

**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):

Richard Ellis Batson ("Rick")

2. Position to which nominated:

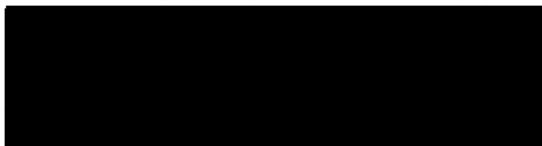
Rear Admiral (lower half) (O-7)

3. Date of Nomination:

26 August 2022

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

Home address:



Office Address:

U.S. Coast Guard Fifth District
431 Crawford Street
Portsmouth, Virginia 23704-5004

5. Date and Place of Birth:

9 October 1964

Lexington, North Carolina

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:

Tricia Lund Batson

Director of Pro Bono & Private Attorney Involvement

Legal Aid Society of Eastern Virginia

Norfolk, Virginia

Children:



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

Appalachian State University

Bachelor of Science in Music Industry Studies

(1987)

Troy University

Master of Public Administration

(1998)

Case Western Reserve University

Juris Doctor, Concentration in Public Law and Public Regulatory Institutions

(2002)

National Defense University, Dwight D. Eisenhower School for National Security and Resource Strategy

Master of Science in National Resource Strategy

(2016)

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 member of the U.S. Coast Guard since October of 1989. Please see my official Coast Guard biography for detailed information.

9. Attach a copy of your resume.

A copy of 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.

Treasurer, the Foundation for Coast Guard History (2008-2016)

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.

Virginia State Bar (2002 to present)

Norfolk Portsmouth Bar Association (2021 to present)

United States Naval Institute (1993 to present)

The Army and Navy Club (1994 to present)

None of these organizations restricts 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.

I was a 2014-2015 Fellow in the Massachusetts Institute of Technology Seminar XXI: Foreign Politics, International Relations & the National Interest.

Military Medals and Awards:

Legion of Merit

Meritorious Service Medal

Defense Commendation Medal

Coast Guard Commendation Medal

Coast Guard Achievement Medal

Commandant's Letter of Commendation
CG Unit Commendation
CG Meritorious Unit Commendation
CG Meritorious Team Commendation
National Defense Service Medal
Humanitarian Service Medal
CG Special Operations Service Medal
CG Presidential Unit Citation
CG Sea Service Ribbon
CG "E" Ribbon
Good Conduct Medal
DHS Outstanding Unit Award
DOT Outstanding Unit Award
CG Bicentennial Unit Commendation Ribbon
Global War of Terrorism Service Medal

American Bar Association Outstanding Young Lawyer for the U.S. Coast Guard (2004-2005).

Order of the Barristers

Diane Ethics Award

William E. Davis Prize

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 Milestone in Coast Guard History: The Anniversary of *Solario v. US*
 - The Fifth District Heritage Program
- The Cutter* (Official publication of the Foundation for Coast Guard History).

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 (Active) www.facebook.com/rick.batson
LinkedIn (Active) www.linkedin.com/in/richard-batson
Twitter (Active) @RickBatson1
Instagram (Active) REBatson
Goodreads (Active) Rick Batson

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?

The United States Coast Guard has an incredibly broad range of authorities and capabilities with which to provide the nation maritime safety, security, and stewardship. I have 33 years of service in the Coast Guard, and I am fortunate to have served in a diverse range of assignments across the full spectrum of the Service's eleven statutory missions. I have served in both operational and support roles, as an enlisted member and as an officer, and also worked extensively with both the Department of Defense and our interagency partners. These diverse roles have provided me the perspective and experience to lead as a flag officer. This includes my time as speechwriter to the Commandant, which provided an opportunity to engage deeply on the full range of strategic, policy, and mission execution issues impacting the Service. I was also fortunate to serve as the principle legal advisor to the Coast Guard mission support enterprise, as a prosecutor and a military judge, and as the chief of legal policy and program development. In addition, my service as executive officer of the Coast Guard's Atlantic area intelligence fusion center and as Chief of Staff for the mid-Atlantic region have given me broad exposure in leading and managing Coast Guard operational forces.

This broad range of leadership and policy assignments has provided a significant foundation for continued service as a flag officer, and has also served to reinforce my deep belief in the missions of the Coast Guard and

our value proposition to the nation. If confirmed, I look forward to the opportunity to focus my energy and experience on ensuring we continue to provide that value and remain the world's best Coast Guard.

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?

My responsibility to ensure proper management and accounting begins with my allegiance to the Coast Guard core values and the oath I took as an officer to “well and faithfully discharge the duties of my office.” Those duties include a responsibility to both understand and ensure compliance with governing laws, regulations, and policy – and to do so with a rigor and transparency that ensures we continually earn and keep the trust and respect of the American people. Beyond my responsibility as a leader and an officer, I am also a citizen and taxpayer, and I view my responsibility to ensure sound management and resource stewardship through that lens as well.

Since my first leadership role over 30 years ago as a deck watch officer aboard a Coast Guard cutter navigating the waters of southeast Alaska, I have been privileged to serve in a range of increasingly demanding leadership and management roles. I served as the Executive Assistant (Chief of Staff) and chief of policy and program development for the Coast Guard legal program, exercising day-day leadership of the program and overseeing training, recruiting, hiring and assignments of judge advocates and civilian attorneys. I was also privileged to lead as the Commanding Officer of the Coast Guard's largest legal office, providing counsel to the Service's mission support enterprise, and overseeing advice to over 70 field and headquarters units nationwide on ethics, affirmative and defensive claims, internal administrative and compliance investigations, and all military justice and sustainment contracting matters service-wide. Most recently, as the Chief of Staff of the mid-Atlantic region (Fifth Coast Guard District), I have the responsibility, on behalf of the District Commander, for all Coast Guard maritime safety and security missions and operations throughout the mid-Atlantic region, from central New Jersey through North Carolina, covering 156,000 square miles of oceans, bays and rivers, and several major mid-Atlantic ports. If confirmed, I am honored to have the opportunity to continue leading the men and women of the Coast Guard.

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

1) **Managing workforce complexity.** Retention and recruitment are existential concerns for the Coast Guard, as they are for all services. Old paradigms for recruiting, managing, and retaining a diverse and motivated workforce will no longer be successful given changing workforce expectations and the dynamic environment in which we operate. It is critical that we design and implement creative ways to access, promote, manage, and retain people with the talent and desire to serve. We must also continue to find ways to be nimble and adaptive in realigning existing programs and positions to respond rapidly to emerging threats, opportunities, and demands. We must be able to pivot and focus our limited personnel resources where and when they are needed most. Retention also demands continuing to drive sexual assault from our Service and holding perpetrators accountable; ensuring we recognize the strength, value, and operational imperative of diversity and inclusion; and providing challenging work and the opportunities for growth for our people. Our ability to recruit, retain, and effectively employ our people and ensure continued mission excellence depends on our ability to successfully address these issues. We must accomplish these goals while ensuring we maintain and grow the organizational culture and esprit de corps that define and unify us, provide significant drivers of retention, and have made us the world's best Coast Guard.

2) **Balancing mission execution priorities, emerging missions in changing operational domains, and increased demand for Coast Guard services.** Demand for Coast Guard experience, expertise, and capabilities has never been higher. The Service faces a changing operational environment and growing mission demands such as offshore renewable wind energy, autonomous vessels, an arctic region continuing to grow in navigability and strategic importance, illegal and unreported and unregulated fishing around the world, and increasing strategic deployment of forces to uniquely serve national needs. These emerging issues can often compete for resources and attention with traditional missions such as search and rescue, pollution response, aids to navigation, and commercial and recreational vessel safety. We must successfully balance these demands as they compete for limited Coast Guard personnel and assets to ensure we continue to provide the best value to the nation.

3) Ensuring readiness and resilience of our people and assets. The Coast Guard is a small service with an incredibly broad set of missions – and we pride ourselves on being a multi-mission military, law enforcement, and safety organization that serves the nation with a unique ability to prevent or respond to an equally broad range of challenges. We must ensure that our people remain trained for the increasing complexity of the environment we serve in, the assets we employ, and the missions we conduct. We must also ensure that personnel shortages and increasing mission demands don't erode readiness and resilience, and that we remain ready to address not only daily operations, but retain the resiliency to surge and lead during contingency operations such as hurricanes, major pollution events, and challenges to our national sovereignty and security. In addition, we must ensure that our shore infrastructure remains able to support mission execution and provide as acceptable quality of life for our crews to live and work. With the support from the administration and congress, we have made significant progress in recapitalizing our fleet of cutters, and we have begun much needed work to address our shore infrastructure. However, many of our facilities are older and increasingly costly to maintain. We must continue drive efforts to ensure our facilities are as ready and resilient to support and sustain Coast Guard operations as our people.

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 should one arise I will obtain advice from a Coast Guard ethics official and will 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 should one arise I will obtain advice from a Coast Guard ethics official and will follow that advice.

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

None, but should one arise I will obtain advice from a Coast Guard ethics official and will 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:
 - 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.

During a gathering at my apartment while an undergraduate (~1986), I was charged with a violation of the town noise ordinance in Boone, North Carolina. I was sentenced to community service at the town's Visitor Information Center (where I was offered a job upon completion).

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.

I was one of several people named in an EEO complaint filed in 2018 by a civilian employee, who alleged discrimination based on race, harassment (non-sexual), sex, and reprisal. I was the employee's third-level supervisor. I participated fully in the investigation into the allegations. The administrative judge granted summary judgment for the agency in 2019 and the matter is now closed.

I was also named in an EEO complaint in 2019 by a different civilian employee, also a third-level subordinate, alleging discrimination against several members of the command based on sex, harassment (non-sexual), and reprisal. I also participated fully with this investigation. Although I am not aware of the details, I was informed by the Coast Guard in preparation for submitting this questionnaire that the matter was resolved in 2020 without an admission of wrongdoing by the agency, and it is now closed.

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.

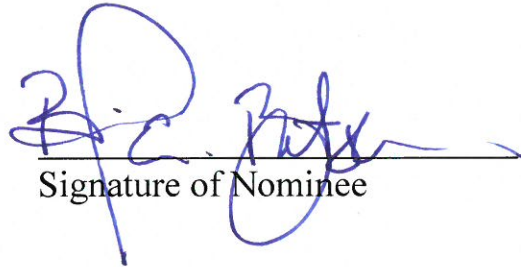
7. Do you agree, if confirmed, to ensure that you and other members of your organization protect from retaliation any military member, federal employee, or contractor employee who testifies before, or communicates with this Committee, its subcommittees, and any other appropriate committee of Congress?

Yes.


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

F. AFFIDAVIT

RICHARD E. BATSON 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 31ST day of AUGUST, 20 22.


BRYAN PERCEL SAMSON
Notary Public



BIOGRAPHY

UNITED STATES COAST GUARD

CAPTAIN RICHARD E. BATSON

Captain Batson currently serves as Chief of Staff for the Fifth Coast Guard District, and is responsible for the Coast Guard maritime safety and security missions throughout the Mid-Atlantic region from central New Jersey through North Carolina, covering 156,000 square miles of ocean, bays, and rivers, several major Mid-Atlantic ports, the largest naval base in the world, and our Nation's Capital.



CAPT Batson previously served as the Commanding Officer of the Coast Guard Legal Service Command, providing full-spectrum legal support for the Coast Guard's Mission Support enterprise, and military justice and court-martial support for the entire U.S. Coast Guard. As a Judge Advocate, Captain Batson also served as the Executive Assistant to the Judge Advocate General and Chief, Office of Legal Policy and Program Development; as a member of the Military Justice Review Group, established by the DoD General Counsel to conduct a comprehensive review of the military justice system; as Staff Judge Advocate at Coast Guard Training Center Yorktown; the Contract and Fiscal Law Branch and Operations Law Branch at Coast Guard Maintenance and Logistics Command Atlantic; and as a Trial Counsel at the U.S. Navy Trial Service Office at Naval Station Norfolk, where he was also appointed a Special Assistant U.S. Attorney. In 2008, he was appointed to the Trial Judiciary and served as a Military Judge, presiding at Courts-Martial throughout the Coast Guard until 2012.

Captain Batson has also served in a variety of assignments outside the legal program, including Speechwriter and Special Assistant to the Commandant of the Coast Guard; Executive Officer of Maritime Intelligence Fusion Center Atlantic; Coast Guard Marine Safety Office Tampa, Florida, where he served as Senior Investigating Officer and Chief of Waterways Management; the Marine Investigations and Analysis Division at Coast Guard Headquarters; and the Coast Guard Cutter WOODRUSH, home ported in Sitka, Alaska.

Captain Batson is 1987 graduate of Appalachian State University with a B.S. in Music Industry Studies. He enlisted in the Coast Guard in 1989 and attended QM "A" school immediately following Basic Training. He was commissioned in 1993 following graduation from Officer Candidate School. Captain Batson is a 1998 graduate of Troy University with Master of Public Administration degree; a 2014-2015 Seminar XXI Fellow in the Massachusetts Institute of Technology's Center for International Studies; and a 2016 graduate of the Eisenhower School for National Security and Resource Strategy at National Defense University, where he earned the Master of Science degree in National Resource Strategy. He received his law degree (cum laude) in 2002 from the Case Western Reserve University School of Law, and was selected by the American Bar Association as the 2004-2005 Outstanding Young Military Lawyer for the United States Coast Guard.

CAPTAIN Richard E. Batson

Current Assignment

2021 – Present Chief of Staff, Fifth Coast Guard District

Assignment History

May 18 – May 21 Commanding Officer, Coast Guard Legal Service Command
Jul 16 – May 18 Chief, Legal Policy and Program Development and
Executive Assistant to the Judge Advocate General
Jun15 – Jul 16 Dwight D. Eisenhower School for National Security and
Resource Strategy, National Defense University
Jun 14 – Jul 15 Coast Guard Representative to the Department of Defense Military Justice
Review Group
Jun 12 – Jun 14 Speechwriter for the Commandant of the Coast Guard.
Jun 09 – Jun 12 Executive Officer CG Maritime Intelligence Fusion Center Atlantic
Jul 05 – Jun 09 Staff Judge Advocate at CG Training Center Yorktown
Jun 04 – Jul05 Trial Counsel (Prosecutor), US Navy Trial Services Office, Norfolk, VA
Jun 02 – Jun 04 Attorney, Contract/Fiscal Law Branch & Operations Law Branch,
Maintenance and Logistics Command Atlantic
Jul 99 – May 02 Case Western Reserve University School of Law
Sep 95 – Jul 99 Assistant Chief, Investigations Branch; Chief, Enforcement, Planning, and
Waterways Management Branches, Marine Safety Office Tampa
Aug 93 – Sep 95 Marine Casualty Investigation Review Officer, Office of Marine
Investigations and Analysis, Coast Guard Headquarters
Apr 90 – Feb 92 USCGC WOODRUSH, Deck Watch Officer/Quartermaster, Sitka, AK

Educational Summary

2016 Eisenhower School for National Security and Resource Strategy, NDU
2015 Massachusetts Institute of Technology, Seminar XXI: Foreign Politics, International
Relations, and the National Interest.
2015 Air War College, Command and Staff College (Non-resident certificate)
2002 Case Western Reserve University School of Law, Juris Doctor (cum laude)
1999 Troy University, Master of Public Administration
1987 Appalachian State University, Bachelor of Science in Music Industry Studies

Military Personal Awards and Significant National Recognition or Achievement

LOM, MSM (3), DOD COM, CG COM (6), ACH (2), LOC
American Bar Association Outstanding Young Military Attorney for the Coast Guard (2004)

Significant Current Professional Credentials or Recent Activities

Admitted to practice law, Commonwealth of Virginia (2002)
Certification as a Judge Advocate under Article 27(b) UCMJ (2002)
Certification as Special Assistant United States Attorney (2005)
Admitted to practice law, United States Supreme Court (2006)
Certification as Military Judge under Article 26(b) of the UCMJ (2006)