

**Senate Commerce Committee Coast Guard Nominee Questionnaire
117th Congress**

Instructions for the nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type "None" or "Not Applicable" if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., "A", "B", etc.) on a new sheet of paper.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

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

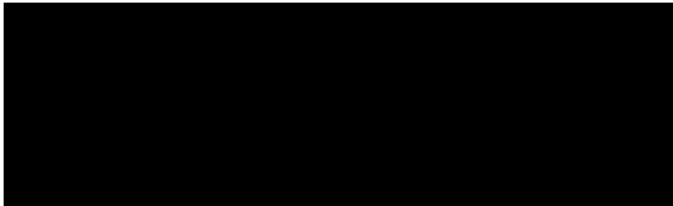
David Christopher Barata

2. Position to which nominated:

Rear Admiral (Lower Half)

3. Date of Nomination: August 16, 2021

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



Office address:
Commandant (CG-82)
2703 Martin Luther King Jr. Ave
Washington, DC 20593

5. Date and Place of Birth:

Date of Birth: December 29, 1971
Place of Birth: Brockton, MA, USA

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:

Name: Barbara Joanne Taylor Barata

Position: Library Page

Place of Employment:

Fairfax County Public Libraries, (Vienna, VA)

Son:

Name: James Calvin Barata, Age: 20



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

College Degree: Bachelor of Science in Management

Year: 1993

School Attended: United States Coast Guard Academy

Graduate Degree: Master of Arts in National Security and Strategic Studies

Year: 2014

School Attended: Naval War College

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.

I have served as a Coast Guard officer since July 23, 1993. Please see my official Coast Guard biography for detailed information.

9. Attach a copy of your resume.

My official Coast Guard biography 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.

St. Francis of Assisi Pastoral Council, Brunssum, Netherlands – Member at Large, 2018-2019: This organization does not restrict membership on the basis of sex, race, color, national origin, age, or disability, however requires religious affiliation for membership.

The American Legion, Member, 2019-2020

This organization does not restrict membership on the basis of sex, race, color, religion, national origin, age, or disability.

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 \$200 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.

Fellowship:

July 2014 - Jun 2015: Senior Military Fellow at the Center for a New American Security (CNAS) as part of the U.S. Coast Guard's Senior Education Fellowship Program (SEFP)

Military Medals:

Legion of Merit (2)

Meritorious Service medal (4)

Coast Guard Commendation Medal (2)

Department of Transportation 9/11 Medal

Coast Guard Achievement Medal

Global War on Terror Service Medal

National Defense Service Medal (2)

Humanitarian Service Medal (2)

Armed Forces Service Medal

Recognition:

2001, Navy League Southeastern Massachusetts/Rhode Island Junior Officer of the Year

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.

Article (Editorial/Co-Authored with Heather Greenley and Jason Tama):
“Is the United States Positioned to Lead in the Arctic?”

Dated: April 26, 2015

[Is the United States Positioned to Lead in the Arctic? \(gcaptain.com\)](http://gcaptain.com)

18. List all 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 Account: David Barata (dcbarata@gmail.com)

<https://www.facebook.com/>

Linked In Account: David Barata

<https://www.linkedin.com/>

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 Coast Guard, what in your background or employment experience do you believe affirmatively qualifies you for appointment to the position for which you have been nominated, and why do you wish to serve in that position?

I have served in a broad range of operational and staff billets over a 28-year active duty commissioned career. These include working operationally across most aspects of port operations, as well as underway aboard a cutter, and as command cadre in the Coast Guard’s deployable specialized forces. Staff-wise, I have filled Director-level executive programmatic functions, worked on human resource initiatives, and overseen and implemented the Coast Guard’s entire budget. I have served internationally as a Commanding Officer and as the Head of Delegation for the United States at international bodies, as well as externally to the Coast Guard as a Senior Military Fellow, and at industry training in a major port complex. These experiences, conducting operations, leading

Coast Guard women and men, and engaging with our Federal, state, local and industry partners as well as our governing bodies at the Department, Administration and Congressional level, have provided me with the foundation to assume this role at the next level of executive leadership.

I wish to serve in this position not only to help continue the proud traditions of the Coast Guard that have existed since our Nation's founding, but also to help shape and lead the Service into the future. I love the Coast Guard, and feel privileged to serve the Nation and our fellow citizens. I enjoy the Coast Guard's broad authorities, unique roles, culture, and most of all, our amazing work force. The demands on the Coast Guard are ever-increasing, and I am excited to be part of a leadership team that understands the need to continuously learn and improve, while remaining true to our core values.

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

The Coast Guard, as an armed force/military service, a regulator, a law enforcement agency, and an entity that has successfully overseen 11 missions for over 231 years, is a trusted institution. Accountability is the cornerstone of that trust, and Coast Guard leaders must set the standard for ethics, and be above reproach, avoiding even the appearance of impropriety at all times. If confirmed, it will be my responsibility to hold not only myself, but my subordinates and the entire enterprise to this high standard, and ensure we are good stewards of the resources and trust afforded by our overseers and the American taxpayers. This includes a proactive and responsive leadership role in management, accounting, auditing, inquiries and investigations of all matters associated with the Service, both inside and outside of my direct organization. We are stronger as a Service and an institution when hold ourselves accountable to the highest ideals and standards.

I have served in leadership roles in several large organizations. This includes as the Coast Guard's Director of Inspections and Compliance (5PC), where I led all of the Nation's Prevention activities associated with the safe operation of commercial and recreational vessels and facilities. I also served as the Coast Guard's Acting Director/Deputy Director of Marine Transportation Systems (5PW), where I oversaw all navigation and waterways management functions across the U.S. I am

currently serving as the Budget Director/Chief, Office of Budget and Programs (CG-82), overseeing the Service's approximately \$13 billion in annual appropriations.

I have had numerous other leadership positions including Acting Sector Commander, Deputy Sector Commander and Prevention Department Head for Sector Jacksonville, Florida, the U.S. Head of Delegation to the International Maritime Organization (IMO) for the Subcommittee on Navigation, Communications and Search and Rescue (NSCR), and Commanding Officer of Coast Guard Activities Europe with an Area of Responsibility covering all of Europe, Africa and the Middle East.

22. What do you believe to be the top three challenges facing the Coast Guard, and why?

The Coast Guard faces numerous challenges. Significant among those:

Personnel/families: The Coast Guard is respected and world renowned because of our people and our culture, supported and enabled by our families. Coast Guard operational and professional excellence stems from the high caliber of our talented workforce - we must continue to recruit and retain the best and brightest candidates the Nation has to offer; in this effort, we must continually strive to recruit a diverse population that reflects the Nation we serve. As the Service is simultaneously competing with all other military services, institutions and job fields, we must ensure we are an employer of choice, an organization of the highest standards, and a place where all members feel welcome and empowered to reach their highest potential. We must also work to take care of our members and their families, and ensure that their medical, housing, and other resources are world class and deserving of the service and commitment they provide every day.

Technology: The Coast Guard must keep pace with the rapidly changing world of technology – this is not merely our C5I infrastructure and systems, but crosses into cyber, data, mobility and evolutionary changes such as autonomous vessels and unmanned aircraft systems. The Coast Guard must continue to modernize both operationally and for efficiency - communications, methods of Maritime Domain Awareness, audit, enterprise risk, evaluation, accountability etc. all depend on 21st Century IT capabilities. Additionally, the commercial industry and private sector are currently modernizing at a pace much faster than the Coast Guard and

the military/Federal government writ large; the way in which we oversee and regulate, interact/conduct business with the public, and receive and provide information must continue to evolve, while we retain the operational excellence, culture, proficiency and professionalism that the Nation expects and deserves.

Readiness: The Coast Guard must continue to make good decisions with and compete for/justify the resources we receive. Expanding and traditional demands on the Service, both at home and internationally, require us to invest in our surface, aviation, shore, IT, and human resources portfolio in order to provide the capability to conduct all mission sets, and across all areas of operation. Our aging assets and infrastructure require immediate, significant and ongoing/sustainable investment, as well as a clear future strategy, to meet that demand. This will require us to tell our impressive story and continue to prove our worth by being the world's best Coast Guard.

B. POTENTIAL CONFLICTS OF INTEREST

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

Please see my nominee PFDR.

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

No

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

None, but if any conflicts of interest or potential conflicts of interest arise, I will obtain advice from a Coast Guard ethics official and follow that advice.

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.

None, but if any conflicts of interest or potential conflicts of interest arise, I will obtain advice from a Coast Guard ethics official and follow that advice.

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

None, but if any conflict of interest or potential conflict of interest concern arises, I will obtain advice from a Coast Guard ethics official and follow that advice.

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, an Inspector General, the Office of Special Counsel, professional association, disciplinary committee, or other professional group? If yes:

No

- a. Provide the name of agency, association, committee, or group;
None
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
None
 - c. Describe the citation, disciplinary action, complaint, or personnel action;
None
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.
None
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 October, 1996, when I was a Lieutenant Junior Grade, I was charged with Petty Theft, Battery, and Battery on a Police Officer. The Dade County Court dismissed all charges in January, 1997. In December, 1997, the Court ordered the police record expunged. The charges stemmed from a verbal altercation at a restaurant between my group of friends and another group. Although I was not present when the altercation started, I returned at the same time as police officers employed as restaurant security. An officer saw what he believed to be a bulge in my pocket and reached his hand into my pocket to retrieve it, approaching me from behind. Surprised because he approached me from behind and without knowing he was a police officer working security, I grabbed his wrist and he arrested me. I immediately reported the arrest to my chain of command, which decided to take no action against me. I have reported this incident in every security clearance investigation since the incident.

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 race, color, national origin, religion, sex (including gender identity, sexual orientation, and pregnancy), age, disability, genetic information, marital status, parental status, political affiliation, engagement in a protected Equal Employment Opportunity/Equal Opportunity (EEO/EO) activity, whistleblower activity, or any other basis? If so, please explain.

No

6. If you have ever served as a general court-martial convening authority involving sexual misconduct or assault, have you ever disapproved the findings of a court-martial related to the offense(s) or reduced the sentence adjudged by a court-martial, other than in connection with a pre-trial agreement?

No

7. 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 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

5. Do you agree, if confirmed, to keep this Committee, its subcommittees, other appropriate Committees of Congress, and their respective staffs apprised of new information that materially impacts the accuracy of testimony, briefings, reports, records—including documents and electronic communications, and other information you or your organization previously provided?

Yes, in accordance with law and DHS policy and guidance.

6. Do you agree, if confirmed, and on request, to provide this Committee and its subcommittees with records and other information within their oversight jurisdiction, even absent a formal Committee request?

Yes, in accordance with law and DHS policy and guidance.

7. Do you agree, if confirmed, to ensure that you and other members of your organization protect from retaliation any military member, federal employee, or contractor employee who testifies before, or communicates with this Committee, its subcommittees, and any other appropriate committee of Congress?

Yes

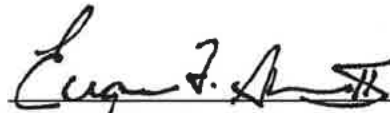
(Nominee is to include this signed affidavit along with answers to the above questions.)

F. AFFIDAVIT

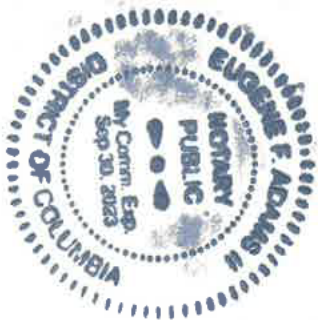
DAVID C. BARATA being duly sworn, hereby states that he/she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of his/her knowledge, current, accurate, and complete.


Signature of Nominee

Subscribed and sworn before me this 20th day of September, 2021.


Notary Public

Eugene F. Adams II
Notary Public, District of Columbia
My Commission Expires 9/30/2023



David C. Barata, Captain, United States Coast Guard

Chief, Office of Budget and Programs (CG-82)



Captain Barata assumed duties as Chief, Office of Budget and Programs in June 2020. In this capacity, he serves as the Coast Guard's Budget Director and is responsible for development and advocacy of the Service's Budget, including Program Review, Budget Formulation, and External Coordination.

Prior to his current assignment at Coast Guard Headquarters, Captain Barata served as the Director of Inspections and Compliance at Coast Guard Headquarters from July 2019 to July 2020. In this position, he developed and maintained policy, standards, and program alignment for all prevention activities associated to the safe operation of vessels and facilities.

Captain Barata's other previous staff assignments include Deputy Director, Marine Transportation Systems (CG-5PW), AC&I Budget Coordinator and Program Reviewer in the Office of Budget and Programs (CG-821), and Senior Marine Safety/Prevention Assignments Officer at CG Personnel Command (CGPC OPM-2).

Captain Barata's field assignments include Commanding Officer of Activities Europe, as well as tours at Sector Jacksonville, Marine Safety Office Providence and Marine Safety Office Miami where he served for over 12 years in various capacities conducting marine safety, OCMI/COTP, prevention and incident response/emergency management missions. Captain Barata also served as the plankowner Executive Officer of Maritime Safety and Security Team Boston (MSST 91110) and as Deck Watch Officer aboard USCGC SENECA (WMEC 906).

Captain Barata is a 1993 graduate of the U.S. Coast Guard Academy, New London, CT, where he earned a Bachelor of Science in Management. Captain Barata earned a Master of Arts in National Security and Strategic Studies from the Naval War College in Newport, RI, in 2014 and served as Senior Military Fellow at the Center for a New American Security (CNAS) in Washington, DC, from 2014-2015.

CAPT Barata's personal awards include the Legion of Merit (2), the Meritorious Service Medal CG MSM (4), the Coast Guard Commendation Medal (2), the 9/11 Medal, and the Coast Guard Achievement Medal. He was selected as the Navy League Southeastern MA/RI Junior Officer of the Year in 2001.

Captain Barata is a native of Jacksonville, Florida. He and his wife, Barbara have three children, James, Caroline and Annie.

Captain David C. Barata

Current Assignment

June 2020 – Present Commandant (CG-82), Budget & Programs, Office Chief/Budget Director

Assignment History

June 2019 – June 2020 Commandant (CG-5PC), Inspections and Compliance, Director
June 2017 – June 2019 Coast Guard Activities Europe, Commanding Officer
June 2015 – June 2017 Commandant (CG-5PW), Marine Transportation Systems, Deputy Director
July 2014 – June 2015 Center for a New American Security (CNAS), Senior Military Fellow
July 2011 – July 2014 Commandant (CG-821), Budget & Programs, Budget Coord/Program Reviewer
July 2008 – July 2011 Sector Jacksonville, Prevention Department Head
July 2005 – July 2008 Coast Guard Personnel Command (OPM-2), Prevention Assignment Officer
July 2003 – July 2005 Maritime Safety and Security Team Boston (MSST 91110), Executive Officer
Apr 2003 – July 2003 Port Safety Industry Training, Massachusetts Port Authority, Boston, MA
Aug 1998 – Apr 2003 Marine Safety Office Providence, Assistant Chief, Inspections Department
July 1995 – Aug 1998 Marine Safety Office Miami, Marine Inspector/Command Duty Officer
Sept 1993 – July 1995 Coast Guard Cutter SENECA, Deck Watch Officer/Communications Officer
July 1993 – Sept 1993 U.S. Coast Guard Academy, Summer Ensign

Educational Summary

2012 - 2014 Naval War College, Master of Arts in National Security and Strategic Studies
1989 – 1993 U.S. Coast Guard Academy, Bachelor of Science in Management

Military Personal Awards and Significant National Recognition or Achievement

2020, 2017 Legion of Merit
2019, 2014, 2011, 2008 Meritorious Service Medal
2005, 2003 Coast Guard Commendation Medal
2020 Armed Forces Service Medal
2001 Department of Transportation 9/11 Medal
2001 Navy League Southeastern MA/RI Junior Officer of the Year
1998 Coast Guard Achievement Medal

Significant Current Professional Credentials or Recent Activities

2017 Advanced Journeyman Marine Inspector (Commercial Vessels)
2017 U.S. Head of Delegation to IMO MSC Navigation, Communications and Search and Rescue Subcommittee, (NCSR 4) - London, UK
2016 U.S. Head of Delegation to IMO MSC Navigation, Communications and Search and Rescue Subcommittee, (NCSR 3) - London, UK