



Section 1: Agency Policies

Policy Number: 1.08 v2	Title: Waste Minimization Grant Program	Page 1 of 7
Author: JK	Approval: Board of Directors	Effective Date: June 15, 2020

1.0 Purpose

The purpose of this policy is to establish a program to provide financial assistance to eligible DMASWA applicants for projects and programs leading to best practices for source reduction, reuse methods, organics waste management, water quality projects, greenhouse gas emissions, recycling, household hazardous materials and/or environmental education.

2.0 Scope

This policy applies to potential entities in the DMASWA's Planning area encountering financial barriers to source reduction, reuse methods, organics waste management, water quality projects, greenhouse gas emissions, recycling, household hazardous materials and/or environmental education.

3.0 Definitions and Acronyms

Annual Allocation - dollar amount the board allocates to the Financial Assistance Grant Program per fiscal year.

Cost Share – applicant's share of the eligible costs of the proposed project.

Demonstration project – a project that is innovative or new to the solid waste planning area.

Eligible Expenses – expenses directly related to the project for which financial assistance funds may be used.

DMASWA Planning Area – the area which the DMASWA is responsible for providing for the establishment and operation of an integrated solid waste management system consistent with the waste management hierarchy under Iowa Code section 455B.301A and designed to meet the state's waste reduction and recycling goals as approved by the Iowa Department of Natural Resources. (Dubuque County, Iowa)

Financial Assistance – monetary assistance provided in the form of a grant that is awarded under this policy to an applicant.

Indirect Expenses – costs not directly arising from a specific project, function or activity.

Landfill Diversion – diversion of materials from the DMASWA's landfill to be used for a beneficial purpose to be measured by weight. This does not include diversion of



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material which is combusted without energy recovery or material dumped or discarded in violation of Iowa Code Section 455b.307 and 455b.307A.

Waste Reduction – practices which reduce, avoid, or eliminate the generation of solid waste at the source. Waste reduction is not merely the shifting of a waste stream from one medium to another medium.

4.0 Policy

The Dubuque Metropolitan Area Solid Waste Agency (DMASWA) desires to reduce the amount of solid waste generated and landfilled in its Planning Area through education and implementation of solid waste management practices. DMASWA will provide financial assistance to eligible applicants to assist with overcoming financial barriers for the institution of best practices for source reduction, reuse methods, organics waste management, water quality projects, greenhouse gas emissions, recycling, household hazardous materials and/or environmental education..

5.0 Specific Provisions

Funding and Award Terms.

The Board of Directors will set the amount of funds available to be awarded as grants with the adoption of the annual budget.

The maximum grant award is \$25,000 per application.

Application funding request may be adjusted by the grant review committee and by the Board of Directors based upon the merits of the application, availability of funds, or level of priority of the project to solid waste reduction goals. Applicant may have the option to accept or deny the modified award. All funding awards shall be approved by the Board of Directors.

The initial duration of a grant agreement will be no longer than two (2) years. However, an applicant may apply for an extension. Funds for a multi-year project will be awarded in the fiscal year the project was awarded. For Grants longer than two (2) years, reports need to be completed annually.

Applicants are required to provide a minimum of twenty-five (25) percent cash match. This requirement is waived for environmental education.

Grant funds are reimbursed to successful applicants following receipt of invoice, proof of payment (receipts) and a completed Waste Minimization Grant Expense Reimbursement Form.



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Recipient Eligibility.

Any unit of a local government, non-profit, not for profit or for-profit entities that has an interest in or responsibility for solid waste management in the DMASWA's Planning Area, is a customer of the DMASWA and is in compliance with all applicable state and local statutes and regulations.

Project Eligibility.

Financial assistance can be provided to projects in the DMASWA Planning Area in the following categories:

1. Environmental education focused projects consistent with the DMASWA's message on source reduction, reuse methods, organics waste management, water quality projects, greenhouse gas emissions, recycling, household hazardous materials, and /or related topic.
2. Solid Waste best practices and projects that target pollution prevention, waste reduction and recycling sustainability and the reduction of environmental impacts related to solid waste identified in the DMASWA's environmental management system. Projects must focus on one of the six key areas: organics waste management, water quality projects, greenhouse gas emissions, recycling, household hazardous materials.
3. Market development practices and programs that develop increased demand for extended life cycles, reuse of materials, and value-added recyclables sufficient to provide increased and stable commodity markets.

Note: Preference may be given for proposed projects that target a traditionally underserved population.

Eligible Expenses.

Applicants may request funding for the implementation and operation of a project, which include, but not limited to:

1. Purchase and installation of waste minimization and reduction equipment;
2. Purchase and installation of collection, processing or hauling equipment;
3. Materials and labor for recycling, reuse, or diversion during construction, deconstruction, or renovation of buildings;
4. Development, printing, publication, and distribution of educational materials;
5. Planning and implementation of educational forums, including but not limited to workshops;



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6. Transportation services related to landfill and recycling center education tours. (Limit of one grant per 12-month period for same group.)

Ineligible Expenses.

Financial assistance shall not be provided or used for costs including, but not limited to, the following:

1. Taxes;
2. Registration and membership fees;
3. Ongoing annual operating expenses outside the scope of the grant award letter;
4. Proposal preparation and contract project administration;
5. Providing grants to other organizations or individuals;
6. Legal costs;
7. Land acquisition;
8. Costs for which payment has been or will be received under another federal, state, local or private financial assistance program; and,
9. Cost incurred before a confirmation letter has been sent from DMASWA to the applicant.

Application, Review and Award.

Applicants shall submit applications on forms provided by DMASWA.

Applications are considered part of the public record. Applications must contain project description, anticipated outcomes with metrics, detailed financial budget, and timeline. All applicants MUST complete the Minority Impact Statement included with the application.

Applications for grants to provide transportation for landfill and recycling center tours may be submitted throughout the year and will be reviewed and approved by the Education & Communication Coordinator.

Applications for projects requesting less than \$500 may be submitted throughout the year for consideration and will be reviewed and recommended by the Agency Administrator.

The grant review committee comprised of three citizen community representatives from the DMASWA Planning Area shall review applications for more than \$500. The Agency Administrator and Education and Communication Coordinator shall provide support to the committee.



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Applications received between:	Will be reviewed after:
December 2nd – March 1st	March 1 st
March 2 nd – June 1st	June 1 st
June 2 nd – September 1 st	September 1 st
September 2 nd – December 1 st	December 1 st

The grant review committee shall review applications by area and population served, quality of project partnerships, long-term effect on waste minimization, reduction in toxicity of waste, increased reuse and recycling, reduction of waste materials landfilled, projected participation rate in project, presented project education and outreach plan, data collection, evaluation process and past performance of applicant. If needed, the grant review committee may request additional information from applicants.

Administrator, or designee, will draft committee recommendation for the Board of Directors consideration. Upon review, of the recommendations of the committee, the Board of Directors shall approve, defer or deny each application.

Applicants selected for DMASWA funding are required to submit documentation of project progress and a final written report. Details on required reporting will be provided upon funding of the project.

Grant Administration.

After review committee and/or Board of Directors review, Administrator, or designee, will provide notice of decision to the applicant. If funding is granted, the recipient will complete the funded tasks within two (2) years of receiving the initial notification unless changed by mutual written agreement. The grant funding may be terminated if there has been no disbursement of funds during any twelve (12) month period following the announcement of awards, unless an extension is requested in writing by the Grantee and approved by the Agency.

Recipients shall submit requests for grant funds on the forms provided by DMASWA including supporting documentation for expenses. Disbursements shall be made on a reimbursement basis. Only expenditures directly related to the implementation of the funded project, per the application budget, will be reimbursed. Ten (10) percent of the award will be retained by DMASWA until acceptance of final project report.

Staff may approve amendments to the original application including time extensions, budget line item allocations and alterations of proposed activities. The recipient shall request amendment in writing. No amendment shall be valid without



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acknowledgement by the Administrator. Any proposed increase to award amount requires approval from the Board of Directors.

Recipient's shall prepare a final report on forms provided by DMASWA. Once the report is accepted by the DMASWA, the retained portion of the award will be released, and the grant will be closed out. If a grant is terminated due to inactivity, retained funds accumulated to that point will only be released upon submission of a final report detailing why the project was unable to be completed. If retained funds are requested, the final report must be received within 60 days from the request or the retained funds will not be released.

6.0 Responsibilities and Enforcement

Grant review committee is responsible for reviewing applications to provide a funding recommendation based on established guidelines.

Administrator, or designee, is responsible for the development of the grant application, review grants for completeness, appointment of review committee members, distribute applications to committee, provide technical support to the committee, provide committee's recommendation to board, develop and manage grant contract documents, and make fund disbursements.

Directors are responsible for reviewing financial assistance requests, consider committee recommendation and shall take action to approve, defer, or deny each application.

7.0 Metrics and Records

Program metrics will be included with each project report and provided to the Board of Directors as received. Program data will be recorded summarizing applications received, awarded amount, types of projects, applicant name, project outcomes and final award amount. Document pertaining to the awarding of funds shall be kept on file for a minimum of five years after project closeout.

8.0 Reference Documents

Reference Documents and Forms	
Document Type	Document Title
Form	Financial Assistance Grant Application
Form	Financial Assistance Grant Report Form
Form	Grant Reimbursement Tracking Form
Form	Grant Expense Reimbursement Form
Document	Minutes from DMASWA Regular Meeting Sept. 18, 2019



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9.0 Revision History

Revision History			
Rev	Description of Change	Author	Effective Date
0	Initial creation;	Klostermann	9/18/2019
1	Revised language in multiple sections related to the EMS program, added grant inactivity termination language.	Miller	06/15/2020



**DUBUQUE METROPOLITAN AREA SOLID WASTE AGENCY
WASTE MINIMIZATION GRANT EVALUATION RUBRIC**

1. PROJECT SUMMARY: 5 POINTS		
5	3	1
Project is clearly defined and achievable. Timeline and workplan is detailed enough to produce the proposed deliverables. Project addresses a need in the community	Project is clearly defined and addresses a need in the community. Timeline and/or workplan leave some questions about project deliverables, or ability to implement the project.	Project is not clearly defined. Applicant has not identified how this project meets a need in the community.

2. PROJECT ADDRESSES DMASWA PROJECT ELIGIBILITY CATEGORIES: 5 POINTS		
5	3	1
Project addresses more than one of the following: Environmental Education, Solid Waste Best Practices and Projects, and/or Market Development practices and programs resulting in minimization, or will result in deeply impactful work relating to one identified category. Clearly explains how project addresses waste minimization efforts.	Project addresses one category and explains how it does so.	Project does not clearly address one of the identified categories of Environmental Education, Solid Waste Best Practices and Projects, and/or Market Development practices and programs resulting in minimization or lacks explanation of how it will address these categories.

3. PROJECT ADDRESSES DIVERSITY, EQUITY AND INCLUSION: 3 POINTS		
3	2	1
Project demonstrates a clear understanding of the meaning of diversity, equity and inclusion. Project clearly demonstrates specific efforts to include these concepts in planning and execution. Target audience includes traditionally unengaged or underserved populations. Marketing strategy clearly defines specific strategies to include diverse groups.	Project includes some effort to include diversity, equity, and inclusion in project planning and execution. There is a marketing plan that demonstrates some effort to market to diverse groups.	This project does not adequately demonstrate effort to include diverse voices in the planning stage. There is no plan to market specifically to include diverse groups in project execution.

4. PROJECT INCLUDES COMMUNITY ENGAGEMENT AND/OR COMMUNITY EDUCATION: 3 POINTS

3	2	1
Community members had input regarding the need for and design of the project. Applicant clearly describes a plan for community engagement and/or education. Education efforts include detail about how the project will further DMASWA goals.	Applicant includes a plan for community engagement and/or education but lacks appropriate details to confirm that efforts will be successful.	Applicant does not clearly identify a plan for community engagement and/or education.

5. DETERMINATION OF SUCCESS: 3 POINTS

3	2	1
Vision of project and its success can be clearly quantified. A plan to reach people and make a shift has enough detail to ensure its execution. Successful projects will contribute to waste minimization efforts.	Project success is likely, although it's unclear that the applicant has identified their vision or has ability to reach desired demographic.	Success of the project is not clear because it cannot be quantified or has not been well thought out.

6. MEASUREMENT OF IMPACT: 3 POINTS

3	2	1
Direct impacts of project can be clearly quantified. A plan to measure impact has enough detail to ensure its execution. Successful projects will support DMASWA waste minimization goals.	Impact of the project is likely, although it's unclear that the applicant has identified an action plan to collect relevant data.	Direct impact of the project is not clear.

7. PRIOR EXPERIENCE IMPACTING THE COMMUNITY: 3 POINTS		
3	2	1
Organization and/or individuals demonstrate experience in implementing projects that impact the community. If applicant does not have experience, they have secured partnerships with organizations that can assist, or have developed a workplan with a high enough level of detail that success is likely.	Applicant or confirmed partners have participated in community efforts in the past.	Applicant has not identified any experience participating in community efforts and/or impacting community in the past. <i>If previous DMASWA grantee: Applicant did not adequately fulfill requirements of previous grant.</i>

8. BUDGET: 3 POINTS		
3	2	1
Project budget and intended use of requested funds are clear and appropriate. Budget is realistic to achieve desired outcome.	Project budget and intended use of requested funds are identified.	Budget information is incomplete, or requests inappropriate items. Budget is not realistic to achieve desired outcome.

9. MATCH: 3 POINTS		
3	2	1
Applicant has committed time, talent, or treasure to make this project happen. Necessary partners have committed to implementation of the project.	Applicant has identified potential matching sources, including partners, but has not confirmed all commitments.	No match is identified.



**DUBUQUE METROPOLITAN AREA SOLID WASTE AGENCY
WASTE MINIMIZATION GRANT APPLICATION**

Grant #: _____

All applicants must be DMASWA customers and located in the DMASWA planning area. Their efforts must result in environmental education, solid waste best practices, and/or market development practices and programs in the county. Funds are awarded on a reimbursement basis. Applicants must submit their project proposal/plan for review prior to implementation. For additional information on grant criteria visit our website at www.DMASWA.org

INSTRUCTIONS: Fill out form completely and sign. **Attach supporting documentation:** Documentation varies based on grant type, please see instructions for additional information

Questions about the form or need assistance with the form? Call 563-557-8220 or email us at DMASWA@cityofdubuque.org

APPLICANT CONTACT INFORMATION

CONTACT PERSON		ORGANIZATION		
ADDRESS		CITY	STATE	ZIP
PHONE NUMBER		EMAIL ADDRESS		
LOCAL REFUSE/RECYCLING HAULER				

APPLICATION TYPE (Check all that apply)

<input type="checkbox"/> Field Trip Travel Assistance	<input type="checkbox"/> Education Grant	<input type="checkbox"/> Other Grants
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APPLICANT INFORMATION

TAX STATUS		
<input type="checkbox"/> Not-For-Profit	<input type="checkbox"/> For Profit	<input type="checkbox"/> Other:
ORGANIZATION TYPE		
<input type="checkbox"/> Education Entity	<input type="checkbox"/> Citizen-Based/Neighborhood Association	<input type="checkbox"/> Government Entity
<input type="checkbox"/> Institution	<input type="checkbox"/> Commercial/Industrial	<input type="checkbox"/> Construction/Demolition
<input type="checkbox"/> Other:		

TARGETED PLANNING, MARKETING, OUTREACH & IMPLEMENTATION

Identify whether you involved any of the following populations in your planning, marketing, outreach or implementation.

<input type="checkbox"/> Ages under 18	<input type="checkbox"/> Ages 18-60	<input type="checkbox"/> Ages 61+
<input type="checkbox"/> American Indian/Alaskan	<input type="checkbox"/> Native	<input type="checkbox"/> Asian
<input type="checkbox"/> Black/African American	<input type="checkbox"/> Multi-Racial	<input type="checkbox"/> Native Hawaiian/Other
<input type="checkbox"/> Pacific Islander	<input type="checkbox"/> Hispanic/Latinx	<input type="checkbox"/> White/Caucasian
<input type="checkbox"/> Immigrants	<input type="checkbox"/> International Students	<input type="checkbox"/> Refugees
<input type="checkbox"/> Bi-Sexual	<input type="checkbox"/> Heterosexual/Straight	<input type="checkbox"/> Gay
<input type="checkbox"/> Lesbian	<input type="checkbox"/> Trans or Transgender	<input type="checkbox"/> Persons with Disabilities
<input type="checkbox"/> English Language Learners	<input type="checkbox"/> Men	<input type="checkbox"/> Women
<input type="checkbox"/> Upper class/Income	<input type="checkbox"/> Middle class/Income	<input type="checkbox"/> Working class/income
<input type="checkbox"/> Unemployed/Fixed income	<input type="checkbox"/> Veterans	<input type="checkbox"/> College Students
<input type="checkbox"/> Our process is non-targeted		

1. Project Description (Space limited to the size of the text box)

2. Project Timeline (Space limited to the size of the text box)

3. Who will benefit from your project? (Space limited to the size of the text box)

GRANT INFORMATION (Cont.)

4. Name other groups, municipalities, businesses, or public agencies with whom you are partnering. (Space limited to the size of the text box)

5. Explain how your project will have a long-term effect on source reduction, reuse methods, recycling, composting, hazardous materials disposal, and/or related education. (Space limited to the size of the text box)

6. How will you track and evaluate the effectiveness of your program (i.e., numbers of people educated, amount of waste diverted, amount of toxins diverted)? (Space limited to the size of the text box)

6. How will you report your progress to the DMASWA and to the larger community? (Space limited to the size of the text box)

GRANT INFORMATION (Cont.)

7. Summarize your budget requests below and attach an itemized budget.(Space limited to the size of the text box)

8. Total project cost? (Space limited to the size of the text box)

9. Grant funds requested from DMASWA?(Space limited to the size of the text box)

10. Other grants received? (Space limited to the size of the text box)

11. Cost assumed by applicant? (Space limited to the size of the text box)

APPLICANT INFORMATION & SIGNATURE

APPLICANT NAME (PLEASE PRINT OR TYPE)	APPLICANT TITLE (PLEASE PRINT OR TYPE)
APPLICANT SIGNATURE	DATE

Applications received between:	Will be reviewed after:	MAIL/EMAIL DOCUMENTS TO
December 2nd - March 1st	March 1st	DMASWA c/o Public Works Department Attn: Waste Minimization Grant Application 925 Kerper Court Dubuque, IA 52001 DMASWA@cityofdubuque.org
March 2nd - June 1st	June 1st	
June 2nd - September 1st	September 1st	
September 2nd - December 1st	December 1st	

Date Received: _____ Date Approved: _____



**DUBUQUE METROPOLITAN AREA SOLID WASTE AGENCY
WASTE MINIMIZATION GRANT MINORITY IMPACT STATEMENT**

The Dubuque Metropolitan Area Solid Waste Agency supports the community efforts to be a viable, livable, and equitable community, and to advance equity and inclusion. As part of this effort, all grant applications submitted to the DMASWA shall include a Minority Impact Statement. This is modeled off of the mechanism used by the State of Iowa to require grant applicants to consider the potential impact of the grant project's proposed programs or policies on minority groups.

INSTRUCTIONS: Please choose the statement(s) that pertains to this grant application. Complete all the information requested for the chosen statement(s).

Questions about the form or need assistance with the form? Call 563-557-8220 or email us at DMASWA@cityofdubuque.org

MINORITY IMPACT STATEMENTS

The proposed grant project programs or policies could have a disproportionate or unique positive impact on minority persons.

Describe the positive impact expected from this project (Space limited to the size of the text box):

Indicate which group(s) is impacted:

<input type="checkbox"/> Women	<input type="checkbox"/> Persons with Disabilities	<input type="checkbox"/> Black/African American
<input type="checkbox"/> Hispanic/Latinx	<input type="checkbox"/> Asian	<input type="checkbox"/> Pacific Islander
<input type="checkbox"/> American Indian/Alaskan	<input type="checkbox"/> Other	

The proposed grant project programs or policies could have a disproportionate or unique negative impact on minority persons.

Describe the negative impact expected from this project (Space limited to the size of the text box):

Present the rationale for the existence of the proposed program or policy:

Provide evidence of consultation of representatives of the minority groups impacted:

Indicate which group(s) is impacted:

<input type="checkbox"/> Women	<input type="checkbox"/> Persons with Disabilities	<input type="checkbox"/> Black/African American
<input type="checkbox"/> Hispanic/Latinx	<input type="checkbox"/> Asian	<input type="checkbox"/> Pacific Islander
<input type="checkbox"/> American Indian/Alaskan	<input type="checkbox"/> Other	

MINORITY IMPACT STATEMENTS (cont.)

The proposed grant project programs or policies are not expected to have a disproportionate or unique impact on minority persons.

Present the rationale for determining no impact (Space limited to the size of the text box):

APPLICANT INFORMATION & SIGNATURE

APPLICANT NAME (PLEASE PRINT OR TYPE)	APPLICANT TITLE (PLEASE PRINT OR TYPE)
APPLICANT SIGNATURE	DATE

DEFINITIONS

“Minority Persons”, as defined in Iowa Code Section 8.11, mean individuals who are women, persons with a disability, Blacks, Latinos, Asians or Pacific Islanders, American Indians, and Alaskan Native Americans.

“Disability”, as defined in Iowa Code Section 15.102, subsection 5, paragraph “b”, subparagraph (1):
b. As used in this subsection:

(1) “*Disability*” means, with respect to an individual, a physical or mental impairment that substantially limits one or more of the major life activities of the individual, a record of physical or mental impairment that substantially limits one or more of the major life activities of the individual, or being regarded as an individual with a physical or mental impairment that substantially limits one or more of the major life activities of the individual.

“*Disability*” does not include any of the following:

- (a) Homosexuality or bisexuality.
- (b) Transvestism, transsexualism, pedophilia, exhibitionism, voyeurism, gender identity disorders not resulting from physical impairments or other sexual behavior disorders.
- (c) Compulsive gambling, kleptomania, or pyromania.
- (d) Psychoactive substance abuse disorders resulting from current illegal use of drugs