

Senate Commerce Committee Coast Guard Nominee Questionnaire 117th Congress

Instructions for the nominees: The Senate Committee on Commerce, Science, and Transportation asks you to provide typed answers to each of the following questions. It is requested that the nominee type the question in full before each response. Do not leave any questions blank. Type "None" or "Not Applicable" if a question does not apply to the nominee. Return printed answers to Committee. Begin each section (i.e., "A", "B", etc.) on a new sheet of paper.

A. BIOGRAPHICAL INFORMATION AND QUALIFICATIONS

1. Name: Carola J.G. List (Robinson/Atkinson)
2. Position to which nominated: Rear Admiral (O8)
3. Date of Nomination: September 30, 2022.
4. Address (List current place of residence and office addresses):

Residence: Own



Office:
U.S. Coast Guard
2703 Martin Luther King, Jr SE
Washington, DC 20593

5. Date and Place of Birth: October 27, 1964, Frankfurt, Germany.
6. Provide the name, position, and place of employment for your spouse and the names and ages of your children (including stepchildren and children by a previous marriage).
Spouse: Timothy J. List, Captain, U.S. Coast Guard.
Children: None.
7. List all college and graduate degrees. Provide year and school attended.
Master of Science National Security & Resource Strategy; Dwight D. Eisenhower (Industrial College of the Armed Forces) - 2014.
Master of Science Quality Systems Management; National Graduate School - 2005.
Bachelor of Arts Business Administration; University of North Dakota - 1989.
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 been a Coast Guard officer since 1991. Please see my official Coast Guard biography for detailed information.

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 religious 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.

Gamma Phi Beta Sorority: 1984 – present

Coast Guard Aviation Association: 1994 - present

Daedalians: 2000 - present

Women in Aviation International (WAI): 2001 - present

Military Officers Association (MOAA): 2010 - present

Women Military Aviators (WMA): 2011 – present, Treasurer 2016-2018

Navy League: 2019 - present

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

13. Have you ever been a candidate for and/or held a public office (elected, non-elected, or appointed)? If so, indicate whether any campaign has any outstanding debt, the amount, and whether you are personally liable for that debt.
No.
14. List all memberships and offices held with and services rendered to, whether compensated or not, any political party or election committee within the past ten years. If you have held a paid position or served in a formal or official advisory position (whether compensated or not) in a political campaign within the past ten years, identify the particulars of the campaign, including the candidate, year of the campaign, and your title and responsibilities.
None.

15. Itemize all political contributions to any individual, campaign organization, political party, political action committee, or similar entity of \$200 or more for the past ten years.
None.

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

National Defense University, Commandant's Award for Outstanding Research for International Cooperative Research.

DHS Secretary's Team Award for USCG/CBP Joint Operations Program.

USCG Innovation Award.

Officer of the Year, Navy League.

Pilot of the Year, Order of Daedalians.

Military Women of Achievement, Navy League.

Legion of Merit.

Meritorious Service Medals (4).

Commendation Medals (2).

Achievement Medal.

17. Please list each book, article, column, Internet blog posting, or 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.

Participated on a number of panels including USNI West, ASNE Multi Agency Craft Conference, Sea Air Space, ASNE FMMS, NNOA, AFCEA West.

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: Cj List - active

Linkedin: Carola List - active

Twitter: Cj List - active

19. Please identify each instance in which you have testified orally or in writing before Congress in a governmental or non-governmental capacity and specify the date and subject matter of each testimony.
None.

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

A career U.S. Coast Guard officer with over 31 years of service, I have a diverse background having served in leadership roles in operational, engineering, and acquisition specialties within the service. In those roles I have tackled numerous challenges and found and carried out innovative solutions to ensure the organization's ability to achieve its mission requirements and organizational objectives. I am honored and humbled to be nominated to continue to serve as a member of the service's executive leadership. I look forward to the opportunity to continue to serve in a greater leadership role to advance our Nation's maritime safety, security and stewardship while supporting the well-being and professional development of a diverse workforce that is ready, relevant and responsive to meet the nation's complex maritime challenges.

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

As a military officer and leader it is my responsibility to ensure proper management and accounting controls are followed. We owe it to the American people to ensure appropriate oversight, transparency, and accountability in the use of limited resources, and that we responsibly execute those resources, while effectively managing change to cope with shifting environments and evolving demands and priorities. I have served in various leadership and management positions that have demonstrated my ability and expertise in adhering to fiscal control measures while effectively and efficiently executing program requirements, including those associated with the execution of major acquisition programs.

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

Three of the top challenges facing our organization today are ensuring we have the necessary equipment, assets, and technology to effectively and efficiently carry out our missions; an inclusive ready workforce with the skillsets needed to execute those missions; and recapitalization of our aging shore infrastructure to support those efforts.

We are undergoing the largest re-capitalization effort in history. While we must continue to acquire the assets and equipment needed to execute our critical missions, it is becoming increasingly challenging in a fiscally constrained environment. This will require making risk-based trade-offs between acquisitions, and sustainment of our aging assets and infrastructure, while ensuring our workforce has the equipment and facilities necessary to execute Coast Guard missions. In addition, we are faced with increasing cyber threats and outdated IT infrastructure and systems. Finding cost effective means to leverage and invest in technology to enhance our ability to access and harness real-time information to enable rapid response to countering maritime threats will be necessary in carrying out our missions.

The key success factor in the service's ability to ensure the safety, security, stewardship, and resiliency in meeting our missions, has always been our workforce - the men and women who choose to serve our great nation. The complex challenges our service faces in executing our mission sets now and, in the future, requires the best and brightest who are equipped and trained to meet these challenges head on. We must find innovative ways to recruit and retain a diverse and inclusive workforce, and maximize readiness of the workforce to deliver mission excellence that our nation and the American people deserve.

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, but if one 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, but if one 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, but if one 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.

None.

C. LEGAL MATTERS

1. Have you ever been disciplined or cited for a breach of ethics, professional misconduct, or retaliation by, or been the subject of a complaint to, any court, administrative agency, an Inspector General, the Office of Special Counsel, professional association, disciplinary committee, or other professional group? If yes:
 - a. Provide the name of agency, association, committee, or group;
 - b. Provide the date the citation, disciplinary action, complaint, or personnel action was issued or initiated;
 - c. Describe the citation, disciplinary action, complaint, or personnel action;
 - d. Provide the results of the citation, disciplinary action, complaint, or personnel action.

No.

2. Have you ever been investigated, arrested, charged, or held by any Federal, State, or other law enforcement authority of any Federal, State, county, or municipal entity, other than for a minor traffic offense? If so, please explain.

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 race, color, national origin, religion, sex (including gender identity, sexual orientation, and pregnancy), age, disability, genetic information, marital status, parental status, political affiliation, engagement in a protected Equal Employment Opportunity/Equal Opportunity (EEO/EO) activity, whistleblower activity, or any other basis? If so, please explain.

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.

5. Do you agree, if confirmed, to keep this Committee, its subcommittees, other appropriate Committees of Congress, and their respective staffs apprised of new information that materially impacts the accuracy of testimony, briefings, reports, records—including documents and electronic communications, and other information you or your organization previously provided?

Yes, in accordance with law and DHS policy and guidance.

6. Do you agree, if confirmed, and on request, to provide this Committee and its subcommittees with records and other information within their oversight jurisdiction, even absent a formal Committee request?

Yes, in accordance with law and DHS policy and guidance.

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

Yes.

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

F. AFFIDAVIT

I, Carola J.G. List, being duly sworn, hereby states that she has read and signed the foregoing Statement on Biographical and Financial Information and that the information provided therein is, to the best of her knowledge, current, accurate, and complete.

Carola J.G. List
Signature of Nominee

Subscribed and sworn before me this 12th day of October, 2022.

Eugene F. Adams II
Notary Public

Eugene F. Adams II
Notary Public, District of Columbia
My Commission Expires 9/30/2023





Rear Admiral Carola J. List

Assistant Commandant for Engineering and Logistics

U.S Coast Guard



Rear Admiral List assumed the duties of the Assistant Commandant for Engineering and Logistics (CG-4) in April of 2021. As the Coast Guard's "Chief Engineer", she is responsible for all naval, aeronautical, civil and industrial engineering, as well as all logistics for the service's 25,000 facilities, 2,100 cutters and boats and 200 aircraft. Leading more than 5,600 personnel assigned to Coast Guard Headquarters, Aviation Logistics Center, Surface Force Logistics Center, Shore Infrastructure Logistics Center, and the Coast Guard Yard, she is responsible for developing, deploying and maintaining the resources necessary to sustain the capabilities to meet operational requirements that support the Coast Guard's five fundamental roles Maritime Safety, Maritime Security, Maritime Mobility, National Defense, and Protection of Natural Resources, executing an annual budget of nearly a \$1billion.

Previously, RDML List served as the Executive Assistant to the Deputy Commandant of Mission Support where she coordinated Headquarters and field activities for a 17,000-person mission support organization that delivers the systems and people that enable the Coast Guard to efficiently and effectively perform its operational missions.

A career naval aviator with over 4,800 flight hours, RDML List served as the Commanding Officer of Air Station Sacramento, California where she stood up the initial operational capability of the first HC-27J fixed-wing unit for the Coast Guard. Her other operational assignments include Executive Officer Air Station Barbers Point, Hawaii; Engineering Officer Air Station Los Angeles, California; Engineering Officer Air Station Clearwater, Florida, where she participated in counter drug operations across the Caribbean; and Activities San Diego, California.

Her staff assignments include Coast Guard District One Readiness and Reserve, Boston, Massachusetts; HC-144 Fixed Wing Systems Manager where she led technical authority efforts and was responsible for integrating the first three HC-144 fixed-wing aircraft into the Coast Guard inventory; Aeronautical Engineering Systems Chief for sustainment of all aviation platforms; and Deputy/Chief of the Office of Aeronautical Engineering at Coast Guard Headquarters where she was responsible for managing engineering, maintenance, and logistics for the service. She also served as Program Manager in the Office of Acquisition Programs, Washington D.C., responsible for execution of cutter and response boat acquisition programs totaling more than \$900 million in new assets, including the long range interceptor (LRI) and over the horizon (OTH) boats deployed across the major cutter fleet ranging from the fast response cutters (FRC) to the national security cutters (NSC); and the response-boat medium (RBM) where she was responsible for delivering 174 assets achieving full operational capability for the Coast Guard in June of 2015.

RDML List was commissioned in the United States Coast Guard in 1991, and attended flight training at Naval Air Station Pensacola, Florida. She is a US Coast Guard designated Aeronautical Engineering Officer, and qualified Aircraft Commander and Instructor Pilot, having flown the MH-65 Dolphin, and HH-60J Jayhawk helicopters, and the HC-27J Spartan fixed wing aircraft.

RDML List holds a Master of Science in National Resource Strategy from the National Defense University, Dwight D. Eisenhower School for National Security and Resource Strategy; a Master of Science in Quality Systems Management; a Bachelor of Arts in Business Administration; a graduate of the Defense Acquisition University's Senior Acquisition course, and has earned DHS Program Management and Logistics Acquisition certifications.

RDML Carola J. List**Current Assignment:**

Apr 21 - Present COMDT (CG-4), Assistant Commandant for Engineering and Logistics,

Assignment History

Jul 19 – Apr 21 Deputy Commandant for Mission Support (DCMS), Executive Assistant
 Jul 16 - Jul 19 Air Station Sacramento, Commanding Officer
 Jul 14 - Jul 16 COMDT (CG-9325) Boat Major Acquisitions Program Manager
 Aug 13 - Jul 14 Dwight D. Eisenhower School for National Security and Resource Strategy, Student
 Jul 10 - Jul 13 Air Station Barbers Point, Executive Officer
 Jun 09 - Jul 10 COMDT (CG-41), Acting Office Chief & Deputy
 Jun 08 - Jun 09 COMDT (CG-411), Chief, Systems Management Division
 Jul 06 - Jun 08 COMDT (CG-411), HC-144 Systems Manager
 Jul 03 - Jun 06 Air Station Los Angeles, Engineering Officer
 Jun 01 - Jun 03 Air Station Clearwater, Assistant Engineering Officer
 Aug 99 - May 01 Air Station Clearwater, H-60 Rotary Wing and OPBAT Engineering Officer
 Jun 98 - Jul 99 Activities San Diego, Aviation Student Engineer
 Aug 94 - May 98 Activities San Diego, Assistant Facilities Department Head, Duty Pilot
 Oct 92 - Jul 94 Naval Flight Training, Pensacola, FL, Pilot Training
 Feb 91 - Oct 92 CG District One, Readiness and Reserve Section Chief

Educational Summary

2014 National Defense University, Dwight D. Eisenhower School for National Security and Resource Strategy; Master of Science National Security and Resource Strategy
 2005 National Graduate School; Master of Science Quality Systems Management
 1989 University of North Dakota; Bachelor of Arts Business Administration

Military Personal Awards and Significant National Recognition or Achievement

2014 National Defense University, Commandant's Award for Outstanding Research for International Cooperative Research
 2006 DHS Secretary's Team Award for USCG/CBP Joint Operations Program.
 2005 USCG Innovation Award
 2003 Officer of the Year, Navy League, Clearwater, Florida Council
 2000 Pilot of the Year, Order of Daedalians, Sun-Coast Flight
 1998 Military Women of Achievement, Navy League, San Diego, California Council

Significant Current Professional Credentials or Recent Activities

2014 Joint Professional Military Education II
 2014 NDU Senior Acquisition Course
 2013 USAF, Joint Professional Military Education I
 USCG Aircraft qualifications: HH-60J, HH-65A/B/C, MH-65B/C, HC-27J
 FAA Airplane Single Engine Land, & Rotorcraft Airline Transport; Commercial Pilot Certification
 U.S. Naval Aviation Command Safety Course
 U.S. Air Force Safety Board President Course
 Advanced Program in Logistics & Technology, UC Kenan-Flagler Business School
 DHS Acquisition Program Manager Level III Certification
 DHS Logistics Program Level I Certification