

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 "No" 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): Paul F Thomas
2. Position to which nominated: Rear Admiral Upper Half (O8)
3. Date of Nomination: February 24, 2016
4. Address (List current place of residence and office addresses):
Residence: Washington, DC 20003 (rent)
Office: [REDACTED]
5. Date and Place of Birth: 21 Nov 63; Schenectady, N.Y.
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: Mary A. Thomas (Adam's Mill Veterinary Clinic)
Son: Erik J. Thomas, 20
7. List all college and graduate degrees. Provide year and school attended.
MS, Mechanical Engineering, Massachusetts Institute of Technology, 1992

MS, Naval Architecture, Massachusetts Institute of Technology, 1992

BS, Naval Architecture & Marine Engineering, U.S. Coast Guard Academy, 1985
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.

My Coast Guard assignment history is attached. I have not been employed outside the Coast Guard post-undergraduate.
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.

| | |
|-----------------|--|
| 1985 – Present: | Coast Guard Academy Alumni Association |
| 1992 – Present; | MIT Alumni Association |
| 2005 – Present; | Harvard Alumni Association |

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

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.

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.

A list of my military personal awards and other significant recognition is attached. I have been a National Security Fellow at Harvard University, JFK School of Government, and a Chief of Naval Operations Fellow with the Strategic Studies Group in Newport, RI.

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.

Publications:

- "Assistant Commandant's Perspective," Proceedings of the Marine Safety and Security Council. Vol 72, No. 4, Winter 2015
- "Assistant Commandant's Perspective," Proceedings of the Marine Safety and Security Council. Vol 72, No. 3 Fall 2015
- "Assistant Commandant's Perspective," Proceedings of the Marine Safety and Security Council. Vol 71, No. 4 Winter 2014
- "Champion's Point of View, Combating Piracy," Proceedings of the Marine Safety and Security Council. Vol 69, No. 1, Spring 2012
- "Champion's Point of View, Enhancing Global Supply Chain Security," Proceedings of the Marine Safety and Security Council. Vol 68, No. 4, Winter 2011 – 2012.
- "A Coast Guard Perspective: Enhancing Safety on the U.S. Outer Continental Shelf in the Wake of Deepwater Horizon." Marine Technology. January 2012
- "Exxon Valdez: Much progress since big spill," Letter to the editor, Florida Times Union, Jacksonville, FL., 25 March, 2009.
- "Countering Weapons of Mass Destruction: The Case for Re-defining the Interagency Process," with John Alexander, Colonel, USA; Howard Goldman, Commander, USN; Charles Wolf, Commander, USN. Harvard University Press, National Security Program, 2005.
- "When Responder Safety and Environmental Concerns Conflict: Lessons Learned from Texas City Acid Barge Incident" *Proceedings of Industrial Fireworld*, April, 2004.
- "On the Front Line; Maritime Security in the Houston-Galveston Area," *Proceedings of the Marine Safety Council*. Vol 60, Number 2, April-June 2003. (with Captain Kevin S. Cook, USCG)

- “MSO Jacksonville’s Risk Toolkit,” *Proceedings of the Marine Safety Council*. Vol 56, Number 3, July – September 1999.
- “Using a Balanced Scorecard for Strategic Management,” *Proceedings of the International Quality and Productivity Conference*. New Orleans, Nov 1999.
- “Performance Criteria Vs. Design Standards for Commercial Tank Vessels,” *Joint MIT – Industry Program on Safe Tankers, Report No. 5. October 1991*. Presented at the Fifth International Symposium on Practical Design of Ships and Mobile Units, New Castle, England, May 1992.
- “Closed Form Solution for Wedge Cutting Force Through Thin Metal Sheets,” *Joint MIT – Industry Program on Safe Tankers, Report No. 6. May 1992*.
- “Application of Plate Cutting Mechanics to Ship Grounding,” *Report to the Ships Structure Committee, May 1992*.
- “Grounding Damage To Double Hull Tank Vessels,” *Proceeding of the Second International Offshore and Polar Engineering Conference*. San Francisco, 1992

Relevant Speeches:

- Keynote: “Maritime Governance in the 21st Century.” Connecticut Maritime Association Shipping Conference, March 2014
- Presentation: “Maritime Cyber Security.” Maritime Security Conference – East. St. Petersburg, Fl. 15 April, 2013 (delivered by video teleconference)
- Keynote Address: Joint U.S. Agency – Industry Counter Piracy Summit, Washington, DC. 2011.
- Presentation; “Enhancing Coast Guard/CBP Cooperation.” 7th Annual Maritime Homeland Security Summit, Ponta Vedra, Fl. 29 April, 2009.

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.

- 8 Oct 2015; House Committee on Homeland Security, subcommittee on Border and Maritime Security. “Cybersecurity in U.S. Ports.” (Oral and written testimony.)
- 6 Jun 2014; Senate Committee on Homeland security and Governmental Affairs. “Evaluating Port Security; Progress Made and Challenges Ahead.” (Oral and written testimony.)

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 have 30 years of active duty service in the Coast Guard with very broad operational experience and extensive work in the interagency, with the maritime industry and in joint services assignments. I have held command afloat and ashore, and have prosecuted almost all Coast Guard missions, both prevention and response; including responses to hurricanes, earthquakes and major oil and hazardous material spills. Most recently I have completed an assignment in which I was responsible for policy and budget to implement Coast Guard responsibility for oversight of safety, security and environmental stewardship regarding foreign and domestic commercial vessels, port facilities, U.S. mariners, and investigations of maritime incidents and violations of law. I understand the critical and unique role the Coast Guard plays in protecting our nation from all threats that may come via our oceans and waterways, protecting those who serve on the oceans and waterways, and protecting those oceans and waterways themselves.

I'm excited to serve as a Flag officer in the world's greatest Coast Guard because I'm committed to our missions, I believe we bring tremendous value to the American people with global reach and local impact, and I want to be in a position to provide the men and women of the U.S. Coast Guard the leadership, support and tools they need to excel personally and professionally.

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 leader in the Coast Guard is duty bound to be great stewards of our national resources in carrying out our duties. It is part of our organizational DNA to always achieve as much as we can with the resources we are given, and I have extensive experience at the strategic and tactical levels doing just that. I believe that it is my responsibility as a Coast Guard Flag officer to ensure that we continue to allocate resources based on rigorous assessment of risks and benefits, that we have in place systems and processes to track, account for and allocate resources, and that we hold leaders at all levels accountable to use those systems and processes. As a Coast Guard Sector Commander I managed an organization with over 1000 employees, an \$18 million capital plant and a \$3 million operating budget. As the Coast Guard Director of Inspections and Compliance, I led over 500 Coast Guard employees at four units with an operating budget over \$50 million. In each case I used business planning processes to set clear expectations for resources allocation and performance results, and Coast Guard standard systems to track progress and results.

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; balancing the need to recapitalize aging infrastructure with the need for continued daily operational excellence in the face of an ever increasing demand for our service and flat or declining budgets; implementing an enterprise wide knowledge management solution; and eradicating sexual assault and harassment from our service.

Like all Federal agencies, the Coast Guard is focused on realizing every possible efficiency in the course of our daily operations that are so vital to national security, economic prosperity and environmental stewardship. Unlike many agencies, however, the Coast Guard relies on a large, diversified and distributed physical property and capital asset portfolio to accomplish our missions. Many of our cutters and aircraft, and much of our shore infrastructure are aging and must be recapitalized. Our boats, communications systems and enterprise-wide IT system require near constant refresh. We have to make these investments today to ensure success for the Coast Guard and the nation in the future. At the same time the demand for our service grows everyday as our traditional missions become more and more relevant and emerging challenges, such as a more active Arctic and cyber security threats, also require attention and resources. Even with the efficiencies that technology offers in terms of reduced crew and fleet size and increased "sweep width" of patrol craft, it costs more to operate the Coast Guard than it ever has. It has been and will continue to be a significant challenge to continue the necessary investment in the Coast Guard of tomorrow while effectively operating the Coast Guard of today.

One of the most effective means to ensure the Coast Guard makes the absolute best use of every operational dollar is through the implementation of an effective knowledge management system that links risk, cost, performance and human capital measures with operational data in a way that enables decisions makers at every level to make fully informed decisions. The Coast Guard maintains a large number of IT systems that house a tremendous amount of data on all aspects of our operations and support, and enables some very good analysis. The challenge moving forward is to link those systems and integrate those data so that we can all share a strategic, operational and tactical COP that enables both the most effective prosecution of present day missions and the preparation for future challenges. Then we have to figure out how to maintain and refresh the knowledge management system so that we keep up with the state of technology.

Today the Coast Guard has an opportunity to finally eliminate sexual assault and harassment from our ranks. This is a challenge I'm convinced we will achieve while I am still on active duty. We understand that sexually inappropriate behavior, and certainly sexual assault has no place in our Coast Guard; it is inconsistent with our values and totally contrary to our humanitarian mission. We are committed to creating a culture that is intolerant not only to sexual assault, but to any inappropriate behavior that may be a precursor or enabler of assault. We won't achieve this by changing the minds or behavior of sexual predators; we'll accomplish it by ensuring all Coast Guard men and

women are empowered to take notice and take action when they see behavior that we don't tolerate. We've made this type of significant cultural change before with the integration of the races, the assimilation of women into all ranks and assignments, and most recently with the repeal of "don't ask don't tell."

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.

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? No.
7. Please advise the Committee of any additional information, favorable or unfavorable, which you feel should be disclosed in connection with your nomination.
In 2009, a lieutenant assigned to Sector Jacksonville, which I commanded, alleged she was subjected to a hostile work environment by her immediate supervisor, a lieutenant commander. The officer subsequently submitted a request for redress under Article 138, UCMJ, complaining that a command-directed mental health evaluation was reprisal for her earlier complaint. The Seventh District Civil Rights Office conducted a climate assessment that concluded there was no evidence of illegal discrimination. The officer, who declined to enter into the equal opportunity process, stated that she did not believe that the harassment she identified was the result of discrimination based on race or gender. The Seventh District initiated an investigation into the officer's initial complaint and the Article 138 request for redress. The Seventh District Commander concluded that no instances of harassment or reprisal occurred in Sector Jacksonville, and, while the process followed to direct a psychological evaluation was not correct, it was not intended to harass or to be reprisal. When the Coast Guard recently initiated action to promote me to rear admiral, a 2009 complaint to the DHS Inspector General by the officer was identified about which I had been unaware when I was nominated for promotion to rear admiral (lower half). I am advised that the Inspector General closed the case after the Coast Guard Investigative Service examined the command actions taken.

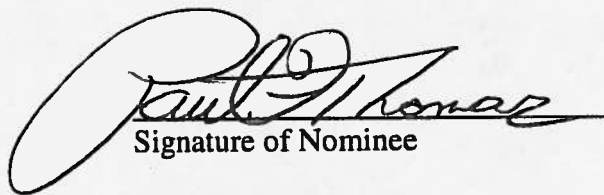
D. RELATIONSHIP WITH COMMITTEE

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.

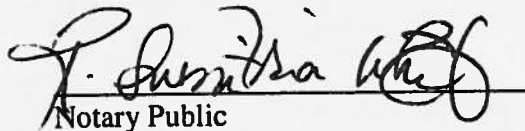
(Nominee is to include this signed affidavit along with answers to the above questions.)

F. Affidavit

Paul F. Thomas 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 2nd day of March, 2016.


Notary Public

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





Rear Admiral Paul F. Thomas

Assistant Commandant for Prevention Policy
U.S. Coast Guard



Rear Admiral Paul Thomas serves as the Assistant Commandant for Prevention Policy overseeing three Coast Guard directorates, Inspections and Compliance, Marine Transportation Systems, and Commercial Regulations and Standards. The programs under his leadership include: waterways management, navigation and boating safety, ports and facilities, merchant mariner credentialing, vessel documentation, marine casualty investigation, commercial vessel inspections, and port state control.

A specialist in Marine Safety, Security and Environmental Protection he has served at the Marine Safety Center in Washington DC, Marine Safety Office San Francisco Bay, CA., Marine Safety Detachment Port Canaveral, FL, and Marine Safety Office Jacksonville, FL. He has also served as Commanding Officer of Marine Safety Unit Galveston, TX, Commander Coast Guard Sector Jacksonville, FL. and as the Director of Inspections and Compliance at Coast Guard Headquarters.



His other tours include Fifth Coast Guard District Chief of Staff, Executive Assistant to the Assistant Commandant for Marine Safety, Security and Stewardship, Military Assistant to the Director of Net Assessment in the Office of the Secretary of Defense, Commanding Officer in USCGC CAPE ROMAIN and Operations Officer in USCGC BLACKHAW.

Rear Admiral Thomas is a graduate of the US Coast Guard Academy and the Massachusetts Institute of Technology. In 2005 he completed a National Security Fellowship at Harvard University's John F. Kennedy School of Government, and in 2010 he served as a Senior Fellow to the Chief of Naval Operations Strategic Studies Group (SSG XXIX). His military awards include the Legion of Merit, Meritorious Service Medal, Coast Guard Commendation Medal, Transportation 9/11 Medal, Joint Service Commendation Medal and the Coast Guard Achievement Medal.

RDML Paul F Thomas

Current Assignment;

May 14 – Present Assistant Commandant for Prevention Policy, USCG

Assignment History

Jul 13 – May 14 Chief of Staff, Fifth Coast Guard District
Jun 12 – Jun 13 Director, Inspections & Compliance (Capt)
Jun 11 – Jun 12 Deputy Director, Prevention Policy (Acting Director 8 Months) (CAPT)
Jul10 – Jun 11 EA to CG 5 (CAPT)
Aug09 – Jul 10 CNO Strategic Studies Group, CNO Fellow (CAPT)
Jul 06 – Aug 09 Sector Jacksonville, Sector Commander (CAPT)
Jun 05 – Jul 06 OSD, Military Assistant to the Director, Net Assessment (CDR)
Jun 04 – Jun 05 Harvard University, National Security Fellow (CDR)
Jun 01 – Jun 04 Marine Safety Unit Galveston, Tx., Commanding Officer (CDR)
Jun 96 – Jun 01 Marine Safety Office Jacksonville, FL., Department Head (LCDR)
Jun 95 – Jun 96 Marine Safety Detachment Port Canaveral, FL., Supervisor (LT)
Jun 92 – Jun 95 Marine Safety Center, Staff Engineer and Salvage Team Member (LT)
Jun 90 – Jun 92 Massachusetts Institute of Technology (MIT), Duty Under Instruction (LT)
Oct 89 – Jun 92 Marine Safety Office San Francisco, CA., Marine Inspector (LTJG)
Jun 87 – Oct 89 USCGC CAPE ROMAIN, Commanding Officer (LTJG)
Jun 85 – Jun 87 USCG BLACKHAW, Operations Officer. (ENS)

Educational Summary

2015 Harvard National Preparedness Leadership Initiative (on going)
2015 DHS CAPSTONE
2014 DoD CPASTONE
2010 Treasury Executive Institute's Executive Forum
2004 Harvard University, National Security Fellow
1992 Massachusetts Institute of Technology, MS Mechanical Engineering,
1992 Massachusetts Institute of Technology MS Naval Architecture
1985 USCGA. BS Naval Architecture & Marine Engineering

Military Personal Awards and Significant National Recognition or Achievement

Legion of Merit,
Meritorious Service Medal w/O (6),
Joint Services Commendation Medal
Coast Guard Commendation Medal
Coast Guard Achievement Medal (2)
Transportation 9/11 Medal,
Armed Forces Service Medal
Humanitarian Services Medal
2009 – Propeller Club Maritime Person of the Year (Port of Jacksonville)
1999 – Arthur S. Flemming Award for Excellence in Government Service