

House District 16

Senate District 8

THE TWENTY-EIGHTH LEGISLATURE
APPLICATION FOR GRANTS
CHAPTER 42F, HAWAII REVISED STATUTES

Log No:

For Legislature's Use Only

Type of Grant Request:

GRANT REQUEST - OPERATING

GRANT REQUEST - CAPITAL

"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.

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

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

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

1. APPLICANT INFORMATION:

Legal Name of Requesting Organization or Individual:
Jim Ballantine

Dbn:

Street Address: 4479 Hokuala Pl Kekaha, HI 96752

Mailing Address: PO Box 565 Waimea, HI 96796

2. CONTACT PERSON FOR MATTERS INVOLVING THIS APPLICATION:

Name JIM BALLANTINE

Title Executive Director

Phone # 808 631 3455

Fax # 808 338 1619

E-mail jim.ballantine@gmail.com

3. TYPE OF BUSINESS ENTITY:

- NON PROFIT CORPORATION INCORPORATED IN HAWAII
- FOR PROFIT CORPORATION INCORPORATED IN HAWAII
- LIMITED LIABILITY COMPANY
- SOLE PROPRIETORSHIP/INDIVIDUAL
- OTHER

6. DESCRIPTIVE TITLE OF APPLICANT'S REQUEST:

EMERGENCY STABILIZATION AND PLANNING FOR THE RESTORATION OF THE GULICK ROWELL HOUSE IN WAIMEA, KAUAI

4. FEDERAL TAX ID #: NOT APPLICABLE

5. STATE TAX ID #: NOT APPLICABLE

7. AMOUNT OF STATE FUNDS REQUESTED:

FISCAL YEAR 2017: \$ 350,000

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 \$ _____
 FEDERAL \$ _____
 COUNTY \$ _____
 PRIVATE/OTHER \$ _____

JIM BALLANTINE EXECUTIVE DIRECTOR
NAME & TITLE

Jan. 22, 2016
DATE SIGNED



RECEIVED
1/22/16

Application for Grants

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

I. Background and Summary

The Gulick Rowell House in Waimea, Kauai is one of the oldest extant houses built in Hawaii (1829). Unoccupied since 2004 and referred to by locals as the "haunted house," this amazing 3 story structure built of coral cut from the reef is in desperate need of preservation. Jim Ballantine, a 4th generation West Kauai resident, recently purchased the property and is establishing a non-profit organization, the West Kauai Mission House Trust to work in partnership with community groups including the Kauai Historical Society and Malama Kauai to preserve the Gulick Rowell House and create a cultural center for the communities of West Kauai.

Restoring and preserving this National Historic Site is the most critical action. The condition of the house is precarious. Stabilization and a complete assessment of the property need to take place immediately. There are necessary measures that must be taken to halt the decay including site preparation and building stabilization. In addition termite treatment, fencing, landscaping and grading, preservation of as much of the original existing structure as possible and creation of a safe worksite are fundamental first steps. A detailed Historic Site Review (HSR) and architectural assessment will need to be done as well as a restoration workplan. Jim Ballantine and the West Kauai Mission House Trust are requesting the funds to begin this ambitious endeavor.

This grant will provide for an Historic Site Review, an archeological survey, stabilization of the house, preparatory site work, design and plans. Once restored, the house and working farm will provide for the conservation and study of the historically significant property. The house will also provide the perfect location for a museum and the Kauai Historical Society West Kauai archives, which will facilitate access to historic materials while deepening the community's understanding of our history. Additional activities include work with community organization such as Malama Kauai and KUGA, planting a traditional garden on the 1.5 acre site to use as an educational tool. The garden will focus on presenting classes and workshops around food, sustainability, permaculture and the history of West Kauai agriculture. The house will be used as a community center for presenting events and performances that contribute to the cultural fabric of West Kauai life and celebrate the building's unique place in our community.

Restoring the Gulick Rowell house will create an engaging community center and historically rich visitor destination. Without immediate attention a valuable asset from Hawaii's history will be lost. We are excited to prepare the Gulick Rowell house for its third century for the residents of west Kauai and visitors alike.

II. Service Summary and Outcomes

The scope of work is to prepare the Gulick Rowell House and property for restoration. This will involve bringing on Mason Architects to conduct an Historic Site Review (\$35,000) and to complete preliminary designs and plans (\$75,000), bringing on an archeologist to conduct an official archeological survey (\$20,000) and construction management (Mark Isoshima and Mike Faye of Kikiaola Construction) to stabilize the house for safety (\$60,000) and prepare the site for extensive work (\$150,000). The house is on the Hawaiian and the National Historical Registry dictating the work be done in accordance with the Secretary of Interior's guidelines for preservation.

A Historical Site Review along with design and site preparation will begin in mid 2016 with construction starting in September of 2016. Entire restoration and construction time is scheduled for 10 months.

An experienced construction manager will be hired to supervise the restoration of the house. Using the Secretary of Interior’s guidelines for preservation as the benchmark, the manager will confirm compliance and certify the satisfactory completion by the construction company.

Our primary measure of effectiveness is successful completion of the Historic Site Review, the archeological survey as well as a stabilized house, a safe worksite and a completed design and plan for the total restoration and rehabilitation of the Gulick Rowell House.

III. Financial

Budget

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

See attached budgets.

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

Quarter 1	Quarter 2	Quarter 3	Quarter 4	Total Grant
\$250,000	\$100,000			\$350,000

3. The applicant shall provide a listing of all other sources of funding that they are seeking for fiscal year 2017.

Historic Hawaii Foundation Historic Preservation Grant (\$45,000)
 Sam and Mary Cooke Preservation Fund for Hawaii (\$5,000)
 Private donations (\$40,000)

4. The applicant shall provide a listing of all state and federal tax credits it has 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.

We anticipate receiving federal tax credits for work on a National Historic Register building.

5. The applicant shall provide a listing of all federal, state, and county government contracts and grants it has been and will be receiving for program funding.

There will be a campaign for additional funds as soon as the West Kauai Mission House Trust has been established as a non-profit.

6. The applicant shall provide the balance of its unrestricted current assets as of December 31, 2015.

\$840,000

IV. Experience and Capability

A. Necessary Skills and Experience

Jim Ballantine, born in Waimea, Kauai, is a former board member of the Kikiaola Land Company (Waimea Plantation Cottages) and currently manages the historic Kokee Lodge and Restaurant. He has a lifetime of production experience managing large feature film projects for Disney and Nickelodeon. In the past 5 years alone, Jim Ballantine has produced 2 feature films and 5 television series. The funding from those projects came from Australian, German, Canadian and French federal and state grants and investments. In addition he raised private capital and facilitated state and local investments and tax exemptions.

Through his family and his experience with the Waimea Plantation Cottages, he has deep understanding of the history of west Kauai. He has managed multi-million dollar projects that have generated significant income. He has experience bringing together disparate groups to work towards a common goal.

Glenn Mason of Mason Architects has over 25 years of experience primarily in historic restoration.

Mike Faye of Kikiaola Construction company has been working as a general contractor in West Kauai for over 25 years and also specializes in historic restoration. Their resume is attached.

Archaeologist Jim Powell from SCS Hawaii, has over 30 years of experience with Hawaiian and Micronesian cultural sites and specializes in the testing and monitoring of construction projects for private, state and federal clients.

B. Facilities

The Gulick-Rowell House is located on 1.357 acres in Waimea on the island of Kauai. (TK 1-2-6-34). It is listed on the Hawaii Register of Historic Places (Site # 30-05-9314 in 1972) and the National Register of Historic Places (1977). The house is a three story structure with coral walls 24 inches thick. A coral brick basement occupies half of the area under the house. The first and second floors are surrounded by a porch on three sides, constructed of rubblestone and finished at the first floor in concrete. Wood posts support the second-floor porch with a wood handrail. Exterior walls are covered by plaster.

The plan is rectilinear with entry into the living room from the covered entry porch. Windows and door openings are displayed in the cut limestone walls. A small window in the living room, which opens from the inside and outside is reported to have housed postal boxes.

The first floor is occupied by the living/dining room and kitchen. The kitchen houses a large cooking fireplace and baking oven, which has been bricked in. Plaster covers the stone fireplace structures. A unique feature of the cooking facility is that it is built on the interior side of the wall rather than projecting on the exterior, which was the ordinary practice of the day.

The Gulick-Rowell missionary house is one of the oldest and best preserved as well as one of the finest examples of early missionary residences on Kauai. It was continuously lived in until 2004, but shows few alterations to original form. The overall form is uniquely Hawaiian with the high-pitched roof and covered porches on three sides. It is a simple and functional structure, yet well proportioned with well-crafted detailing. It is an excellent example of a New England approach to residential architecture adapted to the Hawaiian climate utilizing local materials.



V. Personnel: Project Organization and Staffing

A. Proposed Staffing, Staff Qualifications, Supervision and Training

Capital funding will be directed primarily to SCS Hawaii, Mason Architects and Kikiaola Construction Company, all specializing in historic preservation.

Mason Architects was founded in 1998 as a successor firm of Spencer Mason Architects, originally established in 1984. Key members of the staff have worked together for over 25 years. Their portfolio includes most of the preservation work done in the Pacific encompassing master plans, existing condition analyses, design guideline reports, historic structure surveys and inventories, culture resource management plans and National Register, Historic American Buildings Survey and Historic American Engineering Record documentation.

Kikiaola Construction has over 30 years of experience on Kauai with a specialty in the restoration and preservation. They recently completed the new visitors center for the National Tropical Botanical Gardens and include the Waimea Theater and the Waimea Plantation Cottages on their resume.

SCS Hawaii has been cultural resource management throughout the Hawaii archipelago and greater Pacific since 1992. They provide archaeological and cultural assessment as well as services for government organizations, engineering and planning firms, large and small corporations and private homeowners.

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 organization chart that illustrates the placement of this request.

Not applicable.

C. Compensation

The applicant shall provide the annual salaries paid by the applicant to the three highest paid officers, directors, or employees of the organization by position.

Not applicable.

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.

Not applicable.

B. Licensure or Accreditation

The applicant shall specify any special qualifications, including but not limited to licensure or accreditation that the applicant possesses relevant to this request.

Not applicable.

C. Private Educational Institutions

The applicant shall specify whether the grant will be used to support or benefit a sectarian or non-sectarian private educational institution. Please see Article X, Section 1, of the State Constitution for the relevance of this question.

Not applicable.

D. Future Sustainability Plan

The West Kauai Mission House Trust is being established as a non-profit organization dedicated to the preservation of the Gulick Rowell Mission House and creating programs for West Kauai. We hope to partner with other well established non profits and community organizations for instance the Kauai Historical Society has expressed interest in creating a symbiotic relationship with us. The future funding will come from a variety of sources including a capital campaign for the restoration and individual memberships for support of our ongoing programs. We will be working with several foundations focused on historic preservation and plan to apply for Federal Tax credits where applicable. We are exploring support from the County and the Kauai Economic Development Board

Private donors, local fundraisers, lease rents, site fees and ticket sales will contribute to the project. Plans include a food and retail area for the unique visitor destination.

E. Certificate of Good Standing (If the Applicant is an Organization)

If the applicant is an organization, the applicant shall submit one (1) copy of a certificate of good standing from the Director of Commerce and Consumer Affairs that is dated no earlier than December 1, 2015.

Not Applicable.

BUDGET REQUEST BY SOURCE OF FUNDS

Period: July 1, 2016 to June 30, 2017

Applicant: _____

BUDGET CATEGORIES	Total State Funds Requested (a)	Total Federal Funds Requested (b)	Total County Funds Requested (c)	Total Private/Other Funds Requested (d)
A. PERSONNEL COST				
1. Salaries				
2. Payroll Taxes & Assessments				
3. Fringe Benefits				
TOTAL PERSONNEL COST				
B. OTHER CURRENT EXPENSES				
1. Airfare, Inter-Island				
2. Insurance				
3. Lease/Rental of Equipment				
4. Lease/Rental of Space				
5. Staff Training				
6. Supplies				
7. Telecommunication				
8. Utilities				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				
TOTAL OTHER CURRENT EXPENSES				
C. EQUIPMENT PURCHASES				
D. MOTOR VEHICLE PURCHASES				
E. CAPITAL	350,000			
TOTAL (A+B+C+D+E)	350,000			
SOURCES OF FUNDING	Budget Prepared By:			
(a) Total State Funds Requested		Jim Ballantine	808 631 4355	
(b) Total Federal Funds Requested		Name (Please type or print)	Phone	
(c) Total County Funds Requested			Jan. 22, 2016	
(d) Total Private/Other Funds Requested		Signature of Authorized Official	Date	
TOTAL BUDGET	350,000	Jim Ballantine Executive Director for the West Kauai Mission House Trust		
		Name and Title (Please type or print)		

BUDGET JUSTIFICATION - CAPITAL PROJECT DETAILS

Period: July 1, 2016 to June 30, 2017

Applicant: _____

FUNDING AMOUNT REQUESTED						
TOTAL PROJECT COST	ALL SOURCES OF FUNDS RECEIVED IN PRIOR YEARS		STATE FUNDS REQUESTED	OTHER SOURCES OF FUNDS REQUESTED	FUNDING REQUIRED IN SUCCEEDING YEARS	
	FY: 2014-2015	FY: 2015-2016	FY:2016-2017	FY:2016-2017	FY:2017-2018	FY:2018-2019
PLANS			55000			
LAND ACQUISITION						
DESIGN			85000			
CONSTRUCTION			210000			
EQUIPMENT						
TOTAL:			350,000			
JUSTIFICATION/COMMENTS:						
Plans include Historic Site Review and Archaeological Survey						

**DECLARATION STATEMENT OF
APPLICANTS FOR GRANTS PURSUANT TO
CHAPTER 42F, HAWAII REVISIED STATUTES**

The undersigned authorized representative of the applicant certifies the following:

- 1) The applicant meets and will comply with all of the following standards for the award of grants pursuant to Section 42F-103, Hawaii Revised Statutes:
 - a) 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 is awarded;
 - b) Complies 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;
 - c) Agrees not to use state funds for entertainment or lobbying activities; and
 - d) Allows the state agency to which funds for the grant 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.
- 2) If the applicant is an organization, the applicant meets the following requirements pursuant to Section 42F-103, Hawaii Revised Statutes:
 - a) Is incorporated under the laws of the State; and
 - b) Has bylaws or policies that describe the manner in which the activities or services for which a grant is awarded shall be conducted or provided.
- 3) If the applicant is a non-profit organization, it meets the following requirements pursuant to Section 42F-103, Hawaii Revised Statutes:
 - a) Is determined and designated to be a non-profit organization by the Internal Revenue Service; and
 - b) Has a governing board whose members have no material conflict of interest and serve without compensation.


Pursuant to Section 42F-103, Hawaii Revised Statutes, for grants used for the acquisition of land, when the organization discontinues the activities or services on the land acquired for which the grant 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 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.

Jim Ballantine

(Typed Name of Individual or Organization)

(Signature)

 (SARA E. COES, Attorney in Fact Jan. 22, 2016)
for Jim Ballantine

(Date)

Jim Ballantine

(Typed Name)

Executive Director
(Title)