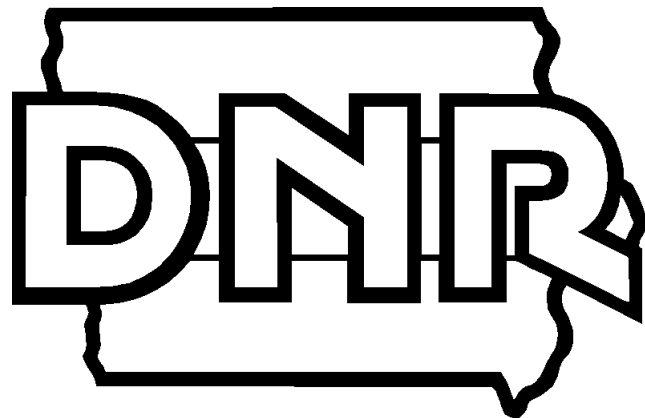


**SOLID WASTE
ALTERNATIVES
PROGRAM
(SWAP)**

**Proposal
Application
and
Guidelines**

Updated 7/1/09

**Iowa Department of Natural Resources
Richard A. Leopold, Director**



**Land Quality Bureau
Wallace State Office Building
502 East Ninth Street
Des Moines, Iowa 50319
515-281-8941**

Something to think about....

Incinerating 10,000 tons of solid waste creates one job; landfilling 10,000 tons creates six jobs; recycling 10,000 tons of solid waste creates 36 jobs.¹

In 2007, Iowa landfilled 2.8 million tons of solid waste...



Metal

Recycling an aluminum can rather than producing a new can from ore:²

- reduces energy consumption by 96%
- reduces air pollution by 95%
- reduces water consumption by 97%

Recycling a single aluminum saves enough energy to run your computer for 3 hours or your TV for two hours¹

Americans landfill enough metal to:²

- rebuild our nation's commercial air fleet every three months
- supply our nation's automakers every day

Plastic

- Bottled water costs 500 to 4,000 times as much as tap water and approximately 90% of the cost of a bottle of water is related to the cap the bottle and transportation to your local market shelf¹
- Plastics require 100 to 400 years to break down in a landfill¹
- Americans will buy an estimated 25 billion single-serving, plastic water bottles this year. Eight out of 10 (22 billion) will end up as litter or in a landfill³

Paper

Recycling one ton of paper saves:¹

- 17 mature trees
- 7,000 gallons of water
- 3 cubic yards of landfill space
- 2 barrels of oil
- 4,100 kilowatt hours of electricity (enough energy to power the average American home for five months)

Glass

- 70 percent less energy is required to produce glass products from crushed, used glass¹
- The energy saved from recycling one glass bottle will operate a 100-watt light bulb for four hours¹
- It takes approximately 1 million years for a glass bottle to break down at the landfill¹

¹ US Environmental Protection Agency

² Clean Air Council

³ Container Recycling Institute

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INTRODUCTION

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

BEST PRACTICES

To assist in implementing practices and programs that will move Iowa towards long-term pollution prevention, waste reduction and recycling sustainability.

EDUCATION

To facilitate a coordinated and consistent statewide message on pollution prevention, waste reduction, and recycling to ensure ongoing support of these activities.

MARKET DEVELOPMENT

To develop a demand for value-added recyclables sufficient to provide increased and stable commodity market prices.

There is a preference for projects involving regionalization. Projects involving two or more units of local government or public or private groups are examples of regionalization. Through cooperative provision of alternative solid waste management services, a project's impact may significantly improve such factors as, but not limited to, operational efficiency, materials diversion, and materials market value.

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.

The Solid Waste Alternatives Program and its predecessor programs, the Landfill Alternatives Financial Assistance Program and the Landfill Alternatives Grants Program, have assisted in the elimination and landfill diversion of several million tons of solid waste from Iowa sanitary landfills and significantly reduce our environmental footprint through decreased energy and water usage, air emissions, conserving natural resources, etc. Impacts of these programs endure through project sustainability and expansion of operations.

Additional information on the Solid Waste Alternatives Program can be found at <http://www.iowadnr.gov/waste/financial/financialswap.html>.

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GENERAL INFORMATION

These application materials are 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. Eligible applicants must be in compliance with all applicable federal, state and local statutes and regulations at the time proposals are submitted to the Department and when monies are awarded by the Department.

If an applicant is selected to receive financial assistance through Solid Waste Alternatives Program, the financial assistance may later be denied if it is determined that:

- ⇒ The project will be located or implemented in an area or areas that do not have an approved solid waste comprehensive plan;
- ⇒ The project will be located or implemented in an area or areas that have not submitted a subsequent solid waste comprehensive plan by the assigned deadline;
- ⇒ The project will be located or implemented in an area or areas that do not have a legally permitted landfill, if a sanitary landfill is in operation in this area or areas.
- ⇒ The applicant is not in compliance with applicable federal, state, and local statutes and regulations.

The main goal of the Solid Waste Alternatives Program is to reduce the amount of solid waste generated and the amount of solid waste landfilled by assisting with best practices, education, and market development projects.

Proposal:

Proposals for financial assistance must be made through the Land Quality Bureau and must use the application forms and format outline provided. Applicants must follow instructions contained herein and provide all requested information. Proposal forms can be accessed at the following link [Forms A-E](#).

Photocopies of the application forms are acceptable, facsimiles and E-mail 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 5, Application Submittal and Award Timetable. 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 any proposal selected for funding.

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Proposals are considered public information and are available for review upon request. However, it is not the desire of the Department to release private information protected under Iowa law or to put an applicant company at a competitive disadvantage by providing necessary information to participate in this financial assistance program. The State of Iowa provides a level of protection under Iowa Code Chapter 22.

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 understand the project in its entirety. Applicants must:

- Submit an original plus five (5) copies of the fully completed proposal.
- Utilize forms contained herein.
- Not exceed eight (8) single spaced pages of text (Form B). If double sided, each side counts as a page.
- Type their 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 project partners (not counted as part of the Form B narrative)

Proposal Outline:

Proposals must be presented in the order identified below. (see [Forms A-E](#))

Proposal Cover Sheet - Form A

Proposal Narrative - Form B (text not to exceed 8 pages)

Proposal Timetable - Form C

Proposal Budget - Form D

Proposal Responsible Agency Review and Comment – Form E

Form E is to help ensure agencies responsible for the management of solid waste within their geographic service area are aware of new recycling or other waste management programs. Form E should be submitted to the Department with the application **but no later than 10 working days** of the proposal submittal deadline. If not received within 10 working days, the application **may** be considered ineligible for funding during that round of awards.

To determine the appropriate Responsible Agency region, visit the online directory at http://programs.iowadnr.gov/compplan/public/rpt_PAdescription.asp.

Responsible Agency contact information can be found online at <http://www.iowadnr.com/waste/sw/files/planarecontacts.pdf>.

For additional assistance, contact your local solid waste agency or contact the Department (see the [Contacts and Resources](#) section).

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Proposal Review and Selection Process:

Review of proposals will be conducted by a committee comprised of staff from the Department of Natural Resources as well as representatives of the solid waste community (e.g., Iowa Society of Solid Waste Operators, Iowa Recycling Association, and the Iowa Waste Exchange). Applications are reviewed based on the identified evaluation criteria and the completeness of all application forms and the information provided.

Application review and selection process is conducted as follows:

Proposals

- Review committee members individually evaluate proposals received by the established deadline and then jointly discuss and make initial recommendations. 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 proposal. If additional information is requested, a time frame within which the Department must receive this information will be stated. 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
- additional budget detail
- a formal education strategy
- 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 list of projects recommended by the review committee will be presented to the Administrator of the Environmental Services Division for approval.
- Financial assistance awards in excess \$25,000 must be approved by the Environmental Protection Commission prior to entering into a contract between the Department and the selected applicant.

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Application Submittal and Award Timetable:

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

January 2	If any of these dates occurs on a weekend, proposals must be received by 4:00 PM Central Time 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
- Selected proposal awards in excess of \$25,000 require EPC approval prior to contract finalization
- Funds available upon an executed contract

The length of time from proposal review to fund availability will vary, but it is estimated to be approximately 3 to 4 months.

Project Cost Share Requirements:

There are two (2) project cost share requirements:

- New purchases
- Total project cost

New Purchases

The maximum amount the Department is able to fund on each individual purchase of eligible items is 75% of the cost including purchase, delivery and installation. Applicants **must** provide a minimum of 25% for new purchases.

Total Project Cost

Applicants are required to provide a **minimum of 50 percent (50%) of the overall total cost of the project**. Applicant's cost share may include:

- cash used to provide the 25% match for new purchases
- cash for the purchase of project related items for which the applicant is not requesting financial assistance from the Department
- grants or loans secured from other financial assistance providers
- "in-kind" or "soft match" equal to the current value for such items as but not limited to; equipment, vehicles, building, land, etc. and personnel salaries **if** these items are **directly related** to implementation and operation of the project.

Applicant cost share cannot include funds previously awarded through the Landfill Alternatives Grant Program, the Landfill Alternatives Financial Assistance Program, or the Solid Waste Alternatives Program (SWAP) forgivable loans and the portion of SWAP loans not yet repaid.

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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, training, etc. (for projects \$2,500 and under see www.iowadnr.gov/waste/financial/pda.html)
5. Materials and labor for construction or renovation with preference given to non-rented 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. Rent
6. Structural improvements to rented facilities
7. Legal costs;
8. Contingency funds;
9. Proposal preparation;
10. Contractual project administration;
11. Land acquisition;
12. Office furniture, office computers, fax machines and other office furnishings and equipment;
13. Costs for which payment has or will be received under another federal, state or private financial assistance program; and
14. Costs incurred before a written agreement has been executed between the applicant and the department.

Note that along with their Form D budget, applicants **must** submit a budget narrative detailing specific proposed expenditures and their role in the project.

An example of a correctly completed Budget Summary Sheet (Form D) is included as part of the [Forms A-E](#) documents.

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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 generally depends upon the total amount awarded to the applicant.

Award disbursement for projects will occur as follows:

- First \$20,000 of an award is eligible as a forgivable loan
- Next 150,000 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:

\$ 20,000	Forgivable loan
\$150,000	Zero interest loan
\$ 20,000	3% interest loan

During the proposal review process, additional consideration will be given to 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 to deviate from the award disbursement schedule listed above. Deviations for selected projects will occur based on the guidelines listed below as well as a recommendation from the review committee.

- Selected education, research and development, and demonstration or pilot projects MAY be eligible 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 that address one of the identified targeted waste streams. For a description of the current targeted waste streams please see:
<http://www.iowadnr.gov/waste/financial/files/targeted.pdf>

Forgivable loan awards, in whole or in part, will be forgiven only after the selected applicant (contractor) has completed project milestones and activities as outlined in the executed contract.

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

Award Disbursement and Contract Requirements:

Applicants selected and approved for funding, will enter into a contractual agreement with the Department. The length of the contractual agreement will vary depending on the type of funding package offered and the type of project to be implemented.

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Project management guidelines will be provided in the contract. 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 as appropriate.

Some projects may require obtaining or amending a sanitary disposal project permit, or other permit issued through the Department. For information on sanitary disposal project permits and other applicable Department permits, see [Contacts and Resources](#)

Funds will be released on a **reimbursement basis** after a correctly completed Contract Expense Sheet, and supporting documentation (i.e. invoice) has been received by the Department **and** the Contractor is current with reports and other requirements as outlined in the contract. **Project costs incurred prior to an executed contract or costs not identified in the contract budget are ineligible for reimbursement.**

The Department will retain a security interest in all items purchased with program funds.

Items purchased with Solid Waste Alternatives Program funds **may not** be used as collateral in other financial transactions.

The term of all loans will be established on a case by case basis. The applicant should plan that repayment of loans will begin within six months after the first claim for funds has been approved by the Department. Loan funds will be repaid, at a minimum, in equal quarterly payments made to the Department until the loan is retired.

If at the time of the contract 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 Contractor and the Department.

SWAP Contacts:

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

Iowa Department of Natural Resources
Land Quality Bureau
502 East Ninth Street
Des Moines, Iowa 50319
FAX: 515-281-8895

Jim Bodensteiner 515-281-8672
jim.bodensteiner@dnr.iowa.gov
OR
Tom Anderson 515-281-8623
tom.anderson@dnr.iowa.gov

Other contact information can be found below in the [Contacts and Resources](#) section.

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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 how the project will meet the needs of - 20 Points

- Project Service Area
- Targeted population
- Type, source and amount of waste targeted
- Current waste management method in terms of targeted population

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** and **goals** once they are reached in terms of economics and participation
 - d) Justified - describe *why* the goals chosen are relevant to the overall objective
- Describe tangible and non-tangible project deliverables for the project service area and statewide
- Describe project participant's relevant experience and role in the project

4. Project Impact - 50 Points

- Describe amount and type of solid waste diverted from Iowa's sanitary landfills.
- Describe if and how this project addresses the Department's targeted waste streams for the current fiscal year. See <http://www.iowadnr.gov/waste/financial/files/targeted.pdf> for the current list of targeted waste streams
- 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 how the targeted population will be affected, including desired behavioral changes.
- Describe if and how the project will reduce the toxicity of the solid waste stream.
- Describe effects on Iowa and/or regional end markets, existing or proposed.
- Describe project replicability.
- Describe project sustainability.

These criteria should be discussed in 8 pages or less on Form B.

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CONTACTS AND RESOURCES

DEPARTMENT OF NATURAL RESOURCES

Iowa Department of Natural Resources

502 East Ninth Street

Des Moines, Iowa 50319-0034

Phone: (515) 281-4367

Fax: (515) 281-8895

Solid Waste Alternatives Program

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Tom Anderson	(515) 281-8623	tom.anderson@dnr.iowa.gov
Amy Wilken	(515) 281-0649	amy.wilken@dnr.iowa.gov

Solid Waste Permitting

Nina Koger	(515) 281-8986	nina.koger@dnr.iowa.gov
Chad Stobbe	(515) 242-5851	chad.stobbe@dnr.iowa.gov

Air Quality Permitting

General Number	(515) 242-5100
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Water Quality Permitting

General Number	(515) 725-0359
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Recycling Assistance, Market Development

Jennifer Reutzel	(515) 281-8878	jennifer.reutzel@dnr.iowa.gov
Tom Anderson	(515) 281-8623	tom.anderson@dnr.iowa.gov

Composting

Matt McDonald	(515) 281-8150	matt.mcdonald@dnr.iowa.gov
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Mobile Education Trailer

Amy Wilken	(515) 281-0649	amy.wilken@dnr.iowa.gov
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Comprehensive Solid Waste Plans

Leslie Goldsmith	(515) 281-8499	leslie.goldsmith@dnr.iowa.gov
Becky Jolly	(515) 281-8308	becky.jolly@dnr.iowa.gov

Household Hazardous Materials Programs

Kathleen Hennings	(515) 281-5859	kathleen.hennings@dnr.iowa.gov
Tom Anderson	(515) 281-8623	tom.anderson@dnr.iowa.gov

Pollution Prevention (P2) Services and P2 Intern Program

Jeff Fiagle	(515) 281-5353	jeff.fiagle@dnr.iowa.gov
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Department of Natural Resources Homepage

www.iowadnr.gov

Solid Waste Alternatives Program Homepage

www.iowadnr.gov/waste/financial/financialswap.html

Recycling and Waste Management Homepage

www.iowadnr.gov/waste/index.html

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