Proposal Application and Guidelines for Project Requests of $10,000 or Less

Land Quality Bureau
Wallace State Office Building
502 East Ninth Street
Des Moines, Iowa 50319
515-725-8200
The Solid Waste Alternatives Program – Small Project Application is limited to financial assistance requests of $10,000 or less. This application is a streamlined application for projects that are generally smaller in scope.

The following information is provided to assist applicants in successfully completing a Small Project Application through the Solid Waste Alternatives Program (SWAP).

**INTRODUCTION**

The Solid Waste Alternatives Program (SWAP) 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 and public education projects.

**GENERAL INFORMATION**

This information is intended to serve as a program guideline for projects requesting no more than $10,000 in financial assistance.

**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 If an applicant is selected to receive financial assistance, an offer of financial assistance may be rescinded if the applicant is determined to be out of compliance with applicable local, state and Federal regulations.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 Guidelines:**
Proposals for financial assistance must be made through the Land Quality Bureau and must use the application forms and format outline provided herein. Application forms can be downloaded at [SWAP Forms](#).

Proposals are considered public information and are available for review upon request. If you request confidentiality for all or a portion of your application, you must follow the process laid out in Iowa Administrative Code 561 IAC 2.5.
Proposal Outline:
Proposals forms are included in this application and can be download at SWAP Forms.
Proposals must be presented in the order identified below:

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

Proposal Submission Guidelines:
Two (2) funding rounds are held each year. Proposals must be received by the time and date stated on Page 3 of these guidelines. Your proposal should contain sufficient detail for reviewers to visualize the project in its entirety. Applicants must:

- Submit a signed original, fully completed proposal to the Department of Natural Resources at the address on Page 3.
- Utilize forms contained in this booklet, photocopies thereof or downloaded at SWAP Forms.
- 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 or project partners (not counted as part of the Project Narrative)

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 the Iowa Waste Exchange). The review committee evaluates each application based on the criteria identified herein and the completeness of all application forms. The review committee forwards funding recommendations to Department leadership for approval.

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. A request for additional information does not guarantee funding.
Application Submittal and Award Timetable:
Completed applications must be signed and can be mailed, faxed or emailed to:
Tom Anderson  
Dept. of Natural Resources  
502 E. 9th Street  
Des Moines, Iowa 50319-0034  
tom.anderson@dnr.iowa.gov  
FAX: 515-725-8202

Applications must be received by 4:00 PM on the following dates.

<table>
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<tr>
<th>Date</th>
<th>Deadline</th>
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<tr>
<td>January 2</td>
<td>If any of these dates occurs on a weekend, proposals must be received by 4:00 PM on the next business day.</td>
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<tr>
<td>July 1</td>
<td>be received by 4:00 PM on the next business day.</td>
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The length of time from proposal review to fund availability will vary. Applicants should anticipate approximately 2 months.

Project Cost Share Requirements:
Applicants are required to provide a minimum of 25% cash match for each budget line item in which SWAP funding assistance is requested.

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 education 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 (salaries are not a high funding priority)

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

1. Rent of facility or equipment used in daily operations;
2. Taxes;
3. Vehicle registration;
4. Overhead expenses;
5. Indirect costs;
6. Legal costs;
7. Contingency funds;
8. Proposal preparation;
9. Agreement administration;
10. Land acquisition;
11. Office furniture, office computers, fax machines and other office furnishings and equipment;
12. Costs for which payment has or will be received under another federal, state or private financial assistance program; and
13. Costs incurred before a written agreement has been executed between the applicant and the department.
**Financial Assistance Award:**
Use of this application is limited to applicant requests of $10,000 or less. Financial assistance up to $10,000 will be awarded as a forgivable loan under most circumstances. Funding recommendations made by the application review committee may include 0% or 3% loans even for projects requesting $10,000 or less. When making such a recommendation, the review committee will consider, though not limited to, presence or absence of new landfill diversion and previous funding awarded to the applicant for the same/similar project without a corresponding increase in landfill diversion.

Forgivable loans will be forgiven only after the contractor has completed project milestones and activities as stated in the signed agreement or as amended. If the Department determines the contractor has not met project outcomes or failed to provide project deliverables as outlined in the application and the signed agreement, and the applicant fails to remedy the identified shortcomings within a specified period of time, the Department may require repayment of any or all financial assistance awarded to the applicant.

The Department will retain 10% from each claim for reimbursement until the Contractor has fulfilled all obligations as set out in the agreement between the Contractor and the Department, as determined by the Department. The Department will notify the Contractor of fulfilling all obligations of the agreement at which time a claim for retained funds may be made.

**Agreement Requirements and Award Disbursement**
Applicants selected to receive financial assistance 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 as specified 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 available to assist others in implementing similar projects.

Funds will be released on a reimbursement basis after a correctly completed Grant Expense Sheet and supporting documentation (i.e. invoice) 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 nonexpendable, tangible assets purchased with program funding assistance.

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

**Financial Assistance Award Withdrawal**
The Department may at any time withdraw, in part or in whole, financial assistance under the following conditions:
- If at the time of the agreement meeting, the applicant negotiates to substantively alter the project as originally proposed;
- Project activities have not been initiated within 6 months of application submittal deadline;
- The applicant is not complying with terms and conditions of the signed agreement;
- It is determined the applicant is not in compliance with applicable local, state or federal statutes and regulations;
- Continued financial support by the State of Iowa is discontinued.
Department of Natural Resources Contact
For questions regarding the Solid Waste Alternatives Program, please contact:

<table>
<thead>
<tr>
<th>Iowa Department of Natural Resources</th>
<th>Tom Anderson</th>
<th>515-240-6059</th>
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<tr>
<td>Land Quality Bureau</td>
<td><a href="mailto:tom.anderson@dnr.iowa.gov">tom.anderson@dnr.iowa.gov</a></td>
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<tr>
<td>502 East Ninth Street</td>
<td>OR</td>
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<tr>
<td>Des Moines, Iowa 50319</td>
<td>Amy Wilken</td>
<td>515-322-9815</td>
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<tr>
<td>FAX: 515-725-8202</td>
<td><a href="mailto:amy.wilken@dnr.iowa.gov">amy.wilken@dnr.iowa.gov</a></td>
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PROPOSAL EVALUATION CRITERIA

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

1. Project Description – 50 points
   - Describe the proposed project in terms of:
     **Operations Related**
     - Describe type, source and amount of solid waste targeted
     - Discuss operational efficiencies
     - Discuss processing and/or storage capacity effects
     - Describe differences from current solid waste management
     **Education/Promotion Related**
     - Discuss planned presentations (i.e. audience(s), desired number in attendance, number of presentations planned, etc.)
     - Describe desired audience behavioral changes resulting from presentations
     - Describe type of education/public awareness materials to be developed and method of delivery
     - Describe staff training
     - Describe expected impacts
     **General**
     - Describe amount/level of cost savings and how (i.e. landfill fees, transportation, staff time, reduced purchases, etc.)
     - Describe amount/level of revenue generated resulting from the project
     - Describe jobs created/retained and corresponding wage scale
     - Describe sustainability of proposed project once implemented
     - Describe project participants’ experience and role in developing/implementing the proposed project
     - Describe market effects and/or new markets developed

2. Identify project goals and objectives and describe steps to be taken to achieve project goals and objectives. – 25 points

3. Describe how you will measure meeting your goals and objectives. – 25 points

Narratives addressing the above evaluation criteria should be discussed on Form B – Project Narrative, in 8 pages or less.
PROPOSAL FORMS

SOLID WASTE ALTERNATIVES PROGRAM

Small Project Application

The following pages contain the required forms to apply for funding through the Solid Waste Alternatives Program (SWAP) – Small Project Application. This application may only be used if the applicant is requesting $10,000 or less in funding assistance. If you are requesting more than $10,000 in funding assistance, you must follow the standard Solid Waste Alternatives Program application guidelines and forms found on the FABA Homepage and click on Solid Waste Alternatives Program.

SWAP – Small Project Application is intended to ease application requirements for projects requesting $10,000 or less in funding assistance, while maintaining the intent of reducing the amount of solid waste generated and landfilled.

Program Requirements
Below are clarifications, suggestions and other general information to assist the applicant in successfully completing application materials. The information below is intended to provide guidance, not to be a comprehensive outline of all things an applicant should address.

Form A – Proposal Cover Sheet
- Amount of Applicant Cash Match Committed: Applicants are required to provide a minimum of 25% cash match for each budget line item in which SWAP funding assistance is requested.
- Facility Location: The physical location the proposed project will take place or based.
- Project Service Area Description: The geographical area directly impacted by the proposed project.

Form B – Project Narrative
- Provide a detailed narrative addressing the identified evaluation criteria
- The narrative is limited to 8 pages with a minimum text size of 12 point

Form C – Project Timetable
- Identify project tasks including start and end dates and the person(s) responsible for completing the identified tasks.
- Anticipate funding would be available approximately 2 months following the date of award.

Form D – Budget Summary
- List items for which funding assistance is requested.
- Applicants are required to provide a minimum of 25% cash match for each budget line item in which SWAP funding assistance is requested.
- Requested funding amount and applicant 25% cash match should equal the amounts shown on Form A.
- Applicants are encouraged to list and identify the value of other applicant match committed to the proposed project. Other applicant match may include cash, the value of existing assets necessary for the development and implementation of the proposed project, the value of volunteer services, etc.
From D – Budget Narrative

- Provide a narrative that details specific expenditures and their role in the proposed project.
- Identify why the specific item(s) were selected.
- Amount of Other Applicant Match: Though not required, applicants are encouraged to identify the value of other match committed to the proposed project. Other applicant match may include cash, the value of existing assets necessary for the implementation and sustainability of the proposed project, the value of volunteer services, etc.

Form E – Comprehensive Planning Area Agency Review and Comment Form

- Applicants are required to provide a complete application to the agency responsible for submitting a solid waste comprehensive plan to the Department of Natural Resources.
- A completed Form E should be attached to the application when submitted to the Department. If this is not possible, a completed Form E must be submitted no more than ten (10) days following the application submittal deadline to receive full consideration.
- To determine the appropriate agency visit the following websites:
  - Identifies the solid waste planning area your project is located
    - Comprehensive Planning Area Descriptions
  - Provides contact information for each solid waste planning area
For assistance, contact Leslie Goldsmith of the Department (see page 18 for contact information).
- Applicants are encouraged to discuss proposed projects with their solid waste agency throughout the application process.

Minority Impact Statement

- Pursuant to Iowa Code, all financial assistance applications submitted to the State of Iowa are required to include a Minority Impact Statement.
- The Minority Impact Statement is a mechanism requiring applicants to consider the potential impact of proposed projects on minority groups.

Applicant Disclosure

- The Applicant Disclosure is a method to help ensure program funds are used for their intended purpose.

If you have question on how to correctly complete the following forms, please contact Amy Wilken at 515-322-9815 or amy.wilken@dnr.iowa.gov or Tom Anderson at 515-240-6059 or tom.anderson@dnr.iowa.gov.
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) 240-6059  tom.anderson@dnr.iowa.gov
Amy Wilken    (515) 322-9815  amy.wilken@dnr.iowa.gov

Solid Waste Permitting
Nina Koger   (515) 537-4051  nina.koger@dnr.iowa.gov
Mike Smith   (515) 229-8356  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) 240-6059  tom.anderson@dnr.iowa.gov

Mobile Education Exhibit
Amy Wilken   (515) 322-9815  amy.wilken@dnr.iowa.gov

Comprehensive Solid Waste Plans / Responsible Agency
Laurie Rasmus   (515) 474-4921  laurie.rasmus@dnr.iowa.gov
Becky Jolly   (515) 725-8308  becky.jolly@dnr.iowa.gov

Solid Waste Environmental Management Systems Program
Laurie Rasmus   (515) 474-4921  laurie.rasmus@dnr.iowa.gov

Household Hazardous Materials Programs
Kathleen Hennings   (515) 725-8359  kathleen.hennings@dnr.iowa.gov
Tom Anderson   (515) 240-6059  tom.anderson@dnr.iowa.gov

Pollution Prevention (P2) Services
Jeff Fiagle   (515) 322-9928  jeff.fiagle@dnr.iowa.gov

Derelict Building Grant Program
Reid Bermel   (515) 217-7230  reid.bermel@dnr.iowa.gov

Dept. of Natural Resources Homepage  www.iowadnr.gov
Financial and Business Assistance Homepage  www.iowadnr.gov/faba