

Senate Commerce Committee Coast Guard Nominee Questionnaire, 116th 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):

James Michael Kelly (James Michael Gaughan used 05 July 1960 to 06 May 1966);
Jim Kelly

2. Position to which nominated:

Rear Admiral (Upper Half)

3. Date of Nomination: January 6, 2020

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

[REDACTED]

5. Date and Place of Birth:

05 July 1960
Cleveland, Ohio

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).

Melissa Joan Kelly, Science teacher, Saint Raphael School, Rockville, Maryland
20852

Timothy P. Kelly, 31
Maura P. Kelly, 29
Bryce J. Kelly, 27
Grace M. Kelly, 24

[REDACTED]

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

University of Maryland University College, 1988, Bachelor of Science, Business Management

U. S. Naval War College, 2006, Masters of Arts, National Security and Strategic Studies

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.

Maryland State Police, Trooper, Pikesville, Maryland, 1984 - 1989

First National Bank of Maryland, Commercial Lender and Commercial Workout Officer, Baltimore, Maryland, 1989 - 1995

U. S. Coast Guard Reserve, Commissioned Officer, Various assignment locations, 1990 - Present

Member of the Maryland General Assembly, State Delegate, Annapolis, Maryland, 1995 - 2001

U. S. Department of Veterans Affairs, Assistant Secretary for Legislative Affairs, Washington, DC, 2001 - 2002

The White House, Special Assistant to the President for Intergovernmental Affairs, Washington, DC, 2002 - 2005

Phoenix Strategies, CEO, North Bethesda, Maryland, 2005 - 2007

U. S. Coast Guard Active Duty, Implementation Team Leader Maritime Law Enforcement Specialist Rating, Washington, DC, 2007 - 2010

U. S. Coast Guard Active Duty, Intergovernmental affairs, Louisiana, 2010 - 2011

U. S. Coast Guard Active Duty, Chief, Maritime Law Enforcement Division, Washington, DC 2011- 2013

U.S. Coast Guard Active Duty, Director, National Capital Area Consolidation Project, Washington, DC 2014 - 2016

Department of Homeland Security, Immigration and Custom Enforcement, Community Relations Officer, Washington, DC 2017 - Present

U.S. Coast Guard Active Duty, Director of Reserve Governance, Full-Time Support Billet Review, and Defense Innovaton Unit Detachment Project 2018 - Present

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.

The Army and Navy Club, Washington, DC, 1999 - Present; This organizations 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.

Maryland General Assembly, State Delegate, 1995 - 2001, no outstanding debt.

U. S. Department of Veterans Affairs, Assistant Secretary for Legislative Affairs, Washington, DC, 2001 – 2002, no outstanding debt.

The White House, Special Assistant to the President for Intergovernmental Affairs, Washington, DC, 2002 - 2005, no outstanding 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.

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.

None

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

Meritorious Service Medals (5); Coast Guard Commendation Medals (4);
Coast Guard Achievement Medals (2)

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.

None

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.

None

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?

Breadth of assignment, service as a commissioned officer and as an enlisted member, and tenure in the active duty and Reserve components, equip me with the broadest perspective to dispatch effectively the responsibilities as an executive leader in the U. S. Coast Guard Reserve.

Called to active duty as a senior officer to lead enterprise-wide projects, the teams of exceptionally committed people I directed generated amazing milestones for the Coast Guard. These projects included the establishment of the newest law enforcement-centric enlisted rating, a new cross-border maritime law enforcement capability with Canada, and the consolidation of all Coast Guard persons stationed in the National Capital Region into the Douglas A. Munro U.S. Coast Guard Headquarters building. These Coast Guard-wide and Headquarters-centric projects afford me an invaluable insight regarding the nuances and intercourse of Coast Guard programmatic and policy offices.

My knowledge of the matters affecting the Coast Guard Reserve is shaped through varied leadership positions held across the country among varied commands. Recent positions include Commanding Officer of the Coast Guard Reserve Unit assigned to the U. S. Southern Command, Senior Reserve Officer of Coast Guard District Nine, encompassing the Great Lakes, and Senior Reserve Officer of Coast Guard Sector Houston-Galveston.

And the true course setter is my earlier service as an enlisted member. Never have I forgot from where I came and I believe my years as a boat mechanic at various search and rescue stations on the East Coast give a unique perspective and keep me soundly rooted. The Coast Guard is a wonderful Service, and its mission sufficiently broad to allow all to find a niche. What separates the Coast Guard men and women from others is the embodiment in each of the core values of Honor, Respect, and Devotion to Duty.

The rare opportunity to lead the Coast Guard and the Coast Guard Reserve is taken preciously and seriously. I commit to employ my experiences and understanding to lead our men and women safely and effectively. Please know I will be forever humbled to be selected as a Rear Admiral in the U. S. Coast Guard Reserve, especially so as a former enlisted member.

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 Rear Admiral in the U. S. Coast Guard Reserve, I am responsible and accountable to ensure the Service conducts its business within the appropriated budget. Financial

stewardship is a responsibility of all, and attitudes on this flow from the top. As an executive in the Coast Guard, I commit this will happen.

As the Implementation Chief of the Maritime Enforcement Specialist Enlisted Rating, I led the change management cadre of over 160 civilian law enforcement professionals and CG budget, human resources, operations, capabilities, and policy leaders in the development of the 2,300-member force. I directed a creation of Plan of Action and Milestones Accomplishment Schedule which enumerated over 600 discrete implementation steps from start to finish. The project was completed in 18 months, 6 months ahead of original plans, and on a spend plan of \$2 million, down from original estimates of \$81 million.

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

The Coast Guard Reserve must figure which of the eleven Coast Guard operational missions its construct can support then build to answer those needs. Once the requirements are determined, the Coast Guard Reserve force planning complement can be set and funding levels adjusted. The Component must then concentrate its accessions and personnel assignments to those specific geographic areas with a ready active duty cadre and training capacity, all of which will concentrate personnel around their support, dispatch the requirements with a ready force, and conserve funds. The Coast Guard Reserve will only survive if the right force number is applied to answer those core missions, all aligned where our Reserve members live and work.

Border protection and sovereignty control of the United States must be discussed as a continuum encompassing land, air, and sea controls. As the land border is geographically fixed, the air and sea borders are extended to provide the United States the most protection against those seeking harm to our citizens. Meeting and combating transnational criminal organizations at sea pushes these actors further from our shores, disrupting their abilities and financial support. The Coast Guard must increase its participation with fellow-DHS agencies, with our partner nations, and with the Department of Defense through the Combatant Commands to ensure our sea and air border remains secure.

Financial stewardship is essential in leading an organization and in carrying out its missions. To garner support of the American people, the Coast Guard must always position our men and women for the greatest success, all within our appropriated levels. To ensure this occurs, the Service must place its most experienced and learned leaders over its budget development and execution.

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.

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; 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; 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; 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, 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. 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?

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 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

James M. Kelly being duly sworn, hereby states that he 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 16 day of January, 2020.



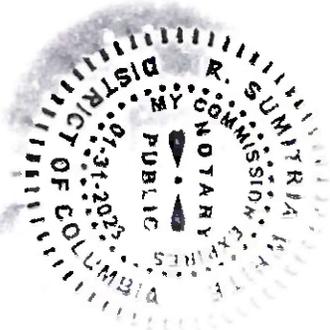
Notary Public

District of Columbia: SS

Sworn to and subscribed before me on
the 16th day of January, 2020



Notary Public's Signature
My Commission Expires _____



Rear Admiral James M. Kelly, USCGR



Rear Admiral James M. Kelly is the Director of the U. S. Coast Guard – Defense Innovation Unit Detachment Team, where he leads senior leaders in establishing the inaugural Coast Guard presence at the premier Department of Defense innovation consortium. Prior to this assignment, he led the Reserve Component Governance Team, which resulted in the first-ever Assistant Commandant for Reserve and wholesale restructuring of the Coast Guard Reserve executive governance.

Rear Admiral Kelly was earlier recalled to active duty to lead the Coast Guard's National Capital Region Consolidation Project, the Maritime Enforcement Specialist Implementation Team, and additionally to lead the Maritime Border Security Division. In his Reserve capacity, Rear Admiral Kelly responded to Hurricane Maria, and earlier to Port-au-Prince following the Haiti Earthquake, to the Deepwater Horizon-Gulf of Mexico oil spill, and to New Orleans following Hurricane Katrina.

Enlisting in the Coast Guard Reserve in 1977, Rear Admiral Kelly began his career as a mechanic on a 44' motor lifeboat and served at search and rescue stations on the East Coast. Upon receiving his commission, Rear Admiral Kelly served as a Marine Safety Office Officer of the Day and Command Duty Officer, an Investigation Officer, and later as a boat operations chief, passenger-vessel inspector, and a Liaison Officer. Before being called to active duty to lead the restructuring of the Coast Guard Reserve, Rear Admiral Kelly's earlier Reserve positions include Commanding Officer of the Coast Guard Reserve Unit – U. S. Southern Command in Doral, Fla., Senior Reserve Officer of Coast Guard District Nine, based in Cleveland, Ohio, which encompasses the Great Lakes, and as the Senior Reserve Officer of Sector Houston-Galveston.

In addition to the Coast Guard Reserve, Mr. Kelly served in his civilian capacity as the Special Assistant to the President of the United States for Intergovernmental Affairs, Deputy Assistant Secretary for Legislative Affairs with the U. S. Department of Veterans Affairs, and as a Member of the Maryland General Assembly. Additionally, he has commercial banking experience and served as a State Trooper with the Maryland State Police.

Rear Admiral Kelly earned a Master of Arts in National Security and Strategic Studies from the U. S. Naval War College, and is a graduate of the U. S. Joint Forces Staff College – Joint and Combined Warfighting School-Hybrid. He holds a Bachelor of Science in Business and Management as a graduate of the University of Maryland – University College, having completed his studies through night school while serving in the Maryland State Police.

Rear Admiral James M. Kelly, USCGR
Chronology of Work History

Current Assignment

July 2019 – Present

CG Defense Innovation Unit Detachment Establishment, Director (active duty)

Assignment History

April 2018 – June 2019

CG Reserve Governance Project, Director (active duty)

August 2017 – Present

U. S. Department of Homeland Security, Immigration and Customs Enforcement, Community Relations Officer (civilian) – On military absence for active duty service.

October 2016 – June 2018

U. S. Coast Guard Reserve Unit, U.S. Southern Command, Commanding Officer (Reserve)

Nov 2014 – Sept 2016

CG Headquarters, Director, NCR Consolidation Project (active duty)

May 2012 – Nov 2014

CG District Nine, Senior Reserve Officer (Reserve)

Oct 2011 – Apr 2013

CG Office of Maritime Law Enforcement, Maritime Border Security Division, Chief (active duty)

Feb 2010 – May 2012

CG Sector Houston-Galveston, Senior Reserve Officer (Reserve)

Nov 2007 – Jan 2010

CG Maritime Enforcement Specialist Implementation Team, Chief (active duty)

Oct. 2006 – Sept 2008

CG Atlantic Area, Governmental Affairs Counsel to Commander (Reserve)

Sept 2005 – Nov 2007

Pelours Enterprises, CEO (civilian)

Nov 2003 – Sept 2006

CG Reserve Unit, U.S. Joint Forces Command, Liaison Officer (Reserve)

Sept 2002 – Sept 2005

The White House, Special Assistant to the President for Intergovernmental Affairs (civilian)

May 2000 – Oct 2003

CG Governmental Affairs, Liaison, Executive Branch Liaison (Reserve)

Aug 2001 – Sept 2002

U. S. Department of Veterans Affairs, Deputy Assistant Secretary for Legislative Affairs (civilian)

Jul 1996 – May 2000

CG Activities Baltimore, Commercial Fishing Vessel Program, Chief (Reserve)

Apr 1999 – Aug 1999

CG Reserve and Training Directorate, Special Assistant to Director (active duty)

Oct 1997 – Jan 1999

CG Reserve and Training Directorate, Special Projects Manager (active duty)

Jul 1995 – Jun 1996

CG Activities Baltimore, Command Duty Officer (Reserve)

Jan 1995 – Aug 2001

Maryland General Assembly, Member, House of Delegates (civilian)

Apr 1992 – Jun 1995

CG Marine Safety Office Baltimore, Investigation Division Officer (Reserve)

Aug 1990 – Apr 1992

CG Marine Safety Office Baltimore, Officer of the Day (Reserve)

Jul 1989 – Dec 1994	First National Bank of Maryland, Commercial Lender and Workout Officer (civilian)
Jan 1984 – Jun 1989	Maryland State Police, Trooper First Class (civilian)

Educational Summary

2016 – 2016	U. S. Joint Forces Staff College, Diploma, Joint and Combined Warfighting School–Hybrid
1999 – 2006	U. S. Naval War College, Masters of Arts, National Security and Strategic Studies
1999 – 2005	U. S. Naval War College, Diploma, Naval Command and Staff
1980 – 1988	University of Maryland University College, Bachelor of Science, Business Management

Military Personal Awards and Significant National Recognition or Achievement

2018	Defense Meritorious Service Medal
2017	Meritorious Service Medal
2014	Meritorious Service Medal
2013	Coast Guard Commendation Medal
2013	Meritorious Service Medal
2010	Coast Guard Commendation Medal
2009	Meritorious Service Medal
2008	Meritorious Service Medal
2006	Joint Service Commendation Medal
2006	Coast Guard Achievement Medal
2001	Coast Guard Commendation Medal
1999	Coast Guard Commendation Medal
1994	Coast Guard Achievement Medal

Significant Current Professional Credentials or Recent Activities

Year	Item of note
None	