

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): John Warner Mauger
2. Position to which nominated: Rear Admiral, Lower Half
3. Date of Nomination: 23 October 2017
4. Address (List current place of residence and office addresses):

[REDACTED]

[REDACTED]

5. Date and Place of Birth: 07 May 1969 in Abington, PA
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).

My wife's name is Leah S. Mauger. We were married in Honolulu, HI in October 1992. My wife is self-employed. She works as an independent consultant on short term contracts to healthcare consulting companies and assists hospitals with the implementation and reporting of healthcare performance measures. She works out of our home. We have two children: [REDACTED]

7. List all college and graduate degrees. Provide year and school attended.
2011 MS in Resourcing National Security - Industrial College of the Armed Forces, National Defense University
1997 MS in Fire Protection Engineering - Worcester Polytechnic Institute
1991 BS in Math and Computer Science - U.S. Coast Guard Academy

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 worked continuously for the Coast Guard since graduating from the Coast Guard Academy in May 1991. All of the jobs I've held over the past 26 years are related to the position for which I am being nominated. A chronological summary of my assignments is provided separately. Managerial positions are denoted with an asterisk.

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 five 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 five years.

None.

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

Member: Coast Guard National Capital Region Officers Assoc (FEB 2014-Present).

President: Coast Guard National Capital Region Officers Assoc (APR 15 – JUN 17).

Member: Army Navy Club on Farragut Square (May 2012 - Present)

Lifetime Member: Military Officers Association of America (April 2012 - Present)

Member: Overlee Community Pool Association (April 2017 – Present)

Member: USCG Academy Alumni Association (May 1991 - Present)

Member: Eisenhower/ICAF Alumni Association (June 2011 - Present)

Member: Propeller Club of Washington, DC (July 2012 - Present)

Member: Propeller Club of Charleston, SC (July 2005 – July 2008)

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

None.

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

My official Coast Guard biography is attached.

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

See attached list.

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

None.

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

I'm deeply honored and humbled by my selection for appointment to Rear Admiral Lower half in the U.S. Coast Guard. It is a tremendous privilege to serve the nation and I look forward to continuing to support Coast Guard men and women, their families, the maritime industry and the public. My broad operational background, advanced education, and extensive experience assisting federal executives across multiple agencies qualify me for this appointment. My passion and enthusiasm for our people and missions motivates me to continue to serve.

During my twenty-six years of active duty, I've gained first-hand experience conducting the full range of Coast Guard missions in domestic and international ports and on the high seas of the Pacific and Atlantic oceans. This broad operational background has provided a strong foundational understanding of U.S. Coast Guard's many authorities and capabilities. At key points in my career I've been fortunate to complement my operational experience with formal education. By studying key topical areas including life safety, national strategy, cyber security, and federal acquisitions, I've gained insight into current and emerging challenges and their potential impact on the Coast Guard missions. Lastly, through broadening staff assignments working with executives from the Coast Guard, Department of Homeland Security and Department of Defense I've gained in depth insight into strategy, budget and policy development within the federal government. These three attributes: broad operational background, advanced education and multi-agency executive experience have provided me with the necessary executive competencies. My deep sense of commitment to our people and the public motivate me to serve as a Coast Guard Flag officer.

Throughout my career I've worked with countless wonderful people from the Coast Guard active, reserve, civilian and auxiliary members, the public, federal, state, local, tribal, NGO and industry stakeholders. I have been humbled by their selfless actions in response to natural and man-made disasters. I have admired their passion and commitment to protect the American public and our national resources from external threats. Their selfless actions and genuine interest in improving the lives of others inspires me. As a Coast Guard Flag officer, I will continue to support and enable these men and women.

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

Every member of the Coast Guard has a duty to be responsible stewards of our Nation's resources and the public's trust. Coast Guard senior leaders must set high standards and serve as positive examples for our service members, our stakeholders and the public. Throughout my career, I have gained extensive experience providing effective management and oversight of Coast Guard resources to sustain public trust while ensuring that we provide value to the nation.

I have been entrusted with managing hundreds of personnel, millions of dollars, and significant responsibilities. These assignments have spanned a wide range of Coast Guard experiences including: executing field operations, emergency preparedness and incident response in our Nation's ports; leading multi-agency delegations and international partners through complex negotiations for new maritime standards; and supporting strategy development, budget and policy at senior levels of executive branch agencies. Through these assignments, I understand the importance of key strategies to develop and sustain public trust, these include: employing a risk-based

approach across our many mission responsibilities, engaging stakeholders, and providing transparency through performance monitoring and documentation.

These experiences have enabled me to develop the mature management skills required for executive leadership and have reinforced my strong sense of responsibility to the public trust. As a Coast Guard Flag officer I will strive to ensure we continue to allocate resources based on a rigorous assessment of risks and benefits, effectively engage our stakeholders, and implement systems and processes to allocate and account for the nation's resources.

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

Three of the greatest challenges facing the Coast Guard today are: keeping pace with an increasingly complex operating environment; recruiting, training, and retaining a diverse workforce; and balancing risks and capabilities across our diverse mission set.

In recent years, technology has evolved at an incredible rate. The time for new technology and operating concepts to reach millions of potential users has compressed from decades (electricity) to days (angry birds). As a result, the world in which we conduct our missions, the stakeholders and their expectations have all become more complex. The Coast Guard cutters, small boats, and aircraft we operate, the commercial ships, facilities and ports we regulate, and the tools and methods used by those who seek to undermine our security are all becoming increasingly complex. Technology changes expectations and realities. It presents new challenges and vulnerabilities, such as cyber-attacks, and great opportunities to improve the value and effectiveness of our communications, knowledge management, operational intelligence, and means by which we prosecute our missions. While we will always be challenged to keep pace with increasing complexity, we must continuously monitor and strive to understand and adapt to emerging technologies, adjusting our strategies, providing our people with the appropriate equipment and training, and modifying our tactics, and procedures to meet the changing demands.

The Coast Guard has always been fortunate to have a talented and driven workforce. The humanitarian and noble missions of the Coast Guard attract smart selfless people who are motivated to serve others. While these enduring missions and values will continue to attract top recruits, we must be mindful to continue to recruit a diverse workforce which will better help us to make sense of the increasingly complex world. Further, as the new workforce brings new expectations for training and retention, we must ensure that we continue to communicate our values to the workforce and foster an environment of professionalism and trust. Great strides have been made to reinforce this by creating a culture that is intolerant to sexual assault but we must continue to work hard to ensure that we also eliminate inappropriate behavior that may be a precursor or enabler of this behavior and crime. Further, as new authorities for blended retirement change the perspectives of our workforce about what a commitment to the service entails, we must continue to work hard to reinforce the

values of service over self and continue to instill a desire for long-term public service in our members, so that we can continue to grow the future leaders.

Within the context of the increasingly complex world, the demand for Coast Guard services is continually increasing. The population is growing, placing a greater strain on our waterways, coastline, and ports. The volume and scope of our services steadily increases as more people participate in recreational activities, more goods are moved through our ports, more natural resources are produced, more migrant and drug activity occurs, and more activity expands into the remote Arctic region. While we have the authorities and capabilities to address these challenges, we must do so in a way that also demonstrates that we are good stewards of the public's resources. As the only federal maritime agency which regulates the environment that we operate in, we are uniquely positioned and must continue to leverage the full set of our authorities, capabilities, and partnerships. But in order to meet the increasing demands, we must do so in a way that applies our resources to the highest risks and documents our performance across all mission areas.

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 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.

None.

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.

None.

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.

None.

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

None.

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

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

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics by, or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If so, please explain.

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 of which you are or were an officer ever been involved as a party in an administrative agency 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. If you ever served as a general court-martial convening authority involving an offense 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?

I have never served as a general court-martial convening authority.

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?

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.

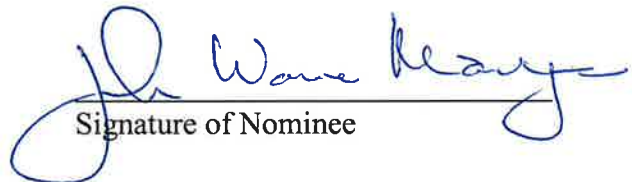
4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes.

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

F. AFFIDAVIT

JOHN WARNER MAUGER 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 24 day of October, 2017


Notary Public

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



CAPTAIN JOHN W. MAUGER
COMMANDING OFFICER
U.S. COAST GUARD MARINE SAFETY CENTER

Captain Mauger serves as the Coast Guard's lead technical authority for commercial regulation and promotes maritime safety and environmental protection through the engineering review and approval of nearly 20,000 plans annually for the design, construction and alteration of U.S. and foreign vessels, equipment, and offshore oil and gas facilities.

His previous assignment was Chief, Office of Design at Engineering Standards at Coast Guard Headquarters, where he led the development of safety and environmental protection standards for international shipping and offshore oil and gas activity. In this role, he led an interagency team to promote Arctic safety and the use of alternative fuels as the U.S. Head of Delegation for the International Maritime Organization's Polar Code and International Code for Gas-Fuelled Ships.



Captain Mauger has extensive experience assisting government agencies with strategy development, resource allocation and succession planning. Assignments include: serving as a Military Assistant to the Director, Office of Net Assessment at the Pentagon, where he advised senior defense leaders on competitive strategies; serving as the Coast Guard's lead budget analyst for the service's \$1.4 billion acquisition appropriation; and as the Chief of Staff, for the Department of Homeland Security's 2008 Presidential Transition team.

His operational assignments include Chief of Prevention in Charleston, SC, where he enforced maritime safety and security regulations in one of the nation's strategic commercial and military ports; Chief of Investigations at Activities Europe in Rotterdam, The Netherlands; and Assistant Engineer of a High Endurance Cutter in Honolulu, HI. His staff tours include service as Chief of Commercial Vessel Security during the national response to the terrorist attacks of September 11, 2001 and as an engineer at the Marine Safety Center and the Electronics Engineering Center.

CAPT Mauger earned a Bachelor of Science, with Honors, from the Coast Guard Academy in 1991; a Master of Science, with Honors, from Worcester Polytechnic Institute in 1997; and a Master of Science, with Distinction, from the Industrial College of the Armed Forces at National Defense University in 2011. He is a 2009 Fellow of the Graduate School's Executive Potential Program and a 2011 Graduate of Defense Acquisition University's Senior Acquisition Course.

His awards include the Defense Meritorious Service Medal, Coast Guard Meritorious Service Medal (four awards), the Coast Guard Commendation Medal (three awards), the DHS Secretary's Exceptional Service Gold Medal, and the EPA Administrator's Silver Medal.

A native of Jenkintown, PA, CAPT Mauger resides in Arlington, VA with his wife Leah and children, Ethan (13) and Ella (8).

CAPTAIN John W. Mauger

Current Assignment

April 2015 – Present USCG Marine Safety Center, Commanding Officer*

Description of Duties: National lead for ensuring safety/security/stewardship for thousands of foreign and domestic commercial vessels and offshore oil/gas facilities. Leads diverse staff of 72 military, civilian and contract employees; executes \$1.1M annual budget. Coordinates and oversees a broad network of USCG partner organizations to extend USCG capability while ensuring consistent application of USCG and International regulations. Provides expert advice and assistance to OCMI, COTPs, FOSCs and interagency leaders for the most complex issues and investigations. Maintains a 24x7 national salvage assistance watch which provides technical engineering advice to COTPs and FOSCs in response to vessel casualties.

Assignment History

July 2012 – April 2015	USCG HQ Office of Design and Engineering Standards, Office Chief*
June 2011 – July 2012	Office of the Secretary of Defense, Office of Net Assessment, Military Assistant
August 2010 – June 2011	Industrial College of the Armed Forces, Graduate Student
May 2009 – July 2010	USCG Headquarters Office of Budget and Programs, Budget Coordinator
October 2008 – May 2009	DHS Presidential Transition Team, Chief of Staff and Executive Assistant to the Director*
August 2008 – October 2008	USCG Marine Safety Center, Tank Vessel and Offshore Division Chief*
June 2005 – August 2008	USCG Sector Charleston, Prevention Department Head*
May 2002 – May 2005	USCG Activities Europe, Senior Investigating Officer
September 2001 – May 2002	USCG Headquarters Port Security Directorate, Vessel Security Branch Chief
June 1997 – September 2001	USCG Marine Safety Center, Staff Engineer
May 1995 – May 1997	Worcester Polytechnic Institute, Graduate Student
June 1993 – May 1995	USCG Electronics Engineering Center, Staff Engineer
June 1991 – May 1993	USCGC RUSH, Student Engineer

*Denotes management positions

Educational Summary

2010 – 2011	National Defense University, Industrial College of the Armed Forces, Master of Science with distinction in Resourcing National Security
1995 – 1997	Worcester Polytechnic Institute, Master of Science with honors in Fire Protection Engineering
1987 – 1991	US Coast Guard Academy, Bachelor of Science with honors in Math and Computer Science

Military Personal Awards and Significant National Recognition or Achievement

04-06-2015	Meritorious Service Medal
06-05-2012	Meritorious Service Medal
07-15-2010	Meritorious Service Medal
05-15-2009	Meritorious Service Medal
08-06-2008	Meritorious Service Medal
12-19-2005	CG Commendation Medal
09-05-2003	CG Commendation Medal
05-09-2002	CG Commendation Medal

DHS Secretary's Exceptional Service Gold Medal Team Award (2015)
EPA Administrator's Silver Medal for Exceptional Service – Team Award (2013)

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

Speeches: Subject	Date	Location	Reference
"IMO Polar Code": 5th Symposium on the Impacts of an Ice-Diminishing Arctic on Naval and Maritime Operations	7/17/2013	Washington, DC	https://www.star.nesdis.noaa.gov/star/Ice2013Program.php
"IMO Polar Code": Arctic-shipping Forum sponsored by the Norwegian Embassy	6/18/2014	Washington, DC	http://mariners.coastguard.dodlive.mil/2014/06/20/6202014-u-s-delegation-lead-on-the-development-of-the-polar-code-speaks-on-the-arctic/
"IMO Polar Code": IMO Polar Code Public Workshop	8/12/2014	Seattle, WA	http://mariners.coastguard.dodlive.mil/2014/08/15/8142014-imo-polar-code-workshop-after-action-report/
"IMO Polar Code": IMO Polar Code Public Workshop	9/4/2014	Anchorage, AK	http://mariners.coastguard.dodlive.mil/2014/09/05/952014-coast-guard-speaks-on-the-polar-code-in-alaska/
"LNG as a marine Fuel": National Academies' of Science - Marine Board Session Fall Public Meeting	10/29/2014	Washington, DC	http://onlinepubs.trb.org/onlinepubs/mb/2014_MarineBoard_Fall_Mtg_Agenda_Public_w_Links.pdf
"LNG as a marine Fuel": Pacific Maritime LNG Forum	1/27/2015	Seattle, WA	Presentation slides available upon request.
"LNG as a marine Fuel": Brookings Institute Panel on U.S. Energy	3/16/2015	Washington, DC	http://mariners.coastguard.dodlive.mil/2015/03/16/3162015-brookings-institute-panel-on-lng-as-a-marine-fuel/
"IMO Polar Code": 6th Symposium on the Impacts of an Ice-Diminishing Arctic on Naval and Maritime Operations	7/28/2015	Washington, DC	http://mariners.coastguard.dodlive.mil/2015/07/28/7282015-imo-polar-code-background-and-update-from-arctic-symposium/
"LNG as a marine Fuel": Pacific Maritime LNG and Alternative Fuels Forum	2/4/2016	Seattle, WA	http://mariners.coastguard.dodlive.mil/2016/02/05/252016-lng-and-alternative-fuels-symposium-remarks-from-msc-commanding-officer/
"Challenges in Maritime Risk Assessment": National Academies of Science - Marine Board Spring Public Meeting	11/8/2016	Washington, DC	http://onlinepubs.trb.org/onlinepubs/mb/2016Fall/Presentations.pdf
"Innovation and Regulation." PVA MARITRENDS Annual Convention	1/29/2017	Seattle, WA	http://mariners.coastguard.dodlive.mil/2017/02/08/innovation-maritime-industry/
"LNG as a marine Fuel": Pacific Maritime LNG and Alternative Fuels Forum	2/1/2017	Seattle, WA	Presentation slides available upon request

Speeches: Subject	Date	Location	Reference
<i>"The Triple Challenge within the Maritime Industry"</i> : 11 th Annual Invest in International Shipping Forum	3/20/2017	New York, NY	http://forums.capitallink.com/shipping/2017newyork/index.html
<i>"The Triple Challenge within the Maritime Industry"</i> : NACE Corrosion 2017 Maritime Forum	3/27/2017	New Orleans, LA	http://nacecorrosion.org/news/maritime-forum-addresses-corrosion-management-and-prevention-solutions
<i>"Learning from History"</i> : International Maritime Safety Conference	6/12/2017	Busan, ROK	http://mariners.coastguard.dodlive.mil/2017/06/15/6152017-remarks-by-marine-safety-center-commanding-officer-at-intl-maritime-safety-conference/
"USCG Ballast Water Regulations": International Ballast Water and Environmental Regulation Conference	6/25/2017	Busan, ROK	Presentation slides available upon request.

Books and Articles: Subject	Date	Publication	Reference
Book: <i>"Experimental investigation of the propagation of flame through a 30x30 mesh using propane-air mixtures."</i>	MAY 1997	M.S. Thesis, Worcester Polytechnic Institute Worcester, MA	Text available upon request.
Article: <i>"The IMO Polar Code"</i>	DEC 2015	ABS Survey Magazine Winter 2015 edition	https://ww2.eagle.org/en/news/publications/surveyor-archive.html
Article: <i>"Creation of a Third Party Review Team"</i>	JUL 2016	Maritime Commons Blog	http://mariners.coastguard.dodlive.mil/2016/07/12/7122016-creation-of-a-third-party-review-team/
Article: <i>"Innovation and Regulation: How Coast Guard Regulations are keeping up with new industry ideas."</i>	MAR 2017	Foghorn Magazine, the journal for the Passenger Vessel Association	http://foghornmagazine.com/issues/2017/0317_FH_fliobook/?page=2