

House District All  
Senate District All

THE TWENTY-SIXTH LEGISLATURE  
HAWAII STATE LEGISLATURE  
APPLICATION FOR GRANTS & SUBSIDIES  
CHAPTER 42F, HAWAII REVISED STATUTES

Log No:

For Legislature's Use Only

Type of Grant or Subsidy Request:

GRANT REQUEST – OPERATING

GRANT REQUEST – CAPITAL

SUBSIDY REQUEST

"Grant" means an award of state funds by the legislature, by an appropriation to a specified recipient, to support the activities of the recipient and permit the community to benefit from those activities.

"Subsidy" means an award of state funds by the legislature, by an appropriation to a recipient specified in the appropriation, to reduce the costs incurred by the organization or individual in providing a service available to some or all members of the public.

"Recipient" means any organization or person receiving a grant or subsidy.

STATE DEPARTMENT OR AGENCY RELATED TO THIS REQUEST (LEAVE BLANK IF UNKNOWN): CIVIL DEFENSE

STATE PROGRAM I.D. NO. (LEAVE BLANK IF UNKNOWN):

1. APPLICANT INFORMATION:

Legal Name of Requesting Organization or Individual: Community Resiliency, LLC

Dbas:

Street Address: 44-368 Kaneohe Bay Drive Kaneohe, HI 96744

Mailing Address: P.O. Box 1002 Aiea, HI 96701

2. CONTACT PERSON FOR MATTERS INVOLVING THIS APPLICATION:

Name ANDREW BATES

Title: Owner

Phone # (808) 630-0224

Fax #

e-mail avbates@att.net

3. TYPE OF BUSINESS ENTITY:

- NON PROFIT CORPORATION  
 FOR PROFIT CORPORATION  
 LIMITED LIABILITY COMPANY  
 SOLE PROPRIETORSHIP/INDIVIDUAL

6. DESCRIPTIVE TITLE OF APPLICANT'S REQUEST:

AN IN-DEPTH ANALYSIS WITH RECOMMENDATIONS FOR THE CURRENT WARNING AND EVACUATION PROCESSES AND SYSTEMS ON THE COAST LINES OF THE HAWAIIAN ISLANDS. THE ANALYSIS WILL ALSO INCLUDE CONCRETE RECOMMENDATIONS FOR BUILDING SUSTAINABLE AND RESILIENT ALTERNATIVES.

4. FEDERAL TAX ID #: [REDACTED]

5. STATE TAX ID #: [REDACTED]

7. AMOUNT OF STATE FUNDS REQUESTED: **\$47,600**

FY 2016-2017: \$47,600 FOR LABOR, SUPPLIES, AND TRAVEL

8. STATUS OF SERVICE DESCRIBED IN THIS REQUEST:

- NEW SERVICE (PRESENTLY DOES NOT EXIST)  
 EXISTING SERVICE (PRESENTLY IN OPERATION)

SPECIFY THE AMOUNT BY SOURCES OF FUNDS AVAILABLE AT THE TIME OF THIS REQUEST:

STATE \$47,600 (REQUESTED FROM STATE)

FEDERAL \$0

COUNTY \$0

PRIVATE/OTHER \$24,000

TYPE NAME & TITLE OF AUTHORIZED REPRESENTATIVE

AUTHORIZED SIGNATURE

Andrew Bates, Owner  
NAME & TITLE

DATE SIGNED

1/22/2016



RECEIVED  
1/22/16 *W*

## Application for Grants and Subsidies

*If any item is not applicable to the request, the applicant should enter "not applicable".*

### I. Background and Summary

This section shall clearly and concisely summarize and highlight the contents of the request in such a way as to provide the State Legislature with a broad understanding of the request. Include the following:

- A brief description of the applicant's background;** Mr. Bates, President of Community Resiliency, LLC has 30 years of experience in the Emergency Management field. He has extensive practical field experience internationally and some experience domestically. He is a Graduate of the University of California at Berkeley graduate certificate in Emergency Preparedness and Planning (1996). Mr. Bates has a Masters in Public Administration (MPA) with a focus in Health Services from Golden Gates University in San Francisco (1982). He also has a Masters in National Security Studies from the Naval War College (1995). Mr. Bates designed and taught a Graduate Certificate Disaster Management program at Hawaii Pacific University for seven years (2005-2012). Mr. Bates has been a Hospital Field Company Commander for the 3<sup>rd</sup> Marines in Korea and Thailand, Lead Field Operations Planner for the Joint Operations Tele-medicine Advanced Concept Technology Project at the US Pacific Command from 1998-2003. He deployed innovative technology applications and hardware in rural and urban areas in Southeast Asia and Hawaii. He was the Program Manager for the Center of Excellence in Disaster management and Humanitarian Assistance from (COE now CFE) 2003-2005. From 2006-2012 Mr. Bates provided 35 high level US Pacific Command engagements in Southeast Asia and South Asia in support of Disaster preparedness and disaster recovery. Mr. Bates has provided training to Senior government officials in Asia and Africa related to Business Continuity Planning and disaster response to large-scale infectious disease outbreaks. Mr. Bates is a recognized subject matter expert and teacher of Emergency Management in the Asia-Pacific region and Hawaii.
- The goals and objectives related to the request;** Warning and Evacuation are two extremely difficult tasks for Emergency Managers to get funded and to execute. Warning systems are predicated on four elements; good hazard identification and analysis, effective detection systems, ability to disseminate the correct message(s) in real time, and a comprehensive public education program. Death and injuries at the start of a disaster exponentially increase when the public is caught by surprise, or are trapped while trying to move to safety. Unwise and uninformed decisions by public

officials and the public at the outset of a disaster can cause unnecessary deaths and injuries. A critical aspect of building sustainable communities is informing the population of the warning and evacuation plans from coastal areas, as well as providing the most updated technologies and methods for accomplishing this difficult and dangerous task. The goal of this project is to update the elected officials (who are ultimately responsible), local Emergency Managers and their constituents to the likely coastal hazards they face, the systems and processes in place they can utilize (Public education), and to present alternatives to current practices that support sustainable coastal activities and development.

2. **State the public purpose and need to be served;** The project will provide elected officials up-to-date information on processes, systems, procedures and technologies being deployed globally to build and protect vulnerable coastal communities. The report and recommendations will provide State lawmakers and local Emergency Managers with a list of “Best Practices” being employed around the world as part of the Hyogo Framework for Action version II (HFA II) that was just approved last March in Sendai, Japan. HFA II states that decision-making and resources be pushed down to the local levels where and when possible. This initiative is in direct support of HFA II guidelines and protocols. The each island report will include cost estimates for new technologies should they be indicated.
3. **Describe the target population to be served;** The people of Hawaii and the eight million tourists who visit our islands annually.
4. **Describe the geographic coverage.** Coastal Population areas around the state. Demographics focused to three miles in from the coast on each island where the population density is more than 5 people per square mile. This is easily accomplished using FEMA generated GIS applications and technologies.

## II. Service Summary and Outcomes

The Service Summary shall include a detailed discussion of the applicant’s approach to the request. The applicant shall clearly and concisely specify the results, outcomes, and measures of effectiveness from this request.

1. **Describe the scope of work, tasks and responsibilities;** The first task is to map the coastal areas with population densities of 5 or more people per square mile from the coast, and where there are critical infrastructure activities taking place. The work will consist of documenting “Best Practices” for “Warning and Evacuating” of coastal areas around the world based on the coastal hazards facing the state. There will be two trips to each island to meet with Emergency Managers and community leaders. The research will be written-up in a formal report for each island. The recommendations and findings can be briefed at Legislative hearings and other public forums to include coastal community Neighborhood Boards. Public education will be accomplished through Town Hall style meetings

on all the islands, media exposure and public debate. Community Resiliency LLC will provide accurate information to each island community in order for them to consider changes, request additional funding, provide more Public education, and provide a list of tasks the people can do for themselves during warning and evacuation stages of a disaster.

2. **The applicant shall provide a projected annual timeline for accomplishing the results or outcomes of the service;** The first nine months will be the research, documentation, and production of the reports for each island. The last three months will be the presentation of the findings and recommendations around the state once the legislature and State/Local Emergency Managers have been briefed. A series of Town Hall and Neighborhood Board sessions will be scheduled to facilitate discussion of the Findings and recommendations.
3. **The applicant shall describe its quality assurance and evaluation plans for the request. Specify how the applicant plans to monitor, evaluate, and improve their results;** It is recommended that a member of the Senate or House sponsor the project and get monthly updates on the progress of the project. Mr. Bates will work closely with the staff of the elected official and local Emergency Managers, providing monthly summary reports on the progress and possible obstacles encountered.
5. **The applicant shall list the measure(s) of effectiveness that will be reported to the State agency through which grant funds are appropriated (the expending agency). The measure(s) will provide a standard and objective way for the State to assess the program's achievement or accomplishment. Please note that if the level of appropriation differs from the amount included in this application that the measure(s) of effectiveness will need to be updated and transmitted to the expending agency.** The measures of effectiveness will be the materials provided and approved for presentation during the final three months of the project. The project monthly reports will provide status updates on the work and issues encountered that need resolution. The findings and recommendations are deliverables that will be tracked monthly. Public education and informed debate will be the important indicators of a successful project. Implementation of agreed upon activities in the “Warning and Evacuation” phase of the project will be the measurable item that best measures the results of this project.

### **III. Financial**

#### **Budget**

1. **The applicant shall submit a budget utilizing the enclosed budget forms as applicable, to detail the cost of the request.** Attached

2. **The applicant shall provide its anticipated quarterly funding requests for the fiscal year 2016-2017.**

Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total Grant
\$10,600	\$9,000	\$9000	\$19,000	\$47,600

3. **The applicant shall provide a listing of all other sources of funding that they are trying to obtain for fiscal year 2016-2017.** The Alakaina Foundation will provide \$24,000 to support salary requirements for the project during the year at \$2000 per month. This will augment the project to it’s full funding requirement of \$71,600
4. **The applicant shall provide a listing of all state and federal tax credits that have been granted within the prior three years. Additionally, the applicant shall provide a listing of all state and federal tax credits they have applied for or anticipate applying for pertaining to any capital project, if applicable. Not applicable**

#### IV. Experience and Capability

##### A. Necessary Skills and Experience

**The applicant shall demonstrate that it has the necessary skills, abilities, knowledge of, and experience relating to the request. State your experience and appropriateness for providing the service proposed in this application. The applicant shall also provide a listing of verifiable experience of related projects or contracts for the most recent three years that are pertinent to the request.**

The qualifications for this work are extensive practical experience in the Emergency Management field, academic credentials, and the ability to work with a diverse group of Emergency Managers, Community leaders and State Officials. Mr. Bates has all of these qualifications and the ability to work well with diverse stakeholders. His background is documented in the first section of the proposal. He has extensive field experience, academic credentials, and he has the ability to work in teams to produce high quality in-depth analysis of complex issues that are easy to read and understand. He is published in an Australian Junior College textbook on Emergency Management and was hired by FEMA to write two graduate curriculums for the Higher Education project. He has recently lectured at FEMA and the East-West Center on subjects related to relocation of large populations and collecting data on small disasters globally. He is a seasoned instructor, experienced field worker, and subject matter expert on issues surrounding Emergency Management including “Warning and Evacuation.”

##### B. Facilities

**The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the request. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable.** ADA Not applicable

The work will be completed at offices located at 44-368 Kaneohe Bay Drive, Kaneohe, HI 96744. There will be at least seven field trips to the outer islands; 2 each to Hawaii, Maui, Kauai, and one to Molokai.

## V. Personnel: Project Organization and Staffing

### A. Proposed Staffing, Staff Qualifications, Supervision and Training

**The applicant shall describe the proposed staffing pattern and proposed service capacity appropriate for the viability of the request. The applicant shall provide the qualifications and experience of personnel for the request and shall describe its ability to supervise, train and provide administrative direction relative to the request.** Mr. Bates and a seasoned research assistant will make-up the staff for the project. The qualifications are already detailed in the first section of this proposal. No training is required. Mr. Bates will supervise the part-time research assistant who has extensive experience in the Emergency management field, and a graduate Certificate in Emergency Management.

### B. Organization Chart

**The applicant shall illustrate the position of each staff and line of responsibility/supervision. If the request is part of a large, multi-purpose organization, include an organizational chart that illustrates the placement of this request.**

The Research assistant will report to Mr. Bates, and Mr. Bates will report to the designated legislative staff.

## VI. Other

### A. Litigation

**The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgement. If applicable, please explain.** No litigation pending past or present.

### B. Licensure or Accreditation

**Specify any special qualifications, including but not limited to licensure or accreditation that applicant possesses relevant to this request.**

Mr. Bates is a Licensed Healthcare Administrator with the American Academy of Medical Administrators (AAMA) and a Fellow in the American College of Contingency Planners (ACCP). He was a Plans, Operations and Medical Intelligence Officers in the United States Navy Medical Department for 16 years. He is a graduate of the Naval War College in National Security Studies (1995) and a Graduate of the University of California at Berkeley Emergency Preparedness and Planning Graduate Certificate Program (1996). He has taught adults for 18 years. He has taught as staff at the Naval School of Health Sciences, UC Berkeley, Hawaii Pacific University, and the Center for Excellence in Disaster

Management and Humanitarian Assistance. He is a graduate of Formal Marine Corps Instructor School in Quantico, VA



**BUDGET REQUEST BY SOURCE OF FUNDS**  
(Period: July 1, 2012 to June 30, 2013)

App Community Resiliency, LLC

<b>BUDGET CATEGORIES</b>	<b>Total State Funds Requested (a)</b>	<b>(b)</b>	<b>(c)</b>	<b>(d)</b>
<b>A. PERSONNEL COST</b>				
1. Salaries	\$ 42,000			
2. Payroll Taxes & Assessments	0			
3. Fringe Benefits	0			
<b>TOTAL PERSONNEL COST</b>	<b>\$ 42,000</b>			
<b>B. OTHER CURRENT EXPENSES</b>				
1. Airfare, Inter-Island	\$ 2,800			
2. Insurance	0			
3. Lease/Rental of Equipment	0			
4. Lease/Rental of Space	0			
5. Staff Training	0			
6. Supplies	\$ 2,800			
7. Telecommunication				
8. Utilities				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
<b>TOTAL OTHER CURRENT EXPENSES</b>				
<b>C. EQUIPMENT PURCHASES</b>				
<b>D. MOTOR VEHICLE PURCHASES</b>				
<b>E. CAPITAL</b>				
<b>TOTAL (A+B+C+D+E)</b>	<b>\$ 47,600</b>			
<b>SOURCES OF FUNDING</b>		Budget Prepared By:		
(a) Total State Funds Requested	\$ 47,600	Andrew Bates 630-0224		
(b) Alakaina Foundation	\$ 24,000	Name (Please type or print) Phone		
(c)		[Redacted] 1/22/2016		
(d)		Date		
<b>TOTAL BUDGET</b>	<b>\$ 71,600</b>	Andrew Bates, President		
		Name and Title (Please type or print)		

# BUDGET JUSTIFICATION PERSONNEL - SALARIES AND WAGES

Applicant: \_\_\_\_\_ Community Resiliency, LLC \_\_\_\_\_  
Period: July 1, 2016 to June 30, 2017

POSITION TITLE	FULL TIME EQUIVALENT	ANNUAL SALARY A	% OF TIME ALLOCATED TO GRANT REQUEST B	TOTAL STATE FUNDS REQUESTED (A x B)
Project Director	0.7	\$46,125.00	64.00%	\$ 29,520.00
Researcher Assitant	0.5	\$24,000.00	52.00%	\$ 12,480.00
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
				\$ -
<b>TOTAL:</b>				\$ 42,000.00

JUSTIFICATION/COMMENTS:

## BUDGET JUSTIFICATION - EQUIPMENT AND MOTOR VEHICLES

Applicant: \_\_\_ Community Resiliency, LLC \_\_\_\_\_ Period: July 1, 2016 to June 30, 2017

DESCRIPTION EQUIPMENT	NO. OF ITEMS	COST PER ITEM	TOTAL COST	TOTAL BUDGETED
No cost			\$ -	
			\$ -	
			\$ -	
			\$ -	
			\$ -	
TOTAL:			\$ -	

JUSTIFICATION/COMMENTS:

DESCRIPTION OF MOTOR VEHICLE	NO. OF VEHICLES	COST PER VEHICLE	TOTAL COST	TOTAL BUDGETED
No Cost			\$ -	
			\$ -	
			\$ -	
			\$ -	
			\$ -	
TOTAL:			\$ -	

JUSTIFICATION/COMMENTS:

## BUDGET JUSTIFICATION CAPITAL PROJECT DETAILS

Applicant: \_\_\_\_\_

Period: July 1, 2016 to June 30, 2017

FUNDING AMOUNT REQUESTED						
TOTAL PROJECT COST	ALL SOURCES OF FUNDS RECEIVED IN PRIOR YEARS		STATE FUNDS REQUESTED	OF FUNDS REQUESTED	FUNDING REQUIRED IN SUCCEEDING YEARS	
	FY: 2010-2011	FY: 2011-2012	FY:2012-2013	FY:2012-2013	FY:2013-2014	FY:2016-2017
PLANS	0	0	0	0	0	
LAND ACQUISITION						0
DESIGN						0
CONSTRUCTION						0
EQUIPMENT						0
TOTAL:						
JUSTIFICATION/COMMENT There are no funds requested for Capital projects						

**DECLARATION STATEMENT  
APPLICANTS FOR GRANTS AND SUBSIDIES  
CHAPTER 42F, HAWAII REVISED STATUTES**

The undersigned authorized representative of the applicant acknowledges that said applicant meets and will comply with all of the following standards for the award of grants and subsidies pursuant to section 42F-103, Hawaii Revised Statutes:

- (1) Is licensed or accredited, in accordance with federal, state, or county statutes, rules, or ordinances, to conduct the activities or provide the services for which a grant or subsidy is awarded;
- (2) Comply with all applicable federal and state laws prohibiting discrimination against any person on the basis of race, color, national origin, religion, creed, sex, age, sexual orientation, or disability;
- (3) Agree not to use state funds for entertainment or lobbying activities; and
- (4) Allow the state agency to which funds for the grant or subsidy were appropriated for expenditure, legislative committees and their staff, and the auditor full access to their records, reports, files, and other related documents and information for purposes of monitoring, measuring the effectiveness, and ensuring the proper expenditure of the grant or subsidy.

In addition, a grant or subsidy may be made to an organization only if the organization:

- (1) Is incorporated under the laws of the State; and
- (2) Has bylaws or policies that describe the manner in which the activities or services for which a grant or subsidy is awarded shall be conducted or provided.

Further, a grant or subsidy may be awarded to a non-profit organization only if the organization:

- (1) Has been determined and designated to be a non-profit organization by the Internal Revenue Service; and
- (2) Has a governing board whose members have no material conflict of interest and serve without compensation.

For a grant or subsidy used for the acquisition of land, when the organization discontinues the activities or services on the land acquired for which the grant or subsidy was awarded and disposes of the land in fee simple or by lease, the organization shall negotiate with the expending agency for a lump sum or installment repayment to the State of the amount of the grant or subsidy used for the acquisition of the land.

Further, the undersigned authorized representative certifies that this statement is true and correct to the best of the applicant's knowledge.

Community Resiliency, LLC owned by Mr. Andrew Bates; The company is a Service Disabled owned Veteran firm.

(Typed Name of Individual or Organization)



(Signature)

1/22/2016

(Date)

Andrew Bates

(Typed Name)

President

(Title)