Iowa Department of Natural Resources

Low-head Dam Public Hazard Program
Cost-share Application

INTRODUCTION

The Iowa Department of Natural Resources (Iowa DNR) Conservation and Recreation Bureau under Chapter 30 of 571 Iowa Administrative Code will direct funds appropriated by the Iowa General Assembly to the Low-head Dam Public Hazard program. These funds are available to all owners of dams on navigable streams through cost-sharing at a minimum of 50 percent cost share from the applicant. The programs primary purpose to mitigate hazards at low-head dams through warning signage, portage trail construction, and modifications to or removals of low-head dams, recognizing that fish passage, recreational improvements, and stream habitat restoration can and should be compatible goals in almost all cases. Depending upon funds availability, additional application deadlines may be announced during this fiscal year.

Scoring criteria and eligibility. PLEASE NOTE: There are separate application forms for various sizes and types of projects, in order to encourage the mitigation process. Eligibility for each category is listed in Section D. Scoring criteria are different for each one, so please make sure you select one that fits your project's categories. The scoring committee will evaluate proposals for safety projects related to low-head dams, for activities on or adjacent to navigable waters in Iowa, using three categories:

Dam warning signage system or portage projects. Warning signage and dam portage projects can receive up to 50 percent state cost-share, with a maximum of $50,000 program share per project site.

Exploratory phase dam mitigation projects. Exploratory-phase projects can be considered for proposed program requests up to $50,000. Eligibility is described in section D. Maximum program cost-share is 50 percent.

Engineering phase and construction phase projects. Design engineering phase projects may include proposed program requests over $80,000. Construction phase projects can include any project up to the maximum total amount offered in a grant cycle, and may include engineering elements such as construction supervision and inspection. Eligible projects for consideration of award as a large project shall include construction and final engineering costs related to modification or removal of hazardous dams. Maximum state cost-share is 50 percent.

Important information

- For funds to be dispersed, your local entity must enter into a project agreement with the Iowa DNR, which details requirements and commitments your organization will keep.
- Funds must be applied to intended use within three years of award.
- Grantees should give Iowa businesses priority, when possible, in contracting labor or purchasing materials.
- Administering organizations are required to keep all project records for three years after the final report is completed. These records are to be available for audit by the state.
- Any deviation from the project outlined in your application must be confirmed in advance by the Iowa DNR River Programs coordinator.
- Applicants need to meet the requirements for construction permits from federal, state and local authorities before constructing their projects. Receipt of state funding does not eliminate the need for appropriate construction permits.

Timeline

- Application deadlines vary, and announcements are placed on the Dam Mitigation Projects page of the Iowa DNR's website.
- Applications will be scored within 45 days of the application deadline. Applicants will receive notification of the date and will be invited to attend the scoring committee meeting.
- Commission approval will be within 45 days of the scoring committee meeting.
- Funds to be applied to cost-sharing can be spent after applicant receives an award letter and agreement.

How will grant awards be determined?

Applications will be scored by three Iowa DNR staff members and two appointed citizen representatives approved by the DNR Director. After scoring the applications, the committee will prioritize and determine where the most impact can be made in a given year with given resources.

Application instructions

Applications for the Low-head Dam Public Hazard cost-share funds must be completed delivered by the date and time listed on the Dam Mitigation Projects page of the Iowa DNR's website in order to be eligible for review. Please you're your application form and your supporting documents (plansets, letters, etc.) to Nate.Hoogeveen@dnr.iowa.gov. Verify it was received via e-mail.

Applicant eligibility

Local governments (cities, counties, and their agencies), state agencies, corporations, individuals, and other dam owners are eligible applicants. Prior to contracting with non-governmental entities or individuals, Iowa DNR may request financial statements and some standard agreement elements may be negotiated differently depending on the financial statements presented by the grantee. Other entities may apply for funds on behalf of the dam owner, but must show a signed agreement with the dam-owning entity(ies) that allows the partner entity to act as the agent for the dam owner. The Iowa DNR does not make or imply any guarantees from the information found in this application.

Application checklist:

☐ A. APPLICATION FORM with full contact information should be the first page of all applications.
☐ B. NARRATIVE assessing existing conditions, clearly outlining the concept of the proposed project, and providing project justification. Narrative should be no more than two typed pages.
☐ C. MAPS identifying the location of the project as described.
☐ D. APPLICATION RANKING CRITERIA. This section contains your responses to application ranking criteria questions for the category to which you are applying (Signs/Portage, Exploratory, Medium/Large). Please keep the question and number of points eligible for each question in this section. Please review your project's eligibility for each category before selecting the appropriate form and answer only the questions on that form. If you have questions about eligibility of activities, please call the dam mitigation program staff listed earlier in this application. If applicant is a unit of local government applying as responsible agent for other partners, list local groups involved.
☐ E. An ITEMIZED BREAKDOWN of the total project costs and, if applicable, the portion this grant is expected to fund.
☐ F. A TIME SCHEDULE for the total project development, and when funds from this grant program are expected to be spent.
☐ G. LETTERS OF AGREEMENT, if needed, from managers of lands where construction will take place and/or signs will be installed.
☐ H. CONSTRUCTION DRAWINGS and/or SIGN PLACEMENT PLAN for the proposed project.
☐ I. MINORITY IMPACT STATEMENT. Please complete the form included.

IOWA WATER TRAILS PROGRAM
Low-Head Dam Public Hazard Program

A. GRANT APPLICATION - COVER PAGE

Deadline: Deliver by date listed on Iowa DNR Website.

Project Name: _____

Applicant Name: _____ Contact Person: _____

Address (street address required): _____

City: _____ State: _____ Zip Code: _____

Phone (day): _____ Phone (evening): _____

E-mail: _____

If project is in an area controlled or partially controlled by other entity(ies), please list:

Organization 1: _____ Contact Person: _____

Phone: _____ E-mail: _____

Organization 2: _____ Contact Person: _____

Phone: _____ E-mail: _____

Total Iowa DNR Low-Head Dam Safety amount requested _____
(Please round all figures to nearest dollar)

Funds **secured** from other sources (document each in Section G) _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Funds **likely** from other sources (provide available documents) _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Source: _____ Amount: _____

Total cost of project _____

Total number of navigable river miles to be connected to next dam or dams _____

Total number of upstream miles for fish passage _____

B. NARRATIVE

Assess existing conditions. Clearly outlining the concept of the proposed project. Provide project justification. Narrative should be no more than two typed pages.

C. PROJECT LOCATION MAP

Please provide maps showing the project location on a small statewide map, and the dam's position on its stream relative to nearby accesses, towns, and upstream and/or downstream dams within the watershed within approximately 20 miles of the project. Sketched maps are OK. Maps can be inserted as an image below or attached separately.

D1. APPLICATION RANKING CRITERIA - DAM WARNING SIGN SYSTEM AND PORTAGE SCORING CRITERIA

Use this application form for warning signage requests or portage trails for state cost-share up to a maximum of $50,000. Eligible projects for consideration for award as a small project shall include:

- Warning signage and supporting infrastructure (posts, cabling, buoys, related structures) designed in accordance with methods shown in "Developing Water Trails in Iowa," Chapter 6B.
- Portage projects designed in accordance with methods shown in "Developing Water Trails in Iowa," Chapter 3 and signed according to guidance outlined in Chapter 6B.

Applications will be reviewed on a 100-point scoring system. Point values have been assigned to the various questions in the application as indicated below.

1. Describe the level and types of public use in the vicinity of this low-head dam, the relative hazard of the dam, and how this project is expected to improve public safety. (50 points)
2. How will this project install warning signage or establish a portage according to guidelines in "Developing Water Trails in Iowa," Chapter 3 and/or Chapter 6B as applies? A completed plan conforming to the criteria results in maximum points. (25 points)
3. Describe project sponsor's control of area where signs will be placed, or attach written agreements for placement of signage with landowners or managers. (5 points)
4. Describe funding sources that are expected to contribute to this project and detail level of confidence that each sources of funds will come to fruition (possible, expected, secured). Funds raised locally receive highest priority. (10 points)
5. Describe a maintenance plan and list authority(ies) to be responsible for the completed project. Projects with a planned approach to maintenance over the coming decades will receive higher priority. (10 points)

D2. APPLICATION RANKING CRITERIA - EXPLORATORY PHASE DAM MITIGATION SCORING CRITERIA

Small projects shall include proposal requests of up to $50,000. Eligible projects for consideration for award as a small project shall include:

- Proposals resulting in exploratory and information gathering and recommendations are eligible. Examples include, but are not limited to, hydrology/hydraulic studies or models, cultural review, public outreach, planning, environmental, engineering feasibility studies.

Applications will be reviewed on a 100-point scoring system. Point values have been assigned to the various questions in the application as indicated below. Applicants will receive notification of acceptance or deferral by mail or e-mail in October and February of each calendar year. Please be concise; limit responses to a maximum of 250 words per question.

1. Describe the level and types of public use in the vicinity of this low-head dam, the relative hazard of the dam, and how this project is expected to improve public safety. (20 points)
2. Describe expected benefits of this project to overall stream health, fish or mussel migration and habitat (absence of specific species and expected recovery to certain stream reaches, etc.). (15 points)
3. Describe all recreational groups expected to be affected by this project and expected recreational impacts. Is this dam on a navigable stream, and to what degree is it used for navigation? (10 points)
4. Describe commitment and endorsements of various partners and local political entities to this project, and likelihood of successful completion of the project. Please attach letters detailing partner commitments and support from partners and supporters. If project area is not in direct and full control of the applicant, the applicant MUST submit a letter agreeing to the project from partners in control or partial control of area to be eligible. (15 points)
5. Public education concerning dam issues and mitigation, and how public input will be recorded. Describe any expected outreach via public meetings or traditional and social media outlets. Which partner agencies (i.e., DNR, National Park Service, RPA/MPO/COG, United States Fish and Wildlife Service, RC&D) are expected to be involved? Which outside agency staff or consultants will assist with technical education of the local public? (15 points)

6. Describe funding sources that are expected to contribute to this project and detail level of confidence that each sources of funds will come to fruition (possible, expected, secured). Funds raised locally receive highest priority. (10 points)
7. Describe a maintenance plan and list authority(ies) to be responsible for the completed project. Projects with a planned approach to maintenance will receive higher priority. (10 points)
8. Describe a plan for cultural review of the project site related to NHPA eligibility. (5 points)

D3. APPLICATION RANKING CRITERIA - DESIGN ENGINEERING PHASE AND CONSTRUCTION PHASE DAM MITIGATION SCORING CRITERIA

Medium projects include proposal requests of over $50,000. Eligible projects for consideration of award as a medium to large project shall include:

Eligible projects for consideration of award as a medium project shall include:

- Engineering phase project eligibility (Up to $80,000): Proposals with scope resulting in restoration/ engineering design at least to preliminary design level, preferably to permitted level. Construction costs related to modification or removal of hazardous dams. Note that requests for project elements eligible under "D1. Exploratory" can be included in the same application.
- Construction phase project eligibility (Up to the amount available in grant cycle): Proposals resulting in contracted construction costs, biddable construction plans and specifications, and contracted inspection costs related to modification or removal of hazardous dams. Requests should not exceed total amount listed on the DNR web site that is allocated to the grant program.

Applications will be reviewed on a 100-point scoring system. Point values have been assigned to the various questions in the application as indicated below. Please be concise; limit responses to a maximum of 250 words per question.

1. Describe the level and types of public use in the vicinity of this low-head dam, the relative hazard of the dam, and how this project is expected to improved public safety. (20 points)
2. Describe expected benefits of this project to overall stream health, fish or mussel migration and habitat, and stream channel stability. Include specific species expected to benefit or recolonize certain stream reaches. (15 points)
3. Describe all recreational groups affected by this project and expected recreational impacts. Is this dam on a navigable stream, and to what degree is it used for navigation? (10 points)
4. Describe commitment and endorsements of various partners and local political entities to this project, and likelihood of successful completion of the project. Please attach letters detailing partner commitments and support from partners and supporters. If project area is not in direct and full control of the applicant, the applicant MUST submit letter agreeing to the project from partners in control or partial control of area to be eligible. (15 points)
5. Describe the public's education and input opportunities, and how listening to that input was used to influence or update project goals. Describe survey/meeting results, media coverage, local supporting group endorsements, etc. Have outside governmental staff (i.e., DNR, National Park Service, United States Fish and Wildlife Service, RC&D) or private consultants assisted a planning and design effort, and how was the public engaged? Describe the results. (15 points)
6. Describe funding sources that are expected to contribute to this project and detail level of confidence that each sources of funds will come to fruition (possible, expected, secured). Funds raised locally receive highest priority. (10 points)
7. Describe a maintenance plan and list authority(ies) to be responsible for the completed project. Projects with a planned approach to maintenance over the coming decades will receive higher priority. (10 points)
8. Describe permit status. For Medium projects, pre-permitting and application efforts should be described; pre-permitting discussions and thorough anticipation receives all points. For Large projects, all points awarded if required permits and conditions obtained from the joint application process or NPDES (if required); fewer points awarded for less progress toward permits. (5 points)

F. A TIME SCHEDULE

Show an expected timeline for all project development and when funds from this grant program are expected to be requested or reimbursed.

G. LETTERS OF AGREEMENT

Letters of agreement are required when project elements must be installed or constructed on lands not in control of the applicant or their partner. Examples include signs installed on private lands or rapids constructed partially in a separate community. If easements are already obtained, include the easement rather than a letter. Otherwise include a letter showing intent, grant right of entry, and/or construction access from all public land managers or private landowners from managers of lands where construction will take place and/or signs will be installed will be accepted. The other type of letter of agreement will be documents of funding commitment, such as grant award letters, city council resolutions, etc. Letters should be submitted as PDFs separately.

H. CONSTRUCTION DRAWINGS AND/OR SIGN PLACEMENT PLAN

(please submit plans as a separate PDF)

I. MINORITY IMPACT STATEMENT

Pursuant to 2008 Iowa Acts, HF 2393, Iowa Code Section 8.11, all grant applications submitted to the State of Iowa which are due beginning January 1, 2009 shall include a Minority Impact Statement. This is the state's mechanism to require grant applicants to consider the potential impact of the grant project's proposed programs or policies on minority groups.

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

☐ 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

Indicate which group is impacted:
☐ Women
☐ Persons with a Disability
☐ Blacks
☐ Latinos
☐ Asians
☐ Pacific Islanders
☐ American Indians
☐ Alaskan Native Americans
☐ 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

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 is impacted:
☐ Women
☐ Persons with a Disability
☐ Blacks
☐ Latinos
☐ Asians
☐ Pacific Islanders
☐ American Indians
☐ Alaskan Native Americans
☐ Other

☐ 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.

I hereby certify that the information on this form is complete and accurate, to the best of my knowledge:
Name: _____
Title: _____

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.

“State Agency”, as defined in Iowa Code Section 8.11, means a department, board, bureau, commission, or other agency or authority of the State of Iowa.

SAMPLE

, IA

Re: Iowa Water Trails grant

Dear :

Congratulations! Enclosed, please find two copies of a grant agreement for your Iowa Water Trails Grant awarded by the Department of Natural Resources (DNR). Please carefully review the grant agreement. Your organization must sign both copies of the agreement, return them to my attention and a fully executed copy will be returned to you.

Funding for the attached Grant will be available after the first of the Fiscal Year that begins July 1, 2006. You may receive a 90% advance of the grant amount by sending a letter requesting the advance with your signed agreements.

If you have any questions, please contact me at 515-720-2006.

Sincerely,

Kathleen Moench
Budget and Finance Bureau

Enclosures

SAMPLE

Department of Natural Resources

COST-SHARE Agreement- LOW-HEAD DAM SAFETY

Grantee: _____

Project Title: _____

Grant Award: _____

DNR Contact/Phone #: Kathleen Moench 515-720-2006

1. **PURPOSE.** The purpose of this Low-head Dam Safety Agreement is to enable the Iowa Department of Natural Resources (the Department) to assist to improve safety at low-head dams on navigable rivers in Iowa.

2. **PARTIES/AUTHORITY.** The parties to this Grant Agreement are the Iowa Department of Natural Resources, an agency of the State of Iowa, and . The parties make this Grant Agreement under the authority of Chapter 30 of 571 Iowa Administrative Code and Iowa General Assembly appropriation.

3. **GENERAL DESCRIPTION OF PROJECT.** This Grant Agreement is for the project described as:

4. **COST-SHARE AWARD AND REIMBURSEMENTS.** The Department will provide the costs as described and agreed to in the grant application up to a maximum cost-share amount of **$.**

   a) Sponsors shall provide at least fifty percent of the funds required to complete any project. Cost sharing funds may include local, private, federal or other state funds. Any claim of cost share, including reasonable in kind contributions, shall be supported through a signed letter from the organization providing the cost share.

   b) With the exception of "Small" projects (awards of $20,000 and under) once actual project costs are ready to be incurred, up to 90% of the award may be advanced by submitting a letter requesting the advance along with the signed agreements to the address below. The remaining 10 percent will be paid upon completion of the project in the final billing. If an advance is not requested, or for projects under $20,000, financial assistance will be in the form of reimbursements, with the award paid at the final billing. The advance request should be sent to Kathleen.Moench@dnr.iowa.gov.

   c) A two-part final report is required on the date indicated on the Final Report Form (Attachment A). Submit this report electronically to Nate.Hoogeveen@dnr.iowa.gov. Within 20 business days the report will be reviewed and instructions for submitting the final 10% payment request (Attachment B) will be forthcoming.

5. **CERTIFICATION.** Medium and Large projects (any project with a request to the Department of more than $20,001 per year) must have plans certified with a registered engineer and submitted to the Water Trails Coordinator before any funds are disbursed. Drawings can be sent to the above address, or electronically to Nate.Hoogeveen@dnr.iowa.gov.

6. **RESPONSIBILITIES.** The grantee is solely responsible for project completion as outlined in the project proposal. The grantee will make a concerted effort to procure goods and services from Targeted Small Businesses (TSBs) listed at www.iowai.org/iowa/dia/tsb/ during the performance of this Grant Agreement. The Department may provide assistance at the request of the grantee, or at the Director's recommendation. The grantee agrees to meet the requirements for construction permits from federal, state and local authorities before constructing their projects. Receipt of state funding does not eliminate the need for appropriate construction permits.

7. **AMENDMENTS.** This Grant Agreement may be amended only by written ADDENDA signed by the Department Director. Requests for amendments shall be directed to Nate.Hoogeveen@dnr.iowa.gov.

8. **EFFECTIVE DATE/TERMINATION.** This Grant Agreement shall become effective when it has been signed and dated by the Department Director and the grantee. All work specified in the project proposal will be completed by DATE-THREE-YEARS-FROM-AWARD.

9. **AVAILABILITY OF FUNDS**: If funds anticipated for the continued fulfillment of this agreement are at any time not forthcoming or insufficient, either through the failure of the State of Iowa to appropriate funds, or discontinuance or material alteration of the program under which funds were provided, then the Department shall have the right to terminate the agreement without penalty.

10. **By** signing this Grant Agreement, the grantee agrees to the terms and conditions set forth in this agreement, failure to meet the terms and conditions of this grant agreement may be cause for repayment of all or part of the grant funds.

Date	Kayla Lyon, Director Iowa Department of Natural Resources
426004572 Federal ID #	Grantee Signature
	Print Name

SAMPLE

Attachment A
Department of Natural Resources
Midterm Project Report

For Programs: LWCF REAP WRAC ATV Snowmobile REAP Ed Water Trails **Low-head Dam Safety**

If you have questions, please contact the Budget & Finance Bureau at 515-720-2006. Make additional copies as needed.

This form is due and is required for all projects NOT filing a final report before that date.

Grant Recipient: _____ Grant #: _____

Project Title: _____ Billing #: _____

Do you still plan to complete this project? ☐ Yes ☐ No

Are there any unexpected problems with your project are being encountered? Please describe.

Are there delays due to waiting for additional funds from other sources or using these funds to help match another grant program? Please describe.

What is your timeline for completing this project?

I certify that this statement is correct and that the work and services are in accord with the approved grant.

Signature: _____ Date: _____

Print Name: _____

Title: _____ Fed ID #: _____

SAMPLE

Attachment B
Department of Natural Resources
Final Project Billing

For Programs: LWCF REAP WRAC ATV Snowmobile REAP Ed Water Trails **Low-head Dam PHP**

Project billings must be accompanied by all required documentation (invoices, canceled checks, deeds, etc.) covering expenditures included in the billing. If you have questions, please contact the Budget & Finance Bureau at 515-720-2006. Make additional copies as needed.

Grant Recipient: Iowa DNR _____ Grant #: _____

Project Title: _____ Billing #: _____

Use the table below to list your budget items and the expenditures for each item. You should follow the budget items provided with your original proposal as closely as possible.

Budget Item	Budget Amount	Expenditures This Billing	"To Date" Item Expenditures
Totals			
Less Expenditures In Excess of Total Authorized Project Budget:			
Total "To Date" Expenditures:			
Claim request (% of "to date" expenditures):			
less previous payments of:			
total claim to be paid:			

Land Acquisition - List each parcel separately by parcel #. Use purchase price or appraised value, whichever is the lesser.

I certify that this billing is correct and just based upon actual payment(s) of record by the grant recipient, and that the work and services are in accord with the approved grant.

Signature: _____ Date: _____

Print Name: _____

Title: _____ Federal ID #: _____