportation accidents, which involved conducting well over 100 media briefings, interfacing with families of victims, and meeting with elected officials. Additionally, while serving as a Member of the NTSB, I have presented over 300 speeches, as well as testified to Congress and State legislatures regarding transportation safety issues.

Why I Wish to Serve:

I believe there is unfinished work that needs to be done—both from the agency leadership perspective, as well improving the safety of our Nation's transportation system. I am honored to have been renominated to continue this work and, if confirmed, pledge to work diligently to ensure the agency functions more efficiently and effectively, as well as continue to serve as a fierce advocate for improving transportation safety through timely, quality accident investigations and the resulting safety recommendations.

21. 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?

Ensuring the agency is not subjected to adverse publicity or findings is a major responsibility of being Chairman. When I took over as Acting Chairman, I learned there were several outstanding risk items on our Management Accountability and Controls (MAC) program. I charged our management team with developing an action plan—one that required management accountability—for closing-out risks items that were identified by the agency's Senior Management Oversight Council (SOC). I meet on a regular basis with the agency's CFO to be kept abreast of the agency's financial status. I am holding the CFO accountable for ensuring the agency receives another clean (unmodified) audit opinion with no management letters or significant deficiencies.

I meet on a regular basis with the agency EEODI officer to ensure we are complying with all applicable requirements for equal opportunity, diversity and inclusion. Likewise, I hold regular meetings with the agency General Counsel to ensure we are meeting our legal obligations.

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

For 2019, together with our Senior Leadership Team, I set the following three priorities for the agency:

- 1) *Timeliness of Investigations.* Some of our investigations are taking longer to complete than perhaps absolutely necessary. Through the development of the project dashboard, we now meet with the department heads bi-weekly to track progress of investigations. Bottlenecks are identified and resolved. Schedules for completion are established and accountability is in place. We are undertaking a review of our investigative processes to find further efficiency and effectiveness gains. The underlying rule, however, is that the quality of investigations must not suffer. We are not looking to rush completion of reports; we are, however, actively working to improve our processes.

- 2) *Hiring.* In order to accomplish our Congressional mandate, we need people to perform those duties. The length of time it was taking to fill vacancies had become excessive. We lacked a transparent and accountable method of tracking hiring actions. I appointed a Chief Human Capital Officer to develop a strategy for improving this, and progress is being made.
- 3) *Employee Engagement.* We want to ensure that we are accomplishing these goals without dramatically affecting work-life balance. Therefore, employee engagement is important to foster a safe, healthy work environment for our employees.

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.

I am retired from U.S. Airways, for which I served as an airline pilot for approximately 24 years. The retirement/pension to which I should have been entitled is now provided and handled under the auspices of the Pension Benefit Guaranty Corporation, a governmental agency. I began receiving these retirement benefits effective June 30, 2006, and they will continue until my death.

US Airways was acquired by America West in 2005, but the merged airline kept the U.S. Airways name. In 2013, that airline acquired American Airlines and retained the name of American Airlines. Upon consulting with the Office of Government Ethics for my last Ethics Agreement dated May 11, 2017, OGE believed it was no longer necessary to specifically mention U.S. Airways since they are no longer a viable entity due to the merger.

This information is described fully in my Form 278e Public Financial Disclosure Form.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO to identify potential conflicts of interest. I agreed to take those actions that are outlined in my ethics agreement letter to the DAEO. These commitments constitute my ethics agreement as identified in the ethics regulations.

I received an honorary degree from Embry-Riddle Aeronautical University in May 2018. For the duration of my holding the position of Chairman, I will not participate personally and substantially in any particular matter involving specific parties in which Embry-Riddle Aeronautical University is a party or represents a party, unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

As explained in my ethics agreement, my spouse is employed by Talbots, Inc., from which she receives an hourly salary. For as long as my spouse continues to work for Talbots, Inc., I will not participate personally and substantially in any particular matter involving specific parties in which I know my spouse's employer or any client of my spouse is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Additionally, I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

Because my accounts are managed by a brokerage firm, on July 18, 2019, in accordance with my EA, I notified my account manager of the need to obtain my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds. He has agreed to comply.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the National Transportation Safety Board's DAEO to identify potential conflicts of interest. I agreed to take those actions that are outlined in my ethics agreement letter to the DAEO. These commitments constitute my ethics agreement as identified in the ethics regulations. I am not aware of any other potential conflicts of interest.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the NTSB's DAEO to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the tenets of an ethics agreement that I have entered into with the NTSB's DAEO and that has been provided to this Committee. Pursuant to that agreement:

- I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse and minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.
- I received an honorary degree from Embry-Riddle Aeronautical University in May 2018. For the duration of my holding the position of Chairman, I will not participate personally and substantially in any particular matter involving specific parties in which Embry-Riddle Aeronautical University is a party or represents a party, unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d).
- My spouse is employed by Talbots, Inc., from which she receives an hourly salary. For as long as my spouse continues to work for Talbots, Inc., I will not participate personally and substantially in any particular matter involving specific parties in which I know my spouse's employer or any client of my spouse is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).
- I have a managed account or otherwise use the services of an investment professional during my appointment. I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.
- If confirmed, I will meet in person with the DAEO during the first week of my confirmation in order to complete the ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with the ethics agreement by notifying the NTSB's DAEO in writing when I have completed the steps described in the ethics agreement.

6. Describe any activity during the past ten years, including the names of clients represented, 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.

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? 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.

In 1977, I was arrested and charged with reckless driving. It taught me a very good lesson. I acted irresponsibly. However, since that time 42 years ago, I have had a perfectly spotless driving record. Truthfully, I obey all traffic rules. Furthermore, I work hard to advance traffic safety through my work at the NTSB.

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.

In consultation with the NTSB's General Counsel, the following list of cases identify matters in which I am included in the name of the matter because of my role as Chairman of the agency. None of these matters include allegations of wrongdoing on my part, and I have not been deposed or otherwise participated in any of these matters. As Chairman, I am aware that the agency is involved in litigation, but because I may be the ultimate arbiter on behalf of the agency, I am not familiar with the details of any of these matters.

None of these cases are in a public forum; therefore, only the case number is provided. An Official Use Only key is provided separately.

1. EEOC Appeal No. 0120182487 for EEOC Hearing No. 570-2016-00773X (Agency No. NTSB-2015-02 and NTSB-2017-02)—Matter pending
2. EEOC Appeal No. 0120180038 (Agency Nos. NTSB-2014-01 and NTSB-2015-01)—Final Agency Decision finding no discrimination by the agency; complainant's appeal of that Decision is pending
3. EEOC Appeal No. 120171835 for EEOC Hearing No. 450-2014-00254X (Agency Nos. NTSB-2013-04N, NTSB-2013-05)—Final Agency Decision found no discrimination by the agency; Decision upheld on appeal
4. Agency No. NTSB-2017-01—Final Agency Decision found no discrimination by the agency; Decision was not appealed
5. EEOC Appeal No. 20190010137 for EEOC Hearing No. 570-2017-01219X (Agency No. NTSB-2017-03)—Final Agency Decision finding no discrimination by the agency; complainant's appeal of that Decision is pending
6. EEOC Hearing No. 570-2017-00760X (Agency No. NTSB 2016-0 2)—matter settled at minimal cost to the agency
7. EEOC Hearing No. 570-2017-01208X (Agency No. NTSB-2017-02)—matter pending
8. EEOC Hearing No. 570-2018-00457X (Agency No. NTSB-2017-07)—matter settled at minimal cost to the agency
9. Agency No. NTSB-2017-06—Final Agency Decision found no discrimination by the agency; Decision was not appealed
10. EEOC Hearing No. 570-2019-00052X (Agency No. NTSB-2018-01)—matter pending

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.

Per question C-2, I was convicted of reckless driving in 1977. It taught me a very important lesson.

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.

Despite my transgression of reckless driving 42 years ago—one for which I am truly sorry, I have devoted my adult life to trying to improve transportation safety. In March of this year, I was recognized for my advocacy efforts by Advocates for Highway and Auto Safety. As I have for 13 years as an NTSB Board Member, if confirmed, and given the chance, I will continue to work diligently to use my knowledge, skills, and experience to help improve safety in all modes of transportation safety. My work ethic is unsurpassed. Thank you, sincerely, for your consideration.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? Yes.

2. Will you ensure that your department/agency does whatever it can to protect congressional witnesses and whistleblowers 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.

RESUMÉ OF ROBERT L. SUMWALT

Profile: Strong leader and prominent safety executive with a sustained record of leading a Federal agency and advancing domestic and international transportation safety. Worked across a range of roles and responsibilities to decisively lead improvements to safety performance in large, complex, dynamic transportation organizations in both the private and public sectors.

Experience and Achievements

National Transportation Safety Board, Washington, DC—2006 to Present
Chairman, Acting Chairman, Vice Chairman and Board Member (Presidential appointee)

Appointed by President Donald J. Trump, and unanimously confirmed by the United States Senate, to lead the world's preeminent transportation safety and accident investigation agency. Provided strong leadership to establish a vision, values, and goals for the agency, which helped advance the NTSB's standing to be listed as one of the Best Places to Work in the Federal Government. Drove leadership focus to address unresolved Management Accountability and Controls (MAC) risks to the agency. Led effectively to achieve measurable improvements in employee engagement, which is now at an all time high. Directed the successful development of a computerized project dashboard which enables management to actively track and manage the ongoing progress of accident investigations to ensure timely completion. Successfully addressed an excessive backlog with Freedom of Information Act responses. Directed fiscal responsibility of an annual budget of \$110.4 million of tax dollars.

Nationally recognized transportation safety advocate and accident investigation authority. Responded as part of NTSB's Go-Team to 35 transportation casualties in all modes of transportation. Conducted well over 100 on-scene media events including live national television and radio network appearances. Provided individual and collective review of over 200 major transportation investigations to determine accident probable cause and subsequent recommendations to prevent recurrence. Presented over 300 speeches to domestic and international audiences. Testified to U.S. Congress on issues involving aviation and surface transportation safety.

SCANA Corporation, Columbia, SC—2004 to 2006

Manager of Aviation

Provided strong leadership for operations, personnel, and resources for a Fortune 500 company aviation department, including safety, operations, maintenance, budgeting, and all associated fiduciary matters. Led departmental employees into a cohesive, well-functioning team. Managed disposition, acquisition, and deployment of multi-million dollar aircraft and support assets, including construction planning for a multi-million dollar aviation facility to house company aircraft and personnel. Supervised department personnel, including hiring of departmental employees. Led development of first-ever department strategic plan, flight operations manual, and formulated practices to ensure standardization in critical flight and maintenance practices.

US Airways, Charlotte, NC—1981 to 2004

Airline Captain

Experienced airline captain in US domestic and Latin American markets. Served as check airman, instructor pilot and air safety representative. Heavily involved in introducing new jet aircraft into airline service. Over 14,000 flight hours and FAA type ratings in five multi-engine, turbine-powered aircraft.

Air Safety Representative 1986 to 2004

Served as Chairman of Air Line Pilots Association's (ALPA) Human Factors and Training Group. Engaged in the development and implementation of several airline safety programs. Served on the U.S. Airways Flight Operations Quality Assurance (FOQA) Monitoring Team. Directed the U.S. Airways Line Operations Safety Audit (LOSA). Contributed heavily in procedural development of the USAir Altitude Awareness Program. Co-founded the ALPA Critical Incident Response Program.

NASA Aviation Safety Reporting System (ASS)—1991 to 1999

Aviation Safety Research Consultant

Conducted aviation safety research as a consultant to the NASA ASRS. Principal Investigator for three ASRS research initiatives and authored articles for ASRS publications.

University of Southern California Aviation Safety Program—2003 to 2006

Human Factors Instructor

Developed and presented academic curriculum for a one-week course on “Human Factors in Aviation Safety.” Taught the course in the classroom on seventeen occasions on the US campus, as well as for the U.S. Navy, and internationally in Mexico, Trinidad, and Brazil.

Publications

Published over 100 articles and papers in industry magazines and trade journals with a focus on aircraft accident investigation, flight crew procedural issues, human performance, and crew resource management. Co-authored a book profiling aircraft accidents, their cause, and lessons learned. Co-authored book chapters in two books pertaining to Crew Resource Management, and authored book chapters in two books on effective aircraft accident investigation procedures. Authored foreword in book on safety leadership and one on investigating human error.

Awards and Recognition

Advocates for Highway and Auto Safety—Highway Safety Hero, 2019
 Honorary Doctorate, Embry-Riddle Aeronautical University, 2018
 Joseph T. Nall Safety Award, International Air & Transportation Safety Bar Association, 2018
 Honorary Doctor of Science, University of South Carolina, 2017
 Cecile S. Hatfield Award for Excellence in Aviation, 2017
 Bombardier Safety Standdown Award, 2016
 Fellow, Royal Aeronautical Society, 2014
 Foreign Associate Member, Academie de L’Air et de L’Espace, 2014
 Association of Air Medical Services Public Service Award, 2010
 South Carolina Aviation Hall of Fame, 2009
 Professional Pilot Magazine Aviation Safety Advocate of the Year, 2009
 ALPA Air Safety Award, 2004
 Flight Safety Foundation’s Laura Taber Barbour Air Safety Award, 2003

Education

Master of Aeronautical Science (With Distinction)
 Aviation/Aerospace Safety Systems and Human Factors in Aviation Systems
 Embry-Riddle Aeronautical University, 2014
Bachelor of Science
 Business Administration
 University of South Carolina, 1979

BLOGS, PUBLICATIONS, SPEECHES AND PRESENTATIONS

BLOGS

NTSB Safety Compass Blogs

March 2011. NTSB Safety Compass Blog. NASA Administrator Bolden Kicks off NTSB Speaker Series

<https://safetycompass.wordpress.com/2011/03/24/nasa-administrator-bolden-kicks-off-ntsb-speaker-series/>

May 2011. NTSB Safety Compass Blog. Raising Safe Teen Drivers-Talking Parent to Parent

<https://safetycompass.wordpress.com/2011/05/23/raising-safe-teen-drivers-%e2%80%93-talking-parent-to-parent/>

May 2011. NTSB Safety Compass Blog. Exploring Ways to Improve Truck and Bus Safety

<https://safetycompass.wordpress.com/2011/05/10/exploring-ways-to-improve-truck-and-bus-safety/>

May 2011. NTSB Safety Compass Blog. Graduated Drive, Licensing—We’ve Come a Long Way

<https://safetycompass.wordpress.com/2011/05/09/graduated-driver-licensing-%e2%80%93-we%e2%80%99ve-come-a-long-way/>

June 2011. NTSB Safety Compass Blog. The Urgent Need for Safer Bus Transportation

<https://safetycompass.wordpress.com/2011/06/01/the-urgent-need-for-safer-bus-transportation/>

June 2011. NTSB Safety Compass Blog. John Nance’s Insights on Safety and Independence

<https://safetycompass.wordpress.com/category/speaker-series/>
 October 2011. NTSB Safety Compass Blog. Saving Lives: Helping More Teens Drive Safely
<https://safetycompass.wordpress.com/2011/10/21/saving-lives-helping-more-teens-drive-safely/>
 January 2012. NTSB Safety Compass Blog. Looking back 30 years
<https://safetycompass.wordpress.com/2012/01/13/looking-back-30-years/>
 February 2012. NTSB Safety Compass Blog. Looking back, but yet ahead
<https://safetycompass.wordpress.com/2012/02/01/looking-back-but-yet-ahead/>
 February 2012. NTSB Safety Compass Blog. Trending in the Wrong Direction—Teen Deaths in Auto Accidents Increase
<https://safetycompass.wordpress.com/2012/02/22/trending-in-the-wrong-direction-teen-deaths-in-auto-accidents-increase/>
 March 2012. NTSB Safety Compass Blog. Aviation’s Growth Means More Professional Pilots Will Be Needed
<https://safetycompass.wordpress.com/2012/03/13/aviations-growth-means-more-professional-pilots-will-be-needed/>
 July 2012. NTSB Safety Compass Blog. Looking without seeing
<https://safetycompass.wordpress.com/2012/07/19/looking-but-not-seeing/>
 August 2012.. NTSB Safety Compass Blog. The Importance of Communication
<https://safetycompass.wordpress.com/2012/08/31/the-importance-of-communication/>
 October 2012. NTSB Safety Compass Blog. Working Together
<https://safetycompass.wordpress.com/2012/10/18/working-together/>
 January 2013. NTSB Safety Compass Blog. Saving Thousands of lives
<https://safetycompass.wordpress.com/2013/01/14/saving-thousands-of-lives/>
 March 2013. NTSB Safety Compass Blog. On Track for Rail Safety
<https://safetycompass.wordpress.com/2013/03/14/on-track-for-rail-safety/>
 April 2013. NTSB Safety Compass Blog. Celebrating the NTSB’s 46th Anniversary
<https://safetycompass.wordpress.com/2013/04/04/celebrating-the-ntsbs-46th-anniversary/>
 September 2013. NTSB Safety Compass Blog. Building a Safety Culture
<https://safetycompass.wordpress.com/2013/09/25/building-a-safety-culture/>
 February 2014. NTSB Safety Compass Blog. NTSB Investigative Hearings: A Window into NTSB Accident Investigations
<https://safetycompass.wordpress.com/2014/02/19/ntsb-investigative-hearings-a-window-into-ntsb-accident-investigations/>
 Feb 2014. NTSB Safety Compass Blog. Positive Train Control Saves Lives
<https://safetycompass.wordpress.com/2014/02/26/positive-train-control-saves-lives/>
 Feb 2014. NTSB Safety Compass Blog. Distracted driving—debunking the myth
<https://safetycompass.wordpress.com/2014/02/10/distracted-driving-debunking-the-myth/>
 June 2014. NTSB Safety Compass Blog. Safety performance and the financial bottom line
<https://safetycompass.wordpress.com/2014/06/03/safety-performance-and-the-financial-bottom-line/>
 Sept 2014. NTSB Safety Compass Blog. After 25,000 flight hours and 49 years in aviation, a good friend retires.
<https://safetycompass.wordpress.com/2014/09/23/after-25000-flight-hours-and-49-years-in-aviation-a-good-friend-retires/>
 February 2015. NTSB Safety Compass Blog. Disconnect from Deadly Distractions
<https://safetycompass.wordpress.com/2015/02/03/disconnect-from-deadly-distractions/>
 March 2015. NTSB Safety Compass Blog. Trains and Trespassing: Ending Tragic Encounters
<https://safetycompass.wordpress.com/2015/03/25/trains-and-trespassing-ending-tragic-encounters/>
 March 2015. NTSB Safety Compass Blog. Enhance Public Helicopter Safety
<https://safetycompass.wordpress.com/2015/03/13/enhance-public-helicopter-safety/>
 April 2015. NTSB Safety Compass Blog. Distractions in Transportation: Roundtable of Experts and Advocates from all Transportation Modes Gather to Discuss Solutions

<https://safetycompass.wordpress.com/2015/04/01/distractions-in-transportation-roundtable-of-experts-and-advocates-from-all-transportation-modes-gather-to-discuss-solutions/>

April 2015. NTSB Safety Compass Blog. Deadly Addictions

<https://safetycompass.wordpress.com/2015/04/14/deadly-addictions/>

April 2015. NTSB Safety Compass Blog. Cognitive Distraction and the Hands-Free Device “Myth”

<https://safetycompass.wordpress.com/2015/04/21/cognitive-distraction-and-the-hands-free-device-myth/>

April 2015. NTSB Safety Compass Blog. Protect Your Business, By Protecting Your Employees

<https://safetycompass.wordpress.com/2015/04/28/protect-your-business-by-protecting-your-employees/>

June 2015. NTSB Safety Compass Blog. A Beautiful Mind; A Tragic Loss

<https://safetycompass.wordpress.com/2015/06/29/a-beautiful-mind-a-tragic-loss/>

August 2015. NTSB Safety Compass Blog. Three Minutes Could Save Your Life

<https://safetycompass.wordpress.com/2015/08/19/three-minutes-could-save-your-life/>

November 2015. NTSB Safety Compass Blog. Primary Enforcement of Seat Belts—A Law we can’t Live Without

<https://safetycompass.wordpress.com/2015/11/20/primary-enforcement-of-seat-belts-a-law-we-cant-live-without/>

January 2016. NTSB Safety Compass Blog. More needs to be done to improve Helicopter EMS safety

<https://safetycompass.wordpress.com/2016/01/07/more-needs-to-be-done-to-improve-helicopter-ems-safety/>

February 2016. NTSB Safety Compass Blog. Rally Tank car Improvements—MakeThem Now

<https://safetycompass.wordpress.com/2016/02/18/rail-tank-car-improvements-make-them-now/>

February 2016. NTSB Safety Compass Blog. PTC Must Not Go Into Double Overtime

<https://safetycompass.wordpress.com/2016/02/03/ptc-must-not-go-into-double-overtime/>

April 2016. NTSB Safety Compass Blog. Addressing Dangers on the Roads: This Is No April Fools!

<https://safetycompass.wordpress.com/2016/04/01/addressing-dangers-on-the-roads-this-is-no-april-fools/>

April 2016. NTSB Safety Compass Blog. What’s Changed About Distracted Driving? We Hope, At Least, You

<https://safetycompass.wordpress.com/2016/04/29/whats-change-about-distracted-driving-we-hope-at-least-you/>

May 2016. NTSB Safety Compass Blog. An Apology

<https://safetycompass.wordpress.com/2016/05/06/an-apology/>

June 2016. NTSB Safety Compass Blog. Weather. . .or not

<https://safetycompass.wordpress.com/2016/06/20/weather-or-not/>

June 2016. NTSB Safety Compass Blog. The ‘100 Deadliest Days’: a tragic reality

<https://safetycompass.wordpress.com/2016/06/28/the-100-deadliest-days-a-tragic-reality/>

July 2016. NTSB Safety Compass Blog. Safely Fueling the Future

<https://safetycompass.wordpress.com/2016/07/11/safety-fueling-the-future/>

August 2016. NTSB Safety Compass Blog. Roundtable Review—Part 1: The latest on rail tank car safety

<https://safetycompass.wordpress.com/2016/08/01/roundtable-review-part-1-the-latest-on-rail-tank-car-safety/>

August 2016. NTSB Safety Compass Blog. Reflecting back on 10 years as a Board Member

<https://safetycompass.wordpress.com/2016/08/22/reflecting-back-on-10-years-as-a-board-member/>

Aug 2016. NTSB Safety Compass Blog. Roundtable Review—Part 2: The latest on rail tank car safety

<https://safetycompass.wordpress.com/2016/08/11/roundtable-review-part-2-the-latest-on-rail-tank-car-safety/>

Jan 2017. NTSB Safety Compass Blog. Fahrenheit 1,100: Lithium Batteries in Aviation
<https://safetycompass.wordpress.com/2017/01/23/fahrenheit-1100-lithium-batteries-in-aviation/>

March 2017. NTSB Safety Compass Blog. Act to End Deadly Distractions
<https://safetycompass.wordpress.com/2017/03/13/act-to-end-deadly-distractions/>

March 2017. NTSB Safety Compass Blog. Women of the NTSB
<https://safetycompass.wordpress.com/2017/03/31/women-of-the-ntsb/>

April 2017. NTSB Safety Compass Blog. NTSB: 50 Years of Asking Why?
<https://safetycompass.wordpress.com/2017/04/03/ntsb-50-years-of-asking-why/>

April 2017. NTSB Safety Compass Blog. Act To End Deadly Distractions
<https://safetycompass.wordpress.com/2017/04/25/act-to-end-deadly-distractions-2/>

May 2017. NTSB Safety Compass Blog. Act to End Distracted Driving: One Life at a Time
<https://safetycompass.wordpress.com/2017/05/02/act-to-end-distracted-driving-one-life-at-a-time/>

November 2017. NTSB Safety Compass Blog. Travelers, Put Safety First this Holiday Season
<https://safetycompass.wordpress.com/2017/11/20/travelers-put-safety-first-this-holiday-season/>

November 2017. NTSB Safety Compass Blog. Disconnect this Thanksgiving
<https://safetycompass.wordpress.com/2017/11/21/disconnect-this-thanksgiving/>

March 2018. NTSB Safety Compass Blog. Most Wanted List Progress Report: Rail Safety
<https://safetycompass.wordpress.com/2018/03/26/most-wanted-list-progress-report-rail-safety/>

March 2018. NTSB Safety Compass Blog. Refusing to Take “No” for an Answer
<https://safetycompass.wordpress.com/2018/03/29/refusing-to-take-no-for-an-answer/>

March 2018. NTSB Safety Compass Blog. Recognizing Important Women Leaders at NTSB From Yesterday and Today
<https://safetycompass.wordpress.com/2018/03/23/recognizing-important-women-leaders-at-ntsb-from-yesterday-and-today/>

April 2018. NTSB Safety Compass Blog. Introducing “I Am NTSB”
<https://safetycompass.wordpress.com/2018/04/26/introducing-i-am-ntsb/>

April 2018. NTSB Safety Compass Blog. Focus on Distracted Driving
<https://safetycompass.wordpress.com/2018/04/02/focus-on-distracted-driving/>

May 2018. NTSB Safety Compass Blog. Roundtable Discussion About Loss of Control in Flight Yields Some Important Ideas
<https://safetycompass.wordpress.com/2018/05/14/roundtable-discussion-about-loss-of-control-in-flight-yields-some-important-ideas/>

May 2018. NTSB Safety Compass Slog. The Age of Reason
<https://safetycompass.wordpress.com/18/05/01/the-age-of-reason/>

Aug 2018. NTSB Safety Compass Blog. Two Years and Counting . . . Still no FAA Action
<https://safetycompass.wordpress.com/2018/08/27/two-years-and-counting-still-no-faa-action/>

August 2018. NTSB Safety Compass Blog. NTSB Safety Compass Blog. Working for Safety
<https://safetycompass.wordpress.com/2018/08/31/working-for-safety/>

August 2018. NTSB Safety Compass Blog. National Aviation Day
<https://safetycompass.wordpress.com/2018/08/19/national-aviation-day/>

November 2018. NTSB Safety Compass Blog. Add a Day of Remembrance for a Balanced Holiday Season
<https://safetycompass.wordpress.com/2018/11/16/add-a-day-of-remembrance-for-a-balanced-holiday-season/>

Dec 2018 NTSB Safety Compass Blog. Good News . . . At Last!
<https://safetycompass.wordpress.com/2018/12/14/good-news-at-last/>

Feb 2019. NTSB Safety Compass Blog. 2019–2020 Most Wanted List
<https://safetycompass.wordpress.com/2019/02/06/2019-2020-most-wanted-list/>

March 2019. NTSB Safety Compass Blog. Ethiopia Airlines Flight 302, Annex 13, and the NTSB’s International Mission

<https://safetycompass.wordpress.com/2019/03/15/ethiopia-airlines-flight-302-annex-13-and-the-ntsbs-international-mission/>

March 2019. NTSB Safety Compass Blog. When it Comes to Safety, Not All Flights are Created Equal

<https://safetycompass.wordpress.com/2019/03/22/when-it-comes-to-safety-not-all-flights-are-created-equal/>

NTSB LinkedIn “Chairman’s Messages”

Chairman’s Message #1: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6372133646194786304/>

Chairman’s Message #2: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6377219403964043264/>

Chairman’s Message #3: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6382233125136723968/>

Chairman’s Message #4: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6387294479623221248/>

Chairman’s Message #5: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6394966131706253312/>

Chairman’s Message #6: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6405069366420914176/>

Chairman’s Message #7: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6399996492131631104/>

Chairman’s Message #8: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6410076171697995776/>

Chairman’s Message #9: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6415172256636366848/>

Chairman’s Message #10: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6422839751151571584/>

Chairman’s Message #11: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6435649937752485888/>

Chairman’s Message #12: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:643050878578934S792/>

Chairman’s Message #13: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6440565827719741440/>

Chairman’s Message #14: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6445596467762642945/>

Chairman’s Message #15: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6453257970246574082/>

Chairman’s Message #16: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6458290307577503744/>

Chairman’s Message #17: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:64634037697648S5808/>

Chairman’s Message #18: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6468525312652177408/>

Chairman’s Message #19: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6471018309054Z22048/>

Chairman’s Message #20: LinkedIn

<https://www.linkedin.com/feed/update/urn:li:activity:6478592008456847360/>

Publications

Published Books or Book Chapters

Sumwalt, R., Lemos, K., and McKendrick, R. (2019). The Accident Investigator’s Perspective. *Crew Resource Management* Third Edition. Kanki, B.G, Anca, J. and Chidester, T.R. (Eds), Academic Press (Elsevier): London.

Sumwalt, R.L. (2017). Foreword in Strauch, B. *Investigating human error* (2nd ed). CRC Press: Boca Raton, FL.

Sumwalt, R.L. (2016). Foreword, in Schultz, J., Fielkow, B. *Leading people safety: How to win on the business battlefield*. Minneapolis: North Loop Books.

Sumwalt, R.L. (2015). The role of the NTSB, In Blumen *et al.*, (Eds.) *Principles and Direction of Air Medical Transport, 2nd edition*. Salt Lake City: Air Medical Physician Association.

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- Sumwalt, R.L. (2002). Aircraft accident and incident investigation, in *The Standard Handbook for Aeronautical and Astronautical Engineers*. New York: McGraw Hill.
- Walters, J. M., & Sumwalt, R. L. (2000) . *Aircraft Accident Analysis: Final Reports*. New York: McGraw Hill.
- Schwa, b A., & Sumwalt, R.L. (1990). *The Terminal Checklist Book*. Alexandria, VA: Queensmith Publications.
- Articles, Columns, Publications*
- Sumwalt, R.L. (2016). A unique perspective: Moving from the Airbus left seat to the NTSB board seat. *Safety Preflight*. American Airlines flight safety publication. April, 2016.
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- Sumwalt, R.L. (2015). The Gulfstream IV operator had all the appearance of a good operation but the flightcrew lacked cockpit discipline. *Professional Pilot Magazine*. November, 2015.
- Sumwalt, R.L. (2015). The effect of national culture on crew resource management. *Vectors*. Fall Issue.
- Sumwalt, R., Cross, D., & Lessard, D.(2015). Examining breakdowns in pilot monitoring of the aircraft flight path. *International Journal of Aviation, Aeronautics, and Aerospace*, 2(3).
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- Sumwalt, R.L. (2015). Public helicopter safety on NTSB 2015 Most Wanted list. *Rotor*. Winter 2015.
- Sumwalt, R.L. (2015). Challenges remain in public helicopter safety: Crash mistakes and mindsets. *Air Beat*. January/February 2015.
- Sumwalt, R.L. (2014). You, me and NTSB: Setting the record straight. *Professional Pilot Magazine*. February 2015.
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- Sumwalt, R.L. & Dalton, S.L. (2012). Navigating the course to a true safety culture. *Marine Technology*. April 2013.
- Sumwalt, R.L. (2011, September 27). A message to the HEMS community. Association of Air Medical Services web page.
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- Sumwalt, R. L. "Equipment, Training and Infrastructure-Three Keys to Improving HEMS Safety." *Professional Pilot Magazine*. October, 2010.
- Sumwalt, R. L. "Helicopter EMS: Life-saving Changes Needed for a Life-Saving Industry." Op Ed piece in *The State*. September 26, 2010.
- Sumwalt, R. L. "NTSB Studies Helicopter EMS Safety, Acts to Improve it." *Professional Pilot Magazine*. January 2010.
- Sumwalt, R. L. "Professionalism Means Doing the Right Things—Even When no one is Watching." *Professional Pilot Magazine*. January 2008.
- Sumwalt, R. L. "Do You Have a Safety Culture?" *AeroSafety World*. July 2007.
- Sumwalt, R. L. "Get Habitual Drinking Drivers off South Carolina's Highways." Op Ed piece in *The State*. November, 2006.
- Sumwalt, R. L., & Boyer, R.D., "Applying Operational Risk Management in Corporate Flight Operations." In *Proceedings from the 51st annual Flight Safety Foundation / National Business Aviation Association Corporate Aviation Safety Seminar (CASS)*, May 9–11, 2006. Phoenix, AZ.
- Sumwalt, R.L. "Accident Analysis: Failure to Monitor Airspeed Leads to Loss of Control." *Professional Pilot Magazine*. November 2005.
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Speeches and Presentations

- July 10, 2019—Investigating Fatigue In Transportation: A Board Member’s Perspective—presentation to NTSB’s Investigating Human Fatigue Factors course, Ashburn, VA
- May 8, 2019—Keynote address to International Symposium on Aviation Psychology, Dayton, OH
- May 3, 2019—Presentation to American Harbor and Docking Pilots Association, Savannah, GA.
- April 30, 2019—Presentation to Air Transport International Instructors and Check Airmen, Cincinnati, OH
- April 5, 2019—Luncheon Speech to the Aero Club of Washington, Washington, DC
- April 2, 2019—Presentation to Customs and Border Protection Air & Marine Operations Safety Recurrent Training Program, Dallas, TX
- February 28, 2019—Presentation to the Royal Aeronautical Society Conference on the Risk of Lithium Batteries in Aviation, London, England
- February 19, 2019—Presentation to American Academy of Forensic Sciences Workshop on Impairment in Transportation, Baltimore, MD
- February 17, 2019—Most Wanted List Remarks, Washington, DC
- December 17, 2018—Presentation to the Columbia Rotary Club, Columbia, SC
- November 29, 2018—Keynote address at the 2018 APTA Mid-year Safety Seminar. Washington, DC
- October 25, 2018—The Accident—Now What? Managing the Aftermath through Effective Crisis Communications, Ashburn, VA
- October 25, 2018—Presentation to the AOPI-API Leadership Meeting, Washington, DC
- October 18, 2018—Presentation to Auburn University Aviation Students, Auburn, AL
- October 2, 2018—Keynote remarks to American Pilots Association Biennial Convention, Savannah, GA
- September 22, 2018—Dinner speech for FlightSafety International’s “Best of the Best” Celebration
- July 20, 2018—Presentation to the Lawyer-Pilots Bar Association Summer 2018 Meeting, South Lake Tahoe, CA
- June 28, 2018—Presentation to the Road to Zero Coalition, Washington, DC
- June 14, 2018—Presentation to Academie de l’Air ed de L’Espace, Bretigny, France
- June 13, 2018—Presentation to Section 3 of Academie de l’Air ed de L’Espace, Paris, France
- May 12, 2018—Opening Remarks to Americas Marine Accident Investigators’ Forum Eighth Annual Meeting, NTSB Training Center, Ashburn VA
- May 31, 2018—“Trained for Life: Human-Centered Approach to Safety” presentation at ALPA’s Human Factors Conference, Washington, DC
- May 30, 2018—Presentation to the Accident Investigation Orientation for Rail Professionals, NTSB Training Center, Ashburn, VA
- May 5, 2018—Commencement Address to Embry-Riddle Prescott Campus, Prescott, AZ.
- May 3, 2018—Presentation to International Society of Air Safety Investigators Mid Atlantic Regional Chapter, Herndon, VA
- April 5, 2018—Presentation to the SMU Air Law Symposium, Dallas, TX
- March 19, 2018—Keynote Address to Boeing’s Flight Operations Symposium, Seattle, WA
- February 7, 2018—Presentation to the Aviation Symposium, McLean, VA
- January 31, 2018—Presentation to the NBM Safety Committee, NTSB Training Center, Ashburn, VA
- January 10, 2018—Presentation to Airbus Mobile, Airbus Engineering Center, Mobile, AL
- December 7, 2017—“Lessons from the Ashes: Improving International Aviation Safety through Accident Investigations” 14th Annual Assad Kotaite Lecture Montreal Branch of the Royal Aeronautical Society, Montreal, Quebec
- November 2, 2017—Presentation to the Bombardier Safety Standdown, Wichita, KS

October 28, 2017—Remarks to the General Aviation Manufacturers Association (GAMA) Fall Board of Directors Meeting, Palm Beach, FL

October 26, 2017—Presentation at the Managing Communications During an Aircraft Accident or Incident Course, NTSB Training Center, Ashburn, VA

October 24, 2017—Presentation to the FTA Joint State Safety Oversight and Rail Transit Agency Workshop, Arlington, VA

October 13, 2017—Presentation to the National Road to Zero Coalition, Washington, DC

October 12, 2017—Investigating Fatigue in Transportation Accidents: A Board Member's Perspective. presentation at the Investigating Human Fatigue Factors Course, Ashburn, VA

October 10, 2017—Opening Remarks to National Business Aviation Association (NBMA) Business Aviation Convention & Exhibition, Las Vegas, NV

August 22, 2017—Keynote Speech: "Investigations: Do They Make a Difference?" to the International Society of Air Safety Investigators, San Diego, CA

June 10, 2017—Presentation to APTA Rail Safety Committee and TRB Rail Operational Safety Committee, Baltimore, MD

May 24, 2017—Remarks to Airline Pilots Association, International Pilots Assistance Forum, Chantilly, VA

May 17, 2017—Presentation at the Accident Investigation Orientation for Rail Professionals, NTSB Training Center, Ashburn, VA

May 9, 2017—Presentation to the NorCal Business Aviation Association—Meeting your customers' safety expectations. Mountain View, CA

April 25, 2017—Board Meeting Opening and Closing Statements: Aircraft Accident Report—Collision with Terrain, Promech Air, Inc., de Havilland DHC-3, N270PA, Ketchikan, Alaska, June 25, 2015

March 31, 2017—Presentation on Leadership to the American Studies Program, Washington, DC

March 7, 2017—Presentation to the Air Charter Safety Foundation, NTSB Training Center, Ashburn, VA

February 14, 2017—Presentation to the Wichita Aero Club, Wichita, KS

January 24, 2017—Presentation to the NBAA Safety Committee Annual Risk Assessment Meeting, Fort Lauderdale, FL

January 12, 2017—Presentation on the critical importance of flight path monitoring at Atlas Air WW, Miami, FL

December 12, 2016—Presentation to the FAA Chief Counsel's December All Hands meeting, Washington, DC

December 9, 2016 Opening and closing Statements—NTSB Investigative Hearing: Accident Involving Heart of Texas Balloons near Lockhart, TX. Hearing conducted in Washington, DC

December 1, 2016—Presentation at the NTSB Training Center's "Investigating Human Fatigue Factors" course, NTSB Training Center, Ashburn, VA

November 14, 2016—Speech to students in the American Studies Program, Washington, DC

November 9, 2016—Presentation to Middle Tennessee State University, Murfreesboro, TN

October 31, 2016—Presentation to National Business Aviation Association Emergency Response Seminar, Orlando, FL

October 27, 2016—Presentation to the Railway Tie Association's Annual Symposium and Technical Conference. Bonita Springs, Florida

October 19, 2016—Presentation to the AQP Working Group conference, Dallas, TX

October 17, 2016—Dinner speech for Flight Safety International's "Best of the Best" celebration, Grapevine, TX

October 14, 2016—Presentation at the University of North Texas' Aviation Logistics Program, Denton, TX

October 12, 2016—Web presentation to the Kent State Student Chapter of American Association of Airport Executives (AAAE): Improving Safety Through Accident Investigation

October 6, 2016—Keynote speech on professionalism at the 2016 Mid-Atlantic Safety Standdown in New Castle, Delaware.

September 29, 2016—Presentation to Bombardier Safety Standdown: “Ten Years of Learning with The NTSB” in Wichita, Kansas.

September 27, 2016—“Your company plane just crashed: Are you prepared to deal with the NTSB?” Workshop presentation at the Bombardier Safety Standdown, Wichita, Kansas.

September 22, 2016—Presentation to the Safety Leadership Symposium & Workshop, Houston, Texas.

September 9, 2016—Presentation to Boeing North Charleston Employees about making safety a core value.

September 1, 2016—Presentation to North Texas Business Aviation Safety Show Down.

August 18, 2016—“Improving Safety Through Accident Investigation” presentation to the Atlanta Aero Club, Atlanta, Georgia.

July 23, 2016—Presentation at Jack Henry Safety Day 2016 in Monett, Missouri: “Are your customers getting what they expect?”

July 23, 2016—Presentation at Jack Henry Safety Day 2016 in Monett, Missouri: “Case studies of two aircraft accidents.”

July 13, 2016—Roundtable discussion: “A Dialogue on What’s Next in Rail Tank Car Safety.”

June 28, 2016—Presentation to Westchester Aviation Association’s annual safety standdown.

June 21, 2016—NTSB Forum: “PIREPs: Pay it Forward . . . Because Weather for One is Weather for None.”

June 8, 2016—Safety Leadership: Presentation to the International Association of Missionary Aviation.

June 2, 2016—Speech to the Academie de l’Air et d’Espace on aircraft automation. Toulouse, France.

May 10, 2016—Commencement address to the Embry-Riddle Aeronautical University commencement, Daytona Beach, Florida.

May 6, 2016—Crisis communications presentation to the Flight Safety Foundation’s Business Aviation Safety Summit.

April 29, 2016—Presentation to the International Air and Transportation Safety Bar Association’s Spring Conference, Washington, DC.

April 28, 2016—Presentation to the Twin Cessna Flyers organization at the annual convention in Charleston, South Carolina.

April 27, 2016—Presentation to the Carolinas Aviation Professionals Association’s Regional Safety Seminar in Charlotte, North Carolina.

April 22, 2016—Presentation at Vaughn College in New York, New York.

April 14, 2016—Presentation at NTSB Training Course for Junta de Investigacion de Accidentes de Aviacion Civil (JIAAC), Buenos Aires, Argentina.

April 6, 2016—Webinar on distractions in transportation, with National Safety Council.

March 30, 2016—Presentation to JetBlue instructor pilots on the importance of standardization.

March 11, 2016—Presentation to Hardwood Manufacturers Association National Conference about creating a positive safety culture, Fort Worth, Texas.

March 8, 2016—Presentation to employees of Koppers Inc., about creating a future of safety.

February 26, 2016—Presentation on the SpaceShip Two investigation to the American Bar Association’s Forum on Air and Space law, Washington, DC.

February 3, 2016—Presentation on Crisis Communications at the Airline Symposium, McLean, Virginia.

January 22, 2016—Presentation to Embry-Riddle Aviation Law & Insurance Symposium in Orlando, Florida.

January 19, 2016—Interview on CBS Baltimore “Baltimore Barristers” with Alex Bush.

January 16, 2016—Presentation on a case study of the Bedford, Massachusetts G-IV crash at A3IR Conference in Arizona.

January 16, 2016—Presentation about ways to improve aviation emergency response at A3IR Conference in Arizona.

January 11, 2016—Presentation to TRB Task Force on Transit Safety.

January 7, 2016—Presentation to the University Aviation Association.

November 11, 2015—Webinar presentation: “Improving Safety Through Accident Investigation” at ERAU Worldwide.

November 2, 2015—Presentation on crisis communications to Flight Safety Foundation International Air Safety Summit in Miami, FL

October 20, 2015—Presentation to JetBlue Executive Leadership in New York City

October 13, 2015—Presentation to the Patriot Rail’s Leadership Workshop in Jacksonville, FL

October 8, 2015—Workshop on Safety Culture, at the Bombardier Safety Standdown, Wichita, KS

October 7, 2015—Presentation to the Bombardier Safety Standdown, Wichita, KS

September 29, 2015—Investigating Fatigue in Transportation Accidents: A Board Member’s Perspective, NTSB Training Center, Ashburn, VA

September 14, 2015—Presentation to Michigan State University Railway Management Program, Washington, DC

September 10, 2015—Luncheon Speech, Short Line Safety Institute Forum, Washington, DC

August 26, 2015—Presentation to SC Aerospace Conference, Columbia, SC

July 30, 2015—Keynote Address at the Flight Safety Foundation 3rd Annual Dinner, Washington, DC

July 22, 2015—Remarks at the Air Line Pilots Association, International (ALPA) “Keep America Flying: A Flight Plan for Safe and Fair Skies” Safety Forum, Washington, DC

June 17, 2015—Presentation to American Express Safety Standdown, Newburgh, NY

May 20, 2015—Presentation to Sky Regional Airlines, Toronto, Canada

May 12, 2015—Presentation to Northeast Aviation Safety Roundtable at the Flight Safety Foundation’s Business Aviation Safety Summit in Weston, FL

May 6, 2015—Speech to Stanford University engineering on organizational accidents & risk management, Stanford, CA

May 2, 2015—Commencement Address to the Embry-Riddle Aeronautical University Worldwide Campus, Daytona Beach, FL

April 24, 2015—Presentation at the College of Aeronautics at Vaughn College, New York, NY

April 23, 2015—Presentation to Chicago Area Business Aviation Association, Glenview, IL

April 21, 2015—Keynote Speech at the FAA International Rotorcraft Safety Conference, Hurst, TX

March 31, 2015—Roundtable: Disconnect from Deadly Distractions—Opening Statement

March 23, 2015—Presentation to NBAA International Operators Conference, San Antonio, TX

March 18, 2015—Presentation to the Aviation Law Enforcement Association (ALEA) Midwest Regional Safety Seminar in Chicago, IL

March 10, 2015—Presentation to Air Charter Safety Foundation at NTSB Training Center, Ashburn, VA

February 13, 2015—Speech to Columbia, SC Rotary Club

January 30, 2015—Panel Discussion of New Realities in International Aviation, Orlando, FL

January 16, 2015—Keynote address to the Aviation, Aeronautics, Aerospace International Research (A3IR) Conference, Phoenix, AZ

January 16, 2015—Presentation to the Aviation, Aeronautics, Aerospace International Research (A3IR) conference on breakdowns in flight path monitoring & flight path deviations, Phoenix, AZ

January 14, 2015—Presentation to students visiting from Southern Illinois University, Washington, DC

October 20, 2014—Presentation to National Business Aviation Association’s Emergency Response Planning Workshop, Orlando, FL

October 16, 2014—Keynote Speaker at LifeFlight Eagle Safety Symposium, Kansas City, MO

October 9, 2014—Presentation to Bombardier Safety Standdown, Wichita, KS

October 8, 2014—Presentation to United Airlines Leadership Safety Summit, Denver, CO

September 25, 2014—Presentation to the Bristow Group operations leadership team at the NTSB Training Center, Ashburn, VA

September 15, 2014—Presentation to the 2nd Annual VA Distracted Driving Summit, Richmond, VA

September 5, 2014—Presentation to the Cincinnati Business Aviation Symposium, Cincinnati, OH

August 11, 2014—Controlled Flight Into Terrain (CFIT) The problem that never went away. Presentation to Bombardier Safety Standdown, Sao Paulo, Brazil

July 27, 2014—The Crash of Asiana Flight 214. Presentation to Aviation Section of American Association of Justice, Baltimore, MD

July 24, 2014—Presentation to the Lawyer Pilot Bar Association in Albuquerque, NM

June 6, 2014—Presentation The NTSB's Approach to Accident Investigation to the Junta de Investigación de Accidentes de Aviación Civil, Buenos Aires, Argentina

May 29, 2014—Presentation on the critical role of safety leadership, Houston's Transportation Safety Day, Houston, TX

May 29, 2014—Presentation on the Anatomy of an NTSB Investigation, Houston's Transportation Safety Day, Houston, TX

May 21, 2014—Accident Investigation Orientation for Rail Professionals, NTSB Training Center, Ashburn, VA

May 12, 2014—Luncheon speech at Annual Meeting of Aerospace Medical Association, San Diego, CA

May 2, 2014—Speech at the 261st Anniversary of the Winyah Indigo Society, Georgetown, SC

April 30, 2014—Presentation to Duke Energy Aviation Safety Seminar, Charlotte, NC

April 17, 2014—Presentation to the 59th annual Business Aviation Safety Summit in San Diego, CA

April 2, 2014—The Impact of hands-free cellphone use, presentation at National Safety Council webinar on distraction

March 18, 2014—Presentation to the Regional Airlines Association Symposium in Orlando, Florida

March 5, 2014—Presentation to the Air Charter Safety Foundation at the NTSB Training Center, Ashburn, VA

February 27, 2014—Keynote to the International Helicopter Safety Symposium banquet, Anaheim, CA

February 27, 2014—Keynote to the International Helicopter Safety Symposium banquet, Anaheim, CA

February 8, 2014—Presentation to Inspection Authorization Renewal Seminar, Hickory, NC

February 4, 2014—Presentation on aviation professionalism to the Aviation Institute at the University of Nebraska, Omaha, NE

February 4, 2014—Presentation to Nebraska Business Aviation Association, Omaha, NE

January 18, 2014—Presentation to FAA Wings Seminar, Phoenix, AZ

January 17, 2014—Keynote presentation to Aerospace International Research (A3IR) Conference, Phoenix, AZ

January 14, 2014—Presentation to Southeastern Aviation Safety Roundtable on Enhancing Crew Monitoring and Cross-checking, Huntersville, NC

January 12, 2014—TRB Human Factors Luncheon Speaker, Washington, DC

January 10, 2014—Presentation to the University Aviation Association, Washington, DC

December 6, 2013—Presentation on safety culture at Embry-Riddle President's Safety Education Day, Daytona Beach, FL

December 5, 2013—Presentation to the Embry Riddle student chapter of ISASI about the mission of the NTSB, Daytona Beach, FL

November 14, 2013—ALTA Airlines Leaders Forum in Cancun, Mexico

November 11, 2013—Presentation to the Patriot Rail Leadership Conference in Jacksonville, FL

October 31, 2013—Presentation at the Flight Safety Foundation International Air Safety Summit in Washington, DC

September 27, 2013—Presentation on creating a healthy safety culture to Embry-Riddle Aeronautical University's Prescott campus, Prescott, AZ

September 16, 2013—Presentation on Standard Operating Procedures to Southern California Aviation Association

September 16, 2013—Presentation on Working with the NTSB to Southern California Aviation Association

August 8, 2013—Presentation to International Business Class, Wichita State University

August 7, 2013—Presentation to the Wichita Aero Club, Wichita, KS

July 17, 2013—Presentation to the ALPA 59th Air Safety Forum, Washington, DC

June 25, 2013—Keynote address to Fourth Pan American Safety Summit, San Jose, Costa Rica

May 23, 2013—Presentation to the Southwest Airlines Flight Operations Spring Symposium

May 16, 2013—Presentation to the Washington Area National Business Aviation Association, Ashburn, VA

May 5, 2013—Presentation to Aviation Insurance Association, Orlando, FL

April 15, 2013—Presentation to Bombardier's Safety Standdown about creating a positive safety culture, Shanghai, China

April 4, 2013—Presentation to Pacific Northwest Business Aviation Association (PNBAA), Seattle, WA

April 4, 2013—Presentation to Pacific Northwest Business Aviation Association (PNBAA), Seattle, WA

March 4, 2013—Presentation to HELI-EXPO, Las Vegas, NV

February 13, 2013—Presentation to the South Carolina Aviation Association about working with the NTSB after an accident, Myrtle Beach, SC

February 7, 2013—Inadequate Monitoring and Cross-checking—How do we make vast improvements?, Atlanta, GA

January 24, 2013—Presentation to Patriot Rail Operations Team Leadership Workshop, Jacksonville, FL

January 14, 2013—Presentation to the Transportation Research Board on Human, Organizational, and Cultural Factors in Accidents

January 13, 2013—Presentation to the Transportation Research Board Human Factors Workshop on Automation, Washington, DC

January 13, 2013—Presentation to the Transportation Research Board Human Factors Workshop on Safety Data, Washington, DC

December 10, 2012—Telecon presentation to SteelRiver Infrastructure Partners on role of leadership in preventing organizational accidents

December 7, 2012—Luncheon Remarks for International Air and Transportation Safety Bar Association, Washington, DC

December 3, 2012—Keynote Remarks for National Organizations for Youth Safety (NOYS)—Teen Distracted Driving Prevention Summit, Washington, DC

November 27, 2012—Presentation to U.S. Air Force's Safety Center, Albuquerque, NM

November 7, 2012—Presentation on Inadequate Monitoring and Cross-checking "The Problem that Never Went Away" Human Factors industry roundtable, Irving, TX

October 29, 2012—Presentation on Threat and Error Management at NBAA's Single Pilot Safety Standdown in Orlando, FL

October 24, 2012—Presentation on how to create the right kind of safety culture, Railway Tie Assn Symposium in Tampa, FL

October 23, 2012—Presentation on Understanding the Critical Role of Leadership in Preventing Organizational Accidents, at CPUC Safety Leadership Conference, Los Angeles, CA

October 18, 2012—Luncheon Remarks Before American Bar Association Tort Trial & Insurance Practice Section, Aviation and Space Law Committee, Washington, DC

October 8, 2012—Safety Management Systems workshop at Bombardier Safety Standdown in Wichita, KS

August 26, 2012—Presentation to Flight Safety Foundation in Alexandria, VA, on working with the NTSB after an accident occurs

August 20, 2012—Presentation to Boeing Training and Flight Services personnel in Seattle on adherence to standard op procedures, Seattle, WA

August 8, 2012—Presentation to Avantair employees on the importance of adhering to standard ops procedures, Clearwater, FL

July 11, 2012—Presentation to the M&N Aviation Safety Standdown, Englewood, CO

June 26, 2012—California Public Utilities Commission (CPUC) Safety Leadership Conference in San Francisco, CA

June 26, 2012—California Public Utilities Commission (CPUC) Safety Leadership Conference in San Francisco, CA

June 12, 2012—Pilot and ATC professionalism presentation to Beaver County Community College

May 8, 2012—Remarks for Launch of Global Youth Traffic Safety Month, Washington, DC

May 7, 2012—Remarks to NTSB Youth Open House, Washington, DC

May 3, 2012—Remarks to To the International Society of Air Safety Investigators, Mid Atlantic Regional Chapter (MARC), Washington, DC

April 26, 2012—Presentation to the Chicago Area Business Aviation Association conference, Chicago, IL

April 25 2012—Remarks at Meharry-State Farm Alliance Teen Safe Driving Champion Award Presentation and ThinkFast Program Blythewood, South Carolina

April 19, 2012—Presentation at Flight Safety's Corporate Aviation Safety Seminar in San Antonio, TX

April 17, 2012—Presentation to Purdue University on Professionalism in Aviation, West Lafayette, IN

April 4, 2012—Presentation to the Volpe Center's Roundtable on Automation and the Human, Cambridge, MA

March 29, 2012—Presentation to Embry-Riddle Aeronautical University, Daytona Beach, FL

March 20, 2012—Presentation at the SCRRA seminar, Los Angeles, CA

March 8, 2012—Presentation at the Veriforce 2012 Annual Contractor Safety and Training Conference

March 1, 2012—Presentation at the 24th Annual European Air Safety Seminar (EASS) of the Flight Safety Foundation (FSF), Dublin, Ireland

November 11, 2011—Presentation to the 2011 Interstate Natural Gas Association of America (INGAA) Foundation Annual Meeting, San Diego, CA

November 9, 2011—Presentation at the Fifth International Helicopter Safety Symposium, Fort Worth, TX

October 26, 2011—A Practical Look at Establishing a Safety Culture, presented to the Bombardier 15th Annual Safety Standdown, Wichita, KS

October 26, 2011—Address on SMS to the Bombardier 15th Annual Safety Standdown, Wichita, KS

October 26, 2011—Address to the Bombardier 15th Annual Safety Standdown: Raising the Bar on Pilot Professionalism, Wichita, KS

October 17, 2011—September 28, 2011-Keynote address to General Aviation Air Safety Investigator Workshop, Wichita, KS.

August 23, 2011—luncheon keynote address to the American Association of Motor Vehicle Administrators Annual International Conference, Milwaukee, WI

June 28, 2011—Keynote address to University of Southern California/Metrolink Safety Conference, Los Angeles, CA

June 21, 2011—Presentation at the Airborne Law Enforcement Law Enforcement Association Conference, New Orleans, LA

June 7, 2011—Remarks to the American Waterways Operators Safety Costa (Committee Summer Meeting, Las Vegas, NV

May 10, 2011—Opening Remarks at the Truck and Bus Safety Forum, Washington, DC

May 5, 2011—Remarks to the Chicago Area Business Aviation Association's Annual Safety Stand-Down, St. Charles, IL

May 4, 2011—Remarks to the Society of Chest Pain Centers 14th Congress, Miami, FL

April 20, 2011—Remarks at Flight Safety Foundation's 56th Annual Corporate Aviation Safety Seminar 2011, San Diego, CA

March 30, 2011—Remarks to the University of North Dakota John D. Odegard School of Aerospace Sciences' Spring Aviation Safety Seminar, Grand Forks, ND

March 26, 2011—Remarks at South Carolina Aviation Safety Council 2011 Safety Fly-In, Rock Hill, SC

March 23, 2011—Remarks to NTSB Training Center Aircraft Accident Investigation for Aviation Professionals (AS 301) Course, Ashburn, VA

January 25, 2011—Remarks before the Transportation Research Board 90th Annual Meeting, Washington, DC

January 19, 2011—Remarks to the Dombroff, Gilmore, Jaques, & French 5th Annual 2011 Airline Symposium, McLean, VA

November 16, 2010—Remarks on Eliminating Distractions for Young Drivers, Most Wanted List Press Conference: State Issues, Washington, DC

November 12, 2010—Remarks to the Trauma Center Association of America Annual Conference, San Diego, CA

October 13–14, 2010—Public Forum on Fishing Vessel Safety, Washington, DC—Chairman's Opening Remarks, Washington, DC

September 21, 2010—Remarks to the Flight Safety Foundation's Corporate Advisory Committee Workshop, Alexandria, VA

September 18, 2010—Commencement address to the Embry-Riddle Aeronautical University Worldwide Beaufort Teaching Site, Charleston, and Greenville Campus, Charleston, SC

September 9, 2010—Remarks before the Transit Rail Advisory Committee for Safety Meeting, Washington, DC

September 1, 2010—Remarks before the Georgia Business Aviation Association's Annual Safety Day, Marietta, GA

August 24, 2010—Keynote Address for the 2010 Training, Standardization and Compliance Conference, Concord, NC

May 12, 2010—Remarks before the Flight Safety Foundation's 55th Annual Corporate Aviation Safety Seminar, Tucson, AZ

March 17, 2010—Remarks before the 2010 Association of Air Medical Services Spring Conference, Washington, DC

March 2, 2010—Remarks before the NASA Langley Research Center—Colloquium and Sigma Series Lectures, Hampton, VA

February 23–24, 2010—Public Hearing on Collision of Two Washington Metropolitan Area Transit Authority Trains Near Fort Totten Station, Washington, DC, June 22, 2009—Chairman's Opening Statement, Washington, DC

February 12, 2010—Remarks before the South Carolina Aviation Association's 32nd Annual Aviation Conference, Myrtle Beach, SC

February 11, 2010—Keynote Address for the South Carolina Aviation Association, Hall of Fame Banquet, Myrtle Beach, SC

January 8, 2010—Remarks before the Embry-Riddle Aeronautical University's 21st Annual Aviation Law & Insurance Symposium, Orlando, FL

December 10, 2009—Remarks before the Massachusetts Institute of Technology Flying Club, Boston, MA

December 7, 2009—Remarks to the 2nd Annual Gulfstream Safety Standdown, Savannah, GA

December 1, 2009—Remarks to the FAA International Runway Safety Summit, Washington, DC

November 3, 2009—Remarks to the Flight Safety Foundation’s 62nd Annual International Air Safety Seminar, Beijing, China

October 21, 2009—Remarks to the National Business Aviation Association’s 62nd Annual Meeting & Convention, Safety Town Hall Meeting, Orlando, FL

October 8, 2009—Remarks to the Flight Safety Foundation Corporate Advisory Committee, Alexandria, VA

October 5, 2009—Remarks to the American College of Emergency Physicians Meeting, Boston, MA

September 29, 2009—Remarks to the Third International Helicopter Safety Symposium, Montreal, Québec, Canada

September 17, 2009—Remarks to the International Society of Air Safety Investigators (ISASI) 2009 40th Annual Seminar, Orlando, Florida

September 2, 2009—Remarks to the 21st Annual FAA/ATA International Symposium on Human Factors in Maintenance and Ramp Safety, San Diego, CA

July 9, 2009—Remarks to the Lawyer-Pilots Bar Association Golden Anniversary Meeting, Mackinac Island, Michigan

June 23, 2009—Remarks to the PALMATT 2nd Aviation Safety and Risk Management Symposium, Teaneck, NJ

June 11, 2009—Opening Statement for the Public Hearing on U.S. Airways Flight 1549 Airbus A320, N106US, Hudson River, NJ January 15, 2009, Washington, DC

June 3, 2009—Remarks to the Federal Interagency Committee on EMS, Arlington, VA

May 20, 2009—Remarks to the Training Committee, Regional Airlines Association Annual Convention, Salt Lake City, UT

May 6, 2009—Remarks to the Advanced Qualification Program Conference, Phoenix, AZ

April 28, 2009—Remarks on Human Error in the Context of Accidents to the Society of Experimental Test Pilots, Flight Test Safety Workshop, Ottawa, Canada

April 28, 2009—Remarks on Threat and Error Management to the Society of Experimental Test Pilots, Flight Test Safety Workshop, Ottawa, Canada

March 18, 2009—Remarks to Flight Safety Foundation’s European Aviation Safety Seminar (EASS), Nicosia, Cyprus

March 11, 2009—Remarks to the Association of Air Medical Services Spring Conference, March 11, 2009, Washington, DC

March 3, 2009—Remarks to the 2009 Air Charter Safety Foundation Symposium, Ashburn, VA

February 3, 2009—Opening Statement at the Public Hearing the in the Matter of the Issues on Emergency Medical Services, Helicopter Operational Safety, Washington, DC

January 22, 2009—Remarks to the 2009 Cessna Safety Stand-down, Wichita, KS

October 29, 2008—Remarks to the Regional Airlines Association’s Presidents Council Luncheon, Washington, DC

October 22, 2008—Remarks to the 2008 Airports Council International—North America (ACI-NA) Accident Response Workshop, Arlington, VA

October 20, 2008—Remarks to the Air Medical Transport Conference 2008, Minneapolis, MN

October 7, 2008—Remarks to NBAA Safety Town Hall Meeting, Orlando, FL

September 10, 2008—Remarks to the Flight Deck Automation Working Group, Washington DC

August 19, 2008—Remarks to the FAA Air Traffic Organization Leadership Summit, Washington, DC

July 31, 2008—Remarks to the Pipeline and Hazardous Materials Safety Administration’s Public Workshop for Stakeholders: Transporting Hazardous Materials Safely—the Next 100 Years, July 31, 2008, Washington, DC

July 20, 2008—Remarks to the FlightSafety’s Senior Leadership Course, Orlando, FL

July 9, 2008—Remarks to the Pipeline and Hazardous Materials Safety Administration, Washington, DC

June 26, 2008—Remarks to the Southern Gas Association’s Safety and Health Round Table during the Environmental, Safety, and Training Conference, Charlotte, NC

June 19, 2008—Remarks to the South Carolina Electric and Gas Company, Columbia, SC

June 17, 2008—Keynote Remarks to the FM Aviation Fatigue Management: Partnerships for Solutions Symposium, Vienna, VA

May 28, 2008—Keynote Remarks to the Federal Aviation Administration Shared Vision of Aviation Safety Conference, San Diego, CA

May 22, 2008—Remarks to the Regional Air Cargo Carriers Association, 7th Anniversary Spring Conference, Chantilly, VA

May 14, 2008—Remarks to the Nautical Institute Seminar, United States Merchant Marine Academy, Kings Point, New York

May 8, 2008—Remarks of Robert Sumwalt, Vice Chairman to the 27th Annual Conference of the Aviation Law Association of Australia and New Zealand, Sydney, Australia

May 1, 2008—Remarks to the International Society of Air Safety Investigators, Mid Atlantic Regional Chapter, Washington, DC

April 17, 2008—Remarks to the 2008 International Boating and Water Safety Summit, San Diego, CA

April 9, 2008—Remarks to Embry-Riddle Aeronautical University, Daytona Beach, FL

February 28, 2008—Remarks to the National Business Aviation Association 2008 Leadership Conference, San Antonio, TX

February 21, 2008—Remarks to the SMU Air Law Symposium, Dallas, TX

February 19, 2008—Remarks to the Air Charter Safety Foundation, Alexandria, VA

February 8, 2008—Remarks to the South Carolina Aviation Association, Hilton Head, SC

January 14, 2008—Opening Remarks to the Southeastern Transportation Center Student Breakfast during the Transportation Research Board of the National Academies' 87th Annual Meeting, Washington, DC

January 9, 2008—Remarks to the University Aviation Association, Washington, DC

December 6, 2007—Opening Remarks to the Aviation Directors Roundtable, Washington, DC

November 6, 2007—Opening Remarks Before the NATA Aviation Business Roundtable, Washington, DC

October 15, 2007—Opening Remarks Before the Airline Dispatchers Federation Safety Symposium, Houston, TX

September 19, 2007—Opening Remarks Before the General Aviation Air Safety Investigators (GAASI) 2007 Advanced Technical Workshop, Wichita, Kansas

September 6, 2007—Remarks to 19th FAA/ATA International Symposium Human Factors in Maintenance and Ramp Safety, Orlando, Florida

August 22, 2007—Remarks to the Chief Aircraft Accident Investigators Programme of Air Accident Investigation Bureau of Singapore and Singapore Aviation Academy, Singapore, Republic of Singapore

August 8, 2007—Remarks to the Air Line Pilots Association, International, 2007 Air Safety & Security Forum, Washington, DC

May 23, 2007—Remarks Before the Flight Safety Foundation Board of Governors, Washington, DC

May 17, 2007—Remarks to the Regional Air Cargo Carriers Association 5th Anniversary Spring Conference, Scottsdale, AZ

May 12, 2007—Remarks to the National Coalition of Motorcyclists, Charlotte, NC

April 11, 2007—Remarks to the Air Line Pilots Association, International Pilots Assistance Forum, Denver, CO

February 12, 2007—Remarks Before the Columbia (SC) Rotary Club, Columbia, SC

February 2, 2007—Remarks Before the Embry-Riddle Aeronautical University's Eighteenth Annual Aviation Law & Insurance Symposium, Orlando, FL

January 18, 2007—Remarks Before the United Motorcoach Association Motorcoach EXPO 2007, New Orleans, LA

November 18, 2006—Remarks Before the 68th Annual Conference, National Foundation for Women Legislators, Avon, CO

November 10, 2006—Keynote Address for the 30th Anniversary Celebration NASA Aviation Safety Reporting System, San Carlos, CA

November 3, 2006—Introductory Remarks Before the FAA 3rd Annual International Aviation Safety Forum, Chantilly, VA

September 24, 2006—Remarks During Swearing-In Ceremony, Washington, DC

Senator WICKER. Thank you very much.
I believe, Mr. Bentzel, you are next, so you're recognized.

**STATEMENT OF CARL W. BENTZEL, NOMINEE TO BE A
COMMISSIONER, FEDERAL MARITIME COMMISSION**

Mr. BENTZEL. Chairman Wicker, Ranking Member Cantwell, Members of the Committee, good morning, and thank you for the opportunity to appear before you today as the nominee to be Commissioner of the Federal Maritime Commission.

I would respectfully ask to have the formal text of my testimony be submitted for the record.

Senator WICKER. And that will be done for all of our witnesses.

Mr. BENTZEL. I would be remiss and in serious trouble if I did not recognize my wife Susanne Bentzel, my son CJ Bentzel, my mother Sarah Bentzel, and sisters Paige, Ann, and Carter, who are all sitting in attendance.

I wish to publicly thank them for being here and for their love and encouragement.

I understand the Chairman and Commissioners of the Federal Maritime Commission had also hoped to be here today but their obligations as hosts of the Global Regulatory Summit with the EU and Chinese regulators precluded them from joining.

Mr. Chairman and Ranking Member Cantwell, it is a great honor for me to sit before the membership of the Senate Commerce Committee to be considered for a position as the Commissioner of the FMC.

As members representing states with large maritime ports and sustaining large maritime industrial-based industries, you are able to appreciate the value that the maritime industry plays to our economy, but many others in this country only have fleeting knowledge of the value that it plays across all regions and segments of business.

Every day millions of tons of cargo are unloaded at U.S. ports. The Department of Transportation's latest statistics indicated that in 2017, major U.S. ports handled over 51 billion tons of cargo, both foreign and domestic, and the container fleets regulated by the FMC made 20,630 international trade calls and carried 13 million containers.

Historically, U.S. manufacturers, exporters, and retailers have been able to be more competitive because of the envious state of our intermodal transportation system.

Ocean shipping rates and actual dollar amounts have been reduced by 17 percent over the past decade. However, this advantage is in jeopardy of erosion as we struggle to accommodate the next generation of trade in an acceptable way.

The increases in vessel size, enhancements to the Panama Canal, the expansion of trade increasingly strains our abilities. Populations surrounding ports are increasingly demanding efforts from the maritime industry to mitigate the environmental and other societal costs of moving cargo.

I believe that the FMC can and should play a role in facilitating a balance of interests in helping mitigate movement costs.

The FMC plays an important role in overseeing the terms and services provided by international regularly scheduled shipping lines, regulates joint action agreements that have been considered by the Commission not to be anticompetitive, protects the shipping public from certain prohibited acts, oversees the regulation of ocean freight forwarders and non-vessel-owning common carriers, provides surety that passenger vessels adhere to contractual obligations.

Congress has also provided the FMC with trade authorities to adjust unfavorable conditions imposed on U.S. shipping by foreign governments and the agency's required to more closely scrutinize the commercial practices of ocean common carriers who are controlled by foreign governments to ensure that they do not engage in predatory practices.

In sum, the FMC's objectives are to maintain an open, competitive, reliable international ocean shipping system and protect the shipping public from unlawful, unfair, deceptive ocean shipping practices.

By keeping our foreign commerce free and unrestricted, the FMC ultimately benefits U.S. consumers and manufacturers.

I came to Washington, D.C., with an intense interest in the career in maritime policy after graduating from Tulane University's LLM Program in Admiralty Law. I first experienced the FMC as an agency as a young maritime attorney hired to work for the now-defunct House Committee on Merchant Marine and Fisheries in 1990.

The first hearing that I was assigned to cover was the FMC Authorization and for close to 15 years, I was the Democrat staffer assigned responsibility for the functioning of the agency.

In 1995, I was hired to work as the Senior Counsel for the Senate Commerce Committee where I worked for Senators Hollings, Breaux and Inouye on maritime and surface transportation issues. During this time, we worked closely and on a bipartisan basis with Senators Stevens and Lott to deregulate the ocean shipping industry.

My time spent as a staffer working for the Senate Commerce Committee was a work career highlight and furnished me with the ability to learn more about ocean shipping and the maritime industry than perhaps any other employment position.

I have had the opportunity to experience firsthand port and marine terminal operations, visit shipping lines to understand their logistics challenges, and garner a greater understanding of intermodal trucking and rail issues pertaining to services through our ports. I feel graced to have had this opportunity.

Mr. Chairman and Ranking Member Cantwell, if given the privilege of serving as a Federal Maritime Commissioner, I pledge to you that I will follow the statutory requirements of the law in an objective and unbiased basis.

I also pledge to you that I will be fully responsive and engaged with any demand or requests of this committee as you discharge of your legislative and regulatory oversight of the FMC.

I wish to thank you and your staffs once again and I am pleased to answer any questions that you might have.

[The prepared statement and biographical information of Mr. Bentzel follow:]

PREPARED STATEMENT OF CARL W. BENTZEL, NOMINEE TO BE A COMMISSIONER,
FEDERAL MARITIME COMMISSION

Chairman Wicker, Ranking Member Cantwell, and members of the Committee, good morning and thank you for the opportunity to appear here before you today as a nominee to be Commissioner of the Federal Maritime Commission (FMC). I would also thank you both for the courtesies that your staff extended to me throughout the nomination process. Finally, I would like to thank President Trump for nominating me for this position, and Senator Schumer for recommending me to be nominated for this position.

The FMC is an independent agency with specialized experience in the international ocean transportation industry. The agency is charged with the responsibility of administering a law that provides a focused antitrust regulatory regime tailored to the particular factors affecting regularly scheduled international ocean shipping trade. Under the Shipping Act of 1984, as amended by the Ocean Shipping Reform Act of 1998, Congress found that collaborative joint venture agreements between and among ocean carriers and marine terminal operators may and do provide efficiencies and reduced costs that ultimately benefit U.S. exporters, and save the U.S. consumer money provided that such agreements are reviewed by the Commission and determined to not be materially anti-competitive. The FMC reviews and monitors these joint collaborations and agreements under the Shipping Act to ensure that pro-competitive efficiencies and cost savings are obtained for the benefit of U.S. consumers, and that any anti-competitive effects are prevented or properly mitigated.

The FMC also engages in a variety of activities to protect the public from financial harm, including licensing, registration, and monitoring the practices of intermediaries and implementing financial bond requirements for over 6,000 ocean transportation intermediaries (OTI); investigating and prosecuting unreasonable or unjust practices, ruling on private party complaints alleging Shipping Act violations, and helping mediate and resolve disputes concerning the shipment of goods or the carriage of passengers. These activities contribute to the competitiveness, integrity, fairness, and efficiency of the Nation's import and export supply chains and ocean transportation system. The FMC is also charged with the responsibility of ensuring that passenger vessel operators maintain proper financial coverage to reimburse cruise passengers in the event their cruise is cancelled or to cover liability in the event of death or injury at sea.

The FMC has authority under the Foreign Shipping Practices Act of 1988, and Section 19 of the Merchant Marine Act, 1920 to evaluate the practices of foreign governments to determine whether they are unfavorable or discriminatory. The FMC is authorized to take certain actions in response to the discriminatory practices of foreign governments, after investigation and due process, to help address anti-competitive discriminatory foreign shipping practices. Finally, the FMC is required to impose certain additional protections with respect to foreign carriers that are operate under government control to ensure that they do not engage in predatory pricing practices to the detriment of commercial carriers.

In sum, the FMC's objectives are to maintain an open, competitive reliable international ocean shipping system, and protect the shipping public from unlawful, unfair and deceptive ocean shipping practices.

It is with great pleasure and honor that I was nominated for this position. After graduating from Tulane University's L.L.M. program in Admiralty Law, I first experienced the FMC as an agency as a young maritime attorney, hired to work for the now-defunct House Committee on Merchant Marine and Fisheries in 1990. The first area that I was assigned to cover as a staffer, was the FMC, and for close to 15 years, I was the Democrat staffer assigned responsibility for the functioning of the agency. During this time frame, I also participated as a Congressional Staff representative to the Presidential Advisory Commission on Conferences in Ocean Shipping ("ACCOS") which evaluated the agencies regulatory structure and worked on issues related to agency oversight.

In 1995, I was hired to work as a Senior Counsel for the Senate Committee on Commerce, Science and Transportation where I worked for Senators Hollings, Breaux and Inouye on maritime and surface transportations issues. During this time, we worked closely and on a bi-partisan basis with Senators Stevens and Lott

to deregulate ocean shipping requirements to allow confidential shipping contracts, and to furnish the current regulatory structure governing international ocean liner shipping and FMC operations today. The Ocean Shipping Reform Act of 1998 was a landmark change in the way we regulate ocean shipping, where I believe we adequately balanced the need for a more competitive regulatory environment with a proper degree of oversight.

My time spent as a staffer working for the Senate Commerce Committee was a work career highlight and gave me opportunities to learn more about the maritime industry than perhaps any other employment position. I have had the opportunity to experience firsthand, port and marine terminal operations, visit shipping lines to understand their logistics challenges, and garner a greater understanding of intermodal trucking and rail issues pertaining to services through our ports. I feel graced to have had this opportunity.

While would not be appropriate to comment on specific areas where the FMC is currently considering policy, I did want to identify a few general policy areas that I believe will be important for the FMC as the agency moves forward to the future.

The maritime industry is increasingly tied to the efficiencies of their intermodal partners in moving cargo through marine terminals and ports and onto the surface transportation modes of trucking and rail. There are multiple players involved in port and maritime terminal management, and throughput infrastructure is often a shared venture. Freight volume increases, while providing economic benefit, also carry with its negative impact on surrounding community's environmental quality and cause harm as a result of congestion related impacts. Port communities are looking for better ways to manage the consequences of maritime trade.

I believe the FMC will continue to have a real impact in allowing the industry to coordinate a response to these problems through agreements considered by the FMC. These agreements can help harness joint practices aimed at remediating the impacts of port traffic. I believe that the FMC should review and approve these agreements to make sure that agreements end up serving the intended purpose of environmental remediation or other societal benefit, and not be a back-door attempt at revenue generation.

Another area of potential concern in the ocean shipping industry are the impacts of consolidation. In the last three years the number of major shipping lines has reduced from 20 to 13, caused primarily when all Chinese and Japanese ocean carriers separately merged their companies into one. However, I believe that the ocean shipping market still remains extremely competitive. The FMC Chairman recently testified to the fact that when adjusted for inflation over the past ten years that ocean shipping rates from China to the West Coast have declined by 17 percent, and when adjusted for inflation by 29 percent. While ocean shipping rates have remained static for a remarkably sustained period of time, and under U.S. guidelines governing competition (Herfindahl Hirschman Index) would still be viewed as a market that is very competitive, the international ocean liner industry, while already subject to stringent consideration, should require greater scrutiny given the nationalization of some of the shipping lines, and the economic stakes that could be involved in potential market manipulation.

Finally, an International Maritime Organization (IMO) rule, commonly referred to as "IMO 2020", requires ocean carriers, beginning in January 2020, to burn low sulfur fuel that has a 0.5 percent sulfur content *or* install exhaust scrubbers in order to continue to run their vessels with heavy bunker fuel that contains 3.5 percent sulfur content. While I support the implementation of the new requirements based on carbon and other emissions reductions, there is uncertainty on how this new mandate will play out on the shipping market, both with respect to ships and to trucks. The current U.S. refining market is designed to cater solely to truck interests who already are required to use low sulfur fuel. I question whether the refining industry has adequately ramped up to adjust to the new levels of fuel that will be required to accommodate the ocean container fleet. I fear that this could be most adversely felt in the trucking world where independent operators have little ability to recoup fuel price increases and could cause restriction in this market. Ultimately, the market will adjust to the new fuel requirements, but in the interim, there could be transportation consequences.

Mr. Chairman and Ranking Member Cantwell, if given the privilege of serving as a Federal Maritime Commissioner, I pledge to you that I will follow the statutory requirements of the law in an objective and unbiased basis. I also pledge to be fully responsive and engaged with any demand or request of this Committee as you discharge of your legislative and regulatory oversight of the FMC.

I wish to thank you and your staffs once again, and I am pleased to answer any questions that you might have.

A. BIOGRAPHICAL INFORMATION

1. Name (Include any former names or nicknames used): Carl Whitney Bentzel.
2. Position to which nominated: Commissioner, Federal Maritime Commission.
3. Date of Nomination: June 12, 2019.
4. Address (List current place of residence and office addresses):

Residence: Information not released to the public.
Office: Information not provided.
5. Date and Place of Birth: 07/25/1963; Bethesda, MD.
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: Suzanne Marie Bentzel employed by the West Virginia University.
7. List all college and graduate degrees. Provide year and school attended.

B.A. Degree (History), St. Lawrence University, 1985
J.D. Degree, University of Alabama, 1989
L.L.M. in Admiralty Law, Tulane University, 1990
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.

Democrat Counsel for Maritime Policy, House Committee on Merchant Marine and Fisheries (1990–1994).
Democrat Senior Counsel, Subcommittee on Surface Transportation and Merchant Marine, Senate Committee on Commerce, Science, and Transportation (1995–2004).
Vice President, DCI Group LLC (2004–2014).
Partner, SB Capitol Solutions (2014–2016).
Principal, Bentzel Strategies LLC (2016 to present).
9. Attach a copy of your resumé.
Attached at the end of the questionnaire.
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.
Not Applicable.
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.
List of entities for whom I consulted:
 - Hydrogen Energy California LLC
 - Specialized Carrier and Rigging Association
 - American Roll-on Roll-off Carriers
 - American Task Force Argentina
 - CEMEX
 - Exxon Mobil
 - Great River Economic Development Fdtn.
 - Owner-Operator Independent Drivers Association (OOIDA)
 - Verizon
 - Inspire STEM Coalition
 - Intelligent Car Coalition
 - DCI Group LLC
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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.) 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 disability.

Propeller Club of Washington DC (2008–2012, est.)

Country Club at Woodmore (2004 to present)

Both organizations do not discriminate.

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.

Not Applicable.

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.

Not Applicable.

15. 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.

Joe Manchin (\$4,016)
 Cheri Bustos (\$500)
 Rick Nolan (\$500)
 Garret Graves (\$1,500)
 Sam Graves (\$500)
 Mary Landrieu (\$2,750)
 Nita Lowey (\$500)
 Mark Pryor (\$1,500)
 Nick Rahall (\$1,500)
 Kelly Ayotte (\$500)
 Ed Pastor (\$500)
 Kristin Gillibrand (\$1,500)
 Allan Mollohan (\$1,500)
 Collen Hanabusa (\$500)
 Bob Corker (\$500)
 Pete Visclosky (\$1,000)
 Charlie Melancon (\$500)
 Daniel Inouye (\$1,000)
 Natalie Tennant (\$4,100)
 DCI PAC (\$3,000)

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

Coast Guard's Medal for Meritorious Public Service
 Maritime Security Council's Man of the Year Award

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

I have written articles, presented testimony, and given speeches on a number of issues related to my expertise in maritime shipping, transportation and energy, and have included a summary and access to these materials.

Book:

McGraw-Hill's *Handbook on Homeland Security*, port security chapter, (chapter 36).

Op-Eds:

Security in U.S. ports is severely lagging 5/17/2006:

<https://rbi.net/2006/03/17/security-in-u-s-ports-is-severely-lagging/>

All of the Above Transportation Funding 2/25/2017:

<https://morningconsult.com/opinions/transportation-funding-its-all-of-the-above/>

Trump Should Reverse Obama-Era South Atlantic Oil and Gas Restrictions 5/07/2017:

<https://morningconsult.com/opinions/trump-reverse-obama-era-south-atlantic-oil-gas-restrictions/>

The Wall, It is All About—Over, Under, Around, and Through 11/27/2017:

<https://morningconsult.com/opinions/its-not-about-a-wall-but-it-is-about-over-around-under-through/>

During the course of my close to fifteen-year work experience in both the House of Representatives and the Senate, I was asked on average about five times a year to provide legislative update speeches to groups involved in maritime and transportation policy. All speeches were given under the constraints of my professional obligations to the House and Senate Committees where I worked. All remarks that I made were made off of the cuff, and I do not have notes either. I have attached Internet access to all speeches and events that I could readily locate that discussed my comments.

<http://www.thebreakingnews.com/files/articles/ncorpcharlestontranscript.pdf>.
National Council on Readiness and Preparedness (port security/11/30/2006)

<https://www.upi.com/Washington-Agenda-General/62791021663216/>
Center for Strategic and International Studies holds a program with U.S. Transportation Secretary Norman Mineta to discuss Post-9/11 Environment. (port security/5/20.2002)

<http://www.twworldwide.com/events/hdj/070307/>
Border, Maritime and Transportation Security Conference (port security on 3/7/2007)

<https://m.marinelog.com/docs/MLEGMMIV/mlegMMIV2.html>
Marine Log Conference (maritime legislative update on 9/23/2004)

<https://www.truckinginfo.com/108276/in-the-end-truckers-costs-are-shippers-costs-too>

NIT League panel discussion (trucking driver shortage on 5/23/2012)

<http://www.island.lk/2004/07/05/busine06.html>

Washington Press Club Panel Discussion (port security on 5/7/2004)

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an “alias” or “handle” you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

LinkedIn:

<https://www.linkedin.com/in/carl-bentzel-1a1794166>

<https://www.finkedin.com/in/carl-bentzel-95073713>

Facebook:

<https://www.facebook.com/people/Carl-Bentzel/100015626198312>

Twitter:

<https://twitter.com/cbentstrat1>

Website:

<https://bentstrat.com/>

All accounts are dormant except Facebook, and none had an alias.

19. 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.

Presidential Advisory Commission on Conferences in Ocean Shipping: 4/1992. I participated as a Congressional Staff Advisor to a Commission advising the President as to potential regulatory changes to our system of regulating international ocean shipping.

https://www.archives.gov/files/recordsmgmt/rcs/schedules/independent-agencies/rg-0220/nl-220-92-011_sfl15.pdf

Interagency Commission on Crime and Security in U.S. Seaports: Fall 2000. I participated as a Congressional Staff Advisor to a Commission advising the President as to issues related to port security.

<https://www.hsdl.org/?abstract&did=437742>

The Coast Guard held a public meeting on 11/9/2012 to receive comments on the development of a Facility Security Officer training program, pursuant to the

requirements of Section 821 of the Coast Guard Authorization Act of 2010 (*Pub. L. 111-281*). I testified on behalf of the National Association of Waterfront Employers about the issues raised in this Federal Register Notice. (<https://www.federalregister.gov/documents/2012/10/11/2012-25055/facility-security-officer-training-requirements>).

I did not provide written testimony.

United States Department of Energy, Quadrennial Energy Review, Public Stakeholder Meeting. I testified on a panel on Barge—Waterborne Transportation of Energy in the Inland Waterway, Across the Great Lakes, and Along Our Nation's Coasts (8/8/2014).

https://www.energy.gov/sites/prod/files/2014/08/fl8/transcript_chicago_ger.pdf

20. 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?

During the course of my close to fifteen years of service as a staffer on both the House of Representatives and the Senate, I was the primary Democrat staffer assigned responsibility of overseeing the operations of the Federal Maritime Commission (FMC). I handled all oversight of their budget and operations functions, and considered issues related to any legislation. While a House staffer, I participated as a congressional advisor to a Presidentially appointed commission reviewing the functions of the FMC. While in the Senate, in 1996, I was the primary Democrat staffer involved in amending the organic legislative structure governing international ocean shipping.

I believe that I have a deep and thorough knowledge in this area of jurisdiction, and would look forward to the challenges of helping to regulate international ocean shipping and the practices the industry engages in.

21. 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?

If confirmed, as one of five commissioners serving the Federal Maritime Commission, I would have limited authority to manage the budget of the agency, as that is reserved for the Chairman of the Commission. However, I would have authority to manage the budget of the office of a commissioner, and I would pledge to manage the accounting controls mandated by commission regulation and in accordance with any standards established by the FMC.

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

I think the three major challenges facing the FMC are: (1) increasing industry consolidation of international maritime shipping companies and what that means to the U.S. port and maritime service providers and U.S. shippers, (2) the challenges of responding to environmental pressures as a result of port operations to allow the continued necessity of the movement of international maritime shipments and, (3) the challenges of helping to establish the proper regulatory environment to foster the challenge of transferring maritime shipments off to their modal railroad and trucking partners.

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.

Not Applicable.

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.

Not Applicable.

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. Explain how you will resolve each potential conflict of interest.

All of the investments owned by myself or my wife are in publicly available mutual funds.

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. Explain how you will resolve each potential conflict of interest.

Not Applicable.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

At present, I do not represent any clients with a major interest or stake in the jurisdiction of the Federal Maritime Commission, and do not anticipate this to be a problem. However, if nominated, I plan to seek education from the FMC's Office of General Counsel to be educated on the Commission's regulations and requirements governing conflicts of interest, and how they should be addressed. I will abide by any agency, or general government standards, governing conflicts of interest.

6. Describe any activity during the past ten years, including the names of clients represented, 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.

During the past ten years, I have been involved in the business of representing clients and their interests in the execution of regulations and policies and legislation. I would say that for over the past five years, I have been less involved in lobbying Congress directly on legislation, and more involved in issues at Federal agencies.

Traditionally, I have been involved in consulting companies and Associations that are engaged in transportation, infrastructure development, energy or chemical regulation. I have also been involved on a more limited basis on immigration an environmental policy.

I am happy to provide further specifics to the Committee on any area that are deemed to be of interest, and fully committed to provide further detail. However, over the past ten years my work product in general has been to advise, affect and influence Federal regulatory and legislative policies.

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.

Yes, in 1990, after attending a college football game in Greenville, North Carolina, Pitt County. I was arrested and convicted of a DUI. I complied with the terms of my sentence, and since then, other than minor traffic violations have had no further legal issues.

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. No.

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.

Yes. See number 2 for explanation.

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 further relevant information.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority?

As a former Commerce Committee staffer, I am firmly aware of the role played by the Commerce Committee in providing oversight of the FMC and will encourage the agency to be responsive to the demands of the Committee.

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?
I will.

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.

RESUMÉ OF CARL BENTZEL

Principal

Bentzel Strategies L.L.C.

www.bentstrat.com

August 2016–Present

Established my own public policy consulting firm focused on policies related to transportation, energy and other areas of federally regulated commercial and environmental law. Assess policy issues, provide strategic advice, represent client interests on Capitol Hill and before Federal agencies, as well as helping clients develop third party alliances. Areas of focus included introducing myself to potential press opportunities in strategic areas of interest.

Partner

SB Capitol Solutions L.L.C.

June 2014–August 2016

Partnered with a smaller boutique public relations/lobbying shop centrally located on Capitol Hill, primarily focused on transportation issues. Helped to developed an active fundraising profile for the firm, and re-brand the company.

Vice President

DC/Group L.L.C.

August 2004–June 2014

Led the lobbying division for the DCI Group. DCI Group is one of the largest public relations/grassroots lobbying firms in Washington D.C., and I provided political and legislative insight to the firm's larger public relations efforts, as well as directly lobbying for DCI's clients, and those clients developed on my own. Participated in the creation and development of third party coalitions. Worked to provide government relations services for Fortune 50 companies, associations and other entities. Focused on realizing the benefits of grassroots activism and third party coalition building supporting policy initiatives on Capitol Hill or at Federal agencies.

Senior Counsel

Senate Committee on Commerce, Science, and Transportation

January 1995–August 2004

Functioned as the primary legislative and policy counsel for the Senate Subcommittee on Surface Transportation and Merchant Marine. Explicitly assigned to provide legislative counsel and advice to Senators John Breaux and Daniel Inouye. Was engaged, in the negotiation and passage of all legislation on trucking, railroad, maritime, pipeline and hazardous materials transportation legislation, as well as homeland security aspects of these modes of transportation. Spearheaded the Committee's efforts to pass national standards for port security, and an international treaty on port security, and worked on organic homeland security legislation. Handled Committee issues requiring national security clearance.

Counsel/Counsel for Maritime Policy

House Committee on Merchant Marine and Fisheries

August 1990–December 1994

Hired to work as maritime counsel to work on implementation of the Oil Pollution Act of 1990, and to cover all issues related to international maritime shipping. After an internal Committee transition, was employed in an expanded role to cover all issues related to maritime policy, including shipping and offshore oil and gas or other resource development. Focused on shipbuilding infrastructure development, and transition of the Panama Canal.

Education

Bachelor of Arts (B.A.), St. Lawrence University, 1985
 Juris Doctor (J.D.), University of Alabama School of Law, 1989
 Master's Degree in law (L.L.M.) in Admiralty Law, 1990

Honors

Coast Guard's Medal for Meritorious Public Service
 Maritime Security Council's Man of the Year Award

Publications

McGraw-Hill's *Handbook on Homeland Security*, port security chapter

Senator WICKER. Thank you very much.
 Congressman Rokita.

**STATEMENT OF HON. THEODORE (TODD) E. ROKITA, NOMINEE
 TO BE A DIRECTOR, AMTRAK BOARD OF DIRECTORS**

Mr. ROKITA. Thank you, Chairman Wicker, Ranking Member Cantwell, and Members of the Committee. It's a pleasure to be testifying before you today.

I'd also like to thank my good friend, Senator Todd Young, for introducing me to the Committee this morning. His leadership is greatly appreciated.

My name is Todd Rokita, and it's one of the highest honors of my life to have been nominated by President Trump to serve as a Director of the National Railroad Passenger Corporation doing business as Amtrak.

As you know, I was raised and grew up in Indiana where I've had the highest honor of my life to work on behalf of the people of Indiana for 16 years as their Secretary of State and then as a Member of the U.S. Congress.

None of this would have been possible without the love and support of my parents, my wife Cathy, and our two boys, Teddy and Ryan.

I've been an Amtrak customer my entire adult life. Starting in the late 1980s, I would often take the Cardinal Line from Wabash College in Crawfordsville, Indiana, back home near Munster, Indiana, and although, Mr. Chairman, my mind may be playing a little bit of a trick on me, I could have sworn my choices were daily, multiple trains a day on that Cardinal Line.

Later, I would take the Cardinal segment that connected Indianapolis to Chicago from time to time but perhaps as a young man in a hurry, I often found the option unreliable in terms of frequency and consistency, and over the last decade with my work here in the Nation's Capital, along with many of you, I use Amtrak's Northeast Corridor Lines regularly to do my congressional work, both the Regional Lines and the Acela Lines, and most recently, our son Ryan and I traveled on the Cardinal again between Indianapolis and my home county of Lake to visit family and friends, and I observed that I was forced to buy a sleeper car because those were the only tickets available on what was a packed train, a good sign, I think.

As a Member of Congress and as Indiana's Secretary of State, I represented a district in a state that has had a significant Amtrak presence, particularly having a long distance train line, train route and schedule, and with a state-supported route until recently embedded inside that long distance line.

I believe the Board needs more experience and representation from areas of the country that utilize Amtrak's long distance and state-supported train routes, like Indiana did.

The town of Brownsburg, where we live, has an Amtrak line that passes right behind my son's Little League baseball diamond three times a week, meaning I can also bring the experiences of not only an occasional user but as of a citizen in a town with an Amtrak presence, if not a stop.

I served on the U.S. House Transportation and Infrastructure Committee, as you heard, which is the authorizing committee for Amtrak in the House. I served also on the Railroads, Pipelines, and Hazardous Materials Subcommittee, which was the specific subcommittee of jurisdiction for Amtrak as well as the rail industry generally.

My previous experience with reauthorizing Amtrak and performing necessary oversights provides, I believe, a valuable foundation for overseeing Amtrak as one of its directors.

Serving on these committees also allowed me to help lead the passage of the Fixing America's Surface Transportation Act or the FAST Act, as we know it.

As a practicing litigation, ERISA, and employment law attorney, I would be able to bring that experience to the Board. As a commercial-rated airman, I also would be able to bring the aviation-based legal and operational experience to the Board for adaptation to passenger rail uses and scenarios.

As a Director of Amtrak, I believe I would have a significant role in the oversight of management and the company general accountability to taxpayers and riders.

As Indiana's former Secretary of State, I happened to lead four separate agencies with hundreds of employees, ranging from attorneys to investigators to front-line desk people to auditors to accountants, and I can bring that management and accountability experience to the Board.

As Secretary of State, I delivered on-time service while working from the same budget that the office only sought 20 years earlier.

If confirmed, safety will always be my top priority at Amtrak. If confirmed, a high priority of mine would be paying particular focus on the positive train control system and learning more about the safety management system that the new leadership team has recently initiated.

I believe, of course, that there are other challenges facing Amtrak beyond safety. Three of them that I would like to focus on are the following: Number 1, justifying Amtrak's existing network. Many critics of Amtrak attribute low ridership numbers for the need to reduce its footprint, completely discounting the fact that a robust network is exactly what's needed to attract ridership.

This misconception needs to be rectified if Amtrak is to work for all of the U.S., in my opinion. In two words, I think this issue can be summed up in frequency and consistency. Utilization will go up if there are frequency of options to choose from and that those options are consistent.

We don't need to beat the airlines from city to city. We just need to know that if we get on, embark on a train at time X, that we

can disembark at time Y, so we can plan the rest of our day, if not lives, accordingly.

Maximizing Amtrak's operational efficiency to increase utilization will be another focus. While Amtrak does a good job with safety and has a record to back that up, it is understandably under tremendous scrutiny, like the airline industry, which is heightened even further when Amtrak passengers suffer an incident or tragedy. The Washington State accident is just a recent example. Board members must have a high and solemn appreciation for this.

Addressing Amtrak's budgetary limitations. Every organization, no matter how good, can be better fiscally. Amtrak certainly is no exception. Like other directors, I will have a direct responsibility to monitor executive leadership's financial management and operational decisions, staying up-to-date on the best practices relating to all management and accounting standards throughout the rail industry.

I also realize the Board plays a key role in hiring the right executives and reviewing their performance. A significant part of the services offered by my current employer, Apex Benefits Group, where I am general counsel and Vice President of External Affairs, is human resources management, including executive pay and evaluation. I can bring this experience to the Board.

As Ranking Member Cantwell mentioned in her opening remarks, smart capitalization is also needed and I am committed to helping the leadership team and Congress, you all, make the best decisions for use of that capital.

Again, I want to thank President Trump for nominating me. I'm excited about the future of passenger rail in our country. If confirmed, I would be committed to working with my colleagues on the Board, the management of the company, Mr. Trump and his Administration, and, of course, Congress to ensure Amtrak is managed safely, efficiently, and responsibly.

Thank you, Mr. Chairman and Members, for your consideration of my nomination and I look forward to your questions.

[The prepared statement and biographical information of Mr. Rokita follow:]

PREPARED STATEMENT OF HON. THEODORE (TODD) E. ROKITA, NOMINEE TO BE
DIRECTOR, AMTRAK BOARD OF DIRECTORS

Chairman Wicker, Ranking Member Cantwell, and members of the Committee, it's a pleasure to be here testifying before you today. I'd also like to thank Senator Todd Young for introducing me to the Committee this morning.

My name is Todd Rokita and it is one of the highest honors of my life to have been nominated by our President to serve as a Director of the National Railroad Passenger Corporation, d/b/a Amtrak. As you know, I was raised and grew up in Indiana where I've had the highest honor of my life to work on behalf of the people of Indiana for 16 years as their Secretary of State and Member of the U.S. Congress. None of this would have been possible without the love and support of my parents and my wife, Kathy.

I have been an Amtrak customer for my entire adult life. Starting in the late 1980s I would often take a segment of the *Cardinal* line back and forth from college in Crawfordsville, Indiana. I remember the frequency being several trains a day.

Later, I would take the *Cardinal* segment that connected Indianapolis to Chicago from time to time, but as a young man in a hurry I often found the option unreliable in terms of frequency and consistency.

Over the last decade, I used Amtrak's Northeast Corridor lines regularly in my Congressional work, including both Regional and Acela options. And most recently, our son Ryan and I traveled on the *Cardinal* between Indianapolis and my home

county to visit family and friends. We used a sleeper car because those were the only tickets available on an otherwise packed train.

As a Member of Congress and as Indiana's Secretary of State, I represented a district and a State that has had a significant Amtrak presence, particularly having a long-distance train route and schedule. I believe the Board needs more experience and representation from areas of the country that utilize Amtrak's long-distance and state-supported train routes, like Indiana.

The town of Brownsburg, where we live, has Amtrak service and the train passes right behind my son's little league baseball diamond three times a week, meaning I can also bring the experiences of an occasional user and as of a citizen in a town with an Amtrak presence.

I served on the U.S. House Transportation and Infrastructure Committee, which is the authorizing committee for Amtrak in the House. I served also on the Railroads, Pipelines, and Hazardous Materials Subcommittee, which was the specific subcommittee of jurisdiction for Amtrak as well as the rail industry generally. My previous experience reauthorizing Amtrak and performing necessary oversight provides a valuable foundation for overseeing Amtrak as a Director. Serving on these committees also allowed me to help lead the passage of the *Fixing America's Surface Transportation Act*, or the FAST Act.

As a practicing litigation and employment law attorney, I would be able to bring that experience to the Board. I would also be able to bring aviation-based legal and operational experience to the board for adaptation to passenger rail uses and scenarios.

As a Director of Amtrak, I believe I would have a significant role in the oversight of management and the Company's general accountability to taxpayers and riders. As Indiana's former Secretary of State, I led 4 separate agencies with 100s of public sector employees, from attorneys, investigators, accountants, and auditors, to front desk/line hourly employees, so I can bring that management and accountability experience to the Board. In that role, I successfully delivered on-time service while working from the same budget amount the office used twenty (20) years earlier.

If confirmed, safety will always be my top priority at Amtrak. If confirmed, a high priority of mine would be paying particular focus on the Positive Train Control (PTC) system and learning more about the Safety Management System (SMS) that the new Leadership team has recently initiated.

I believe, of course, that there are other challenges facing Amtrak. Three of them that I would like to focus on are the following:

1. *Justifying Amtrak's existing network.* Many critics of Amtrak attribute low ridership numbers for the need to reduce its footprint, completely discounting the fact that a robust network is exactly what's needed to attract ridership. This misconception needs to be rectified if Amtrak is to work for all of the U.S.
2. *Maximizing Amtrak's operational efficiency to increase utilization.* While Amtrak does a good job with safety and has a record to back that up, it is understandably under tremendous scrutiny, like the airline industry, which is heightened even further when Amtrak passengers suffer an incident or tragedy. The Washington state accident is a recent example. Board members must have a high and solemn appreciation for this.

Similarly, Amtrak's on-time performance remains abysmal in parts of the country like Indiana, and like the other areas mentioned here, I would make this a high priority of my Board membership.

If I was to use two words to describe what I think we need to do at Amtrak, its *frequency* and *consistency*. Ridership can increase with ample choices on the timetable and consistently meeting those schedules.

3. *Addressing Amtrak's budgetary limitations.* Every organization, no matter how good, can be better, fiscally. Amtrak certainly is no exception. Like other Directors, I will have a direct responsibility to monitor the executive leadership's financial, management and operational decisions, staying up to date on the best practices relating to all management and accounting standards throughout the rail industry. I also realize the Board plays a key role in hiring the right executives and reviewing their performance. A significant part of the services offered by my employer, Apex Benefits Group, where I am the General Counsel and Vice President of External Affairs, is human resources management including executive pay and evaluation. I can bring this experience to the Board as well.

Smart capital utilization is also needed, and I am committed to helping the leadership team and Congress make the best decisions for use of capital.

Again, I want to thank President Trump for nominating me. I am excited about the future of passenger rail in our country. If confirmed, I would be committed to

working with my colleagues on the Board, the management of the company, the Administration, and Congress to ensure Amtrak is managed as safely, efficiently, and responsibly.

Thank you for your consideration of my nomination and I look forward to your questions.

A. BIOGRAPHICAL INFORMATION

1. Name (Include any former names or nicknames used):
Theodore (Todd) Edward Rokita.
2. Position to which nominated: Director, Amtrak Board of Directors.
3. Date of Nomination: May 14, 2019.
4. Address (List current place of residence and office addresses):
Residence: Information not released to the public.
Office: 3755 E 82nd Street, Ste 100, Indianapolis, IN 46240.
5. Date and Place of Birth: 2/9/1970, Chicago, IL.
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).
Kathleen Denise Rokita, C.P.A., Somerset CPA's.
7. List all college and graduate degrees. Provide year and school attended.
Wabash College, Crawfordsville, IN; Bachelor of Arts (1988–1992)
Indiana University Law School, Indianapolis, IN; Juris Doctor (1992–1995)
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.
All post-undergraduate employment is listed below. I believe all of these positions relate to the position for which I am being nominated in that it's a Board of Directors position, which requires bringing all professional experience to the Board table to best represent the interests of Amtrak.
General Counsel and Vice President of External Affairs, Apex Benefits Group, Inc. (2019 to present).
Member, United States Congress (2011–2019); served on the House Transportation Committee, Rail water, and Pipeline subcommittee; aviation committee
Indiana Secretary of State, (2003–2011).
Chief Operating Officer and General Counsel, Office of Indiana Secretary of State (2000–2002)
Attorney, Epstein & Frisch, Trial Lawyers (1995–2000)
Clerk, U.S. Bankruptcy Court, Southern District of IN, Honorable Frank J. Otte, Presiding Judge (1994)
9. Attach a copy of your resume.
A copy is 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.
Election Assistance Commission. (2003–2010) As Indiana's Secretary of State, I was the chief election officer of the state and had standing under the Help America Vote Act to serve on various non-paid, advisory working groups and Advisory boards.
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.
WishBone Medical, Inc., Advisory Board (2019 to present)
Acel 360, Advisory Board, consultant. (2019 to present)
St. Joseph's College, Trustee (2007–2017)
Achieve International, Board of Directors (2012–2018)
St. Vincent Hospital Foundation, Board of Directors (2011–2013)
Hoosier Seneca, LLC, Managing Member (2003 to present)

Aircraft Owners and Pilots Association Foundation, Board of Directors (2014 to present)

Merchandise Warehouse, Advisory Board Member (2019 to present)

National Association of Secretaries of State, President (2007–2009)

Indiana Council for Economic Education, Member, Board of Directors (2004–2010)

Apex Benefits Group, Inc. (2019 to present)

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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.) 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 disability.

In addition to the positions listed in response to questions 8, 10, and 11 above, I have been a member of the following:

St. Malachy Parish Brownsburg, IN Parishioner (2015 to present)

St Mary Parish, Indianapolis, IN Parishioner, (1993–2015)

Knights of Columbus, Whiting IN Council (2003 to present)

The Knights of Columbus organization restricts membership to “males 18 years of age or older who are practical (that is practicing) Catholics.” <http://www.kofc.org/en/join/prospective.html>

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.

Yes. Please refer to my answer to question 8. I have twice been a candidate for the Office of Indiana Secretary of State and 4 times been a candidate for the U.S. Congress. I have once been a candidate for the U.S. Senate.

No campaign committee had or maintains any debt.

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.

Todd Rokita Election Committee, Candidate (2001–2010)

Hoosiers for Rokita, Candidate (2010–2018)

Fund for American Exceptionalism (leadership PAC), Sponsor (2011 to present)
My role is to raise money and be the spokesperson for the Fund

15. 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.

\$2,500—Hoosiers for Rokita, (2010–2019) aggregate sum over the time period.

\$2,000—Indiana State Republican Party, (June 2016)

\$500—AOPA, PAC (February, 2016)

\$2,500—Romney for President, (September, 2011)

\$1,000—Judy Biggert for Congress (September, 2011)

\$500—Carlos May for Congress, (February, 2010)

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

Eli Lilly Fellow

Honorary Doctor of Letters, DY Patel University, Pune, India

Aspen-Rodel Fellow

Henry Toll Fellow

AOPA Hartranft Award

National Business Aviation Association, American Spirit Award

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

I have authored numerous publications over the last 10 years. The list below represents my best effort to answer the question.

Make Agencies Smaller, Efficient, The Times, Indy Star, November 2001
 Streamlining Government Prevents Budget Crises, IndyStar, November 2001
 Three Ways to Improve Voter Participation Process, IndyStar, 2002
 Exercise Your Right to Vote Tomorrow, IndyStar, May 2003
 Hoosiers Can Have Strong Voice in States Election-Reform Plan, Post-Tribune, June 2003
 Future of State Elections, The Journal, July 2003
 Investors Need Protection at State Level Too, The IndyStar, August 2003
 Strengthen, not Weaken, Investor Protection, NW Times, September 2003
 It's Important for Hoosiers to Understand Absentee Ballot Procedure, South Bend Tribune, October 2003
 It's A Powerful Tool and Your Civic Duty, IndyStar, November 2003
 Most Live Within A Few Blocks of A Polling Place, IndyStar, September 2004
 Do Two Things This Election Vote and Get Others to Vote, Sky View Elkhart, October 2004
 Five Questions for Todd Rokita, IndyStar, October 2004
 Secretary of State Pleased With Election, IndyStar, November 2004
 Cleaning Up Voter Rolls Will Ensure Accurate Tallies, The Journal, April 2004
 Let's Try Rotating Primaries, IndyStar, May 2004
 Government Changes to Help Businesses, IBJ, January 2005
 Reform Will Preserve Faith in Election Process, Journal Gazette, March 2005
 Bills Will Protect Vote and Curb Election Fraud, South Bend Tribune, April 2005
 Viewpoint Tracking Fraud, The Herald, April 2005
 Indiana A Model for Other States, Journal and Courier, April 2006
 Secretary of State Warns of Shady Loan Brokers, Post Tribune, August 2006
 Fight to Repeal Obama's Health Plan, Journal and Courier, June 2011
 Free Trade Benefits Hoosier Workers, Farms, Businesses, Martinsville Reporter—Times, November 2011
 RAISE Act Would Permit Merit Pay-raises, The Washington Examiner, April 2012
 Fight to Repeal Obama's Health Plan, Journal and Courier, June 2012
 Keeping the Dividend Tax Low is Good for Investors- and our Economy, Indiana Utility Shareholders Association, September 2012
 Sprawling Tax Code Stands in the Way of Economic Recovery, The Hill, September 2012
 Sweeping Tax Reform Long Overdue, IBJ, November 2012
 The Real Facts about Debt, Entitlements, IndyStar, December 2012
 Out of tragedy, an opportunity to teach and change Washington's attitude, Journal and Courier, January 2013
 Let's Work Together for Safer Communities, Instead of Looking to Washington, Monticello Herald Journal, January 2013
 On School Choice, Indiana is Poised to Lead the Nation, NWI Times, January 2013
 Let's Work Together for Safer Communities, Instead of Looking to Washington, Washington Times, January 2013
 Path to Prosperity—A Down Payment on a Prosperous Future, Red State, March 2013
 House Budget Offers a Medicaid Solution for Indiana, Terre Haute Tribune Star, March 2013

The Facts Show that Medicaid is Not Working Well, Indianapolis Star, April 2013

Tax Reform is Key to Job Growth, Debt Reduction, Indiana Manufacturers Association, April 2013

On Spending Cuts and Leadership, Monticello Herald Journal, May 2013

Note to Fellow Liberty-Minded Hoosiers on Common Core, Tea Party Orgs, June 2013

A Bipartisan Solution to the Student Loan Mess, Journal and Courier, June 2013

Automobiles and American Exceptionalism, Washington Times, January 2014

Rep. Rokita: Need to rein in a president who sidesteps Constitution, Journal and Courier, April 2014

Time to Strengthen the U.S.-India Relationship, USINPAC, June 2014

Why the War on Poverty Failed and How We Can Fix It, Real Clear Politics, July 2014

A Shameless, Unprecedented Veto, Journal and Courier, October 2015

Rokita-Budget Deal Fails to Cure Washington's Compulsive Spending Problem, The Pape of Montgomery County, November 2015

Biggest Power Transfer in 25 Years, Kokomo Tribune and Pharos Tribune, January 2016

Reality of Good Roads, Electric Consumer, January 2016

What to do With the Biggest Power Transfer in 25 Years, Kokomo Perspective, January 2016

No Reason to Stall, The Hill, January 2016

Public Forum: Photo ID Law Helps Ensure Votes Not Diluted, Pharos Tribune, April 2016

Indiana's Voter ID Law Works, Journal and Courier, May 2016

Set Record Straight on Nutrition Bill, Journal and Courier, May 2016

Practical Reforms for Child Nutrition, Kokomo Tribune, May 2016

We Need School Lunch Reform, IndyStar, May 2016

Correcting the Record on Child Nutrition, Indianapolis Recorder, June 2016

School Lunch Bill Offers Flexibility, IndyStar, June 2016

Commonsense Reform for Child Nutrition, South Bend Tribune, Greensburg Daily News and The Hill, June 2016

Nutrition aid needs common-sense reforms, Indianapolis Business Journal, June 2016

A Look Back On A Decade of Voter ID, Grand Forks Herald, July 2016

Holcomb is the Best Shot at Improving Roads, The Times of NWI, October 2016

Feds to Blame for ITT Collapse, Indianapolis Business Journal, October 2016

Rokita Offers Sympathies for Darlington Community, November 2016

Rep. Rokita Statement on Nomination of Dr. Tom Price for HHS Secretary, Ft. Wayne Journal Gazette, November 2016

New 21st Century Cures Act a Positive Step, Journal and Courier, December 2017

When Parents Have a Choice, Kids Have a Chance, GOP.gov, January 2017

Gorsuch Nomination 'a win' For America, Kokomo Tribune, February 2017

Sen. Donnelly, Vote for Dr. Price for HHS Secretary, The Hill, February 2017

Trump Travel Band 'Prudent Measure' and I'm Glad He Did It, CNBC, February 2017

A Cheer for the Confirmation of Dr. Tom Price, Kokomo Tribune, February 2017

Give States More Control Over Medicaid, IndyStar, March 2017

State Should Double Preschool Funding, IndyStar, March 2017

Rokita Votes to Support President Trump's Agenda, May 2017

Back to School, Work on Education Policies, Kokomo Tribune, August 2017

We Must Always Be Prepared, Kokomo Tribune, September 2017

Onerous Code Costs Us in Investment, Journal Gazette, September 2017

U.S. Prosperity Hinges on Tax Code, The Times of NWI, September 2017

Tax Reform Will Help Put America First, Current, October 2017
 Viewpoint: Holding Iran Accountable, South Bend Tribune, October 2017
 Time to Put Wasteful Federal Employees on Notice, The Times of NWI, November 2017
 Our Veterans are the Real Heroes, The Flyer Group, November 2017
 Good Guys with Guns Stop Bad Guys with Guns, Daily Caller, November 2017
 Tax Cuts Aren't Crumbs, Kokomo Tribune, February 2018
 What I'm Doing to Ensure Americans Keep Every 'Crumb' of Their Businesses, Townhall, February 2018
 The Era of Leaving our Border Open is Over, Journal Gazette, March 2018
 Census Should Not Count Undocumented, Kokomo Tribune, March 2018
 Trump Continues to Put Americans First by Adding Citizenship Test to Census, The Hill, April 2018
 Overlooking Corney's Potential Crimes 'Cannot Be Tolerated,' Breitbart, May 2018
 Luke Messer can't Beat Joe Donnelly, Kokomo Tribune, July 2017
 Rokita in Senate: 'I Will Defeat the Elite', IndyStar, September 2017
 U.S. Prosperity Hinges on Simpler Tax Code, NWI Times, September 2017
 The Wall Must Come First, The Hill, September 2017
 Going to the Moon and in Five Years, on the cheap, Yes it is Possible, Space Review, May 6, 2019
 The Rokita Report, (2011–2018), weekly electronic newsletter, an official publication of the Office of the 4th Congressional District of Indiana.
 Red Tape Rollback, Biennial Reports, (2014, 2016, 2018). The report of an official program of the Office of the 4th Congressional District of Indiana, detailing work in reducing regulatory hurdles presented by constituents.
 School Safety Summit Reports (2015–2018). Three reports of public meetings sponsored by the Office of the 4th Congressional District of Indiana.

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an "alias" or "handle" you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

Facebook Group Page: Todd Rokita (active, formerly Congressional campaign)
https://www.facebook.com/search/pages/?q=todd%20rokita&ref=eyJzaWQiOiIiLCJyZWYiOiJOb3BtZmlsdGVyln0%3D&epa=SERP_TAB

Twitter: @ToddRokita (active, formerly Congressional campaign)
<https://twitter.com/ToddRokitaIN>

LinkedIn: Todd Rokita (active)

Facebook: Todd Rokita (active)
<https://www.facebook.com/ToddRokitaIN/?ref=bookmarks>

19. 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.

As Indiana Secretary of State, I have testified twice before the U.S. House Administration Committee on matters related to election administration during the years (2003–2009). In both cases, the testimony was given in my capacity as President of the National Association of Secretaries of State and dealt with implementation of the Help America Vote Act. I do not possess copies or exact dates of the testimony.

20. 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?

As a Member of Congress and as Indiana's Secretary of State, I represented a district and a State that has had a significant Amtrak presence, particularly having a long-distance train route and schedule. I believe the Board needs more experience and representation from areas of the country that utilize Amtrak's long-distance train routes, like Indiana. My hometown has Amtrak service and the train passes right behind my son's little league baseball diamond three times a week, meaning

I can also bring the experiences of an occasional user and a citizen in a town with an Amtrak presence.

I served on the U.S. House Transportation and Infrastructure Committee, which is the authorizing committee for Amtrak. I served also on the Railroads, Pipelines, and Hazardous Materials Subcommittee, which was the specific subcommittee of jurisdiction for Amtrak as well as the rail industry generally. My previous experience reauthorizing Amtrak and performing necessary oversight provides a valuable foundation for overseeing Amtrak as a Director. Serving on these committees also allowed me to help lead as Congress passed the Fixing America's Surface Transportation Act, or the FAST Act.

As a practicing litigation and employment law attorney, I would be able to bring that experience to the Board. I would also be able to bring aviation legal and operational experience to the board for adaptation to passenger rail uses and scenarios.

21. 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?

As a Director of Amtrak, I believe I would have a significant role in the oversight of management and general accountability. As Indiana's former Secretary of State, I led 4 separate agencies with 100s of public sector employees, from attorneys, investigators, accountants, and auditors, to front desk/line hourly employees, so I can bring that management and accountability experience to the Board. In that role, I successfully delivered on-time service while working from the same budget amount the office used twenty (20) years earlier.

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

If confirmed, safety will always be my top priority at Amtrak. I believe three challenges facing Amtrak are:

1. Justifying Amtrak's existing network. Many critics of Amtrak attribute low ridership numbers for the need to reduce its footprint, completely discounting the fact that a robust network is exactly what's needed to attract ridership. This misconception needs to be rectified if Amtrak is to work for all of the U.S.
2. Maximizing Amtrak's operational efficiency and safety: While Amtrak does a good job with safety and has a record to back that up, it is understandably under tremendous scrutiny, like the airline industry, which is heightened even further when Amtrak passengers suffer an incident or tragedy. The Washington state accident is a recent example. Board members must have a high and solemn appreciation for this. Similarly, Amtrak's on-time performance remains abysmal in parts of the country like Indiana, and like the other areas mentioned here, I would make this a high priority of my Board membership.
3. Addressing Amtrak's budgetary limitations. Every organization, no matter how good, can be better fiscally. Amtrak certainly is no exception.

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.

I have the following accounts, salaries, and investment interests. Please also see my response to E. 1, below.

I currently receive income from Apex Benefits Group, Inc. for my position as General Counsel. If confirmed, I will continue my employment at Apex Benefits Group, Inc. during my service as an Amtrak Board member.

I have a 457 and a 401(a) plan with the State of Indiana, as part of my previous positions with the State. If confirmed, I will retain and continue to participate in these plans during my service as an Amtrak Board member. My holdings in these plans are all diversified mutual funds. I also have a Federal Employee Retirement System (FERS) pension plan with the United States Government from my service as a Member of the United States House of Representatives, as well as Traditional IRA and Roth IRA accounts. If confirmed, I will retain these plans and accounts during my service as an Amtrak Board member.

I also serve in the following positions: (i) advisory board member for Wishbone Medical, Inc.; (ii) advisory board member for and consultant to Acel 360; (iii) managing member of Hoosier Seneca LLC; (iv) board member for Aircraft Owners and Pilots Association Foundation; and (v) advisory board member for Merchandise Warehouse. If confirmed, I will retain these positions during my service as an Amtrak Board member. I also hold interests in four non-commercial residential real

properties, from which I receive rental income. If confirmed, I will retain these interests and continue to receive rental income from these properties during my service as an Amtrak Board member.

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.

As this appointment is for a part-time board position, I intend to keep my employment positions, board positions, and keep other private clients and future opportunities.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 have entered into with Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 have entered into with Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Amtrak's Ethics Officials 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 have entered into with Amtrak and that has been provided to this Committee. I am not aware of any other potential conflicts of interest.

6. Describe any activity during the past ten years, including the names of clients represented, 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.

As part of my service as a Member of the United States House of Representatives and as Indiana Secretary of State, I participated in the passage, defeat, and modification of legislation and related activities.

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: Yes

a. Provide the name of agency, association, committee, or group;

Case #1: Federal Election Commission

Case #2: Indiana Supreme Court Disciplinary Commission

Case #3: Indiana Supreme Court Disciplinary Commission

b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;

Case #1: July, 2017

Case #2: July, 2018

Case #3: October, 1997

c. Describe the citation, disciplinary action, complaint, or personnel action;

Case #1: American Democracy Legal Fund unsubstantiated complaint to the FEC accusing me and other U.S. Senate candidates of raising campaign funds before formally announcing a U.S. candidacy.

Case #2: Third Party (non-client) request to the Disciplinary Commission to investigate whether I reported any legal infractions on my Bar application.

Case #3: Client Complaint against entire legal team for substandard legal representation during client's criminal jury trial.

- d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

Case #1: Accusation was categorically denied and dismissed by the Commission

Case #2: Complaint was summarily dismissed in my favor, without the need, or ability, to respond.

Case #3: Complaint was summarily dismissed in my favor, without the need, or ability, to respond.

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.

Yes. Arrested and released without conviction for allegation of consumption of alcohol while not of the age of 21 while in college.

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.

Yes, Hoosier Seneca, LLC was the Plaintiff in a debt collection action. Pursuant to a settlement agreement, no further details can be provided.

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. None.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? 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.

RESUMÉ OF TODD ROKITA

Core Competency

I am Genuine, Driven, and Detailed. With Midwestern values and work ethic, I use my executive, legal, capital-raising, marketing, governmental, personal and public speaking skills to fulfill executive level duties and to actively engage members and sponsors.

Goal

To lead a purpose-driven organization in an industry about which I am passionate by using the above skillsets and my experience in well-defined strategic planning, accountable execution, successful disruption practices, and proven team and culture building that recognizes and nurtures human capital.

Summary of Executive Leadership

Executive Team / Culture Building Leadership

- For 16 years, built entire employment forces consisting of teams of executives, managers and hourly employees who successfully served professional clients and retail customers.
- Always led employees using precise metrics relative to defined tasks to achieve specific goals. Utilized these metrics, tasks, and goals in strategic plans that were built with significant input from employees and stakeholders and used as everyday work tools.
- Personally raised \$10 million of capital with an average legal cap of \$1000 per investor.
- Chosen by fellow executives to serve as President of the largest association of state-wide elected officials. Grew membership, sponsors and successfully implemented national policies.
- Chosen by peers to several leadership positions in The U.S. House of Representatives where I built teams of peers as well as staff, successfully achieving aggressive policy goals.
- Secured passage of several significant, but difficult to support laws by personally leading efforts to secure individual votes for the changes.
- Built statewide and national teams of diverse leaders and volunteers resulting in election to state-wide and Federal elected offices by wide majorities.

Fiscal Executive Leadership

- Reduced the size and the costs of a high-profile enterprise with four divisions and 100s of employees to levels only seen 20 years prior. Met or surpassed customary private sector success measurements, achieving a 6 to 1 revenue to cost ratio, from a previous ratio of 1 to 1.
- Reduced a separate organization's budget by more than 10 percent, while being publicly rated in the top 25 and top 5 for effectiveness and customer service, respectively.
- Led the successful effort to reduce Federal government spending by \$6T, relative to the budget forecast previously in place.
- Earned several awards from 'good government' groups, taxpayer unions, and business associations for fiscal leadership.

Legal Executive Leadership

- Oversaw an average of 40 lawyers in various practice areas like securities law and regulation, business entity administration and governance, state and Federal election law, auto dealer regulation and the administration and enforcement of the uniform commercial code.
- Practiced law for several years and litigated in the areas of human resources law, aviation law and regulation, real estate acquisition and disputes, and debtor-creditor law.
- Represented businesses in litigation and advised many clients' strategic growth planning.
- Briefed and argued cases before state appellate courts and oversaw the briefing and argument of a United States Supreme Court case, winning it, 6-3.
- Carried out four jury trials either as lead or co-counsel, obtaining favorable verdicts in all four.
- Directed the investigation of white-collar criminals, yielding over 300 years of incarceration.
- Working knowledge of most facets of Federal OSHA and ERISA law.

IT Executive Leadership

- Oversaw the successful development and implementation of three major technology projects involving nearly 100 independent stakeholders and that required 100 percent accuratedata migration. Two projects involved technical and sensitive Uniform Commercial Code data and other business entity and formation data.
- Successfully managed legacy users and vendors whose interests were not originally aligned with the project's goals and who were not under my employ or direction.
- All projects were delivered under budget and on deadline.

Industry-Specific Executive Leadership

- Extensively involved with authoring and passing several Federal laws positively impacting energy development, healthcare, people with disabilities, maritime transportation, logistics, aviation, education, public spending, block development grants, human resources, pensions and the workforce skills gap.
- Worked extensively with U.S. Environmental Protection Agency, and the Federal departments of Labor, Education, Transportation, Defense, Army Corp of Engineers, Federal Aviation Administration, Federal Railroad Administration, Mine Safety and Health Administration, and the Congressional Budget Office.
- Direct participation in successfully eliminating or streamlining nearly 70 capricious, outdated or duplicative Federal regulations, amounting to significant cost reduction to consumers and businesses in the areas of agriculture, aviation, education, healthcare, and mine safety.
- Actively involved in community, state and Federal fights against opioid addiction.
- Involved in healthcare legislation and regulatory reform projects designed to expand access to insurance, improve the delivery of care and remove free market restrictions.
- Part of a determined initiative to modernize Veterans' health care and community programs.
- Experienced in the for-profit and not-for-profit public and private education industries at the elementary, secondary and higher education levels.
- Experienced in the U.S. and international aviation industry as well as associated regulations, including but not limited to third class medical and other reforms, air traffic control privatization, aircraft manufacturing revitalization, unmanned aircraft systems and regulation, and space and supersonic airspace issues and regulation.
- Experienced in state and Federal regulation of the maritime, inland waterways, railroad, mining and pipeline industries.
- Working knowledge of the relative law and regulations regarding international trade and tariffs.
- Worked extensively with most Indiana state and local elected officials, economic development arms, and governmental departments.

Work History*United States Representative, Indiana (2011–Present)*

- Popularly elected in 2010, 2012, 2014, and 2016 to the Fourth Congressional District of Indiana
- Chairman, House Subcommittee on Early Childhood, Elementary, and Secondary Education
- Vice Chairman, House Committee on the Budget
- Member, House Committee on Education and the Workforce (Health, Employment, Labor and Pensions subcommittee)
- Member, House Committee on Transportation and Infrastructure, (aviation, railroad, and pipeline subcommittees)
- Member, Committee on House Administration (2011–2014)
- Member, Steering Committee (2011–2012) (elected by peers to make their committee assignments)
- Director, Republican Study Committee (2014–Present) (group affecting policy direction and tactics)

Indiana Secretary of State, (2003–2011)

- Popularly elected in 2002 and 2006 to the third highest office in Indiana State government
- Elected as the youngest Secretary of State in the nation
- Served as Indiana's chief election official, Indiana's chief securities and mortgage fraud investigator, and administered the legal and financial filings of 300,000 businesses.

Chief Operating Officer and General Counsel, Office of Indiana Secretary of State (2000–2002)

- Chief operating officer of third highest constitutional Indiana state office

- Responsible for representing the Secretary of State on all official matters and internal office matters
- Chief human resources officer
- Represented the office on all legal matters related to human resource matters, contract preparation, legislative initiatives, securities, mortgage, business entity and uniform commercial code law, and spearheaded the development and implementation of all Internet technology initiatives.

Attorney, Epstein & Frisch, Trial Lawyers (1995–2000)

- Business consulting, business litigation, aviation law, and general litigation defense practice.
- Chair, Aviation Law Committee, State Bar Association (1997–1999)

Clerk, US Bankruptcy Court, Southern District of IN, Honorable Frank J. Otte, Presiding Judge (1994)

Education

Indiana University School of Law, (1992–1995)

- Juris Doctor Degree, May 1995
- Editor, Indiana International and Comparative Law Review

East China Institute of Politics and Law, Shanghai, Peoples Republic of China (1993)

- Transitory student studying all facets of Chinese business law and culture

Wabash College, Crawfordsville, IN, (1988–1992)

- Bachelor of Arts degree, Political Science major with political philosophy emphasis. Speech Minor
- Editor-in-chief, The Bachelor, college newspaper
- Consul (President), Sigma Chi Fraternity

University of Essex, Colchester, England, (1990–1991)

- Transitory student studying English history and European politics

Other Professional Accomplishments

National Association of Secretaries of State

- President (2007–2009)
- Vice President (2006–2007)
- Treasurer (2005–2006)
- Chair, Standing Committee on Securities Regulation (2004–2005)

Election Assistance Commission (2003–2008)

- Past Member, nine-member bipartisan Executive Board that represents the 50 states and advises the United States Election Assistance Commission
- Co-Chair, Election Assistance Commission Executive Director Search Committee (2005)

Commercial Airman, 28 year pilot, Multi-engine and Instrument ratings with 3,000 hours total time.

AOPA Hartranft Award, for extraordinary leadership and outstanding General Aviation advocacy. (2017)

Guardian of Small Business Award, National Federation of Independent Businesses, the organization's highest legislative award (various years)

Motor and Equipment Manufacturers Assn., Joseph M. Magliochetti Award, for extraordinary leadership on behalf of the parts manufacturing industry.

Aspen-Rodel Fellow, Bipartisan program of promising public leaders selected nationally to study the fundamental values that lie at the heart of American democracy. (2006–Present)

Indiana's "40 Under 40", One of Indiana's top 40 business, government and community leaders under the age of forty, as named by Indianapolis Business Journal. (2005)

Henry Toll Fellowship Program, Bipartisan program of 40 recognized public leaders selected nationally to participate in professional and leadership development exercises. (2008)

Ability One Champion Award, for leadership that enhances the economic and personal independence of persons with blindness and other severe disabilities. (2015)

Boards and Charitable Activities

Aircraft Owners and Pilots Association Foundation, Member, Board of Directors (2014–Present)

Veterans Airlift Command and Angel Flight, Volunteer (2011–Present)

- Actively fly missions for Veterans Airlift Command and other similar non-profits dedicated to provided free air transportation to children and post-9/11 combat wounded veterans and their families for medical and other compassionate purposes.

Saint Joseph's College, Rensselaer, IN, Member, Board of Trustees (2007–2017)

Achieve International, Indianapolis, IN; Member, Board of Directors (2012–2018)

- Advised the organization in their focus on helping troubled teens in Indianapolis, IN through physical training and team building.

Saint Vincent Hospital Foundation, Member of the Board of Directors (2011–2013)

Indiana Council for Economic Education, Member, Board of Directors (2004–2010)

St. Malachy Parish, Brownsburg, Indiana, Member

Senator WICKER. Thank you, Mr. Rokita.

Now our next witness is going to provide us expertise in artificial intelligence, unmanned aerial systems, autonomous vehicles, telecom, and rural broadband, among other things, and, sir, we might as well know how to pronounce your name. Is it a short A or an ah?

Mr. KRATSIOS. It's Kratsios.

Senator WICKER. It's Kratsios. Well, Mr. Kratsios, you're recognized for five minutes.

**STATEMENT OF MICHAEL J.K. KRATSIOS, NOMINEE FOR
ASSOCIATE DIRECTOR, THE WHITE HOUSE OFFICE
OF SCIENCE AND TECHNOLOGY POLICY, AND UPON
CONFIRMATION, CHIEF TECHNOLOGY OFFICER OF THE
UNITED STATES**

Mr. KRATSIOS. Thank you, Senator.

Chairman Wicker, Ranking Member Cantwell, and Members of the Committee, I am honored to appear before you today as President Trump's Nominee for Associate Director of the White House Office of Science and Technology Policy, and, upon confirmation, Chief Technology Officer of the United States.

I am humbled and very grateful for the confidence and the trust that the President has placed in me.

I am proud to be joined here by my parents today, John and Maria Kratsios, who made the trip up to Washington from South Carolina. Without their support, I would not be here today.

My mother and my grandfather came to the United States from their native Greece in search of a more prosperous future. They instilled in me that enduring optimism for a better tomorrow, and I believe that embracing technological innovation, building new technologies in America, and shaping those technologies with American values will lead us to that stronger future.

I joined OSTP in the early days of the Trump Administration, where it has been an honor to serve as Deputy Assistant to the President for Technology Policy and Deputy U.S. Chief Technology Officer for over 2 years.

During this time, I have engaged directly in the type of work I would continue if I'm granted the privilege of being confirmed. I have proudly and enthusiastically led the development and execution of the White House's technology policy agenda as well as represented U.S. technology priorities at G7 and G20 Innovation and Digital Ministerials and other international fora.

From the start, I united OSTP around a clear mission: ensure continued American leadership in emerging technologies. We focused on a few key emerging technologies the President calls the Industries of the Future—areas like artificial intelligence, quantum information science, and 5G connectivity.

Under my leadership, the White House launched the American Artificial Intelligence Initiative, our national strategy to maintain and strengthen America's leadership in this important field and to advance the innovative and trustworthy development of AI.

The United States also recently endorsed the Organization for Economic Cooperation Development or OECD AI Principles, marking the first time the United States western democracies have come together on an international AI agreement.

I championed the issuance of a Presidential Memorandum to create a National Spectrum Strategy to help America win the race to 5G.

I spearheaded the development of the American Broadband Initiative, the Administration's National Strategy for STEM education, and the commercial drone Integration Pilot Program, which was codified into law thanks to this committee's efforts.

I was also grateful to work with members of this committee from both sides of the aisle to advance the National Quantum Initiative Act, which the President signed into law last December.

Working alongside Senate Commerce and the Congress as a whole, we've made important strides on technology issues that have broad support from the American people and I look forward to continuing opportunities to do so.

During the years I worked in Silicon Valley prior to my time in the Administration, I saw firsthand how government can either encourage or extinguish innovation. Too often, the critical factor for whether or not to invest in a startup was the amount of government red tape or regulatory uncertainty.

That is why I've prioritized and, if confirmed, will continue to prioritize flexible policies that unleash innovation while balancing safety and addressing challenges.

If confirmed as U.S. Chief Technology Officer, I will continue to relentlessly drive forward our efforts to ensure the next great technological discoveries and innovations happen here in the United States.

Importantly, I will work to ensure the benefits of emerging technologies, including good-paying and technically skilled jobs, extend far beyond coastal cities, lifting up Americans in every corner of our great nation.

American workers should be empowered to embrace emerging technologies and adapt to the changing world, and that is why workforce development has been, and will continue to be, at the heart of everything we do at OSTP.

In leading the Nation's technology priorities, I see incredible opportunities to create a regulatory environment that ensures as the future takes shape, the American people always end up as winners.

Our goals are bipartisan: we all want American innovation, built by American workers and underpinned by American values, to lead the world—increasing our prosperity, enhancing our security, and raising our quality of life in the process.

The U.S. Chief Technology Officer can ultimately chart the path to accomplish this and it would be my greatest privilege to serve my country in this capacity.

If confirmed, I pledge to work with you on this shared mission.

Thank you, and I look forward to answering your questions.

[The prepared statement and biographical information of Mr. Kratsios follow:]

PREPARED STATEMENT OF MICHAEL J.K. KRATSIOS, NOMINEE FOR ASSOCIATE DIRECTOR, THE WHITE HOUSE OFFICE OF SCIENCE AND TECHNOLOGY POLICY, AND UPON CONFIRMATION, CHIEF TECHNOLOGY OFFICER OF THE UNITED STATES

Chairman Wicker, Ranking Member Cantwell, and members of the Committee: I am honored to appear before you today as President Trump's nominee for Associate Director of The White House Office of Science and Technology Policy, and upon confirmation, Chief Technology Officer of the United States.

I am humbled and very grateful for the confidence and trust the President has placed in me.

I am proud to be joined here by my parents, John and Maria Kratsios, who made the trip up to Washington from South Carolina. Without their support I would not be here today.

My mother and my grandfather came to the United States from their native Greece in search of a more prosperous future.

They instilled in me that enduring optimism for a better tomorrow, and I believe that embracing technological innovation, building new technologies in America, and shaping those technologies with American values will lead us to that stronger future.

I joined OSTP in the early days of the Trump Administration, where it has been an honor to serve as Deputy Assistant to the President for Technology Policy and Deputy U.S. Chief Technology Officer for over two years. During this time, I have engaged directly in the type of work I would continue if I am granted the privilege of being confirmed.

I have proudly and enthusiastically led the development and execution of The White House's technology policy agenda, as well as represented U.S. technology priorities at G7 and G20 Innovation and Digital Ministerials and other international fora.

From the start, I united OSTP around a clear mission: ensure continued American leadership in emerging technologies. We focused on a few key emerging technologies the President calls the Industries of the Future—areas like artificial intelligence, quantum information science, and 5G connectivity.

Under my leadership, The White House launched the American Artificial Intelligence Initiative, our national strategy to maintain and strengthen America's leadership in this important field and to advance the innovative and trustworthy development of AI.

The United States also recently endorsed the Organization for Economic Cooperation and Development, or OECD, AI Principles, marking the first time the U.S. and western democracies have come together on an international AI agreement.

I championed the issuance of a Presidential Memorandum to create a National Spectrum Strategy to help America win the race to 5G.

I spearheaded the development of the American Broadband Initiative, the Administration's national strategy for STEM education, and the commercial drone Integration Pilot Program, which was codified into law thanks to this Committee's efforts.

I was also grateful to work with members of this Committee from both sides of the aisle to advance the National Quantum Initiative Act, which the President signed into law last December.

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That's why I have prioritized, and if confirmed will continue to prioritize flexible policies that unleash innovation while balancing safety and addressing challenges.

If confirmed as U.S. Chief Technology Officer, I will continue to relentlessly drive forward our efforts to ensure the next great technological discovery and innovation happens here in the United States.

Importantly, I will work to ensure the benefits of emerging technologies, including good-paying and technically-skilled jobs, extend far beyond coastal cities, lifting up Americans in every corner of our Nation.

American workers should be empowered to embrace emerging technology and adapt to the changing world, and that is why workforce development has been, and will continue to be, at the heart of everything we do at OSTP.

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Our goals are bipartisan: we all want American innovation, built by American workers and underpinned by American values, to lead the world—increasing our prosperity, enhancing our security, and raising our quality of life in the process.

The U.S. Chief Technology Officer can ultimately chart the path to accomplish this, and it would be my greatest privilege to serve my country in this capacity.

If confirmed, I pledge to work with you on this shared mission. Thank you and I look forward to answering your questions.

A. BIOGRAPHICAL INFORMATION

1. Name (Include any former names or nicknames used):
Michael John Kotsakas Kratsios.
2. Position to which nominated: Chief Technology Officer and Associate Director, Office of Science and Technology Policy (OSTP).
3. Date of Nomination: April 4, 2019.
4. Address (List current place of residence and office addresses):
Residence: Information not released to the public.
Office: 1650 Pennsylvania Ave NW, Washington, D.C. 20502.
5. Date and Place of Birth: 11/7/86; Salisbury, MD.
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). Not Applicable
7. List all college and graduate degrees. Provide year and school attended.
AB in Politics, Princeton University, 2004–2008
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.
Analyst, Barclays Investment Bank, 2009–2010
Analyst, Lyford Group International, 2010
Associate, Clarium Capital Management, 2010–2011
Chief Compliance Officer, Clarium Capital Management, 2011–2014
Chief Compliance Officer, Thiel Capital, 2012–2014
Chief Compliance Officer, Thiel Macro, 2012–2014
Chief Financial Officer, Clarium Capital Management, 2014–2015
Principal and Chief of Staff, Thiel Capital, 2014–2017
9. Attach a copy of your resumé.
See Attachment 1.
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. Not Applicable.

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.

Trustee, Foundation for Student Communication Inc. (Business Today), 2007–2017

Chief Compliance Officer, Clarium Capital Management, 2011–2014

Chief Compliance Officer, Thiel Capital, 2012–2014

Chief Compliance Officer, Thiel Macro, 2012–2014

Board of Directors, International Model United Nations Association, 2013–2016

Chief Financial Officer, Clarium Capital Management, 2014–2015

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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.) 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 disability.

Member, American Hellenic Educational Progressive Association, 2018 to present

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.

Yes. I was appointed Deputy Assistant to the President and Deputy U.S. Chief Technology Officer by President Donald J. Trump in 2017.

No, I have no outstanding campaign debt.

14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities. Not applicable.

15. 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. None.

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

National Merit Scholarship Recipient

American Hellenic Educational Progressive Association Educational Foundation Scholarship Recipient

Hellenic Studies Senior Thesis Prize (Princeton University)

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

Publications

High Speed Broadband Is Fostering a New Era of Innovation for Rural America, *Agri-Pulse*. February 14, 2019

<https://www.agri-pulse.com/articles/11905-opinion-high-speed-broadband-is-fostering-a-new-era-of-innovation-for-rural-america>

Why the U.S. Needs a Strategy for AI, *WIRED*, Feb. 2, 2019

<https://www.wired.com/story/a-national-strategy-for-ai/>

America Will Win the Global Race to 5G, WhiteHouse.gov. October 25, 2018

<https://www.whitehouse.gov/articles/america-will-win-global-race-5g/>

The Future of American Aviation Is All About Drones. CNN.com, June 6, 2018

<https://www.cnn.com/2018/06/06/opinions/trump-administration-drone-technology-kratsios/index.html>

Donald Trump Embraces the Drone Age, *The Wall Street Journal*. October 25, 2017

<https://www.wsj.com/articles/donald-trump-embraces-the-drone-age-1508947220>

Economics and Voting in the Third Hellenic Republic: An Aggregate and Individual Level Analysis of the Greek Electorate, 1985–2007. April 8, 2008. Princeton University Senior Thesis.

https://issuu.com/mkratsios/docs/economics_and_voting

Speeches

May 1, 2017	27th National Science Bowl (Department of Energy)
June 5, 2017	United States of America Mathematical Olympiad Awards Dinner
September 27, 2017	G7 Industry and Information and Communication Technologies Ministerial Meeting
November 2, 2017	Drone Integration Pilot Program Launch (Department of Transportation)
November 13, 2017	Virtuous Circle Summit (Internet Association)*
December 13, 2017	Department of Health and Human Services Innovation Day
January 9, 2018	Administration's Approach to Innovation and Tech Policy (CES)*
February 20, 2018	New Work Summit (New York Times)*
March 14, 2018	ARPA-E Energy Innovation Summit
March 29, 2018	Center for Democracy & Technology Annual Dinner
April 10, 2018	U.S. Chamber of Commerce Tecglobal 2018
April 19, 2018	Unleashing American Innovation Launch Event (Department of Commerce)
May 9, 2018	U.S. Air Force—National Science Foundation Collaboration Announcement Event
May 10, 2018	White House AI for American Industry Summit
June 5, 2018	EmTech Next (MIT Tech Review)*
July 10, 2018	AI Summit: Investing in Innovation and Tomorrow's Workforce (Business Software Alliance)*
August 21, 2018	FedTalks
August 28, 2018	University of Mississippi Technology Summit
September 9, 2018	Tech Olympus Summit*
September 21, 2018	Reboot 2018 (Lincoln Network)*
September 24, 2018	White House Quantum Information Sciences Summit
September 28, 2018	White House 5G Summit
October 2, 2018	Commercial UAV Expo*
November 8, 2018	Technology 202 Live: View from the White House Technology Team (Washington Post)
November 11, 2018	Techonomy*
November 15, 2018	Global Entrepreneurship Summit Launch Event
December 6, 2018	Business Roundtable CEO Innovation Summit*
December 9, 2018	NSF Expeditions in Computing Event
January 29, 2019	State of the Net
February 27, 2019	Congressional Hispanic Leadership Institute Tech Talk
February 28, 2019	The White House: Accelerating America's Leadership in Artificial Intelligence (Center for New American Security)
March 1, 2019	Preparing for the G20 (US Chamber of Commerce)*
March 7, 2019	DARPA AI Colloquium
March 11, 2019	Safeguarding the Crown Jewels of U.S. Innovation (SXSW)*
March 12, 2019	Consumer Technology Association Innovation Policy Day (SXSW)
March 19, 2019	The AI Agenda (The Economist)*
March 27, 2019	Blueprint York
April 9, 2019	Domestic Drone Safety and Security Series*
April 18, 2019	2nd Annual Choctaw Nation Emerging Aviation Conference
April 30, 2019	2019 Digital Patriots Dinner

*Armchair conversation (Q&A format)

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an “alias” or “handle” you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

Facebook: Michael Kratsios [dormant]
 Instagram: mkratsios [active] <https://www.instagram.com/mkratsios/>
 LinkedIn: Michael Kratsios [active]
<https://www.linkedin.com/in/michaelkratsios>
 Snapchat: scgreek [deleted]
 Tumblr: mkratsios [deleted]
 Twitter: mkratsios [dormant] <https://twitter.com/mkratsios>

19. 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. Not Applicable.

20. 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?

For the past two years, I have had the honor to serve as the Deputy U.S. Chief Technology Officer in The White House Office of Science and Technology Policy (OSTP). During this time, I have engaged directly in the type of work I would do if I have the privilege of being confirmed. Under my leadership, OSTP has focused on the emerging technologies that will provide the foundation for industries of the future. The White House launched the American Artificial Intelligence Initiative to preserve and advance American leadership in artificial intelligence. I championed the issuance of a Presidential Memorandum to create a National Spectrum Strategy to help America win the global race to 5G, a technology critical to our Nation’s prosperity and security. I helped spearhead the government-wide effort to launch the American Broadband Initiative to bring broadband access to rural America and led the development of a drone pilot program to accelerate the integration of unmanned aircraft systems into our national airspace. In addition, I also convened a first-of-its kind White House Summit on STEM education to help develop a new 5-year national strategy for STEM education that was released in December of 2018.

Earlier in my career, during my time working in the venture capital industry in Silicon Valley, I saw firsthand the absolute best that the American entrepreneurial spirit has to offer. Our Nation’s innovation ecosystem is something we should all be immensely proud of. I also experienced how government’s role can either foster the growth of new technologies or keep them locked in captivity. When I joined The White House at the beginning of the Trump Administration, I saw tremendous opportunity for creating a regulatory environment that ensures that as the future takes shape, the American people always end up the winners. If confirmed as U.S. Chief Technology Officer, I will seek to ensure that the benefits of emerging technologies extend far beyond Silicon Valley, lifting up Americans in every corner of our Nation.

Growing up the son of a Greek immigrant, my family instilled in me the enduring hope for a better tomorrow. I believe that embracing technological innovation, building new technologies in America, and shaping those technologies with American values will lead us to that stronger future. The U.S. Chief Technology Officer can help chart the path, and it would be my greatest privilege to serve my country in this capacity.

21. 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?

As U.S. Chief Technology Officer I would have the responsibility of supporting the Director of OSTP in stewarding the office’s resources in furtherance of OSTP’s mission and strategic initiatives. This includes ensuring that all management procedures and financial controls operate in accordance with established laws and procedures. For the past two years, I have had the privilege of leading the technology policy team at OSTP, managing the research, creation, and dissemination of dozens of reports, executive orders, presidential memoranda, and more in fields as diverse as artificial intelligence, quantum computing, advanced manufacturing, STEM education, entrepreneurship, drones, rural broadband, and spectrum. Prior to working at OSTP, I served as a Principal and Chief of Staff at investment management firm Thiel Capital, working cross functionally to provide strategic support and drive key

projects across affiliated entities, which included venture capital funds, hedge funds, and a philanthropy. I also previously served as the Chief Financial Officer and Chief Compliance Officer of global macro hedge fund Clarium Capital Management, overseeing all operations and financial reporting.

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

The first challenge is to establish American leadership in key emerging technologies to ensure they are developed with American values and applied in a manner that benefits the American people. This will require maximizing the effectiveness of the Federal government's role in America's research and development (R&D) ecosystem, alongside the efforts of academia and industry. OSTP can support aligning interagency R&D priorities and improving the planning and coordinating of Federal research investments. By promoting collaboration between the government and the private sector, we can turn the scientific discoveries of government labs into beneficial technologies for the American people and the world.

Second, American leadership in emerging technologies requires a flexible regulatory system that supports innovation while preserving and ensuring protections for the safety, civil liberties, and well-being of the American people. In coordination with relevant agencies, and leveraging the National Science and Technology Council, OSTP can work to draft, streamline, or remove regulations to enable novel applications of emerging technologies. By doing so, we can promote American ingenuity and collect the data required to inform future policymaking on these issues.

Third, as emerging technologies become commonplace across our society, we must ensure that the American worker is empowered by this technological change and enjoys the economic security they deserve. This will require a multi-faceted effort, including implementation of the Administration's recently released 5-year national strategy for STEM education, as well as a continued focus on retraining and reskilling to address the workforce changes caused by the emergence of these new technologies.

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.

I will continue to participate in my former employer's 401(k) plan. The former employer no longer makes contributions to this plan.

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. Explain how you will resolve each potential conflict of interest.

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

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the U.S. Office of Government Ethics and OSTP's Designated Agency Ethics Official to identify potential conflicts of interest. If confirmed, any potential conflicts of interest will be resolved in accordance with the terms of the ethics agreement that I have entered into with OSTP'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. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

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

6. Describe any activity during the past ten years, including the names of clients represented, 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.

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.

Yes. In 2014, Thiel Marco filed a civil action for breach of contract and misappropriation of trade secrets. The case was subsequently settled.

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. Not applicable.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? 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.

RESUMÉ OF MICHAEL J.K. KRATSIOS

Experience

Executive Office of the President of the United States Washington, D.C.

Deputy Assistant to the President for Technology Policy and Deputy U.S. Chief Technology Officer 2017–present

- Serve as principal technology policy advisor at the White House Office of Science and Technology Policy
- Serve as secretary-level representative of the United States in international fora, including the G7 and G20
- Lead team of policy advisors driving U.S. policy and priorities on a range of technology issues, including artificial intelligence, unmanned aerial systems, autonomous vehicles, quantum computing, telecommunications, rural broadband, entrepreneurship, the digital economy, cybersecurity, advanced manufacturing, and *STEM* education

- Oversee the development and execution of national-level technology initiatives, including the American Artificial Intelligence Initiative, the National Quantum Initiative, and the American Broadband Initiative
- Responsible for administration efforts to integrate commercial drones into the national airspace, including a Presidential action creating the FAA Drone Integration Pilot Program, which was ultimately codified into law

Thiel Capital San Francisco, CA

Thiel Capital is an investment firm founded by Peter Thiel, providing strategic and operational support for Mr. Thiel's investment initiatives and entrepreneurial endeavors. Related subsidiaries include Founders Fund, Mithril, Valar Ventures, Thiel Macro, Clarium Capital Management, and The Thiel Foundation.

Principal and Chief of Staff, Thiel Capital 2014–2017

- Led the Office of Peter Thiel, ensuring his vision was well informed and properly executed
- Served as primary point of contact for investment subsidiaries and all initiatives involving Mr. Thiel, working cross functionally to drive key projects across affiliated entities

Chief Financial Officer and Chief Compliance Officer, Clarium Capital Management 2010–2015

- Oversaw operations and financial reporting of SEC-registered global macro hedge fund, including cash management, counterparty relationships, systems integration and automation, performance and P&L tracking, NAV and investor statement approval, and annual audit for the fund (CFO, 2014–2015)
- Oversaw all regulatory and self-regulatory compliance of SEC-registered global macro hedge fund Clarium, proprietary trading fund Thiel Macro, and the Thiel Family Office (CCO, 2011–2014)
- Served as chairman of firm's Valuation and Conflicts committees
- Rapidly promoted to top-level leadership, reporting directly to company President, Peter Thiel
- *Previously:* Associate (Aug 2010–March 2011)

Barclays New York, NY

Analyst, Investment Banking Division Summer 2007 & 2008–2009

- Operated as one of 40 professionals offering M&A advice and underwriting capabilities to companies worldwide
- Completed ten-week intensive investment banking training program; modules included financial analysis and accounting, credit valuation, financial modeling, credit structuring, and financial markets

Education

Princeton University Princeton, NJ

- A.B. in Politics, *magna cum laude* 2008
- Certificates in Political Economy and Hellenic Studies

Tsinghua University, School of Economics and Management Beijing, China

- Visiting Scholar & Instructor, Principles of Economics course 2010

Other

Clearance: Top Secret/Sensitive Compartmented Information

Other: Fluent in modern Greek, former EMT and member of the Princeton First Aid and Rescue Squad, marathon runner and Boston Marathon qualifier, published in *The Wall Street Journal*, *WIRED*, CNN, and WhiteHouse.gov

Senator WICKER. Thank you, Mr. Kratsios.

And, Mr. Steff, you are recognized.

**STATEMENT OF IAN PAUL STEFF, NOMINEE TO BE ASSISTANT
SECRETARY OF COMMERCE FOR GLOBAL MARKETS
AND DIRECTOR GENERAL, UNITED STATES
AND FOREIGN COMMERCIAL SERVICE**

Mr. STEFF. Thank you, Chairman Wicker, Ranking Member Cantwell, Members of the Committee.

It is the greatest of honors to sit before you today. If confirmed, it would be my privilege to serve as the Assistant Secretary of Commerce for Global Markets and Director General of the United States and Foreign Commercial Service.

I thank President Trump for this nomination. So, too, I am grateful for the continued support of Vice President Pence both in my former Indiana capacities and now in Washington, and, Senator Young, thank you for that kind introduction and for your leadership.

Speaking of Hoosiers, I am proud to be joined by my wife Brittany and her father Whit. Brittany, I remain forever grateful for your incredible encouragement, compassion, and flexibility as we serve the Nation we love and raise our two little stars Daniel and Owen.

I also send my gratitude to my parents Wayne and Lisa and everyone else watching from home. Our childhood home was filled with faith, respect, love, hard work, and an enduring sense of service to one's country. Thank you to all of those family members, friends, colleagues, and teachers who helped me along the way.

My story started under a few feet of snow 30 miles south of Buffalo, New York, on my grandparents' dairy farm. My two younger brothers Eric and Levi often reflect on the camaraderie we developed shoveling that never-ending lake effect byproduct, raising our pet ducks, and commiserating over our beloved Buffalo Bills.

Childhood summers encompassed exploring the pastures and woods working on our neighbor's berry and plant farm and waiting for the rumble of dad's cycle as he returned home from his job in highway maintenance. This is a glimpse of our small slice of country and my upbringing in Rural America. Rural, yes, encouraged to dream big every step of the way and dream we did.

I devoted nearly every penny earned on that farm to my stamp and coin collection. Years later, as I arrived at American University to begin my academic career in International Affairs, I knew unequivocally that my future involved fostering relations with foreign markets and the people personified in that postage and currency I had accumulated. That dream and future continued to be realized.

If confirmed, I would be incredibly honored to lead a world-class team of professionals that provide export counseling to small and medium-sized businesses while identifying new foreign markets for their products and services, advocate on behalf of U.S. companies competing for foreign government procurements, attract foreign direct investment while working to grow the U.S. manufacturing base, and reduce, remove, and prevent foreign trade barriers that impede market access for U.S. goods in a free, fair, and reciprocal fashion.

As the Deputy Assistant Secretary of Commerce for Manufacturing since June 2017, I've seen the impact the Global Markets team has on U.S. manufacturers and service providers. This vast network of more than 1,300 trade and investment specialists in Headquarters and the U.S. field combined with the presence of the Foreign Commercial Service and over 70 foreign markets deliver daily under the leadership of Secretary Ross.

Simply put, I have come to know the Global Markets team as a team that works, a team that chooses to compete, and a team that delivers. These professionals deliver one deal at a time and have a tremendous impact measured at over \$120 billion alone in Fiscal Year 2018 in the areas I outlined.

Bart Meroney and Dale Tasharski, thank you for your many decades of service at the Commerce Department and for joining me here today along with many other colleagues.

In my former professional capacities, I accrued experience in economic development, executive leadership, and trade policy. In my past economic development roles, I worked successfully to attract foreign directed investment.

Select-USA, which would be under my purview, if confirmed, is a valued economic development partner to many states.

Likewise, during my time in the semi-conductor industry, I witnessed the contributions of the Commerce Department to ensure foreign market access. I regularly engaged with the Commerce team while managing the Leading Ship Industry Association's international engagements in technology programs for a decade.

I have seen the challenges posed by unfair trade measures and massive market-distorting practices that cripple companies looking to compete internationally.

Early in my professional career, I worked on the Trade Subcommittee staff of the House Ways and Means Committee. I have a profound appreciation for the vital role of Congress when it comes to ensuring the global competitiveness of U.S. industry.

While my stamp and coin collections are now the responsibility of my two young Hoosiers, I have no doubt that our country has a limitless and prosperous future based on the unparalleled accomplishments of the Global Markets team and the Commerce Department.

I aspire to help this team continue to achieve its mission. If confirmed, I will devote every working moment to its success on behalf of our Nation's exporters.

Distinguished Members of the Committee, thank you for your consideration.

Thank you, Mr. Chairman.

[The prepared statement and biographical information of Mr. Steff follow:]

PREPARED STATEMENT OF IAN PAUL STEFF, NOMINEE FOR ASSISTANT SECRETARY OF COMMERCE FOR GLOBAL MARKETS AND DIRECTOR GENERAL, UNITED STATES AND FOREIGN COMMERCIAL SERVICE

Chairman Wicker and Ranking Member Cantwell, Members of the Committee. It is the greatest of honors to sit before you today. If confirmed, it would be my privilege to serve as the Assistant Secretary of Commerce for Global Markets and Director General of the United States and Foreign Commercial Service. I thank President Trump for this nomination. So too, I am grateful for the continued support of Vice President Pence, both in my former Indiana capacities, and now in Washington.

Speaking of Hoosiers, I am proud to be joined by my wife, Brittany, and her father, Whit. Brittany, I remain forever grateful for your incredible encouragement, compassion, and flexibility as we serve the Nation we love and raise our two little stars, Daniel and Owen. I also send my gratitude to my parents, Wayne and Lisa. Our childhood home was filled with faith, respect, love, hard work, and an enduring sense of service to one's country. Thank you to all those family members, friends, colleagues, and teachers who helped me along the way.

My story started under a few feet of snow, thirty miles south of Buffalo, New York, on my grandparents' dairy farm. My two younger brothers, Eric and Levi often reflect on the comradery we developed shoveling that never-ending lake-effect byproduct, raising our pet ducks, and commiserating over our beloved Buffalo Bills. Childhood summers encompassed exploring the pastures and woods, working on our neighbor's berry and plant farm, and waiting for the rumble of Dad's cycle as he returned home from his job in highway maintenance. This is a glimpse of our small slice of country and my upbringing in rural America.

Rural? Yes. Encouraged to dream big? Every step of the way. And dream we did. I devoted nearly every penny earned on the farm to my stamp and coin collection. Years later, as I arrived at American University to begin my academic career in international affairs, I knew unequivocally that my future involved fostering relations with the foreign markets and the people personified in the postage and currency I accumulated. That dream and future continue to be realized.

If confirmed, I would be incredibly honored to lead a world-class team of professionals that provide export counseling to small and medium-sized businesses, while identifying new foreign markets for their products and services; advocate on behalf of U.S. companies competing for foreign government procurements; attract foreign direct investment, while working to grow the U.S. manufacturing base; and reduce, remove, and prevent foreign trade barriers that impede market access for U.S. goods in a free, fair, and reciprocal fashion.

As the Deputy Assistant Secretary of Commerce for Manufacturing since June of 2017, I've seen the impact the Global Markets team has on U.S. manufacturers and service providers. This vast network of more than 1,300 trade and investment specialists in headquarters and the U.S. Field, combined with the presence of the Foreign Commercial Service in over seventy foreign markets, deliver daily under the leadership of Secretary Ross.

Simply put, I have come to know the Global Markets team as: "A Team that Works, A Team That Chooses to Compete, and a Team that Delivers." These professionals deliver "one deal at a time" and have a tremendous impact measured at over \$120 billion in FY 2018 in the areas outlined above. Bart Meroney and Dale Tasharski, thanks for your many decades of service at the Commerce Department and for joining today.

In my former professional capacities, I accrued experience in economic development, executive leadership, and trade policy. In my past economic development roles, I worked successfully to attract foreign direct investment. SelectUSA, which would be under my purview if confirmed, is a valued economic development partner to states.

Likewise, during my time in the semiconductor industry, I witnessed the contributions of the Commerce Department to ensure foreign market access. I regularly engaged with the Commerce team while managing the leading chip industry association's international engagements and technology programs for a decade. I have seen the challenges posed by unfair foreign trade measures and massive market distorting practices that crippled companies looking to compete internationally.

Earlier in my professional career, I worked on the Trade Subcommittee staff of the House Ways and Means Committee. I have a profound appreciation for the vital role of Congress when it comes to ensuring the global competitiveness of U.S. industry.

While my stamp and coin collections are now the responsibility of my two young Hoosiers, I have no doubt that they and our country have a limitless and prosperous future based on the unparalleled accomplishments of the Global Markets team at the Commerce Department. I aspire to help this team continue to achieve its mission. If confirmed, I will devote every working moment to its success on behalf of our Nation's exporters. Distinguished members of the Committee, thank you for your consideration.

A. BIOGRAPHICAL INFORMATION

1. Name (Include any former names or nicknames used): Ian Paul Steff.
2. Position to which nominated: Assistant Secretary of Commerce and Director General of the United States and Foreign Commercial Service.
3. Date of Nomination: February 1, 2019.
4. Address (List current place of residence and office addresses):
Residence: Information not released to the public.
Office: 1401 Constitution Ave. NW, Washington, DC 20230.
5. Date and Place of Birth: July 9, 1982; Buffalo, New York.

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).

Wife: Brittany Paige Grayson Steff, Freelance Science Writer, Self-Employed

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

- A) American University—2000–2003—B.A. International Studies
- B) National Defense University—2004–2006—18 Credits of Graduate Work in National Security Studies
- C) George Washington University—2007–2011—M.A. International Science and Technology Policy

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.

- A) Deputy Assistant Secretary of Commerce for Manufacturing, U.S. Department of Commerce, International Trade Administration—June 2017 to present; Performing the Non-exclusive Duties and Functions of the Assistant Secretary of Commerce for Global Markets and Director General of the United States and Foreign Commercial Service—May 2018 to present; Washington, D.C.
- B) Chief Innovation Officer—State of Indiana; Executive Vice President and Senior Advisor; Indiana Economic Development Corporation—July 2016–May 2017; Indianapolis, IN
- C) Senior Advisor/or Science, Technology, and Advanced Manufacturing; Indiana Economic Development Corporation—May 2015–July 2016; Indianapolis, IN
- D) Vice President for Global Policy and Technology Partnerships; Semiconductor Industry Association—2008–2014; Washington, D.C.
- E) International Trade and Semiconductor Policy Specialist; Dewey Ballantine LLP—2005–2008; Washington, D.C.
- F) Senior Staff Assistant to the Staff Director; House Ways and Means Trade Subcommittee—2004–2005; Washington, D.C.

9. Attach a copy of your resumé.

See 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.

Indiana advisory role listed above.

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.

- A) Founding Principal, IPS Global Consulting LLC, Indianapolis, IN (April 2014–May 2016), Three former clients as follows:
 - a. Client: State of Indiana/Indiana Economic Development Corporation; Advisor; Indianapolis, IN
 - b. Client: Central Indiana Corporate Partnership Foundation; Advisor; Indianapolis, IN
 - c. Client: FlexTech Alliance, Advisor; San Jose, CA
- B) President; IPS Global RE I LLC; Indianapolis, IN; (Real Estate Holding Company)—July 2016–Present. (This LLC is associated with residential rental/investment property I solely own in Silver Spring, Maryland. If confirmed, I will resign from my position as President of IPS Global RE I LLC, in accordance with my Ethics Agreement.)
- C) President; IPS Global RE II LLC; Indianapolis, IN; (Real Estate Holding Company)—July 2016–July 2018. (This LLC was associated with residential rental/investment property in Indianapolis, Indiana that was sold and subsequently dissolved.)
- D) Member, Board of Directors, Battery Innovation Center, Newberry, Indiana; December 2014–June 4, 2017
- E) Member, Board of Directors, Collaborative Composites Solutions Corporation; January 1, 2015–June 4, 2017

F) Chairman of the Executive Committee and Member of the Board of Directors—United States Information Technology Office in Beijing, China and Washington, D.C. (www.usito.org); 2013–2014

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 religiously affiliated organization, private club, or other membership organization. (For this question, you do not have to list your religious affiliation or membership in a religious house of worship or institution.). 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 disability.

- A) Former Member; Executive Committee, Int'l Technology Roadmap on Semiconductors (2010–2014)
- B) Member, Donor, Chairman's Circle & Nausbaum Society of the Indianapolis Zoo (2014–2016)
- C) Member, Dean of Engineering's Advisory Council, Purdue University (2015–May of 2017)
- D) Member, Vice Chancellor/or Research's Advisory Board, IUPUI (2016–May of 2017)
- E) Member, Advisory Board, Rochester Inst. of Technology (2010–2014)
- F) Member, Friends of the National Zoo (2018 to present)
- G) Member; Delta Tau Delta International Fraternity (2002 to present) (Note: Membership currently limited to males)
- H) Member, Collins Conservation Club (1996 to present)

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. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities. Not applicable.

15. 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.

March 2016—Contribution to Friends of Todd Young, Inc.—\$500.00

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

- Graduated Magna Cum Laude from American University—2003
- Member of Phi Beta Kappa—2003
- Member of Golden Key International Honour Society—2003
- Commissioned a “Kentucky Colonel”—honor bestowed by the Governor of Kentucky—2005
- Distinguished Service Award from the Semiconductor Industry Association—2014

17. Please list each book, article, column, Internet blog posting, or other publication you have authored, individually or with others. Include a link to each publication when possible. 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.

A) December 2013—Forbes Op-ed, co-authored with Ambassador Alan Wm. Wolff—“China Will Make or Break a Once-In-A-Generation Trade Deal”—Link: <https://www.forbes.com/sites/realspin/2013/12/02/china-will-make-or-break-a-once-in-a-generation-trade-deal/>

B) March 2018—Remarks at the Taiwan Smart Cities Summit in Taipei, Taiwan in capacity as Deputy Assistant Secretary of Commerce for Manufacturing: <https://www.ait.org.tw/remarks-ian-steff-smart-city-summit/>

C) September 2018—Remarks at the 3SI Heads of State Summit in Bucharest, Romania in capacity as Deputy Assistant Secretary of Commerce for Manufacturing—<https://www.youtube.com/watch?v=SclMeo2buY>

D) April 2019—Remarks at the Hannover Messe in Hannover, Germany in capacity as Deputy Assistant Secretary of Commerce for Manufacturing (No link available.)

18. List digital platforms (including social media and other digital content sites) on which you currently or have formerly operated an account, regardless of whether or not the account was held in your name or an alias. Include the name of an “alias” or “handle” you have used on each of the named platforms. Indicate whether the account is active, deleted, or dormant. Include a link to each account if possible.

A) Facebook: Active, www.facebook.com/ian.steff

19. 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. Not applicable.

20. 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?

It is the highlight of my professional career to have been nominated to lead Global Markets and the U.S. and Foreign Commercial Service in the International Trade Administration. I am humbled to have an opportunity to work aside a world-class team that a) provides export counseling to small and medium sized business, while identifying new foreign markets for their products and services; b) advocates on behalf of U.S. companies competing for foreign government procurements; c) attracts foreign direct investment through SelectUSA initiatives, while working to grow the U.S. manufacturing base; and d) reduces, removes, and prevents foreign trade barriers that impede market access for U.S. goods in a free, fair, and reciprocal fashion.

In my current and former professional capacities, I have come to know the ITA and Global Markets team as: A Team that Works, A Team That Chooses to Compete, and a Team that Delivers. This team delivers “one deal at a time” and has a tremendous impact measured at over \$136 billion in FY 2018 in the areas outlined above.

As the Deputy Assistant Secretary of Commerce since June 2017, I’ve seen firsthand the difference this team has made for U.S. manufacturers and service providers. From my current seat, I have encouraged all units in ITA to focus our collective resources toward delivering on behalf of our clients via trade promotion. Our vast network of trade specialists in the U.S. Field, combined with the Foreign Commercial Service’s presence in over 70 foreign markets deliver on a daily basis. We have met or exceeded all internal export, advocacy and investment targets, and also delivered on our Agency Priority Goal related to trade barrier removal, valued at over \$5.6 billion. At the same time, I feel that I have earned the team’s trust and respect.

In my former professional capacities, I have demonstrated experience and capabilities in economic development, executive leadership, and trade policy that will be put to good use, if confirmed. In my past economic development roles, I worked regularly to maintain and attract foreign direct investment. SelectUSA, which would be under my purview, if confirmed, continues to be a valued partner to states across the Nation and I look forward to working with the team to reach our full potential and convey that the U.S. is “open for business”.

Likewise, during my time in the semiconductor industry, I witnessed firsthand the contributions of the Commerce Department in ensuring a leading U.S. export industry maintained and grew its worldwide market share. I regularly engaged with the Commerce team in that capacity for over a decade, while managing the leading industry association’s international engagements, offices, and technology programs. I came to know the challenges posed by unfair foreign trade measures and massive market distorting practices that have crippled companies looking to compete internationally.

Earlier in my professional career, I had the good fortune to work on the Trade Subcommittee staff of the House Ways and Means Committee. In addition to gaining valuable experience in trade policy, I also saw its impact on the clients the Department and the GM team serve. I have an utmost appreciation for the vital role of Congress when it comes to ensuring the competitiveness of U.S. industry on a global scale.

Lastly, my educational background in international studies and international science and technology policy will be highly leveraged on a regular basis in this capacity, if confirmed. The role is completely aligned with every aspiration I have ever held as a student and practitioner of international relations.

I) 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?

If confirmed, I believe a core responsibility of the Assistant Secretary of Commerce and Director General of the U.S. and Foreign Commercial service is to ensure good stewardship of public funds, while maximizing resources to attract inbound investment, remove foreign trade barriers, and promote U.S. exports.

I will ensure robust accounting, management, and budget controls are in place to foster such stewardship. I will work closely with the Department's budget professionals, including the ITA Global Markets Budget Office, to ensure that financial obligations incumbent upon the organization are met, while at the same time guiding and prioritizing allocation of available resources to achieve our collective mission. I will also scrutinize the fix cost drivers posing challenges for the organization.

In performing these fiduciary functions, if confirmed, I will draw upon substantial prior personal experience in both the private and public sectors. This includes managing multi-million dollar budgets and performing oversight of professionals whose direct job it was to implement financial management and accounting controls.

In the private sector, I had management responsibilities that included directing personnel and significant resources in offices spanning the globe. In the public sector, I worked with and advised state budget authorities to allocate millions of dollars in public funds using a rigorous process that incorporated competition, transparency, and accountability.

I continue to draw on these experiences in my current capacity in ITA, while managing and motivating a team of hundreds of international trade professionals that continue to exceed agency goals.

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

First, rising fixed costs as a percentage of Global Markets' overall appropriations/budget, remains a persistent challenge. While GM's return on investment is well-documented, as are the results of its client-driven professionals spanning the globe, the organization is constrained by these growing fixed costs associated with our offices in over 70 foreign markets and 100 U.S. cities. Equipping the team with the tools, training, technology, and resources they need to effectively compete on behalf of our Nation's current and future exporters will be among my top priorities, if confirmed.

To that end, a second key challenge is remaining competitive in a rapidly evolving global landscape. We see a trend of foreign governments of large economies tilting the playing field in their favor using a vast array of unfair and discriminatory trade practices. In many cases, these same countries compete in markets where the U.S. Commercial Service has a limited presence, none at all, or where we are unable to provide comprehensive support to clients. In markets where we choose to compete, and are equipped to do so, the results and data demonstrate tremendous impact, one deal at a time. However, our competitors are gaining footholds in markets that may negatively affect us for generations to come.

A third, and perhaps more obvious challenge, is the overwhelming amount of barriers to entry in foreign markets that prevent free, fair and reciprocal trade. Reducing, removing, and preventing these barriers, so that our export promotion capabilities yield increased exports and chip away at our trade deficits is key.

Economic security is national security. GM's ability to help businesses of all sizes export, grow their investments in the U.S., identify and penetrate new markets, and assist in removing barriers to trade is unrivaled. There is limitless potential and millions of companies in line to reap the economic rewards associated with enhanced market access. According to ITA, less than one percent of America's 30 million companies export—a percentage that is significantly lower than all other developed countries. And of U.S. companies that do export, 58 percent export to only one country. This represents a challenge and an opportunity at the same time.

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. None.

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. Explain how you will resolve each potential conflict of interest.

In connection with the nomination process, I have consulted with the Office of Government Ethics and Department of Commerce agency ethics officials to identify any potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of my ethics agreement. I understand that my ethics agreement has been provided to the Committee. I am not aware of any potential conflict of interest other than those that are the subject of my ethics agreement.

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. Explain how you will resolve each potential conflict of interest.

I am not aware of any potential conflict of interest other than those that are the subject of my ethics agreement. Any potential conflicts of interest will be resolved in accordance with the terms of my ethics agreement. I understand that my ethics agreement has been provided to the Committee.

5. Identify any other potential conflicts of interest, and explain how you will resolve each potential conflict of interest.

I am not aware of any potential conflict of interest other than those that are the subject of my ethics agreement. Any potential conflicts of interest will be resolved in accordance with the terms of my ethics agreement. I understand that my ethics agreement has been provided to the Committee.

6. Describe any activity during the past ten years, including the names of clients represented, 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.

a) During my tenure with the Semiconductor Industry Association (2008–2014), I conveyed industry views on a number of public policy matters, legislation, and Administration actions. The Association had involvement or expressed views on the following during my tenure:

- Support for authorization legislation and increased appropriations for basic research at DARPA, NIST, and NSF, including the passage of the America COMPETES Act.
- Support for immigration legislation and actions to allow foreign students graduating with STEM degrees to stay in the U.S. following graduation.
- Support for STEM education and workforce initiatives.
- Support for the R&D Tax Credit, a simplified corporate tax system, and a competitive investment climate.
- Support for Administration and Congressional action to enhance intellectual property protection for semiconductors.
- Support for anti-counterfeiting semiconductor initiatives.
- Support for expansion of the Information Technology Agreement and trade agreements effecting the semiconductor industry and global market access.
- Support for efforts to deal with unfair trade practices related to China effecting the semiconductor industry.

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? No.

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.

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. No.

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.

I have no additional information other than that which has been provided in connection with my nomination.

D. RELATIONSHIP WITH COMMITTEE

1. Will you ensure that your department/agency complies with deadlines for information set by congressional committees, and that your department/agency endeavors to timely comply with requests for information from individual Members of Congress, including requests from members in the minority? 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.

RESUMÉ OF IAN PAUL STEFF

Specializations

International trade negotiations
Trade association management
Global and export market analysis
Semiconductor manufacturing issues
Research consortia board governance

Intellectual property protection systems
Economic development
International affairs
Advanced manufacturing issues
Science, technology, and research policy

Professional Experience

Deputy Assistant Secretary of Commerce for Manufacturing—June 2017 to present
Performing the non-exclusive duties and functions of the Assistant Secretary for Global Markets and Director General of the U.S. and Foreign Commercial Service—May 2018 to present

U.S. Department of Commerce—International Trade Administration

LEAD TRADE PROMOTION EFFORTS AND MANUFACTURING INITIATIVES

- Manage Commerce sector experts, investment analysts, international trade professionals, while executing the Trump administration's plans to eliminate foreign trade barriers, boost U.S. exports of manufactured goods, open foreign markets, enforce and modernize international trade agreements, and work with the private sector to increase American manufacturing jobs and investments.
- From aerospace and semiconductors to automotive, pharmaceuticals, medical devices, and energy-related products, the Office of Manufacturing's initiatives span more than a dozen strategic industry sectors and regularly engages the private sector to inform strategies related to advanced manufacturing, the Internet of Things, and other emerging fields.

Chief Innovation Officer and Executive Vice President—July 2016–May 2017

State of Indiana / Indiana Economic Development Corporation

COORDINATED STATE'S INNOVATION AND ENTREPRENEURSHIP INITIATIVES

- Served as the State of Indiana's first Chief Innovation Officer, coordinating the development, implementation and execution of the *\$1B Innovation & Entrepreneurship* Initiative under then-Governor Pence and Governor Holcomb

- Advised state leadership on science, technology, and advanced manufacturing economic matters. served as a Senior Advisor to the Secretary of Commerce
- Led preparations and participated in state economic trade missions to Israel, India, China. and Europe; Hosted international businesses considering FDI
- Engaged on export related issues for Indiana-based companies
- Coordinated and directed IEDC's small business and entrepreneurship programs and resources consisting of personnel and advisors statewide including:
 - Indiana Small Business Development Centers (ISBDC)
 - Procurement Technical Assistance Centers (PTAC)/SBIR Programs
 - Coordination with Elevate Ventures and oversight over 21 Fund
 - IEDC's investment and assurance programs and strategic sector initiatives
- Led efforts to create and expand public-private partnerships in the information technology, life sciences, and advanced manufacturing across the state
- Board member, Battery Innovation Center (BIC) outside of NSWC Crane
- Board member, Institute for Advanced Composites Manufacturing Innovation (IACMI) that includes Purdue-led Modeling & Simulation Center housed at the Indiana Manufacturing Institute
- Member, Dean of Engineering's Advisory Council, Purdue University
- Member, Council of Advisors to the Vice Chancellor for Research, IUPUI

Senior Advisor for Science, Technology, and Advanced Manufacturing—May 2014
 State of Indiana / Indiana Economic Development Corporation—July 2016

LED IEDC'S PLANS TO GROW STRATEGIC SECTORS

- Oversaw statewide efforts to develop the life sciences, energy storage, cybersecurity, semiconductor, nanotech, & advanced materials verticals.
- Engaged with businesses, universities, and government partners to create economic development leads for the State in advanced manufacturing sectors and boost Indiana's manufacturing exports.
- Coordinated IEDC's technology oriented economic development missions including domestic and international trips.

EXPANDING PUBLIC-PRIVATE PARTNERSHIPS AND GLOBAL ENGAGEMENT

- Shaped IEDC's strategy on initiatives involving cooperation between industry, the State, and universities that will enable Indiana's global competitiveness in emerging fields related to advanced manufacturing and design.
- Implemented best practices from model domestic and international public-private partnerships in current industrial consortia in Indiana.
- Successfully led effort on behalf of the IEDC to secure matching funds of \$15M for the newly formed composites initiative at Purdue University via the Institute for Advanced Composites Manufacturing Innovation.
- Participated in state and national efforts to ensure a robust workforce and world-class research infrastructure, including:
- Member, Lieutenant Governor Ellspermann's Career Pathways Taskforce
- Member, Executive Committee, International Nanotechnology Cooperation and Communication (INC).

Senior Executive, Semiconductor Industry Association (SIA)—2008–2014
 Vice President, Global Policy and Technology Partnerships; Board Elected Officer; Chairman of the Board, U.S. Information Technology Office in Beijing (USITO)

ASSOCIATION MANAGEMENT

- Served as an elected officer of the lead U.S. semiconductor association; Board of Directors consisting of 18 CEOs representing the \$150 billion U.S. semiconductor industry.
- Responsible for oversight of multi-million dollar international and technology budget, managed three departments, and coordinated outside counsel and consultants.
- Developed agenda, budget updates, and materials for three Board meetings per year.
- Elected Executive Chairman of the USITO Board of Directors; Executive committee consisting of four trade associations and Board consisting of 30 U.S. technology executives with China operations (www.usito.org).

TECHNOLOGY PARTNERSHIPS & UNIVERSITY RESEARCH CONSORTIA

- Staffed the SIA's CTO Committee comprised of 18 technology executives of major U.S. semiconductor companies and served as the Board's liaison to its research consortium, the Semiconductor Research Corporation (SRC).
- Led efforts to secure over \$160M in matching funds to complement over \$250M industry dollars for SIA/SRC technology public-private research with U.S. universities.
- Served as the association's lead representative on partnerships with NIST, NSF, and DoD

LED WORLDWIDE GOVERNMENT RELATIONS AND INDUSTRY TRADE ADVISOR

- Primary advocate and spokesperson on global policy and public-private partnerships.
- Oversaw international trade advocacy, export and sales statistics program, customs and trade facilitation, and industry engagement on manufacturing policy.
- Communicated member companies' market access issues to foreign governments.
- Industry stakeholder in the WTO's Information Technology Agreement, served as a lead industry expert and liaised with over 12 governments; final ITA expansion agreement saved U.S. semiconductor manufacturers several billion dollars.
- Served as the chief U.S. secretariat at the World Semiconductor Council, consisting of governments and industry from China, Europe, Japan, Korea, Taiwan, and U.S.

CREATED STRATEGIC COMMUNICATIONS and PROGRAMS

- Developed statements, interacted with media, published op-eds and web content.
- Collaborated with SIA's committees and forged consensus on major projects.
- Frequently quoted in media including Forbes, NYT, Bloomberg, and regional outlets.
- Secured sponsorships and organized industry seminars, conferences and other events.

Dewey Ballantine LLP 2005–2008

Trade Specialist/SIA Washington Representative, Manager, Governmental Affairs

- Managed SIA's government relations, trade, and research funding engagements.
- Participated in Multi-Chip Package (MCP) Duty-Free Trade Agreement negotiations.
- Helped build support for President Bush's American Competitiveness Initiative.
- Staffed meetings of the World Semiconductor Council.

U.S. House of Representatives—Ways and Means Committee 2004–2005

Senior Staff Assistant to the Majority Staff Director of the Trade Subcommittee

- Staff Director's principal liaison to USTR, Commerce, State, and business community.
- Served Chairman Thomas (R-CA) & Subcommittee Chairmen Crane (R-IL)/Shaw (R-FL)
- Prepared for hearings on FTAs, Miscellaneous Tariff Bill, Customs Reauthorization, FSC-ETI repeal/American Jobs Creation Act.
- Oversaw publication of Committee's Trade Statutes Blue Book, 2005 edition.

U.S. House of Representatives and Communications Internships 2002–2003

- House Committee on Small Business, Chairman Donald Manuel (R-IL)
- Office of Media Relations at the Peace Corps Headquarters
- Personal Office of Congressman Bill Thomas (R-CA)

Professional Memberships and Civic Engagement

- Fr. President and Founding Principal of IPS Global Consulting LLC (Firm advised the State of Indiana, Central Indiana Corporate Partnership, and the FlexTech Alliance)
- Fr. Representative; Task Force on the Future of American Innovation, Washington, D.C.
- Fr. Member; Executive Committee, Int'l Technology Roadmap on Semiconductors

- Member, Donor; Chairman's Circle and Nausbaum Society of the Indianapolis Zoo
- Member, Friends of the National Zoo, Washington D.C.

Education

George Washington University—Elliott School of Int'l Affairs—2007–2011

Master of Arts: International Science and Technology Policy—GPA: 3.88 of 4.0

- R&D budgets, economics of technological change, energy policy, technology creation and diffusion, international trade, U.S. space policy, globalization challenges
- Capstone: Future of Broadband-Computing: Technological, Economic Considerations

National Defense University—Ft. McNair—2004–2006

Post-Graduate: National Security Studies

- School for National Security Executive Education
- Concentration: 18 graduate credits related to defense, security, and foreign policy

American University—School of Int'l Service—2000–2003

Bachelor of Arts: International Studies—GPA: 3.7 of 4.0

- Graduated magna cum laude and Phi Beta Kappa;
- U.S. Foreign Policy, International Economics and Trade Policy; Intermediate Spanish

References (*contact available upon request*)

- the Honorable Mike Pence, Vice President of the United States
- The Honorable Governor Eric Holcomb of the State of Indiana
- The Honorable Gilbert Kaplan, Under Secretary of Int'l Trade, Department of Commerce
- The Honorable Ted McKinney, Under Secretary of Int'l Trade, Department of Agriculture
- Stephen Akard, President's Nominee for Director of the Office of Foreign Missions (rank of Ambassador), Department of State
- John Neuffer: President and CEO, Semiconductor Industry Association (SIA)
- George M. Scalise: Former COO of Apple Computer and President emeritus, SIA; Board member. Intermolecular; Purdue University distinguished engineering alumnus
- Wim Roellandts: Former Chairman of the Board, Applied Materials & Board Member, IMEC (Belgium Research Consortia)
- Ed Simcox, President emeritus, Indiana Energy Association
- Ambassador Alan Wm. Wolff: Deputy Director General, World Trade Organization

Senator WICKER. Well, thank you, Mr. Steff, and thank you all.

Let me begin by asking this question of each of you. We historically have asked nominees at the beginning of hearings to state for the record that they pledge to work with Congress and the Committee in a cooperative manner.

So I'd like to ask each of you and get a verbal yes or no, if confirmed, will you pledge to work collaboratively with this committee and provide thorough and timely responses to our requests for information as we work together to address important policy issues?

ALL. Yes.

Senator WICKER. Thank you. Thank you very much.

Mr. Rokita, sounds like you'd like to grow ridership in Amtrak, is that correct?

Mr. ROKITA. Mr. Chairman, Members of the Committee, yes, I believe it has been a viable national system and it needs to be in the future.

Senator WICKER. And you mentioned when the train leaves from the station at time X and it's supposed to get somewhere at time

Y, that that needs to happen more often, and I assume you would also agree when it's scheduled to arrive at a station at time X, it helps ridership if in fact it does——

Mr. ROKITA. Absolutely, Mr. Chairman.

Senator WICKER.—arrive at that prescribed time.

Do you have any preconceived ideas about lines that should be eliminated in our Amtrak system?

Mr. ROKITA. Thank you, Mr. Chairman, Members of the Committee.

No. If confirmed, I understand that it's a priority of many, if not all, on this committee and perhaps throughout Congress. It would be my opportunity and my desire to learn as much as I can but certainly no preconceived notions to eliminate anything.

Senator WICKER. And you mentioned competing with the airlines. I think it's important to point out that if Amtrak were an airline it would be one of the largest airlines in the country in terms of daily ridership that we have at the present, isn't that correct?

Mr. ROKITA. Mr. Chairman, Members of the Committee, yes, that is the fact, and I don't mean that we have to compete. I just mean that we have to—it's not to beat the airlines in terms of the time table. It's just to be consistent and frequent, so that the passengers know that if they get on the train at a certain time, they'll arrive at the destination at a certain time again so they can plan their day. I think that's the value of Amtrak. That's the value of a rail system.

Senator WICKER. I agree with you. I just think there is a lot more ridership out there if we can make the product——

Mr. ROKITA. Absolutely.

Senator WICKER.—better. So I want to challenge you in that regard and to say how pleased I was with your testimony there.

I think our roads are getting more and more crowded. If we can accommodate the transportation of passengers and get them off the roads, I think it would be a plus to safety as well as to the economy. So thank you very much for that.

Let me ask you, Mr. Sumwalt. You have a great deal of experience as a Board member, including the last two years as Chairman.

What do you see as your biggest challenges in the coming years and what are the goals you hope to achieve as Chairman in a couple of minutes?

Mr. SUMWALT. Mr. Chairman, thank you very much for that question, and I want to thank the Committee for all of the wonderful support that this committee has provided to the NTSB through our reauthorization over the years.

There are three priorities that I've established for this year with our management team. One is that we want to work on our hiring situation. It has been slower than I'm comfortable with it and we lose through attrition, retirements, about 30 people a year. We're replacing about 30 people a year but that means we're not growing. We have some room in our budget to grow. So I want to make sure that we're on-boarding people in a timely fashion.

The next thing that I want to do is to make sure that we are completing our accident investigations in a more timely fashion

and I think that we need the people to do that and that's why the hiring is in there first.

And the third thing is to continue with our employee engagement and by that, Senator, I mean that we could break our employees' backs by trying to get these investigations done more quickly, but we have to balance all of this to make sure that our employees do maintain a good work-life balance.

So those are the three priorities that we have established.

Senator WICKER. Thank you very much.

Senator Markey.

**STATEMENT OF HON. EDWARD MARKEY,
U.S. SENATOR FROM MASSACHUSETTS**

Senator MARKEY. Thank you, Mr. Chairman, very much.

In September 2018, communities in Lawrence, Andover, and North Andover, Massachusetts, lived through fires, explosions, and evacuations in a night that Andover Fire Chief Michael Mansfield said, "looked like Armageddon." A young man, Leonel Rondon, was killed, dozens were injured, and more than a hundred homes were damaged or destroyed.

As my investigation and the NTSB's investigation have found, the Merrimack Valley pipeline disaster was not inevitable. It was preventable. All of this devastation came from a single pipeline work project but it took a cascade of multiple safety and oversight failures for us to get to the point where one project could cause catastrophic damage across three cities and towns.

Member Homendy, do you agree that Congress should ensure that these regulatory safety gaps are closed through passing legislation so that we work together in a bipartisan fashion in order to accomplish those goals?

Ms. HOMENDY. Absolutely, Senator. Both Chairman Sumwalt and I were at that accident scene, so I do.

Senator MARKEY. Thank you.

Well, that's why I introduced the Leonel Rondon Pipeline Safety Act in order to address these failures and help ensure that no other community, no other family would have to go through the same sort of preventable tragedy.

What my bill does is to promote the use of pipeline safety management systems, requires companies to keep updated maps and records, ensures multiple layers of safety redundancies, and mandates that qualified employees sign off on work plans, all things conspicuously absent in the Merrimack Valley. As the NTSB has noted in its interim recommendations, those things unfortunately were lacking.

So, Chairman Sumwalt, Member Homendy, do you agree that the interim recommendations the NTSB has made following the Merrimack Valley disaster are reasonable and achievable and, frankly, essential for pipeline operators?

Ms. HOMENDY. Yes, sir.

Mr. SUMWALT. And I'd like to weigh in on that, Senator Markey. I want to thank you also for your longstanding commitment on this, your showing leadership through the hearing that you chaired on November 26 in Lawrence.

Yes, we feel that our recommendations were very timely. We issued five interim safety recommendations, four of which were urgent. Just this week, the Board has voted on four of the recommendations to NiSource. NiSource has been able to close out two of those in an acceptable fashion. The other two are still open in an acceptable fashion.

Senator MARKEY. And, Mr. Chairman and Member Homendy, do you agree that the interim NTSB recommendations, if adopted at the Federal level, would strengthen pipeline safety in other communities across the country as well as in Merrimack Valley?

Ms. HOMENDY. I do. For example, one of the urgent recommendations was for a professional engineer to sign and seal engineering and construction documents and 28 states have exemptions from that. So it goes beyond just Massachusetts.

Senator MARKEY. Thank you.

Chairman Sumwalt, thank you. So families in the Merrimack Valley want answers. They want to know that NiSource, Columbia Gas, and PHMSA, and all other pipeline companies will make the changes recommended by safety experts to protect them from going through another disaster.

Chairman Sumwalt, would you commit to holding a public hearing in Merrimack Valley on this issue?

Mr. SUMWALT. Mr. Chairman, what we are going to do is we will have the investigation completed in September, which, of course, is the anniversary month. In closing it out, we will have a board meeting, a sunshine meeting, which is open to the public, where the Board will openly deliberate the findings, recommendations, and probable cause of that disaster.

Senator MARKEY. And would you conduct a hearing in Merrimack Valley talking about the conclusions in your investigation once it's complete?

Mr. SUMWALT. Mr. Chairman, I'd be delighted—Senator Markey, I'd be delighted to come in and talk to you about that and see what we can discuss in that area.

Senator MARKEY. OK. I think that would be extremely helpful to the community up there.

Mr. SUMWALT. Well, it's a lovely part of the Nation and we'd love to be there.

Senator MARKEY. Again, September's a wonderful month especially.

[Laughter.]

Senator MARKEY. So thank you for that because I do think it's a critical opportunity for the community to receive some reassurance and you've been doing a very good job, by the way, just want to say that, and we thank you for your good work after this disaster and so the Roll Call's on the Floor, however, calling away all the members and so at this point, what I'll do is I'll place the hearing in a short recess and other members will come back and reconvene the hearing, but we thank you both for your service.

Thank you.

[Recess.]

Senator BLUMENTHAL. Thank you all for your patience. We're resuming after a brief recess.

I'm told that I am the final questioner and I have been given instructions that we'll gavel out after I finish my questions which will be brief because we are in the middle of votes. I apologize that we've kept you this long but really do appreciate your patience.

Let me ask, first of all, Mr. Rokita, you were a Member of Congress I think for three terms, correct?

Mr. ROKITA. Mr. Chairman, Senator Blumenthal, I was a member for four terms.

Senator BLUMENTHAL. Four terms.

Mr. ROKITA. Yes.

Senator BLUMENTHAL. Sorry. And during that time, I think I heard that you were on the subcommittee of the relevant committee that deals with Amtrak, is that right, the House Transportation and Infrastructure Committee and the Railroads Subcommittee?

Mr. ROKITA. Yes, Senator, that's correct.

Senator BLUMENTHAL. So you should be pretty familiar with Amtrak by now.

Mr. ROKITA. I'd like to think so but there's always more to learn and, if confirmed, being a member of the Board would allow me to learn a lot more.

Senator BLUMENTHAL. What troubles me is that we've reviewed your record and you have demonstrated a pretty remarkable long and consistent record of opposing Amtrak, opposing its funding and hostility to Amtrak, and you have taken a series of anti-Amtrak votes. You voted to defund Amtrak and you voted against the Passenger Rail Reform and Investment Act of 2015 which authorized Federal support for Amtrak and other programs.

We can argue the merits of Amtrak. I think clearly Amtrak is vital to our Nation's economy, central to the Northeastern economy. It moves more people in the Northeast than the airlines do several times over.

I take it regularly. I will probably tomorrow, Friday, as I do all the time going home. When Amtrak shuts down, our economy suffers. When the Northeast economy is hit, the whole country takes a blow economically.

So I guess my question is do you stand by those votes?

Mr. ROKITA. Mr. Chairman and Senator Blumenthal, thank you for the question.

I stand by my testimony. I believe you might have been out of the room for at least a part of it, which was that I believe in a national rail system. I have been a user of Amtrak my entire adult life. I'm not sure where the source comes from that I'm hostile to Amtrak or don't like the idea simply because I voted no on some funding votes.

As you know, Senator, sometimes in sending a message we're limited to yes, to no, or to present, and I believe in fiscal responsibility for all of us and I believe that my votes against these funding provisions sent a message to Amtrak, and I also testified earlier that I also supported Amtrak reauthorization, particularly in the FAST Act that I helped the passage of.

Senator BLUMENTHAL. What was the message that you were trying to send? I don't see that in your testimony.

Mr. ROKITA. Well, the message is that we all—it was in my testimony, that we all could be fiscally responsible and Amtrak is no exception.

Senator BLUMENTHAL. Well, but, frankly, fiscal responsibility is a matter of priorities. In your view, Amtrak was of lesser priority than others.

Mr. ROKITA. No, it's a high priority. Budgets are a matter of priority. I completely agree with you, Senator.

Senator BLUMENTHAL. Budgets set priorities.

Mr. ROKITA. Budgets set priorities, correct. I'm familiar with that. I'd just refer—in answer to your question, I'd simply refer you to 49 U.S.C. Section 24101(b), where Congress, most of us at the time, had put into statute Amtrak goals and the first among them is to use its best business judgment in acting to minimize U.S. Government subsidies.

So if that is statute, if that is the law of the land, that should be our highest priority and that is reflective of my votes.

Senator BLUMENTHAL. Say that again.

Mr. ROKITA. 49 U.S.C. 24101, Subsection (b), "Amtrak shall use its best business judgment in acting to minimize U.S. Government subsidies."

Senator BLUMENTHAL. So why would you vote against Amtrak funding simply because of that statute?

Mr. ROKITA. Well, funding is a government subsidy.

Senator BLUMENTHAL. Yes. But that doesn't mean you should vote against Amtrak funding when that subsidy is necessary to provide service to millions and millions of Americans.

You know, we can go back and forth on this, but—

Mr. ROKITA. As you said, yes.

Senator BLUMENTHAL.—I'm—if you had said to me, well, my view will be different, I will be firmly committed to Amtrak, I'm in favor of adequate funding, I believe in fiscal responsibility, but Amtrak must be a priority for this nation, that's the kind of answer I was looking for and not a citation to some Federal statute that, frankly, doesn't justify voting against it.

Mr. ROKITA. Well, Senator, I would say just if you could refer to my written testimony and my oral testimony and the fact of the matter is on the Board of Amtrak, it's my job to make sure that the law's followed and that the priorities of Congress are met.

So it's really your funding decision now. It's my job to—

Senator BLUMENTHAL. Will you support—

Mr. ROKITA. And it's my job to implement that funding in the most efficient way possible.

Senator BLUMENTHAL. Will you support full Federal investment in Amtrak?

Mr. ROKITA. That's the decision for Congress to make. Once I get whatever funding decision you all make, then it'll be my job to utilize that funding to the best, most efficient use, following the law.

Senator BLUMENTHAL. Will you recommend to us the amounts of money that are necessary to make Amtrak a full service reliable, safe form of transportation for our nation?

Mr. ROKITA. Thank you for the question, Senator.

Again, if confirmed, this is all subject to confirmation, I will be responsive to every member of this committee, to every Member of

Congress, and as a former fellow Member of Congress, I'll be responsive in a timely fashion even to the point of giving you deadlines for my response.

I've given every staff member that asked for it and every Senator that asked for it my personal solemn oath already and that's the kind of attitude and approach I like to bring to the Board, if confirmed. So, yes, I will be your partner in making sure—

Senator BLUMENTHAL. Will you be more than a neutral partner? I'm really looking for advocates for rail transportation in this country and there is no better position to be an advocate than as a member of the Board of Amtrak, our national rail service.

If you're going to be a neutral manager and say whatever Congress gives us, I'll try to do the best to spend wisely, that's one thing. If you're going to be an advocate for expanding and enhancing our rail service, that's what a board member should be doing.

Mr. ROKITA. Senator, thank you for your question.

I never used the word "neutral." If you refer to my testimony, I said I believe in a national system and I've been a user of it my entire adult life. So I see the value of it across our Nation.

Senator BLUMENTHAL. And you will be an advocate?

Mr. ROKITA. I'll be an advocate for following the law, if confirmed, including whatever law you'd like to change.

Senator BLUMENTHAL. Well, we're talking here not about the statute that you're citing. We're talking about adequate support from the Amtrak Board for sufficient funding to meet the needs of our Nation for national rail system safety, reliability, speed.

This nation is way behind other modern industrialized nations in our rail service. We are in danger of becoming a Third World country in terms of our rail service if we fail, and I say if we fail, to provide sufficient support and funding and an Amtrak Board member who says he or she is responsive to Congress is a welcomed attribute but I'm looking for a vigorous and staunch advocate for financial support for our national rail service.

Let me ask briefly, if I may, the three nominees of the National Transportation Safety Board.

Your work is so critical to the safety of our Nation's transportation system. You have proposed in the past, the NTSB has suggested many recommendations. Unfortunately, many have not been followed by the relevant agencies.

Would you have a suggestion for us as to what Congress should be doing and maybe what you can be doing more vigorously in the future to make sure those recommendations are followed? I'll propose it to all of you in whatever order you want to answer it.

Ms. HOMENDY. Senator, first, let me say that Congress has included many of the NTSB's safety recommendations in legislation and I just want to say including PTC, and I thank you for your leadership and your support of our recommendations.

We do work actively with Federal agencies to encourage them to adopt our safety recommendations. We have issued thousands of recommendations since our creation in 1967, although 82 percent of those have been adopted favorably. So our focus is, on our Most Wanted List, the other 18 percent, the remaining issues, and I feel like what Congress does is crucial when it comes to safety recommendations.

You bring our recommendations up at hearings, talking with different entities, working with the Federal agencies to encourage them to adopt our recommendations, and then, of course, including them in legislation. So we appreciate all your efforts and all of us, I think, look forward to continuing to work with you on that.

Senator BLUMENTHAL. Mr. Sumwalt.

Mr. SUMWALT. She basically said what I would say, but we appreciate your vigorous oversight of these DOT modal agencies and, as Member Homendy pointed out, many times when you're drafting legislation, you look at NTSB recommendations and include them in legislation and that works.

Senator BLUMENTHAL. I agree with you that legislation is important, but in some ways legislation is often a last resort.

The relevant agencies could adopt many of these recommendations without additional legislation. So we'll continue to advance or seek to advance those recommendations that you make based on facts that are uncovered during your investigations. These recommendations are not out of the ether. They are fact-based. They are science-based, and I appreciate all the great work that your agency does, and I noted in your testimony, Ms. Homendy, your tribute to the staff that works there and having visited the agency and having worked with them and observed what they do in Investigation, I want to join in thanking them, as well.

And I'm very hopeful that we are on a good path toward positive train control. I think that Congress has seen the light and recognized the importance of positive train control and I hope that the industry—I think it has, as well.

I have raised with Secretary Chao and other leaders of the Department of Transportation the question of how we persuade agencies to act more vigorously and I know that you have an investigation, I believe you do, underway with regard to the Boeing 737 MAX.

Could you describe the status of that investigation?

Mr. SUMWALT. Yes.

Senator BLUMENTHAL. And I apologize if I'm duplicating other questions.

Mr. SUMWALT. Senator Blumenthal, thank you for that question.

Of course, I testified right here in this room before the Aviation Subcommittee, your Aviation and Space Subcommittee, which you were present, and so we are, as you know, we are not leading the investigations for each of those because the Ethiopian and Indonesian Governments are.

However, we are acting as an accredited representative to each of their investigations in accordance with international protocols.

There are really three things that the NTSB is doing. We are, first, we are ensuring that those agencies, the Ethiopian accident investigation agency as well as Indonesia, we are ensuring that they are getting what they need, whether it's from the NTSB, from Boeing, from the FAA. We are a conduit, and also we're making sure there's a flow of information coming back to those respective organizations to make sure that Boeing and the FAA are aware of the status of the investigations.

We want to make sure that those investigative authorities are conducting competent investigations in accordance with ICAO Annex 13.

The second thing we're doing is taking a big picture view. We're monitoring what they are doing to make sure that their actions are appropriate and, third, we are evaluating the design certification issues and we will let the facts drive us, but I'm told that our staff is working on a recommendation package that I would suspect we would have out in the next 60 days regarding design certification issues.

Senator BLUMENTHAL. I apologize because I am going to again have to call a recess. Senator Cantwell is coming back. I thank you all for your testimony.

On cue, I'm going to yield to Senator Cantwell, and I thank you, Senator, and thank you all for your testimony.

Thank you.

Senator CANTWELL. Thank you, and I apologize for the voting schedule and members being back and forth. You all are important witnesses today. So so many important things that we need to go over.

I wanted to, Ms. Homendy, talk about important rule of working together on a bipartisan basis for the FAA. The FAA promulgated new flight and duty rules that took effect in 2014. The new rules updated the patchwork system of regulation that preceded it, and they have, in my opinion, been an improvement.

Do you share my view that regarding the value of the FAA's flight and duty rules for airline pilots?

Ms. HOMENDY. Yes, I believe the flight and duty rules should apply equally to cargo pilots. There should not be an exemption for cargo pilots. Fatigue affects you no matter whether you are transporting passengers or cargo.

Senator CANTWELL. Thank you.

Mr. Graham, the circumstances under which the investigation involving the 737 MAX highlight the substantial reliance on technology and automation, and as you know, preliminary findings suggest that the automated Max system contributed to the accidents that happened.

Technology and automation are wonderful tools but they have to be implemented and driven by human interaction. So there are risks there.

As a highly experienced pilot yourself, what are your views about this issue of pilot and human interaction and what we can do to improve it?

Mr. GRAHAM. Thank you for that question, Senator.

Yes. It's very important any time you introduce any kind of new technologies into the cockpit that you make sure that crews are well trained in that new technology and, importantly, they need to know how the system works, how to operate it, what the limitations are, and then when it doesn't work, they need to know how to fly the aircraft or not use that system and go to the lower level of automation.

So with that, it's critical for manufacturers to get that information out and make it available. It's also very critical, whether it's the regulator or the operator itself, that they basically do risk man-

agement or change management with the new piece of equipment before it's implemented into their fleet and do the appropriate training.

Senator CANTWELL. Thank you.

Mr. Rokita, the Amtrak funding is a very important issue and I know as a member, you voted to end Federal funding for Amtrak.

So are Federal investments in Amtrak necessary for continuing passenger rail service in rural areas and, yes, let me ask that first.

Mr. ROKITA. Yes. Thank you, Mr. Chairman, Ranking Member Cantwell, for the question.

Absolutely in the near term for sure, especially in rural areas. I believe in fiscal responsibility, as do you, and I also believe that my votes against these funding provisions sent a message to Amtrak and sometimes there is—I was talking or explaining to Senator Blumenthal we're limited to yes, no, or present, and I thought the votes, while not successful, by the way, brought some positive change, and I also did vote to reauthorize Amtrak, particularly my last time in Congress, would have been the FAST Act that I believe you supported, as well.

So as I testified, I believe in a national system. I believe in smart capital investment, and I mentioned to you in my testimony I appreciate that same position.

Senator CANTWELL. Thank you.

While Amtrak has implemented PTC on almost all of the tracks that it owns, the NTSB, which we had before us earlier this month, remained concerned about the FRA's "granting exemptions to PTC, including more than 1,400 miles of freight railroad-owned track on which Amtrak operates."

So do you support a plan to make sure that we do something about those tracks, in addition to PTC?

Mr. ROKITA. Mr. Chairman, Ranking Member Cantwell, Members of the Committee, I do. I support PTC or its equivalent. I believe that's the position at Amtrak. Subject to confirmation, I'll be able to learn more.

I also would appreciate getting the direction of this committee and other Members of Congress on that and the more specific you can be in that direction I could take that specificity to the Board and make it a reality.

Senator CANTWELL. Well, I think at least Ms. Homendy and I are both for making sure the FRA does its job and not to allow exemptions. We have seen the challenges that this brings and we think—look, we have a lot of congestion and a lot of product to move.

One thing I'm really clear about on this committee is I want to see more investment in port and rail activities. Why? Because we have a lot of U.S. product we're trying to get to market and the congestion and challenges facing us in that area are growing by the day. So we definitely need more infrastructure investment.

We also need to make sure that those tracks are safe and that's what I want FRA to give us some certainty on.

OK. Mr. Steff, I feel like since you've all been here I should definitely ask you all a question, but I'll try to keep my remarks short.

I am concerned about the President's tariff approach to the issues that we face and obviously I mentioned in my statement how important an export economy is for the future or at least I believe

that our economy has been based on that and the fact that we have so many more markets to open up.

What do you see as the key tools by which you can help us increase export opportunities?

Mr. STEFF. Thank you, Senator. I really see a four-pillared approach to this.

One would be the trade promotion activities in which the men and women of the U.S. Foreign and Commercial Service, you know, conduct every day. We've seen these individuals open up new markets for small- and medium-sized enterprises, of which there are not enough small businesses exporting. It's estimated that about 1 percent of small businesses in the U.S. do export. So we look forward to getting more small businesses exporting.

Another way that I would look at it and the second pillar would be advocacy efforts on behalf of those companies looking to compete for foreign government procurements, supporting those, you know, manufacturers that are actually looking to supply product to, you know, foreign governments that often offer tenders. That is a critical piece of it.

A third pillar is the Select USA Investment, the FDI investment that we've seen, you know, pour in to the country. That helps complement the domestic manufacturing base and the team has done an outstanding job with over 3,300 registrants and 1,200 vetted investors that came to our event in June 9 through 12 of this year.

And the last is, as we hear about trade barriers in other foreign markets, we often hear from these small businesses about, you know, the customs issues or standards issues that are prohibiting U.S. product from entering those countries. Those are reported back to the professionals in Global Markets and we look forward to tackling those issues.

Senator CANTWELL. Thank you. We're all for capacity-building in that regard and making sure that we have enough infrastructure to address those issues, given how much market is outside the United States.

Do you support the United States having a credit assistance arm, like the EXIM Bank?

Mr. STEFF. Sure. We've heard from many manufacturers that having the ability to provide for financing definitely helps their exports and, you know, it's certainly something that, you know, myself and others were very excited to see a quorum once again on that board. It's a very critical piece in my view.

Senator CANTWELL. Thank you.

Mr. Bentzel, have you had any questions today?

Mr. BENTZEL. No, not yet.

Senator CANTWELL. OK. Well, let's change that.

[Laughter.]

Senator CANTWELL. I certainly appreciate your willingness to be on the Federal Maritime Commission. A couple of issues that I feel like we need to deal with here is workforce issues.

The maritime industry for the United States very strong opportunity but not necessarily connecting on how to get a workforce that is—I don't know if we're not evangelizing how much work needs to be done or if we're just not connecting to the right sectors, but at least in the Pacific Northwest, and we had testimony at one

of our hearings, that there are well-paying, in some instances six-figure jobs that people just don't—that we have a gap.

So what do you think we need to do to strengthen the maritime workforce in the United States, and, second, could you comment on the Nation's necessity in understanding the impacts of the opening up of the Northwest Passage in the Arctic with the new transportation route and what the country needs to do to prepare for that?

Mr. BENTZEL. It's a booming economy, the maritime economy, especially your area of the country, and so since it's largely containerized, it's sort of gone from mind and sight and people don't understand what's going on there as much. It's sort of confined to a few locations.

We have to work harder to educate the public about the opportunities. These are engineering jobs. These are good blue collar jobs, and I don't think we really publicize their availability or the need that we're going to have in the future. There's going to be growth in this industry. So we have failed to achieve awareness of this yet.

It's something that they wrestle with more on the U.S.-flag side where we have a very small presence in shipping, but on the port side itself, there's going to be exponential growth. Educating the public that there are all sorts of economic opportunities other than longshoremen's work, it's in driving, it's logistics management, IT law and in all sorts of affiliated industries that support shipping.

I do think we could take more advantage of our waterways to do subsequent movements from our major ports to alleviate congestion, but we have a big challenge in terms of achieving a greater understanding of what we'll need in this area.

The Northwest Passage is very intriguing. We're not there yet. There are plans to do large-scale icebreaking services that the Russians and foreign nations are looking at to achieve the movement of the next generation of large container ships, and the cost savings are substantial in terms of fuel.

So global warming has potential implications on transportation and what they do. They are still trying to set up the infrastructure that they're going to need for this. It's not there yet. I don't feel that they have the safety, the communications systems in play, and other features that you need to ship safely but——

Senator CANTWELL. Do you think the Russians are going to wait for that?

Mr. BENTZEL. No, the Russians have plans to set up a service that will provide icebreaking for large convoys of ships and that's what they're doing.

Senator CANTWELL. And so don't you think we should have an alternative or at least plan something that we think is the way the United States is going to——

Mr. BENTZEL. I think we should have more icebreaking services and we should come up with a plan on how to maximize both whatever we choose to do in terms of resources or fisheries or communications. So I believe that we need to invest in this area.

Senator CANTWELL. Well, thank you, and thank you for adding the word "fisheries" because I definitely think that people forget that, you know, fisheries can be another area of dispute and if you're not there and you're not providing the services, I think that those fisheries disputes will get a lot more complicated.

Mr. BENTZEL. I agree. I think there are a lot of challenges there. I think your state is going to be a landing point for whatever happens from the Northern tier.

Senator CANTWELL. Thank you. We agree. I agree with that and I think our state agrees with that, although I would say even there, I'm not sure that, you know, that we have put the right focus on what we need to do as the United States to participate in that opening and opportunity and so if we're going to see, as you say, vessels move through there and change the way trade is done because they can save so much fuel on that quicker route and yet we're not helping to maintain and build that highway, I think it's going to put us in a complicated place.

Anyway, I think we'll have many conversations about this as a committee and I know the Chair is committed and I know our colleagues from Alaska and the East Coast are committed. So we'll see.

Mr. Kratsios, did you get a question today?

Mr. KRATSIOS. Senator, I did not, no.

Senator CANTWELL. OK. Well, we can't let that go then.

What are you saying are the top priorities for the office as far as science and technology? What are you pinpointing? I missed your actual testimony.

Mr. KRATSIOS. No worries. Thank you so much, Senator, for that important question.

In the realm of technology, we have essentially focused on ensuring American leadership in emerging tech over the past two years. What we've attempted to do is ensure that America leads in the next great technologies that are going to drive economic growth and ensure American leadership.

The three that we have focused primarily on is what the President mentioned in the most recent State of the Union as the Industries of the Future and these are artificial intelligence, quantum information science, and 5G or advanced connectivity.

In these areas, we've developed national strategies or have begun executing on legislation that was passed here in Congress. On the AI front, we launched the American AI Initiative by Executive Order on February 11. This provides the national whole of government approach to ensuring American leadership in AI, with components of it including R&D coordination, workforce development, and also removing regulatory barriers to AI innovation.

The second piece of the agenda is structured around our Quantum Initiative, which was the result of bipartisan legislation that was passed and signed into law in December of last year. At OSTP, we're executing on that legislation. We established our National Coordination Office for Quantum just a few short months ago and we continue to deliver on what that legislation asks for.

And last, from OSTP's standpoint, we have a very strong emphasis on American leadership in 5G and one of the things that our office is focused on is ensuring that the deployment of 5G in the United States happens as quickly and as safely as possible and it's something that we work with a lot of our colleagues across the interagency from Commerce and across the White House to make sure that happens.

Senator CANTWELL. So could you define safely for us because obviously there's a whirlwind of debate going on now about Huawei and security? I know you're not onboard yet, but what are your viewpoints on how we solve that issue?

Mr. KRATSIOS. Yes. Thank you so much.

I think one of the biggest concerns we have is ensuring that the actual hardware that becomes part of our national network comes from places or companies that we can trust and ensure that the actual build-out itself is one that can be sustainably safe for years to come and we continue to want to ensure that the actual hardware that is put into the networks by our private sector companies are from vendors and providers that we believe are safe.

Senator CANTWELL. So it's a challenge to do that from a company and a government that definitely believes in a back door. Is that your point?

Mr. KRATSIOS. Yes, I believe it's extraordinarily challenging and I think this is for some of our larger companies, I think in some ways it can be easier. They have the resources to be able to identify the types of hardware that would make sense for their networks, but we as a country must come together and support some of our more rural providers to ensure that they have the resources and the assistance they need to make sure that the networks they develop actually are safe, as well.

Senator CANTWELL. I look forward to discussing that with you because I agree. We have to make safe networks and we can't just let those who are at the mercy of someone who wants to come along and propagate this technology to take advantage of some of our rural communities. So thank you for that.

And Senator Young and I have an AI bill that is basically helping to empower your office and the government to look at the impacts of AI for the future. We definitely want this to be discussed. We think the best thing to do is to now have a national discussion about the opportunities, things like cybersecurity and how great AI could be in helping us with that, but also to talk about the impacts that it could have on the workforce and better discuss that and better prepare for that. So we'll look forward to working with you on that.

So I think are we closing out? I want to thank all of the witnesses for being here and for your willingness to serve and those who have been serving, thank you, and this hearing is adjourned.

Oh, before it's adjourned, before I gavel, I will just say the record will remain open for two days and during this time, Senators are asked to submit questions for the record with the final submission being the close of business Friday, July 26.

The Committee asks the witnesses that, upon your receipt of any questions, that you would submit them for the record and answer the Committee as soon as possible by the close of business July 31, 2019.

Senator WICKER. And with that, we are adjourned.

[Whereupon, at 12:40 p.m., the hearing was adjourned.]

A P P E N D I X

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
MICHAEL GRAHAM

NTSB “Most Wanted List” for Safety Improvements. The NTSB describes its “Most Wanted List” for safety improvements as the agency’s premier advocacy tool. This list identifies the top safety improvements that can be made across all transportation modes to prevent accidents, minimize injuries, and save lives. Yet, some NTSB safety recommendations remain open and unresolved for years and years.

Question 1. What more can be done to help raise awareness of NTSB’s safety recommendations and to encourage their swift adoption by transportation agencies and private entities?

Answer. Senator, I am committed to NTSB’s safety mission and seeing its recommendations favorably acted upon. Should I be confirmed I will be actively engaged in collaboration and awareness efforts targeting operators and industry to be proactive about implementing safety recommendations. They should not wait for regulations or an accident to move them to action. I have found in my experience that voluntary adoption of safety best practices and recommendations to be the most effective means of closing gaps in safety. I also commit to working with Congress should additional measures be necessary to address any safety issue.

Positive Train Control (“PTC”). Since the NTSB first recommended positive train control (“PTC”) technology nearly 50 years ago, there have been more than 150 accidents that this lifesaving technology could have prevented.

One of these was the Amtrak 501 derailment in my home state in 2017.

Question 2. Do you agree with me that there should be no more extensions of the PTC implementation deadline?

Answer. Senator, I agree there should be no more extensions of the PTC implementation deadline. As you stated, the first recommendation came nearly 50 years ago. PTC is a proven safety technology that provides a system capable of reliably and functionally preventing train-to-train collisions, overspeed derailments, incursions into established work zone limits and the movement of a train through main line switch in the wrong position. Without PTC, we are at risk for another tragic accident.

I share your interest and, if confirmed, look forward to working with you on this and other safety issues.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. TOM UDALL TO
MICHAEL GRAHAM

Question. Drunk driving accounts for 1/3rd of all traffic fatalities every year. What are some ways that NTSB can use its expertise to reduce these tragic accidents?

Answer. The NTSB has made several recommendations to address driving under the influence (DUI) and other drug impairment. First, states should establish a per se blood alcohol content (BAC) limit of 0.05 percent or lower for all drivers who are not already required to adhere to lower BAC limits. This alone is estimated to reduce DUI related deaths by over 10 percent. Second, states should require alcohol ignition interlock devices for all individuals convicted of DUI offenses. Third, Federal regulators should develop and disseminate to states a common standard of practice for drug toxicology testing. And, at the national level implement an aggressive education campaign on the effects of drug and alcohol on driving. If confirmed, I would make it a priority to advocate the adoption of these recommendations at all levels and commit to working with you and Congress on eliminating alcohol and drug impairment in all modes of transportation.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. TAMMY DUCKWORTH TO
MICHAEL GRAHAM

Question. National Transportation Safety Board investigations of school bus crashes has led to a number of recommendations for consideration by Congress, the Administration and States to improve safety. NTSB has recommended installing 3-point safety belts, automatic emergency braking, event data recorders, electronic stability controls, fire-resistant materials and fire suppression systems on school buses.

Please describe the safety benefits of implementing these regulations. Do you concur with these recommendations? Do you agree that passing a Federal law to implement these recommendations would improve safety for school bus occupants and roadway users?

Answer. Senator, I understand and share your concern for school bus safety. While school buses are safe, preventable death and injury still occur. The recommendations you have cited would most definitely improve school bus safety and save lives.

In my experience, I have found voluntary implementation can be more effective and move more quickly than the legislative and rulemaking process. If confirmed, I am committed to working with federal, state and local agencies as well as private entities on implementing these safety recommendations. I would also be happy to work with you on school bus safety and other safety issues, if confirmed.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JON TESTER TO
MICHAEL GRAHAM

Aircraft Certification Process. The way I see it, the two Boeing crashes were avoidable. Perhaps it was a perfect storm of flawed decisions, but 346 people died because of those decisions.

Question 1. Do you think that these crashes confirm that our current system of aircraft design and certification has failed us? What changes in the certification process are needed? What changes are needed for FAA?

Answer. Senator, I share your concern with the crashes and possible issues with the aircraft design and certification process. I understand that the Indonesian and Ethiopian investigations are ongoing, in accordance with international agreements, and no conclusions have been drawn at this time. I know the NTSB has appointed an accredited representative to each investigation and is also investigating the certification process of this aircraft. I maintain the same urgency as you to identify and close any gaps in the U.S. processes which may have contributed to these tragedies. While I am not privy to the investigative information, should I be confirmed, I am committed to completing these investigations and issuing all necessary safety recommendations. Further, I will work with Congress, the FAA and industry to implement them.

Boeing 737 MAX Re-certification. I know that NTSB and others are still gathering facts about the crashes and you do want to be deliberate in your findings.

Question 2. That said, given that the first Boeing 737 entered service 52 years ago and there have been multiple changes in the plane's size, distance and capabilities since then, should the 737 MAX 8 undergo its own recertification process?

Answer. Senator, since the investigations are ongoing, no conclusions have been drawn. Recommendations will be issued if/when issues are identified.

If confirmed, I am committed to working with Congress on any safety recommendations that come out of these accidents or any other safety issues.

Culture of Safety.

Question 3. What advice would you give to the next FAA Administrator on best practices for ensuring a robust a culture of safety within the FAA organization and across the aviation industry?

Answer. Senator, I would recommend the FAA Administrator continue to support the "compliance philosophy" that was implemented a couple years ago. This is a culture the FAA needs to cultivate, to encourage the sharing of any single error, allowing for system wide corrections, without fear of reprisal. It has opened meaningful dialogue and collaboration on safety issues between operators and the FAA. Also, I recommend the Administrator continue to advance any other voluntary reporting programs which provide a consequence free environment for operators and controllers to report unintentional errors and safety problems without fear of retribution by the FAA or their company.

Both of these best practices provide significant safety data for the FAA and the operator's Aviation Safety Action Program (ASAP). The de-identified data can then

be shared with the Aviation Safety Information Analysis and Sharing (ASIAS) program, which analyzes and trends the data to be shared with the FAA and all operators for awareness and safety improvement. While there remains room for improvement, these two programs alone have built a positive safety relationship between the FAA and industry, and built a more positive safety culture. Ultimately, safety is team effort that requires sufficient oversight as well as buy-in from operators.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
HON. JENNIFER HOMENDY

NTSB “Most Wanted List” for Safety Improvements. The NTSB describes its “Most Wanted List” for safety improvements as the agency’s premier advocacy tool. This list identifies the top safety improvements that can be made across all transportation modes to prevent accidents, minimize injuries, and save lives. Yet, some NTSB safety recommendations remain open and unresolved for years and years.

Question 1. What more can be done to help raise awareness of NTSB’s safety recommendations and to encourage their swift adoption by transportation agencies and private entities?

Answer. As of June 30, 2019, there were a total of 586 open safety recommendations to the U.S. Department of Transportation (8, Office of the Secretary; 245, Federal Aviation Administration; 108, National Highway Traffic Safety Administration; 89, Federal Railroad Administration; 50, Pipeline and Hazardous Materials Safety Administration; 32, Federal Highway Administration; 28, Federal Motor Carrier Safety Administration; 26, Federal Transit Administration) and 81 open safety recommendations to the United States Coast Guard.

The NTSB must continue to work with DOT, modal administrations, state and local governments, and private entities to encourage swift adoption of these recommendations. We use several tools to accomplish this: written communications to recipients which are posted on our website, meetings with recipients, reports to Congress, hearings at the Federal and state levels, media, and the Most Wanted List of Transportation Safety Improvements (MWL).

Since joining the Board in August 2018, I have worked hard to urge recipients to adopt our recommendations, with a particular focus on full implementation of positive train control, reducing speeding-related crashes, ending alcohol and other drug impairment, and strengthening occupant protection, all of which are reflected on the MWL.

If confirmed, I will continue to encourage recipients to adopt our recommendations and to raise public awareness of our recommendations. I will also continue to ensure Congress is aware of the status of our recommendations.

Impaired Driving. The NTSB has listed ending impaired driving on its 2019–2020 Most Wanted List of Transportation Safety Improvements and supports lowering the threshold for drunk driving from .08 to .05 percent blood alcohol content (BAC).

Question 2. What specific steps do you advocate in this area?

Answer. Impairment is a contributing factor in far too many transportation accidents across all modes, with alcohol impairment as a leading cause of highway crashes. We want to continue to see states adopt per se BAC limits of .05 percent or below, as well as broaden their use of other effective countermeasures, like ignition interlocks for all offenders and high-visibility enforcement. Utah was the first state to reduce its BAC limit to .05 this past December. Other states are considering similar action, including California, Michigan, and New York.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. TOM UDALL TO
HON. JENNIFER HOMENDY

Question 1. As you are aware, I have long been active on ways that we can reduce the number of drunk driving fatalities. I know that the NTSB has listed ending impaired driving on its 2019–2020 Most Wanted List of Transportation Safety Improvements and supports lowering the threshold for drunk driving from .08 to .05 percent blood alcohol content (BAC). Why is such an action critical to reducing the thousands of deaths caused each year by a drunk driver?

Answer. Sen. Udall, thank you for your efforts to close this gap in safety. As you know, impairment is a contributing factor in far too many accidents across all modes of transportation, with alcohol impairment as a leading cause of highway crashes. According to the National Highway Traffic Safety Administration (NHTSA), 120 people died in alcohol-impaired crashes in New Mexico in 2017, or 32 percent

of all traffic fatalities in the state. And that's just fatalities; thousands more have suffered life-altering injuries.

Nationwide, the numbers are even more staggering: more than 10,000 people die annually on our Nation's roads in alcohol-involved crashes; that's 29 people every single day, or 1 every 48 minutes.

The real tragedy is that these deaths are 100 percent preventable.

The NTSB recommends that *states adopt per se BAC limits of 0.05 percent or lower, as well as broaden their use of other effective countermeasures, such as requiring ignition interlock devices for all offenders and implementing high-visibility enforcement programs. These recommendations are included in our Most Wanted List of Transportation Improvements for 2019–2020 (MWL) and are highlighted in our 2013 Reaching Zero report.*

Research shows that lowering BAC levels to 0.05 will result in an estimated 11 percent decline in fatal alcohol crashes and save at least 1,700 lives annually in the United States.

Utah was the first state to lower the BAC from 0.08 to 0.05 this past December. Other states, including California, Michigan, and New York are considering similar action. Our MWL and 2013 report includes a recommendation for NHTSA to seek legislative authority to award incentive grants to states to help them establish a per se BAC limit of 0.05 or lower. See <https://www.nts.gov/safety/safety-studies/Pages/SR1301.aspx> for a full list of our 2013 Reaching Zero recommendations.

Question 2. Driverless cars are currently being tested on public roads and some vehicles are being sold with low levels of autonomous technology. Several have already been involved in serious and fatal crashes. Once such crash that occurred in Williston, Florida in 2016 involving a Tesla Model S was thoroughly investigated by the NTSB. What are some of the flaws that the NTSB identified in that crash investigation?

Answer. The NTSB issued 13 findings as a result of the 2016 Williston, Florida, crash involving a semitrailer and a Tesla Model S, including:

- The Tesla's automated vehicle (AV) control system was not designed to, and did not, identify the truck crossing the car's path or recognize the impending crash; consequently, the Autopilot system did not reduce the car's velocity, the forward collision warning system did not provide an alert, and the automatic emergency braking did not activate.
- If AV control systems do not automatically restrict their own operation to those conditions for which they were designed and are appropriate, such as roadway type, geographic location, and speed range, the risk of driver misuse remains.
- The Tesla driver's pattern of use of the Autopilot system indicated an overreliance on the automation and a lack of understanding of system limitations.
- The way that the Tesla Autopilot system monitored and responded to the driver's interaction with the steering wheel was not an effective method of ensuring driver engagement.
- Without the manufacturer's involvement, vehicle performance data associated with highly automated systems on vehicles involved in crashes cannot be independently analyzed or verified. A standardized set of retrievable data is needed to enable independent assessment of automated vehicle safety and to foster automation system improvements.

The report also raised concerns with the lack of Federal leadership and standards with respect to AV's and Level 2 vehicles. In September 2016, just four months after the Williston crash, NHTSA released its AV Policy, which was focused on Levels 3 through 5, or highly automated vehicles (HAV), not Level 2's. Manufacturers are not required to follow the vehicle performance guidance in the policy—as guidance, it's completely voluntary.

In 2018, the U.S. Department of Transportation (USDOT) updated its Federal AV policy, again focusing only on HAV's. In response to a call for comments, the NTSB once again raised concerns that NHTSA's proposed AV policies, including manufacturers' safety self-assessments, testing, validation of system safety, and AV reporting requirements, are voluntary, showing a willingness to allow manufacturers and operational entities to define safety.

The USDOT has an important responsibility to ensure the safe development and deployment of AV technologies at all levels of automation. NHTSA can and should provide this required safety leadership and lead in all levels of automation by developing specific standards and requirements.

Question 3. Why is it so critical that the recommendations issued in the September 2017 report be met in order to help ensure the safety of this developing technology?

Answer. The NTSB's recommendations, if implemented, will help manufacturers and regulators identify and address any safety gaps as new technologies are developed.

Motor vehicle crashes are a leading cause of death and injury in the United States. Many of these crashes could have been prevented if collision avoidance technologies, which are the building blocks of AV's, such as forward collision avoidance and automated braking, were installed. That is why "Increasing Implementation of Collision Avoidance Systems in All New Highway Vehicles" is on the MWL for 2019–2020.

Question 4. As an expert in automation across modes, what problems have you seen arise in crashes involving autonomous or partially-automated technology?

Answer. When it comes to automation, it's important that drivers and all commercial transportation workers (aviation, highway, rail, marine, and pipeline) have a clear and thorough understanding of how the technology or system works and system limitations (*i.e.*, training). Additionally, all vehicle operators should not be lulled into a false sense of safety, they must remain vigilant, ready to take over if an automated system fails. In addition, the Federal Government has a responsibility to set the highest standards when it comes to safety. Safety should not be voluntary.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JON TESTER TO
HON. JENNIFER HOMENDY

Boeing 737 MAX Re-certification. I know that NTSB and others are still gathering facts about the crashes and you do want to be deliberate in your findings.

Question 1. That said, given that the first Boeing 737 entered service 52 years ago and there have been multiple changes in the plane's size, distance and capabilities since then, should the 737 MAX 8 undergo its own recertification process?

Answer. As the lead representative for the state of design and manufacture of the aircraft, the NTSB is examining the original certification process used to approve the Maneuvering Characteristics Augmentation System (MCAS) function on the Boeing 737 MAX. This investigative work is ongoing, and where deficiencies are identified, the NTSB will make safety recommendations, as appropriate.

Culture of Safety.

Question 2. What advice would you give to the next FAA Administrator on best practices for ensuring a robust a culture of safety within the FAA organization and across the aviation industry?

Answer. There are 245 NTSB recommendations to the FAA that remain open; several others have been closed—unacceptable. I encourage the next FAA Administrator to work the NTSB to close these recommendations acceptable.

If there were two crashes in the United States . . .

Question 3. If there were two crashes in the United States of the same plane, is there anything that NTSB or others would be doing differently than what is being done now? If yes, what would be different?

Answer. If there were two crashes in the United States of the same plane, the NTSB would be leading the investigation. ICAO Annex 13 requires that, as the states of occurrence, Indonesia and Ethiopia are responsible for leading their respective investigations. However, because the MAX 8 was designed, certified, and manufactured in the United States, in accordance with ICAO Annex 13, the United States is afforded the right to participate in both investigations. This enables us to identify safety deficiencies that must be promptly addressed by the FAA, the manufacturer, as well as others deemed appropriate, and through NTSB safety recommendations, when needed.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
HON. ROBERT L. SUMWALT III

NTSB "Most Wanted List" for Safety Improvements. The NTSB describes its "Most Wanted List" for safety improvements as the agency's premier advocacy tool. This list identifies the top safety improvements that can be made across all transportation modes to prevent accidents, minimize injuries, and save lives. Yet, some NTSB safety recommendations remain open and unresolved for years and years.

Question 1. What more can be done to help raise awareness of NTSB's safety recommendations and to encourage their swift adoption by transportation agencies and private entities?

Answer. The purpose of the NTSB's Most Wanted List is to increase awareness of and support for NTSB safety recommendations that have not been implemented. It is the primary point of leverage to spur recommendation recipients to action. It focuses on those issue areas that need an extra push to get implemented to prevent accidents, reduce injuries, and save lives.

In recent years, I have worked to improve the identification of those issue areas for the Most Wanted List where the greatest difference can be made to improve safety and focused advocacy efforts in those areas. For example, the 2019–2020 Most Wanted List promotes 46 specific safety recommendations that can and should be implemented during the next two years.

The NTSB must continue to work with the U.S. Department of Transportation and its modal administrations, the Coast Guard, other Federal agencies, state and local governments, industry, advocacy organizations, and also with Congress to encourage implementation of open recommendations. If confirmed, I will continue this campaign and collaboration.

Autonomous Vehicles. Driverless cars are currently being tested on public roads and some vehicles are even being sold with low levels of autonomous technology. Several have already been involved in serious and fatal crashes. One such crash that occurred in Williston, Florida in 2016 was investigated by the NTSB.

Question 2. What issues have you seen arise in crashes involving autonomous or partially-automated technology?

Answer. The NTSB has completed two investigations of crashes involving vehicles operating under automated controls; four additional crashes remain under investigation. Among the issues identified as factors in both of the completed investigations is an overreliance on automation and a lack of understanding of system limitations.

In general, I anticipate that automation in vehicles will improve safety and reduce injuries and fatalities on our roadways. This will be accomplished through the adoption of the autonomous building blocks, such as crash avoidance technologies, and collectively with full integration of autonomous vehicles. But there will be challenges as those capabilities are developed and deployed. Ultimately, more data is needed, and it is critical that the data associated with these systems are collected, independently analyzed, and verified. This is needed to enable independent assessment of automated vehicle safety and to foster automation system improvements. The NTSB has issued related recommendations.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. AMY KLOBUCHAR TO
HON. ROBERT L. SUMWALT III

Question. NTSB included reducing fatigue-related accidents on its 2019–2020 Most Wanted List of transportation safety improvements. I have introduced legislation to apply the same rest requirements to cargo pilots as commercial airlines, which would help ensure that cargo plane pilots are sufficiently rested and alert before they fly.

Do you agree that cargo pilots and passenger pilots should operate under the same rest requirements, and if so, what action will you take to ensure that the same rest rules apply to all pilots if you are confirmed?

Answer. Yes, I do agree. As a former airline pilot who, although not flying cargo, did my share of flying on the back side of the clock, I know how fatiguing such a schedule can be. And, at the NTSB, we have seen more than our share of accidents and crashes that involve fatigue.

If confirmed, I will continue to advocate for implementation of NTSB safety recommendations that address fatigue risks, including flight-and duty-time regulations covering cargo operations.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. TOM UDALL TO
HON. ROBERT L. SUMWALT III

Question 1. As you are aware, I have long been active on ways that we can reduce the number of drunk driving fatalities. I know that the NTSB has listed ending impaired driving on its 2019–2020 Most Wanted List of Transportation Safety Improvements and supports lowering the threshold for drunk driving from .08 to .05 percent blood alcohol content (BAC). Why is such an action critical to reducing the thousands of deaths caused each year by a drunk driver?

Answer. Thank you for your longstanding efforts to reduce impaired driving. As you are aware, alcohol-impaired driving accounts for around 10,000 deaths per year in this country. In the NTSB's 2013 Safety Report, *Reaching Zero: Actions to Eliminate Alcohol-Impaired Driving*, we noted studies that found an increased crash risk beginning at 0.04 BAC and nearly doubling by 0.08.

The study also noted that more than 100 countries across the globe, including 25 of 27 European Union member countries, have established maximum per se BAC limits of 0.05 or below, according to the World Health Organization and the International Center for Alcohol Policies.

Our study, which I voted to approve, concluded that:

Blood alcohol concentration (BAC) levels higher than 0.05 are viewed by respected traffic safety and public health organizations around the world as posing unacceptable risk for driving, and more than 100 countries have already established per se BAC limits at or below 0.05.

Changing legal per se blood alcohol concentration (BAC) limits from 0.08 to 0.05 or lower would lead to meaningful reductions in crashes, injuries, and fatalities caused by alcohol-impaired driving.

I supported these findings then, and I support them now.

Question 2. Driverless cars are currently being tested on public roads and some vehicles are being sold with low levels of autonomous technology. Several have already been involved in serious and fatal crashes. Once such crash that occurred in Williston, Florida in 2016 involving a Tesla Model S was thoroughly investigated by the NTSB. What are some of the flaws that the NTSB identified in that crash investigation?

Answer. One of the issues identified in that crash investigation was that although Tesla didn't design the vehicle to be operated in "Autopilot" mode on secondary roads (such as the highway where the crash occurred), the autopilot mode could actually be engaged on such roadways. Instead, the vehicle was intended to be operated on limited access roads, such as interstates, where vehicles can't cross directly across the road. That limitation was significant, in my opinion, because in this crash, the Tesla's automated vehicle control system was not designed to detect crossing traffic. Therefore, when the 18-wheeler crossed in front of the Tesla, the system did not detect it. Because the driver was apparently inattentive, a tragic collision occurred when the Tesla struck the side of the semitrailer then crossed underneath, shearing off the car's roof. Tragically, the driver—the sole occupant of the car—died in the crash. We issued a recommendation to automobile manufacturers to implement safeguards to ensure their vehicle automated control systems are only operated under the conditions for which they were designed.

Our investigation also found that Tesla's system of determining "driver engagement" was not effective.

Question 3. Why is it so critical that the recommendations issued in the September 2017 report be met in order to help ensure the safety of this developing technology?

Answer. As someone once said, "Our recommendations are written in blood." They are based on accident and crash investigations. We feel that it is vital that our recommendations be implemented to prevent future accidents and crashes. This is especially important now, as the automated vehicle technology is fledgling. Lessons learned and implemented early will help improve safety of the entire self-driving vehicle industry.

Question 4. As an expert in automation across modes, what problems have you seen arise in crashes involving autonomous or partially-automated technology?

Answer. As we've seen with introduction of automation in aviation, automation redistributes workload of the operator. The operator's role changes from a manipulator of the vehicle, to a monitor of the vehicle's path and energy. However, the paradox is that humans are not good at monitoring highly automated, highly reliable automated systems for extended periods of time. Vehicle manufacturers must incorporate means to keep the operator actively engaged in the control loop. If not implemented properly, drivers, pilots, mariners, can develop "automation complacency." In the Willison crash, although the NTSB could not conclusively determine what the Tesla driver was doing, there is ample evidence that he was not tending to the task of monitoring the roadway for crossing traffic.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. TAMMY DUCKWORTH TO
HON. ROBERT L. SUMWALT III

Question. National Transportation Safety Board investigations of school bus crashes has led to a number of recommendations for consideration by Congress, the Administration and States to improve safety. NTSB has recommended installing 3-point safety belts, automatic emergency braking, event data recorders, electronic stability controls, fire-resistant materials and fire suppression systems on school buses.

Please describe the safety benefits of implementing these regulations. Do you concur with these recommendations? Do you agree that passing a Federal law to implement these recommendations would improve safety for school bus occupants and roadway users?

Answer. School bus travel is one of the safest forms of transportation in the United States. However, the NTSB continues to investigate school bus crashes that result in preventable fatalities and injuries.

I do concur with these recommendations and voted in favor of adopting them. Improved occupant protection (including lap/shoulder seat belts), driver oversight, pedestrian safety, fire protection, and collision avoidance technologies are needed to prevent crashes, deaths, and injuries on school buses, and our recommendations in these areas should be implemented.

Regarding lap/shoulder belts, NTSB investigations have shown that while compartmentalization has proven to be effective in reducing occupant injuries in frontal and rear collisions, it is less effective in preventing injuries in side impact and rollover crashes. Seat belts (without the shoulder restraint) still can subject the occupant to significant flailing and neck injuries. Therefore, we have recommended lap/shoulder belts.

I welcome Congress' interest and attention in improving safety and, if confirmed, look forward to continuing to work with you on these issues.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JON TESTER TO
HON. ROBERT L. SUMWALT III

Authority to Enforce NTSB Recommendations. During the unveiling of this year's 2019–2020 Most Wanted List, you were quoted as saying “We at the NTSB can speak on these issues. . . can testify by invitation to legislatures and to Congress, but we have no power of our own to act.

Question 1. Do you think that should change? Do you think NTSB should have the authority to enforce your recommendations? Why/why not?

Answer. I believe that the independence of the NTSB is essential for being able to identify deficiencies in the transportation system, and that is why the NTSB has been an independent agency since the implementation of the Independent Safety Board Act of 1974.

Our job, as I see it, is to identify safety deficiencies and issue safety recommendations designed to correct those issues. Additional operational and regulatory responsibilities could create conflicts of interest and therefore impact the Agency's ability to focus solely on the safety of the system and recommend improvements.

Aircraft Certification Process. The way I see it, the two Boeing crashes were avoidable. Perhaps it was a perfect storm of flawed decisions but 346 people died because of those decisions.

Question 2. Do you think that these crashes confirm that our current system of aircraft design and certification has failed us? What changes in the certification process are needed? What changes are needed for FAA?

Answer. As you are aware, the crashes involving Lion Air and Ethiopian Airlines are being investigated by the Indonesian and Ethiopian governments, respectively. These investigations are ongoing and no conclusions have been reached at this time. As the state of design and certification of the 737, we are examining the U.S. design certification process to ensure any deficiencies are captured and addressed. I anticipate that within the next 60 days, the NTSB will issue a set of recommendations related to our findings in this area.

I welcome Congress' interest and attention in improving safety and, if confirmed, look forward to continuing to work with you on these issues.

Boeing 737 MAX Re-certification. I know that NTSB and others are still gathering facts about the crashes and you do want to be deliberate in your findings.

Question 3. That said, given that the first Boeing 737 entered service 52 years ago and there have been multiple changes in the plane's size, distance and capabilities since then, should the 737 MAX 8 undergo its own recertification process?

Answer. The investigations into these crashes are ongoing and no conclusions have been reached at this time. As the state of design and certification of the 737, we are examining the U.S. design certification process to ensure any deficiencies are captured and addressed. I anticipate that within the next 60 days, the NTSB will issue a set of recommendations related to our findings in this area.

I welcome Congress' interest and attention in improving safety and, if confirmed, look forward to continuing to work with you on these issues.

Culture of Safety.

Question 4. What advice would you give to the next FAA Administrator on best practices for ensuring a robust culture of safety within the FAA organization and across the aviation industry?

Answer. Literally one of the first things I did upon becoming the head of the NTSB was to stress the importance of living our agency's core values, which are Transparency, Excellence, Integrity, and Independence. I've stressed to our staff that when making decisions, we should refer to those values to make sure that what we are doing or about to do is true to them. If not, we should rethink our course of action and do something else. I believe these values provide the guardrails for how we should operate. I've seen numerous organizations move away from their values, which leads to problems. To the Administrator, I would say that whatever values the FAA has, do everything you can to live them. Just having them hanging on the wall isn't enough; they have to be lived.

Always remember that the FAA's job is to be the regulator. The responsibility of the regulator is to *regulate* and *provide oversight*. Your "customers" aren't the airlines; they are not the OEMs; they are not repair stations or airmen. The people you are there to serve are the flying public. You are there to ensure that every time someone steps onto an airplane, they are receiving the highest level of safety. They are counting on you.

If there were two crashes in the United States . . .

Question 5. If there were two crashes in the United States of the same plane, is there anything that NTSB or others would be doing differently than what is being done now? If yes, what would be different?

Answer. The primary difference would be that the NTSB would be the lead investigative agency. Nevertheless, because the MAX 8 was designed and manufactured in the United States, in accordance with ICAO Annex 13, the NTSB is actively participating in the Indonesian and Ethiopian government investigations. Accordingly, the NTSB appointed accredited representatives and is assisting in both ongoing investigations. I am confident that each investigation is being conducted in accordance with international protocols and best practices. Even though the NTSB is not leading these investigations, safety recommendations can and will be issued to address any identified safety issues, if necessary.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. JERRY MORAN TO
HON. THEODORE (TODD) E. ROKITA

Question. CEO Anderson has continually noted the importance of looking toward urban areas as we start work on FAST Act reauthorization. In a letter this past May, Mr. Anderson also noted that Congress should consider "city and state population size" when considering "basic performance standards," as the Senate looks toward FAST Reauthorization. This is particularly alarming for rural communities who depend on this service, like many of my constituents who utilize the Southwest Chief route.

Your testimony today mentioned your work on passage of the FAST Act during your time in the U.S. House of Representatives and representing a state that depends on Amtrak long-distance routes. Can you explain the importance in protecting long-distance routes, particularly those in rural communities?

Answer. I understand Amtrak is working on assessing numerous markets for potential operational and financial viability. Considering Congress' significant role in oversight with Amtrak, I'm informed that this work is meant to help Congress determine how it can help Amtrak modernize, evolve, expand to new markets, improve service to existing markets, and increase service to more of their constituents. Part of this discussion will be the future role of the NEC, state-support routes and long distance in the larger transportation network. I believe there is an important role for long-distance routes and I hope to learn more, if confirmed, during my service on the Board about the value these trains can bring to rural communities. As a former Member of Congress, I represented a largely rural state, and saw much of this first hand. To date, my meetings with various Senators and their offices have

been valuable in justifying the need for a nation-wide network. If confirmed, my approach with Senate offices will be the same open-ended and personal approach I have taken during this confirmation process.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
HON. THEODORE (TODD) E. ROKITA

Amtrak Safety Culture and Safety Management System (SMS). One month before a fatal Amtrak derailment in DuPont, Washington in December 2017, the Chairman of the NTSB, Robert Sumwalt, provided an ominous warning about Amtrak's safety culture. He said quote, "Amtrak's safety culture is failing, and is primed to fail again, until and unless Amtrak changes the way it practices safety management." Amtrak CEO Richard Anderson has testified before this committee that improving the safety culture at Amtrak is one of his top priorities.

Question 1. As a member of the Amtrak board, will you fully support efforts to improve Amtrak's safety culture, including ongoing efforts to implement a safety management system, or SMS?

Answer. Yes. As my testimony at Committee indicated, I completely agree that safety is and should remain Amtrak's highest priority. I understand that Mr. Anderson has made significant strides in improving Amtrak's safety culture and putting in place an industry standard Safety Management System (SMS) overseen by Amtrak's Chief Safety Officer, elevating this element of the company to the executive level. I applaud Mr. Anderson's efforts and will continue to push for a strong safety culture and continuous improvement in these systems. Safety is an ongoing effort and, if confirmed, I will work with my Board colleagues to support these critical actions.

Amtrak's Long-Distance Routes. Amtrak's long-distance routes are important to Washington's rural communities. There are two long-distance lines in my state, the Coast Starlight and the Empire Builder. These lines serve 15 communities in my state, the majority being smaller rural communities. Yet the administration has repeatedly advocated for eliminating these long-distance routes. And last year, Amtrak proposed replaced a portion of the Southwest Chief service with bus service through Kansas, Colorado, and New Mexico.

Question 2. Why is it important to maintain Amtrak's network of long-distance passenger service as a whole?

Answer. Long-distance service provides a critical link to many communities across the United States. The existence of this service has connected communities for decades. However, I understand from past testimony that the Nation's demographics are shifting and that it's important for Congress and Amtrak to look into how to improve the current system that hasn't changed at any significant level since the 1970s. Amtrak customers, and your constituents, do and should expect reliable, on-time transportation options. If confirmed, I hope to provide that scrutiny on the Board.

Question 3. Will you assure this committee that you will support continuing Amtrak's long-distance routes?

Answer. Yes. I will continue to support Amtrak's long-distance routes and look forward to how Congress handles this issue in the next surface transportation authorization.

Amtrak Funding. When serving in the U.S. House of Representatives, you voted to end Federal funding to Amtrak.

Question 4. Without Federal funding, Amtrak would have difficulty operating outside the Northeast Corridor. Should Amtrak only serve areas where it makes a profit from ticket revenue?

Answer. I believe in fiscal responsibility and I also believe that my votes against these funding provisions sent a message to Amtrak that they should be spending the taxpayer's money wisely. If confirmed, I intend to bring that sense of responsibility to the American taxpayer to this position and exercise the fiduciary responsibility of a member of the Board. I did vote ultimately to support full passage of the FAST Act of 2015, which included Amtrak reauthorization. In law, Amtrak is required by Congress to attempt to run a profitable company to the best of its ability. I recognize that this sometimes means making difficult choices across the system, but it is important, given Amtrak's unique structure that these decisions be done with the consultation and advice of Congress. Ultimately, Congress is tasked under our Federal Constitution with the responsibility for how taxpayers' resources are spent.

Question 5. Do you view continuing passenger rail service in rural areas as necessary?

Answer. Rural areas frequently benefit from passenger rail service. But this service should be reliable, on-time and at a realistic time that works well for the community and providing what the customers in these community expect for service. Many times, these trains are late due to freight train interference, show up in the middle of the night and provide amenities that are outdated. Our rural communities should expect better and I hope to work with Amtrak to improve these circumstances and ensure rural communities remain connected to the larger transportation network.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. AMY KLOBUCHAR TO
HON. THEODORE (TODD) E. ROKITA

Question. The Empire Builder, one of Amtrak's longest rail lines, provides a vital link for many rural towns in Minnesota and helps generates about \$327 million in economic impact annually for cities along its route. The President's budget calls for reducing Federal funding for Amtrak's long-distance services. Will you commit to protecting funding for Amtrak's long distance services like the Empire Builder if you are confirmed to this position?

Answer. Long-distance is an important part of Amtrak's network. Mr. Anderson noted that the Empire Builder is a viable part of that network in his recent testimony, but as I stated earlier, many times, these trains are late due to freight train interference, show up in the middle of the night and provide amenities that are outdated. Our rural communities should expect better and I hope to work with Amtrak to improve these circumstances.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. TOM UDALL TO
HON. THEODORE (TODD) E. ROKITA

Question. There are significant concerns that the current CEO of Amtrak will undermine the long-distance national network. As you may be aware, last year Amtrak proposed replacing a significant portion of the Southwest Chief route with buses. How will you independently analyze Amtrak's proposals for the network?

Answer. As noted previously, I believe long-distance service provides a critical link to communities across the United States. If confirmed, I am committed to analyzing all of Amtrak's proposals across the network to fully understand and build a more fiscally responsible, reliable, and safer national passenger rail network. I believe there is an important role for Amtrak, especially in connecting our rural communities, and I hope to learn more, if confirmed, during my service on the Board about the value these trains can bring across the entire network.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JON TESTER TO HON.
THEODORE (TODD) E. ROKITA

Federal Subsidies for National Rail Service. There's a constant drumbeat that long-distance rail lines are unprofitable money pits and we should protect taxpayers' money by eliminating Federal funding of these lines.

What I don't understand is the double standard. Other travel infrastructure—highways, airports—is heavily subsidized by the Federal government and not profit-generating centers.

Question 1. Why do you think long-distance rail travel is singled out?

Answer. It's a good point. Every mode of transportation receives some form of government assistance. I think it is important to consider the return on investment; basically, how many rides are produced by taxpayer's dollars, and I think intercity passenger rail can play an important role in the transportation network and in many cases a strong ROI. If we are going to compare ROI across modes, it is also fair to consider the utilitarian aspect of each mode—that is how many Americans are using each mode.

Question 2. You voted on multiple occasions while in Congress to cut Amtrak funding. Do you still stand by your votes to defund Amtrak and why?

Answer. I believe in fiscal responsibility and I also believe that my votes against these funding provisions sent a message to Amtrak that they should be spending the taxpayer's money wisely. If confirmed, I intend to bring that sense of responsibility to the American taxpayer to this position and exercise the fiduciary responsi-

bility of a member of the Board. I did vote ultimately to support full passage of the FAST Act of 2015, which included Amtrak reauthorization.

Question 3. What needs to be done to make long-distance rail service profitable?

Answer. There is no evidence that any intercity passenger rail company worldwide can provide a profitable long-distance (over 750 miles) service. This possibility is even less in the United States given the vast expanses Amtrak must travel to provide the service, and on leased track. However, it is important to note that there is evidence that corridors shorter than 400 miles that link major population centers can thrive as evidenced by the Northeast Corridor and some of the state-supported routes Amtrak currently operates today and wants to expand in the future.

Great Financial Bottom Line, Little Guy Loses. In the President's FY2020 budget request, it states that "restructuring the Amtrak system can result in better service". You know what often happens when companies restructure? The financial bottom line looks great, but the little guy loses.

Question 4. As a member of Amtrak's Board, what will you do to protect the little guy—to protect access to rail service for people and communities in Montana and rural America?

Answer. Long-distance is an important part of Amtrak's network. Mr. Anderson noted that the Empire Builder is a viable part of that network in his recent testimony, but as I stated earlier, many times, these trains are late, show up in the middle of the night and provide amenities that are outdated. Our rural communities should expect better and I hope to work with Amtrak to improve these circumstances.

Establishing a standing committee for long-distance lines. During the past couple of years, Amtrak made operational decisions with little or no opportunity for impacted rural stakeholders to offer information and perspectives about the changes. Amtrak already has separate standing Amtrak-stakeholder committees for the Northeast Corridor and State-Supported routes.

Question 5. Would you commit to supporting the establishment of an Amtrak-stakeholder committee to address national long-distance rail service issues?

Answer. Since I have not served on the Board, I do not know the ins and outs of Amtrak and how it interacts with the various Committees that Congress has established. However, it is my understanding that the stakeholder committees you reference for the NEC and state-supported routes were established to facilitate cost-sharing agreements as required by Congress. If confirmed, I promise to look into this idea for long-distance routes.

Restore Ticket Agents at Havre & Shelby. Last year, Amtrak shut a number of ticket offices across the country—citing that other options were available including on-line Internet and automated telephone ticket purchases. Two of those closed ticket offices were at Havre and Shelby stations in Montana. At the time, Amtrak informed me that the decision was made to cut costs "without significantly impacting service to your constituents." Well, that's just not the case. If Amtrak had reached out to these communities prior to implementing its decision, perhaps it would have discovered that nearly 25 percent of Montanans do not have access to a SINGLE broadband provider. How does one buy a ticket online if one doesn't have access to any—never mind reliable—Internet. By the way, there is no Wi-Fi available at ANY Amtrak station in Montana.

In a different case, two grandparents found out the hard way when they arrived at the station to put their grandson on the train home that unaccompanied minors can only board at stations where a ticket agent is present. So, they had to buy tickets for themselves on the spot—at the last minute and, I suspect, at premium rates.

Amtrak's service support in rural America needs to be greater, not less. Alternative support solutions readily available in larger, more urban areas are in fact fewer or non-existent in rural America.

Question 6. Given the types of unforeseen events passengers and community members encounter at Havre and Shelby stations, will you commit to supporting restaffing these stations with ticket agents?

Answer. Thank you for this insight. I am aware of these examples from a very helpful conversation I had with your office. Given the complexity of this issue, I hope to spend time looking into this, if confirmed. I have heard from several offices on the various impacts to the system when station agents are shifted and realize its importance to each community. I would look forward to being a partner in working towards viable solutions for these issues.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JERRY MORAN TO
MICHAEL J.K. KRATSIOS

Question 1. Senator Udall and I led the enactment of the Modernizing Government Technology (MGT) Act in 2017 in an effort to replace unsupported, legacy IT systems that plague Federal agencies and pose significant cybersecurity risks to the Nation's critical infrastructure. While individual Federal agencies need to remain vigilant in identifying and replacing their legacy IT systems, what role does the White House Office of Science and Technology Policy play in coordinating such efforts across the Federal government?

Outside replacing legacy IT systems, do you have other suggestions for this Committee as to what should be done to improve the Federal government's protections against cyber-attacks?

Answer. Upgrading the Federal IT infrastructure is of paramount importance. At the onset of this administration, the President created the American Technology Council with the stated intent of driving the modernization of Federal IT. Both the OSTP Director and U.S. CTO are members of this council, and if confirmed, I will use the ATC as a venue for ensuring that Federal agencies maximize use of the important tools which Congress has provided to undertake this important effort. On behalf of the ATC, my office coordinated a report to the President on Federal IT Modernization. This report laid out over 50 actions that Federal Agencies needed to perform to jumpstart their IT Modernization efforts to improve their cybersecurity posture, and all of these actions have been completed. These actions, combined with important legislation such as the MGT act, have set the stage for Federal Agencies to greatly improve their cybersecurity posture through IT Modernization.

In addition, OSTP plays an important role in coordinating the research and development (R&D) needed to address longer term cybersecurity challenges and risks to the Nation's critical infrastructure. Through the Networking and Information Technology Research and Development (NITRD) Program, OSTP is developing a Strategic Plan Implementation Roadmap to coordinate cybersecurity R&D efforts across the Federal government. This Strategic Plan Implementation Roadmap is being prepared per statutory requirement for public provision of this information pursuant to the Cybersecurity Enhancement Act of 2014, Public Law 113-274, Section 201(a)(2)(D), Implementation Roadmap, and under direction from the NITRD Subcommittee of the National Science and Technology Council Committee on Science and Technology Enterprise.

This Implementation Roadmap will provide information on the projects and programs being planned or carried out in Fiscal Years 2019, 2020, and possibly beyond, to meet the objectives of the 2016 Federal Cybersecurity Research and Development Strategic Plan, which was developed by NITRD's Cyber Security and Information Security and Assurance Interagency Working Group. The strategic plan provides priorities for cybersecurity R&D in alignment with the NIST Framework for Improving Critical Infrastructure Cybersecurity, which provides guidance on managing and reducing cybersecurity risk confronted by businesses and organizations.

Question 2. Earlier this month, OMB released a request for information to identify access or quality improvements for Federal data sets and models. Given the Administration's commitment to boosting research initiatives around artificial intelligence demonstrated by announcements like the American AI Initiative, what type of feedback is the Administration seeking in this request for information? Are there plans going forward beyond collecting this information?

Answer. As called for by the American AI Initiative, this OMB request for information (RFI) invites the public, the research community, and the private sector to identify improvements to Federal data and models needed to accelerate innovative, trustworthy AI. This RFI will help guide the efforts of agencies in identifying opportunities to increase data and model access and use by the greater non-Federal AI research community in a manner that benefits that community, while protecting safety, security, privacy, and confidentiality. The availability of these data sets and models to the AI R&D community could stimulate new developments that would enhance the transparency and explainability of AI applications, as well as illuminate ways to ensure the robustness, security and safety of AI applications.

In identifying data and models for consideration for increased public access, agencies will identify any barriers to, or requirements associated with, increased access to and use of such data and models, including privacy and civil liberty protections, safety and security concerns, data documentation and formatting, and any other changes necessary to ensure appropriate data and system governance.

Agencies will identify opportunities to use new technologies and best practices to increase access to and usability of open data and models, and explore appropriate

controls on access to sensitive or restricted data and models, consistent with applicable laws and policies, privacy and confidentiality protections, and civil liberty protections.

Agencies will also be requested to improve data and model inventory documentation to enable discovery and usability, and to prioritize improvements to access and quality of AI data and models based on the AI research community's user feedback.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
MICHAEL J.K. KRATSIOS

Protection of Civil Rights. As new technologies such as artificial intelligence (“AI”), are developed, our Nation will need to weigh both the societal implications and the benefits of these technologies.

Question 1. What is your philosophy on how the United States government should balance economic growth and security with the societal impacts of new technology?

Answer. I believe it is critical for the U.S. to promote innovation and economic growth while at the same time balancing safety and security for all Americans. The work I have led at OSTP over the past two years puts this philosophy into practice.

The American AI Initiative, the national strategy for AI that President Trump launched in February 2019 via Executive Order 13859, is rooted in the fundamental principle that in the United States, AI should never be used at the expense of our civil liberties and our freedoms. The United States must develop AI in a way that strengthens public trust, protects civil liberties, and remains true to democratic principles—the principles of freedom; the rule of law; privacy; respect for intellectual property; free, fair, and reciprocal markets; the inherent dignity of the individual; and opportunities to all to pursue their dreams. In addition, the broader impacts of AI on society must be considered, including implications for the workforce and assurances that AI will be developed responsibly.

Addressing these challenges and opportunities first requires research and development (R&D) programs to achieve fundamental breakthroughs for understandable, trustworthy, robust, and safe AI. As part of the American AI Initiative, we must continue strong engagements with the broad multistakeholder communities, including industry, academia, civil society, and international partners, to ensure relevant implications of AI advancements are identified and addressed. Federal agencies must also foster public trust in AI systems by establishing regulatory and non-regulatory guidance for AI development and use across different types of technology and industrial sectors, as they are now doing as directed by the American AI Initiative. This guidance will help Federal regulatory agencies develop and maintain approaches for the safe and trustworthy creation and adoption of new AI technologies.

Through these and related approaches, we will help ensure that our Nation continues developing world-class AI technologies that strengthen our economy, security, and quality of life, while at the same time developing and deploying it in a manner that is consistent with our American values and ensures that all Americans will benefit.

Experience. Unlike prior Chief Technology Officers, you lack a scientific or technical background.

Question 2. How do you plan to compensate for this as Chief Technology Officer?

Answer. Prior to joining the Administration in 2017, I spent my career advising and investing in technology companies. I saw firsthand what it takes for an emerging technology to succeed, and how government's role can either support innovation or keep it in captivity. This experience gave me a deep understanding of the regulatory environments needed to strengthen U.S. leadership in technology and ensure all Americans reap the benefits of emerging technologies.

In addition, I have had the privilege of leading the White House's technology agenda for over two years as the Deputy Assistant to the President for Technology Policy and Deputy U.S. Chief Technology Officer. During this time, we have made critical progress to advance initiatives in artificial intelligence, quantum information science, 5G, rural broadband, science, technology, engineering, and mathematics (STEM) education, and commercial drones.

As U.S. Chief Technology Officer, I will continue my focus on strengthening U.S. leadership in the Industries of the Future to increase our prosperity, enhance our security, and raise the quality of life for all Americans.

Question 3. From whom will you seek advice for the development U.S. technology policy?

Answer. I am very proud to lead a talented team of policy advisors at the White House Office of Science and Technology Policy who are highly regarded experts in

their fields. Under my leadership, OSTP has brought in scientific and technical experts from across the Federal government, the academic community, and the private sector.

In my role as Deputy Assistant to the President for Technology Policy, I have also placed an emphasis on listening to and receiving input from a wide range of voices throughout the policy creation process. In developing various national strategies and policy actions, I have convened leaders from across the Federal government, the academic community, the private sector, and non-profits for White House Summits on 5G, quantum information science, STEM education, and AI.

I will continue to seek advice, input, and ideas from many diverse perspectives on America's U.S. technology policy agenda.

Workforce Development. I noted in your written testimony that you cited the importance of workforce development.

Question 4. What role should OSTP play in developing the skilled workforce, including training workers for careers that don't require a college degree, but do require technical skills?

Answer. OSTP plays an important role in developing strategies, policies, and partnerships for skilled workforce development. Workforce development is important at all levels, including K-12, technical training, college and graduate school, as well as worker reskilling.

Under my leadership, OSTP led in the development of the National Five Year Strategic Plan for STEM Education, released in December 2018. The goal of the Strategic Plan is to ensure Americans from all backgrounds and all parts of the Nation have lifelong access to STEM education. Created with input from the education community, the Strategic Plan places special emphasis on traditional and nontraditional education pathways as well as work-based programs like apprenticeships and internships.

Additionally, OSTP works with Federal agencies to identify appropriate strategies and policies for prioritizing workforce development in key emerging technology areas.

For example, the OSTP-led American AI Initiative launched by the President, calls for Federal agencies to prioritize fellowship and training programs to help American workers gain AI-relevant skills through apprenticeships, skills programs, and STEM education. This Initiative also calls for the Federal agencies to work with the National Council for the American Worker to identify new ways of providing AI-related education and workforce training and reskilling opportunities, in partnership with industry and educational institutions.

OSTP has developed similar relevant workforce training strategies for other technology areas, such as quantum information science and advanced manufacturing.

Priorities. There is no shortage of actions you could take or policy areas you could focus on as Chief Technology Officer. A number of issues you mention in your testimony are the culmination of years of work by Federal scientists.

Question 5. If confirmed, what new areas science and technology policy do you think are important for the U.S. to invest and lead on? Please provide your rationale for each.

Answer. Over the past two years at OSTP, I have led the Administration's efforts to advance American leadership in the industries of the future by focusing on specific areas: artificial intelligence, quantum science, and 5G. We've made significant progress, but the importance of continued U.S. leadership and investment in these fields cannot be overstated.

Our leadership in the Industries of the Future lifts up Americans from all backgrounds in every corner of our Nation. These technologies will underpin continued innovation in emerging fields like self-driving cars, telemedicine, supercomputing, advanced manufacturing, civil supersonic flight, and more. The Federal government has a critical role to continue to invest in basic research and development in areas lacking private sector business incentive, as well as ensure the regulatory landscape supports both innovation and safety for all Americans.

AI and Automation Impacts on Workers. The President's Management Agenda sets a Cross Agency Priority goal of shifting Federal employees "from low-value to high-value work," including through robotic process automation and other tools.

Question 6. How is the White House artificial intelligence ("AI") council that you lead helping achieve this goal?

Answer. The Select Committee on AI, formed by the White House in May 2018, consists of the most senior R&D officials across the Federal government. The Select Committee provides advice on interagency AI R&D priorities, considers the creation of Federal partnerships with industry and academia, establishes structures to im-

prove government planning and coordination of AI R&D, and identifies opportunities to prioritize and support the national AI R&D ecosystem. While OMB and the Office of Personnel Management are primarily responsible for executing the Cross Agency Priority goal, the Select Committee on AI also serves as an important resource within the Federal government for expertise in AI education and workforce strategies and opportunities, potential academic and industry partnerships, and understanding the current capabilities of AI and opportunities for AI deployment.

As part of the President's American AI Initiative, the Select Committee on Artificial Intelligence also helps the National Council for the American Worker to identify new ways of providing AI-related education and workforce training opportunities, in partnership with industry and educational institutions. These activities will also inform the Federal government's activities in shifting Federal employees from low-value to high-value work.

Question 7. What lessons learned or best practices has this initiative identified that could help guide broader policy efforts to address potential worker displacement and other disruption from as automation increasingly impacts American workplaces?

Answer. As advances in technology, automation, and AI change the national economy, so too must the country's education and job training programs change to prepare Americans for the new economy and the emerging industries of the future. Strong partnerships between the government, industry, and educational institutions are important for addressing these workplace changes. President Trump's July 2018 executive order establishing the President's National Council for the American Worker is an important initiative addressing these workplace challenges, and provides opportunities for American workers to adapt to the new workplace environment.

The President's American Artificial Intelligence Initiative calls for the Select Committee on Artificial Intelligence to work with the National Council for the American Worker to identify new ways of providing AI-related education and workforce training opportunities, in partnership with industry and educational institutions. These opportunities will provide American workers with affordable education and skills-based training for the jobs of today and of the future.

Looking to the future, AI will continue to require a highly technical workforce trained for STEM careers. Recognizing the importance of building up the pipeline of trained workers, the American AI Initiative focuses on training the next generation of AI users, developers, and researchers through apprenticeships, skills programs, and education in science, technology, engineering, mathematics, and computer science.

As automation and AI become more prevalent, allowing Americans to work more efficiently and safely, the American workforce and industry must embrace lifelong learning as the way of the future. The Trump administration is committed to smart workforce initiatives that protect the American worker as a vital national asset while promoting the emerging technologies of tomorrow.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. JON TESTER TO
MICHAEL J.K. KRATSIOS

Climate Change. The public sector has historically played a foundational role in the development, deployment and wide-spread adoption of a wide variety of technologies (e.g., GPS, lasers, computing). Understanding climate change and developing tools to mitigate climate change impacts is important for our society, economy and national security.

Question 1. What kinds of innovation are needed to facilitate climate change mitigation?

Answer. Examples of technological innovations to facilitate climate change mitigation include developing or enhancing technologies to reduce emissions; technologies to advance nuclear and renewable energy production; reducing energy demand by increasing energy efficiency; and removing carbon from the atmosphere through carbon capture, utilization, and storage technologies. The Department of Energy has primary programmatic responsibility for advancing research and development for these and related technologies. As noted below, OSTP provides high-level budget guidance to guide DOE's activities.

Question 2. In your role since joining OSTP, how have you led the Federal government in fostering technological innovations to address climate change? What are your plans for future OSTP and/or Federal agencies' actions to address climate change?

Answer. Each year, OSTP and OMB provide R&D budget priorities memos that highlight Administration priorities and provide guidance to agencies as they formulate their Fiscal Year budget submissions. The FY 2019 R&D budget priorities memo stated that, “development of domestic energy sources should be the basis for a clean energy portfolio composed of fossil, nuclear, and renewable energy sources. Agencies should invest in early-stage, innovative technologies that show promise in harnessing American energy resources safely and efficiently . . . Federally-funded energy R&D should continue to reflect an increased reliance on the private sector to fund later-stage research, development, and commercialization of energy technologies.”

The FY 2020 R&D budget priorities memo augmented that direction with the statement that, “[a]gencies should invest in user facilities that can improve collaboration with industry and academia and achieve advancements across the full spectrum of discovery, from incremental improvements to game-changing breakthroughs.”

The responsibility for guiding future science and technology-related actions by OSTP and Federal agencies to address climate change lies within the portfolio of the OSTP Director.

Moving forward, OSTP looks forward to continued efforts to foster technological innovations that address our Nation’s greatest challenges in climate, energy, and environment.

Question 3. What current policy instruments does OSTP have to create new modes of governance and policy collaboration that are needed to effectively address climate change?

Answer. OSTP uses a number a number of mechanisms to advance policy, including the following:

- (1) The National Science and Technology Policy Council (NSTC) coordinates Executive Branch science and technology policy across the diverse entities that make up the Federal research and development enterprise. Chaired by the President, the membership of the NSTC is made up of the Vice President, Cabinet Secretaries and Agency Heads with significant science and technology responsibilities, and other White House officials. In practice, the White House Office of Science and Technology Policy oversees the NSTC’s ongoing activities;
- (2) OSTP and OMB annually release an R&D budget priorities memo that highlights Administration priorities and provides guidance to agencies as they formulate their Fiscal Year budget submissions;
- (3) OSTP leads and contributes to the development of Presidential Executive Orders and Presidential Memoranda that establish Executive Branch policy and guide agency actions thereunder; and
- (4) OSTP engages with Federal agencies and the stakeholder community to develop or support policy initiatives.

STEAM Education. To effectively respond to many of the problems facing our nation, new scientific and technological advances are needed. A diverse STEAM workforce is essential for driving new discoveries and innovations as well as to preserve U.S. competitiveness. Achieving scientific and technological advances will require changes in what people learn and how they learn it.

Question 4. How is OSTP using technological innovations to ensure full participation of all groups across U.S. society in the STEM workforce?

Answer. The full benefits of the Nation’s STEM enterprise will not be realized until all members of society have equitable access to STEM education and there is much broader participation by those historically underserved and underrepresented in STEM fields and employment. Increasing diversity, equity, and inclusion in STEM is one of the central goals of the Administration’s strategic plan for STEM education. When organizations are diverse in terms of gender, race, socioeconomic status, ethnicity, ability, geography, religion, etc., and provide an inclusive environment that values diversity, they better retain talent and are more innovative and productive. Broadening participation is a fundamental prerequisite for making high-quality STEM education accessible to all Americans and will maximize the creative capacity of tomorrow’s workforce.

OSTP has encouraged Federal agencies—and the broader STEM education community—to expand the use of digital platforms for teaching and learning, because they enable anywhere/anytime learning; make possible individualized instruction customized to the way each person learns most effectively; and can offer more active and engaging learning through simulation-based activities or virtual reality experiences. These tools have the potential to decrease achievement gaps in formal edu-

cational settings and to offer rapid reskilling or upskilling opportunities in the workplace. OSTP is also working to further facilitate public-private partnerships that extend broadband Internet access to high-need communities and help establish and scale online credentialing and retraining platforms that aid worker adaptation to the digital economy.

Implementation of the STEM education strategic plan is currently in progress. Some of the key focus areas for Federal agencies to further the use of digital platforms include (1) expanding research on and support for development of curricula using digital tools and universal design principles, (2) sponsoring, participating in, and/or encouraging workshops, hack-a-thons, and other activities that bring together communities of practice and train STEM educators on how to most effectively use digital tools and learning models, and (3) identifying and prioritizing support for practices and learning models for distance learning that most effectively reach underserved and rural populations.

Question 5. How should technology be incorporated into educational experiences to maximize the potential to learn, explore, and think beyond the known?

Answer. Simulation-based games, mobile platforms, virtual environments, and augmented reality tools can heighten curiosity and increase learner engagement. Dedicated learning spaces supported by online teaching tools and adaptive, embedded technologies offer educators and learners flexibility in structure, equipment, and access to materials, both in the natural world and in virtual and augmented settings. Real-time, intelligent feedback cycles can facilitate new modes of learning and collaboration among peers and educators. Moreover, as technology continues to reshape most jobs, American workers could engage in reskilling or upskilling through just-in-time digital modules, obtaining lifelong credentials. This expansion of opportunity offers the potential to reduce the access and achievement gaps across the country.

OSTP supports Federal agencies as they continue to fund R&D for new and improved digital platforms for teaching and learning and assess the scalability of successful pilots. For example, Federal agencies invest in research to create AI-enhanced learning tools and tutors. AI-based tutoring tools can gauge the development of the student and generate customized learning plans to challenge and engage each person based on their interests, abilities, and educational needs. AI tutors can be made universally available, complement in-person teachers, and focus education on advanced and/or remedial learning appropriate to the student.

Question 6. What should OSTP be doing—either more of or initiate doing—to ensure our teachers are aware of education opportunities and well-trained to advance “STEAM” education?

Answer. Federal agencies that engage in STEM education offer authentic STEM experiences for the professional development of educators, fund empirical research on effective teaching practices, support innovative instructional technology platforms, and release Federal datasets with associated problem sets for use in classrooms. In some cases, these resources are disseminated effectively to the STEM education community. For example, to provide educators with the information they need to make evidence-based decisions, the Department of Education created the “What Works Clearinghouse” to answer questions about what works in education. For more than 15 years, the clearinghouse has reviewed existing research on educational programs, products, practices, and policies and shared its findings with educators and the public. Of particular interest to STEM educators are the clearinghouse’s extensive reviews of approaches to math and science education, as well as interventions designed to help students transition between high school and higher education and careers.

OSTP is also exploring ways to improve communication with teachers and the broader STEM education community. One of the pillars of the Administration’s Strategic Plan for STEM Education is to “Operate with Transparency and Accountability.” Under that goal is an action to “broadly identify and disseminate effective STEM education programs, practices, and policies, including preK–12 formal and informal, undergraduate, graduate, and lifelong learning.” Agencies are working together through the NSTC’s Committee on STEM Education (CoSTEM) to develop new and improve existing platforms that inform educators about available Federal funding, programming, and other resources. One proposed idea, currently being explored by the group, is a single, searchable, user-friendly online database for Federal resources, similar to those developed by the Department of Energy for undergraduate and graduate students.

RESPONSE TO WRITTEN QUESTIONS SUBMITTED BY HON. MARIA CANTWELL TO
IAN PAUL STEFF

Overseas Export. The President has called himself the “Tariff Man” and has taken steps that can be seen as hostile to international cooperation, such as the President’s travel ban.

Question 1. Are you concerned that these policies will negatively impact our ability to export overseas?

Answer. My concern is with the pervasive and long-standing challenges our U.S. exporters face doing business overseas, including arbitrary foreign standards, burdensome regulations, insufficient intellectual property protection, and other non-tariff barriers that stand in the way of their ability to gain market access and/or grow their exports within a market. If not identified and tackled aggressively, these barriers will continue to negatively impact American exports, particularly to potential growth markets.

The Agency Priority Goal (APG) for the International Trade Administration (ITA) for the past two years has been to reduce, remove, and prevent non-tariff barriers to U.S. exports worldwide, to help our companies gain access and market share for their exports. The U.S. and Foreign Commercial Service teams on the ground in over 70 markets around the world have been instrumental to surpassing our APG for the past two years, resulting in significant economic impact for U.S. exporters in FY 2018.

Collectively, the team’s measurable impact exceeded \$120 billion in FY 2018 with nearly 40,000 clients served—a record year for GM.

Question 2. Is your job harder if the United States is perceived as hostile to foreigners and foreign businesses?

Answer. I do not believe that the U.S. market is perceived as hostile to foreigners and foreign businesses. Given the strength of the U.S. economy, as well as the Administration’s pro-growth policies, foreign companies continue to invest in the United States. According to published reports, we remain the number one investment destination in the world, with more than \$4 trillion in foreign investment stock. This past June, SelectUSA conducted its annual global investment summit, which is designed to attract foreign investors to the United States. Data collected from that event shows that foreign investors are more interested in the U.S. market than ever before. More than 1,200 global business representatives from a record 79 international markets—as well as 700 economic development professionals and service providers from 49 states and territories—attended the 2019 SelectUSA Investment Summit.

I often convey that the U.S. is open for business. Likewise, I recognize and value the many contributions foreign investors and entrepreneurs have contributed to the U.S. economy, manufacturing, and innovation. I look forward to continuing to work with both domestic and foreign companies looking to grow their business and create jobs in America, and engage with international markets looking to increase their purchases of U.S. goods and services.

RESPONSE TO WRITTEN QUESTION SUBMITTED BY HON. AMY KLOBUCHAR TO
IAN PAUL STEFF

Question. While small and medium-sized enterprises account for 98 percent of U.S. exporters, rural businesses are often located far from transportation hubs, making it difficult for them to access international markets. I introduced the Promoting Rural Exports Act with Senator Hoeven to establish a Rural Export Center at the U.S. Commercial Service to help rural businesses access foreign markets and increase exports.

Do you agree that it is important to help our rural businesses access foreign markets, and can you speak to the impact of increasing exports on our economy?

Answer. Yes, I agree completely. This issue is very important to me given my upbringing in rural America and the incredible businesses I have met operating in areas far removed from transportation hubs. In fact, shortly after I joined the Global Markets (GM) team and in my present capacity as the Deputy Assistant Secretary of Commerce for Manufacturing, the first location I visited was Fargo, North Dakota. In Fargo, I saw firsthand the outstanding export promotion work done by our U.S. Commercial Service staff who serve large rural territories. I also met with the District Export Council that has private sector participation from entrepreneurs in rural areas in Minnesota. If confirmed, I look forward to working with you and your colleagues to continue to address foreign market access challenges and opportunities facing our rural communities.

The International Trade Administration (ITA) is the only Federal trade agency with a strong presence in rural America, including a network of 106 offices throughout the United States. ITA trade specialists help rural companies access not only our services, but export assistance from a wide range of private, state and Federal assistance providers. In addition, many of our industry-focused teams cater to activities very commonly associated with rural America, such as our Agribusiness Team and our Energy Team. Our Rural Team consists of approximately 100 of our staff from around the United States that develop programs and best practices to better support rural companies with their exporting needs.

Additionally, supporting exports from rural locations across the U.S. is also linked to GM's foreign direct investment (FDI) attraction mission as well. FDI in the U.S. is incredibly trade intensive and nationally is responsible for a quarter of all U.S. goods exports. Like exports, investment in rural locations can be key to supporting a resilient local economy. GM recently examined greenfield FDI destined for rural locations and found that the average investment project size and jobs created in a rural area is higher than that of a metro area—89 percent larger in value and over 25 percent more in jobs. In rural areas where the population is smaller than that of an urban area, the impact of the jobs created figures are more strongly felt.

