

**SOLID WASTE  
ALTERNATIVES  
PROGRAM (SWAP)**

**Proposal Application  
and Guidelines for  
Project Requests  
Greater Than \$10,000**

**January 2016**

**Iowa Department of Natural Resources  
Chuck Gipp, Director**



**Land Quality Bureau  
Wallace State Office Building  
502 East Ninth Street  
Des Moines, Iowa 50319  
515-725-8200**

# TABLE OF CONTENTS

<b>INTRODUCTION .....</b>	<b>1</b>
<b>GENERAL INFORMATION .....</b>	<b>1</b>
Applicant Eligibility .....	1
Proposal .....	1
Proposal Submission Guidelines .....	2
Proposal Outline .....	2
Proposal Review and Selection Process .....	3
Application Submittal and Award Timetable .....	4
Project Cost Share Requirements .....	4
Eligible and Ineligible Expenses .....	4
Financial Assistance Type .....	5
Award Disbursement and Agreement Requirements.....	6
Program Contacts.....	7
<b>EVALUATION CRITERIA.....</b>	<b>8</b>
<b>DEPARTMENT CONTACTS and RESOURCES .....</b>	<b>9</b>

## INTRODUCTION

The Solid Waste Alternatives Program is intended to reduce the amount of solid waste generated and the amount of solid waste landfilled. The mechanism to accomplish this is by providing financial assistance to aid in implementing various pollution prevention and solid waste management projects.

Market development for recyclable materials and recycled content product manufacturing is necessary to allow recycling systems to grow and stabilize. Without private sector initiative, strong markets for recyclable materials are not possible. Through public - private partnership, we can create an effective and lasting recycling and market development system in the state of Iowa.

## GENERAL INFORMATION

This booklet is intended to serve as a program guideline. In order to fully support the Solid Waste Alternatives Program, applicants, and the State of Iowa, variances may occur on a case by case basis under special circumstances and as allowed in IAC, Chapter 209.

### **Applicant Eligibility:**

Eligible applicants include any unit of local government, public or private group, business, or individual with an interest in or having responsibility for solid waste management in Iowa.

In order to determine funding eligibility, the Department reserves the right to verify any information presented in the application and to determine the applicant's compliance status with applicable Local, State and Federal statutes and regulations. If an applicant is selected to receive financial assistance, an offer of financial assistance may be rescinded if the applicant is determined to be out of compliance with applicable Local, State and Federal regulations.

### **Proposal:**

Proposals for financial assistance must be made through the Land Quality Bureau and must use the application forms and format outline provided in this booklet. Applicants must follow instructions contained herein and provide all requested information. Required forms can be downloaded at [SWAP Forms](#). Proposal forms contained herein and at the above website can be electronically completed.

Photocopies of the application forms are acceptable, facsimiles and email attachments are not. An original plus five (5) copies of the fully completed Proposal must be submitted to the Land Quality Bureau by the assigned deadline described on Page 4. Proposals submitted for financial assistance consideration are not guaranteed funding. Financial assistance offers

may be less than the full amount requested by the applicant. The Department reserves the right to offer a forgivable loan, zero interest loan or low interest loan assistance, in whole or in part, to applicants for any project submitted.

Proposals are considered public information and are available for review upon request.

### **Proposal Submission Guidelines:**

Proposals are accepted on an open basis throughout the year but will be reviewed on a quarterly basis. Your proposal should contain sufficient detail for reviewers to visualize the project in its entirety. Applicants must:

- Submit a signed original plus five (5) copies of the fully completed proposal at the address identified on Page 6.
- Utilize forms contained in this booklet or photocopies thereof.
- Not exceed eight (8) single spaced pages of text (Form B). If double sided, each side counts as a page.
- Type proposals with text no smaller than 12-point type.
- Ensure margins are at least ½ inch wide.
- Staple proposals in the upper left-hand corner, and be otherwise unbound.

Strongly encouraged, but not required:

- Use of recycled content paper and double-sided printing
- Letters of support from community partners (not counted as part of the Project Narrative)

### **Proposal Outline:**

Proposals must be presented in the order identified below:

- Form A – Proposal Cover Sheet** (attached)
- Form B – Project Narrative** (attached) – text not to exceed 8 pages
- Form C – Project Timetable** (attached)
- Form D – Budget Summary** (attached)
- Form D – Budget Narrative** (attached)
- Form E – Comprehensive Planning Area Agency Review & Comment Sheet** (attached)
- Minority Impact Statement** (attached)
- Applicant Disclosure Statement** (attached)

Form E is due within **10 working days** of the proposal submittal deadline. To determine an applicant's Comprehensive Planning Area Agency region, visit the online directory at: [Comprehensive Planning Area Descriptions](#)

Contact information for each Comprehensive Planning Area Agency can be found online at: [Comprehensive Planning Area Agency Contacts](#)

For assistance, contact Leslie Goldsmith of the Department (see page 9 for contact information).

## **Proposal Review and Selection Process:**

Review of proposals will be conducted by a review committee comprised of staff from the Department of Natural Resources as well as members of the solid waste community (e.g., Iowa Society of Solid Waste Operators, Iowa Recycling Association, and Iowa Waste Exchange). The review committee evaluates each application based on the criteria identified in this application booklet and the completeness of all application forms. Application review and selection process is conducted as follows:

### **Proposals**

- Review committee members individually and jointly evaluate proposals received by the established deadline. If a proposal is determined to be incomplete, the review committee may reject the proposal.
- Based upon review of proposals, additional information may be requested for projects meriting further consideration.
- Applicants not selected for financial assistance will be notified as soon as possible after recommendations have been made.

### **Additional Information**

The Department may request additional information from applicants after reviewing the initial proposal. If additional information is requested, a time frame within which the Department must receive this information will be included. The proposal may be rejected if requested information is not submitted by the stated deadline and in the absence of a time extension agreed to by the Department. Review of any additional information will be conducted before final funding recommendations are made. Additional information requested may include, but not be limited to the following:

- a formal business plan
- a formal marketing plan
- a detailed budget
- a formal education strategy
- applicant financial information
- responses to specific questions raised by the review committee.

Based upon applicant proposals and responses to the request for additional information, the review committee will make final funding recommendations. A request for additional information **does not** guarantee funding.

### **Review Committee Recommendations**

- A summary of projects recommended by the review committee will be presented to Department leadership for approval.
- Financial assistance awards in excess \$25,000 must be approved by the Environmental Protection Commission prior to a finalized agreement between the Department and the selected applicant.

## **Application Submittal and Award Timetable:**

- Proposal deadlines – 4:00 PM on the following dates.

January 2	If any of these dates occurs on a weekend, proposals must be received by 4:00 PM on the next business day.
April 1	
July 1	
October 1	

- Additional information requested of some proposals warranting further consideration
- Review of subsequent information
- Funding recommendations concluded
- Funds available upon an executed agreement

The length of time from proposal review to fund availability will vary, but it is estimated to be approximately two months.

## **Project Cost Share Requirements:**

Applicants are required to provide a minimum cash match of 25 percent (25%) for each budget line item in which SWAP funding is requested.

## **Eligible and Ineligible Expenses:**

### **Eligible Expenses**

Applicants may request financial assistance in the implementation and operation of a project that includes, but is not limited to, the following:

1. Waste reduction equipment purchase and installation;
2. Collection, processing, or hauling equipment including labor for installation;
3. Development, printing and distribution of educational materials;
4. Planning and implementation of educational forums including, but not limited to, workshops;
5. Materials and labor for construction or renovation of buildings;
6. Salaries directly related to implementation and operation of the project;
7. Laboratory analysis costs; and
8. Engineering or consulting fees.

### **Ineligible Expenses**

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

1. Taxes;
2. Vehicle registration;
3. Overhead expenses;
4. Indirect costs;
5. Legal costs;
6. Contingency funds;
7. Proposal preparation;

8. Agreement administration;
9. Land acquisition;
10. Office furniture, office computers, fax machine and other office furnishings/equipment;
11. Costs for which payment has or will be received under another federal, state or private financial assistance program; and
12. Costs incurred before a written agreement has been executed between the applicant and the department.

### **Financial Assistance Type:**

There are three (3) types of financial assistance that can be awarded to applicants selected to receive funding: forgivable loan, zero interest loan, and a 3% interest loan. The type(s) of financial assistance awarded to selected projects will depend upon the total amount awarded to the applicant.

Award disbursement for projects will occur as follows:

- First \$10,000 of an award is eligible as a forgivable loan
- Next \$50,000 of an award is eligible as a zero interest loan
- The remainder of an award is eligible as a 3% interest loan

**Example:** A \$190,000 award would typically be funded as follows:

\$10,000	Forgivable loan
\$50,000	Zero interest loan
\$130,000	3% interest loan

During the proposal review process, additional consideration will be given to all applicants who waive the forgivable loan portion of any financial assistance award request in favor of a zero interest and/or 3% interest loan.

The Department has the discretion and the application review committee may make recommendations that deviate from the award disbursement schedule listed above. Deviations for selected projects will occur based on, but not limited to the guidelines listed below as well as recommendations from the review committee:

- Selected education, research and development, and demonstration or pilot projects MAY be chosen to receive an increase in the forgivable loan portion of the award.
- Projects must demonstrate uniqueness, have a regional or statewide impact, or be readily transferable to other parts of the state to be eligible for special award consideration.
- Projects submitted by government and not for profit applicants.
- Presence or absence of new landfill diversion; and
- Previously awarded program funds to the applicant for the same/similar equipment items without a corresponding increase in landfill diversion.

Forgivable loans will be forgiven only after the applicant has completed project milestones and activities as outlined in the executed written agreement. If the Department determines the project has not met project outcomes or provided project deliverables as agreed upon with the applicant, and the applicant fails to remedy the identified shortcomings within a specified period of time, the Department has the right to require repayment of any or all financial assistance awarded to the applicant.

Low interest loans are based on a three percent (3%) rate, compounded annually, for the total loan award not covered by forgivable loan or zero interest loan amounts.

### **Award Disbursement and Agreement Requirements:**

Selected applicants will enter into an agreement with the Department. The length of the agreement will vary depending on the type of project to be implemented. As part of this agreement, the recipient agrees to provide project updates and a final report. Project management guidelines will be provided in the agreement. Reporting requirements include, but are not limited to, project expenditures, activities, and accomplishments. All information gained through the project will be considered public information and used to assist others in the state to implement similar projects.

Some projects may require obtaining or amending a sanitary disposal project permit, or other permit issued through the Department. This permitting process may involve the completion of a solid waste comprehensive plan addressing the State of Iowa's solid waste management hierarchy or inclusion in the goals of an EMS agency. For information on sanitary disposal project permits, other applicable Department permits, and solid waste comprehensive plans, see contact information on Page 9.

Funds will be released on a **reimbursement basis** after a correctly completed Grant Expense Sheet, and supporting documentation (i.e. invoice, purchase order) has been received by the Department. **Project costs incurred prior to an executed agreement or costs not identified in the agreement budget are ineligible for reimbursement.**

The Department will retain a security interest in all items purchased with agreement funds. Items purchased with Solid Waste Alternatives Program funds **may not** be used as collateral in other financial transactions.

If at the time of the agreement meeting, the applicant negotiates to substantively alter the project as originally proposed including any additional funding requests, the Department using its sole discretion may rescind any financial assistance offer. Projects selected to receive financial assistance must be initiated within six months from the date of the funding offer. If the project is not initiated within this time frame, the Department may rescind any financial assistance offer in the absence of a prior written agreement between the Grantee and the Department.

**Program Contacts:**

For questions regarding the Solid Waste Alternatives Program, please contact:

Iowa Department of Natural Resources	Tom Anderson	515-725-8323
Land Quality Bureau	<a href="mailto:tom.anderson@dnr.iowa.gov">tom.anderson@dnr.iowa.gov</a>	
502 East Ninth Street	OR	
Des Moines, Iowa 50319	Amy Wilken	515-725-8349
FAX: 515-725-8202	<a href="mailto:amy.wilken@dnr.iowa.gov">amy.wilken@dnr.iowa.gov</a>	

Other contact information can be found on Page 9.

## EVALUATION CRITERIA

All proposals will be reviewed based on the applicant's thoroughness in addressing identified evaluation criteria. Points assigned to the evaluation criteria for each project type total 100 points. The review committee shall evaluate each proposal and determine its merits based on the following criteria:

### 1. Project Description

- Briefly describe the proposed project.

### 2. Project Need in terms of - 20 Points

- Project service area;
- Targeted population;
- Type, source and amount of waste targeted; and
- Current management method of targeted solid waste.

### 3. Project Objectives and Participation - 30 Points

- Describe project objective (overall project accomplishment).
- Describe project goals (actions to reach objective).
- Describe how project goals will be:
  - a) Obtained - describe *actions* that will lead to accomplishment of the goals;
  - b) Measured - describe *tools* that will verify achievement of the goals;
  - c) Sustained - describe *methods* that will sustain the project goals, once they have been reached in terms of economics and participation; and
  - d) Justified - describe *why* the goals chosen are relevant to the overall objective.
- Describe project participants' relevant experience and role in the project.

### 4. Project Impact - 50 Points

- Describe amount and type of solid waste to be diverted from Iowa's sanitary landfills.
- Describe if and how this project addresses the Department's targeted waste streams for the current fiscal year.
- Calculate the avoided costs per ton diverted over one year, three years, and five years (*e.g., tonnage fees, tipping fees, transportation costs, treatment, etc.*).
- Describe number, type, and wage scale of jobs created and jobs retained.
- Describe if and how the project will reduce the toxicity of the solid waste stream.
- Describe market effects and/or new markets developed.
- Describe project replicability.
- Describe project sustainability.

**The above criteria should be discussed on Form B in 8 pages or less.**

## DEPARTMENT CONTACTS and RESOURCES

Iowa Department of Natural Resources  
502 East Ninth Street  
Des Moines, Iowa 50319-0034  
Phone: (515) 725-8200 Fax: (515) 725-8202

### Solid Waste Alternatives Program

Tom Anderson (515) 725-8323 [tom.anderson@dnr.iowa.gov](mailto:tom.anderson@dnr.iowa.gov)  
Amy Wilken (515) 725-8349 [amy.wilken@dnr.iowa.gov](mailto:amy.wilken@dnr.iowa.gov)

### Solid Waste Permitting

Nina Koger (515) 725-8309 [nina.koger@dnr.iowa.gov](mailto:nina.koger@dnr.iowa.gov)  
Mike Smith (515) 725-8314 [mike.smith@dnr.iowa.gov](mailto:mike.smith@dnr.iowa.gov)

### Air Quality Permitting

General Number (515) 725-9500

### Water Quality Permitting

General Number (515) 725-8200

### Recycling Assistance and Market Development

Tom Anderson (515) 725-8323 [tom.anderson@dnr.iowa.gov](mailto:tom.anderson@dnr.iowa.gov)  
Scott Flagg (515) 725-8318 [scott.flagg@dnr.iowa.gov](mailto:scott.flagg@dnr.iowa.gov)

### Mobile Education Exhibit

Amy Wilken (515) 725-8349 [amy.wilken@dnr.iowa.gov](mailto:amy.wilken@dnr.iowa.gov)

### Comprehensive Solid Waste Plans / Responsible Agency

Leslie Goldsmith (515) 725-8319 [leslie.goldsmith@dnr.iowa.gov](mailto:leslie.goldsmith@dnr.iowa.gov)  
Becky Jolly (515) 725-8308 [becky.jolly@dnr.iowa.gov](mailto:becky.jolly@dnr.iowa.gov)

### Solid Waste Environmental Management Systems Program

Leslie Goldsmith (515) 725-8319 [leslie.goldsmith@dnr.iowa.gov](mailto:leslie.goldsmith@dnr.iowa.gov)

### Household Hazardous Materials Programs

Kathleen Hennings (515) 725-8359 [kathleen.hennings@dnr.iowa.gov](mailto:kathleen.hennings@dnr.iowa.gov)  
Tom Anderson (515) 725-8323 [tom.anderson@dnr.iowa.gov](mailto:tom.anderson@dnr.iowa.gov)

### Pollution Prevention (P2) Services

Jeff Fiagle (515) 725-8353 [jeff.fiagle@dnr.iowa.gov](mailto:jeff.fiagle@dnr.iowa.gov)

### Derelict Building Grant Program

Scott Flagg (515) 725-8318 [scott.flagg@dnr.iowa.gov](mailto:scott.flagg@dnr.iowa.gov)

**Dept. of Natural Resources Homepage**  
[www.iowadnr.gov](http://www.iowadnr.gov)

**Financial and Business Assistance Homepage**  
[www.iowadnr.gov/faba](http://www.iowadnr.gov/faba)