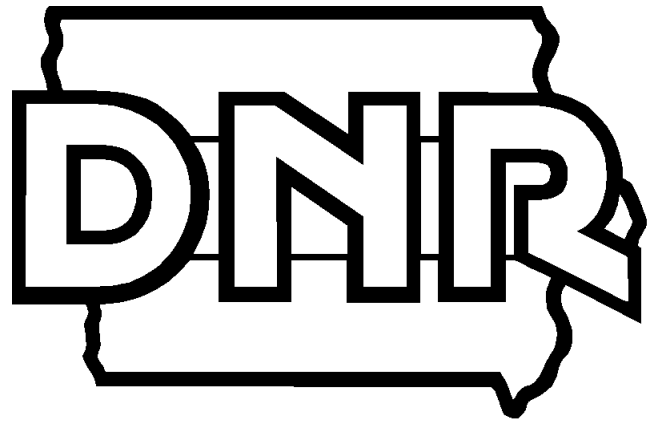


**SOLID WASTE
ALTERNATIVES
PROGRAM (SWAP)**

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

July 2019

**Iowa Department of Natural Resources
Kayla Lyon, Director**



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

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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. 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 guideline 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 If an applicant is selected to receive financial assistance, an offer of financial assistance may be rescinded if the applicant is determined to be out of compliance with applicable Local, State and Federal regulations.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 guideline. Applicants must follow instructions contained herein and provide all requested information. Required forms are found in Appendix A, Page 8 and can be downloaded at [SWAP Forms](#). Proposal forms contained herein and at the above website can be electronically completed.

A **signed** original of the fully completed Proposal must be submitted to the Land Quality Bureau by the assigned deadline described on Page 4. Applications may be submitted by hard copy or electronically. 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.

Electronic proposals should be emailed to Tom Anderson at:

tom.anderson@dnr.iowa.gov

Proposal Submission Guidelines:

Two funding rounds are held each year. Proposals must be received by the time and date stated on Page 4 of these proposal guidelines. Your proposal should contain sufficient detail for reviewers to visualize the project in its entirety. Applicants must:

- Submit a **signed** original of the fully completed proposal at the address identified on Page 6.
- Utilize forms contained in this application guideline, photocopies thereof or electronic submittals on forms provided 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 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](#) – Select “Comprehensive Planning Contacts List” from the Report menu.

For assistance, contact Laurie Rasmus of the Department (see page 18 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 guideline 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. Additional information may include a pre-funding financial review of the applicant and applicant principal officer. 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.

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.

Failure to provide requested documentation may cause the proposal to be rejected. Undergoing the pre-funding suitability review **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 July 1	If any of these dates occurs on a weekend, proposals must be received by 4:00 PM on the next business day.
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- 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 three 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. 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 machine and other office furnishings/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 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 depends upon the total amount awarded to the applicant.

Award disbursement for projects 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:

- Select education, research and development, and demonstration or pilot projects MAY be chosen to receive an increase in the forgivable loan and/or the zero percent interest loan portion of the award;
- Projects that demonstrate uniqueness, have a regional or statewide impact, or be readily transferable to other parts of the state;
- 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 project, equipment items, etc. without a corresponding increase in landfill diversion.

Loan Repayment:

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.

ACH Authorization

The Department may require ACH authorization to automatically deduct loan payments from the account designated by the applicant from the applicant's financial institution. A completed ACH Authorization Form, provided by the Department, will be required by the time the Solid Waste Alternatives Program agreement is signed by the applicant.

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. Reporting requirements are 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 18.

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 on 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 any time leading up to agreement execution, 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	tom.anderson@dnr.iowa.gov	
502 East Ninth Street	OR	
Des Moines, Iowa 50319	Amy Wilken	515-725-8349
FAX: 515-725-8202	amy.wilken@dnr.iowa.gov	

Other contact information can be found on Page 18.

EVALUATION CRITERIA

All proposals will be reviewed based on the applicant's thoroughness in addressing identified evaluation criteria on Form B, Project Narrative. 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.

APPENDIX A

Proposal Forms

FORM A – PROPOSAL COVER SHEET
SOLID WASTE ALTERNATIVES PROGRAM
Project Requests Greater than \$10,000

Project Title:			
Applicant Name:			
Street Address:			
City/State/Zip:			
Mailing Address (if different):			
P.O. Box:			
City/State/Zip:			
County:			
Contact Person:			
Telephone Number:			
E-mail Address:			
Applicant Type:			
	[] Local Government	[] Private For Profit	[] Private Not For Profit
Amount of Funding Requested:		\$	
Amount of Applicant Cash Match Committed:		\$	
Total Project Cost:		\$	
OPTIONAL: Value of Other Project Related Applicant Resources		\$	_____
Identify:			
Facility Location:			
Project Service Area Description:			
Is the targeted solid waste currently landfilled?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the targeted solid waste landfilled in Iowa?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Signature:			
Printed:			
Title:		Date:	

FORM B – PROJECT NARRATIVE
SOLID WASTE ALTERNATIVES PROGRAM
Project Request Greater Than \$10,000

NOT TO EXCEED 8 PAGES OF TEXT – FOLLOW OUTLINE – USE HEADINGS

FORM C – PROJECT TIMETABLE
SOLID WASTE ALTERNATIVES PROGRAM
Project Request Greater Than \$10,000

Applicant Name: _____

Project Beginning Date: _____

Project Ending Date: _____

This timetable should account for all tasks from planning through project completion including the first year of project operation, as applicable.

Task or Activity	Beginning Date For Each Task	Ending Date For Each Task	Group/Person Responsible

FORM D – BUDGET SUMMARY
SOLID WASTE ALTERNATIVES PROGRAM
Project Request Greater Than \$10,000

Applicant Name: _____

ITEM AND QUANTITY	DNR REQUEST	APPLICANT CASH MATCH	TOTAL
TOTAL			

Note:

- Applicants are required to provide a minimum cash match of 25% for each budget line item in which SWAP funding is requested.
- Applicants **MUST** submit a Form D – Budget Narrative detailing each item for which funding assistance is requested, why this item(s) was chosen and its role in the proposed project.

FORM D – BUDGET NARRATIVE

SOLID WASTE ALTERNATIVES PROGRAM

Project Request Greater Than \$10,000

Applicant Name: _____

Applicants are required to submit a budget narrative that details specific expenditures and their role in the project.

Applicants are encouraged to describe other resources committed to the proposed project.

FORM E

COMPREHENSIVE PLANNING AGENCY REVIEW AND COMMENT FORM

SOLID WASTE ALTERNATIVES PROGRAM

Project Request Greater Than \$10,000

See Page 4 for appropriate Comprehensive Planning Agency contact information

Applicant Name: _____

Date Application Received: _____

Responsible Agency Name: _____

Signature: _____

Title: _____

Date: _____

1. Is the proposed project consistent with the solid waste comprehensive plan or Environmental Management System participant goals? Please elaborate.
2. Is the Agency aware of competitors for the targeted solid waste materials identified in the application? If yes, will the proposed project adversely affect the operations of the competing entity and how?
3. Is all or a portion of the targeted solid waste materials currently landfilled? If not, please elaborate.
4. Can the project, as proposed, be considered to have a regional impact on the targeted solid waste stream? If not, is there the potential for it to be expanded to have a regional impact and how?
5. Are the landfill diversion figures proposed in the application consistent with the solid waste comprehensive plan figures or if the Agency is participating in the EMS Program, is the project consistent with EMS goals and objectives? If not, how are they inconsistent?

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.

Applicant Disclosure

The Applicant must provide the following information. This is a continuing disclosure requirement from application submittal through agreement end date (if funding is awarded).

1. During the last three (3) years, has the Applicant received written notification from a state agency that a debt is owed to a state agency or a debt is being enforced through the Income Offset Program (including the state child support recovery unit if the Applicant is an individual) that will in any way impact receipt of monies awarded through this program? Yes No

If yes, provide the date by which the Applicant will or has satisfied debts owed to or being collected by the state.

2. During the last three (3) years, has the Applicant had a contract for goods and/or services terminated for any reason, or has the Applicant received a notice of breach, notice of default, or similar notice?

Yes No

If yes, provide full details related to the termination or notice.

3. During the last three (3) years, describe any damages or penalties or settlements pertaining to contract disputes under any of the Applicant's existing or past contracts as it relates to goods and/or services performed that are similar to the goods and/or services contemplated by this application. If so, indicate the reason for the penalty, damages or exchange of property, goods, or services and the estimated amount of the cost of that incident to the Applicant.

4. During the last three (3) years, list and summarize all litigation, threatened litigation, administrative or regulatory proceedings, or similar matters to which the Applicant or its officers have been a party. Any such matter commencing after submission of an application, and with respect to the successful Applicant after the execution of a contract, must be disclosed in a timely manner in a written statement to the Department's contract officer.

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

Name: _____

Title _____

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
Amy Wilken (515) 725-8349 amy.wilken@dnr.iowa.gov

Solid Waste Permitting

Nina Koger (515) 725-8309 nina.koger@dnr.iowa.gov
Mike Smith (515) 725-8314 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
Scott Flagg (515) 725-8318 scott.flagg@dnr.iowa.gov

Mobile Education Exhibit

Amy Wilken (515) 725-8349 amy.wilken@dnr.iowa.gov

Comprehensive Solid Waste Plans / Responsible Agency

Laurie Rasmus (515) 725-8319 laurie.rasmus@dnr.iowa.gov
Becky Jolly (515) 725-8308 becky.jolly@dnr.iowa.gov

Solid Waste Environmental Management Systems Program

Leslie Goldsmith (515) 725-8319 leslie.goldsmith@dnr.iowa.gov

Household Hazardous Materials Programs

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

Pollution Prevention (P2) Services

Jeff Fiagle (515) 725-8353 jeff.fiagle@dnr.iowa.gov

Derelict Building Grant Program

Scott Flagg (515) 725-8318 scott.flagg@dnr.iowa.gov

Dept. of Natural Resources Homepage
www.iowadnr.gov

Financial and Business Assistance Homepage
www.iowadnr.gov/faba