

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):

Thomas George Allan Jr. / Tom, Tommy

2. Position to which nominated: *Rear Admiral (O-8)*

3. Date of Nomination:

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

Home: [REDACTED]

*Office: USCG Headquarters
Washington, DC 20593-7000*

5. Date and Place of Birth:

*01/09/1968
Belleville, IL*

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: Kimberly A. Allan
Community volunteer*

Children: Tyler 26

Amanda 22

Connor 18
[REDACTED]

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

- Bachelor of Science in Management, U.S. Coast Guard Academy, 1990*

- *Master of Business Administration in Financial Management, University of Baltimore, 2001*
- *Seminar XXI, Massachusetts Institute of Technology (MIT), 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.

2018-Pres: *Assistant Commandant for Resources/ CFO (CG-8)*
 2017-2018: *CG-00, Executive Assistant to the Commandant*
 2015-2017: *CG- 0921, Chief, Congressional & Govt Affairs*
 2012-2015: *Commander, USCG Sector Jacksonville, FL*
 2010-2012: *CG-00, Special Assistant to Commandant, CDR/ CAPT*
 2007-2010: *DOG (DG-8), Chief, Resources & Requirements Division*
 2005-2007: *Response Department Head, USCG Sector Charleston, SC*
 2004-2005: *Deputy Group Commander, USCG Group Charleston, SC*
 2003-2004: *CG-843, Assistant Chief, Policy and Programs Division*
 2001-2003: *CG-CFM-3, Chief, Policy and Programs Division*
 2000-2001: *Student, Univ of Baltimore, Financial Management Program*
 1996-2000: *Chief, Surface Operations, MSO/GRU Portland, OR*
 1995-1996: *Chief, Op Support Division Intel Coordination Center*
 1994: *Substitute Teacher, Prince Georges County, MD*
 1993-1995: *Senior Watch Officer, Intelligence Coordination Center*
 1990-1993: *Deck Watch Officer, USCGC HAMILTON*

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.

- *Agency Representative to the Propeller Club of Jacksonville, FL (July 2012 – June 2015)*
- *Agency Representative to the Propeller Club of Port of Canaveral, FL (July 2012 – June 2015)*

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.

- *Vice President on the National Executive Committee of the American Society of Military Comptrollers (ASMC) (July 2019 – Present) – (held in personal capacity)*
- *Volunteer (various) for the Boy Scouts of America in Jacksonville, FL and Stafford, VA (2009-2016) (held in personal capacity)*

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.

- *American Society of Military Comptrollers*
- *Military Officer Association of America*
- *Boy Scouts of America: Cub Master, Den Leader, Staff Member*
- *US Coast Guard Alumni Association*
- *Fraternal Order of Eagles*

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. 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.

Military Medals:

- *USCG Legion of Merit (2)*
- *USCG Meritorious Service Medal (4)*
- *USCG Commendation Medal (3)*
- *USCG Achievement Medal (2)*

- *2009, American Society of Military Comptrollers Resource Manager Award finalist*
- *2007, Awarded permanent Boat Forces Operations Insignia*
- *2001, University of Baltimore – MBA – Summa Cum Laude*
- *1995, Director of Military Intelligence Certificate of Achievement*

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.

- *Facebook – Tom Allan – Active – <https://www.facebook.com/tom.allan.967>*
- *Instagram – Tom Allan / tgallan61 – Active - In Instagram tgallan61*
- *Linked-In – RDML Tom Allan – Active – [linkedin.com/in/rdml-tom-allan-412b21b](https://www.linkedin.com/in/rdml-tom-allan-412b21b)*
- *Twitter – Tom Allan / @tgallan61 – Active – In Twitter @tgallan61*
- *SnapChat – Tom Allan / tgallan61 – Active – In SnapChat tgallan61*

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?

The Coast Guard has been an integral part of my daily life since I swore the oath to support and defend the Constitution of the United States in the summer of 1986 at the Coast Guard Academy. During these 33 years, I sailed to Australia, Asia, South America, Europe, and Africa, representing my Service and my Nation. I performed in nearly every operational mission of the Coast Guard. I rescued mariners in distress, interdicted illegal contraband and detained smugglers, responded to environmental disasters, and ensured the safety and security of our \$4.6T marine transportation system. For 33 years, I stood the watch to ensure the security of our Nation.

Surrounded by an inspiring 55,000 active duty, reserve, and civilian work force, I was moved to action by great leaders and built an understanding of organizational strategy that allowed me to best serve the workforce and community. In addition to my operational experience, I worked in budget, intelligence, legislative affairs, and with the executive branch, providing me a comprehensive understanding of how good government works.

The diversity of my career gave me a solid foundation upon which to build. With a natural curiosity and a bias for hard work, I ask questions and learn more every day from the great people around me. Afforded this opportunity to continue to serve and lead in this incredible Service, I look forward to showcasing the dedicated work of our people and arming them with the tools they need to secure and defend this great Nation, today and into the future.

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 the Coast Guard is called by the President and Congress to carry out our missions, it is my responsibility to provide the oversight needed to ensure these duties are carried out lawfully and efficiently. From my first day as an Academy cadet, I began preparing for leadership positions within this organization. As an Ensign, I was charged with responsibility of a shipboard division, and each new job and promotion thereafter came with greater responsibility and complexity. At every level, whether managing thousands of dollars or billions of dollars, I established processes, set controls, and exercised appropriate oversight to ensure the proper execution of operations and support activities alike. Fiscal responsibility is paramount; any waste is a detriment to the Service and erodes public trust.

Over the past several years the Coast Guard received a clean financial audit: a testament to the culture of our Service. The clean audits provides transparency, accountability, and reassures the public and those responsible for overseeing the Coast Guard that they are getting the best benefit of every dollar. With my personal experiences and training in budgeting and oversight, I am confident in my ability to successfully lead and manage even more complex parts of the Coast Guard enterprise while ensuring our stellar financial track record continues.

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

The three primary challenges I see facing DHS and the Coast Guard are: preserving future readiness given increasing national budget pressures; recruitment and retention of a highly skilled and more diverse workforce; and continued innovation and process improvement to stay one step ahead of the complex threats the future holds.

As the President and Congress set priorities for the future, they are forced to address rising deficits and balance the needs between discretionary and non-discretionary spending. DHS and the Coast Guard face the added difficulty of competing with a myriad of other Departments and Agencies for 'non-defense discretionary' funds. This creates a fierce battle over National priorities that can often overlook the needs and comparatively minimal budget of the smallest Service of the Armed Forces. As the Coast Guard looks to recapitalize aging cutters, aircraft, and shore infrastructure, while simultaneously seeking increased operational funding to maintain readiness, flat line budgets can slowly mask impacts to future readiness. As a leader within the Coast Guard, I will strive to provide the details necessary for the President and Congress to understand our needs and the value the Coast Guard brings to our Nation.

The greatness of this United States is due to our people – a diverse mix of people whose individual viewpoints allowed this Nation to grow and thrive. The diversity of background, thought and experience, provide organizations a better understanding of those they serve now and how to meet their needs and expectations in the future. As we look to the workforce of the future, it must mirror the diversity of our Nation and be equipped with the ever increasing technical skills needed to operate complex cutters and aircraft, effectively function within the operational domain of cyber space, and provide proper oversight of the maritime industry who are, themselves, investing in the latest technology to better compete in the international market. To continue to enjoy high performing hard working crews, the Coast Guard must evaluate current recruiting efforts and how our human relation policies affect retention. Rarely are the Armed Forces able to compete for the best talent based on salary alone. However, through our missions, duty to the Nation, and ethos, we attract some of this country's very best talent – people looking for more than a salary who seek to serve and make a difference. Through focus and leadership, the Coast Guard opened up many opportunities for underrepresented minorities and is targeting technical skill needed to man the world's best Coast Guard. While progress is being made, there is still much work to do to ensure our Coast Guard is focused on the benefits of a diverse workforce, is enhancing an inclusive environment, and is demanding a culture of respect for all. This work will ensure our crews are diverse, technically savvy and ready to meet the needs of our Nation.

With competing national priorities and increased fiscal pressures, the Coast Guard must strive for continued innovation and process improvement to stay one step ahead

of the complex threats the future holds. Through past performance, the Coast Guard built an exceptional reputation based on mission execution and mission support. One of the common traits of all high performing organizations is the desire for excellence through constant improvement. For the Coast Guard, we must embrace technological change, understand how the maritime transportation system is adapting to increased international dependence, and constantly examine how our roles are changing. Through workforce development, investment in our infrastructure – cutters, aircraft, buildings and information technology – and development of an organizational culture of change, we must and will find ways to do business better, to ensure our Service is always improving, and adaptable to future demands.

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. If a potential conflict of interest arises, 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. If a potential conflict of interest arises, 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. If a potential conflict of interest arises, I will obtain advice from a Coast Guard ethics official and follow that advice.

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

From June 2015 through June 2017, I was assigned as the Chief of the Coast Guard's Congressional and Governmental Affairs Office. In this role, I was the Coast Guard liaison to Congress, overseeing all aspects of our legislative branch interactions. These duties included: coordinating engagements with Congressional members and staffs to provide timely, accurate, and detailed information regarding the Service and

its missions; justifying and defending the President's annual budget request for the Coast Guard; and advocating the Coast Guard and Administration's position for pending legislation. These interactions provided Congressional members and staffs the information needed to draft and pass a variety of legislation during this time period.

In addition, from July 2018 to present, I was assigned as the Assistant Commandant for Resources/ CFO. In this role, I worked with the Administration and Congressional members and staffs to provide timely, accurate, and detailed information regarding the Service and its missions; and justifying and defending the President's annual budget request for the Coast Guard. These interactions provided Congressional members and staffs the information needed to draft and pass a variety of legislation during this time period.

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 (never served as GCM 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, 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

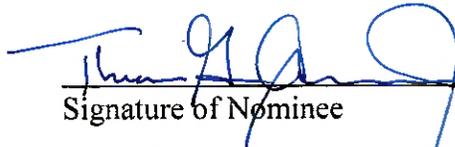
4. Are you willing to appear and testify before any duly constituted committee of the Congress on such occasions as you may be reasonably requested to do so?

Yes

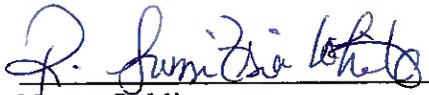
(Nominee is to include this signed affidavit along with answers to the above questions.)

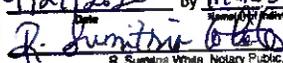
F. AFFIDAVIT

Thomas G. Allan Jr. 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 29 day of January, 2020.


Notary Public

District of Columbia
Signed and sworn to (or affirmed) before me on
01/29/2020 by Thomas Allan
(Name of individual(s) making statement)

R. Sumrine White Notary Public, D.C.
My Commission Expires 01/31/2023

