New York State
New Farmers Grant Fund

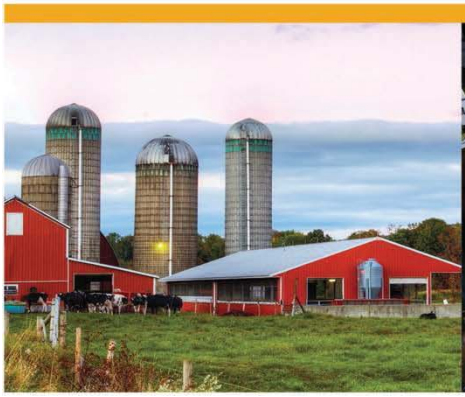
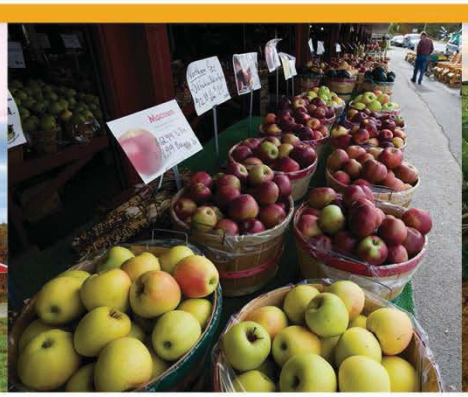
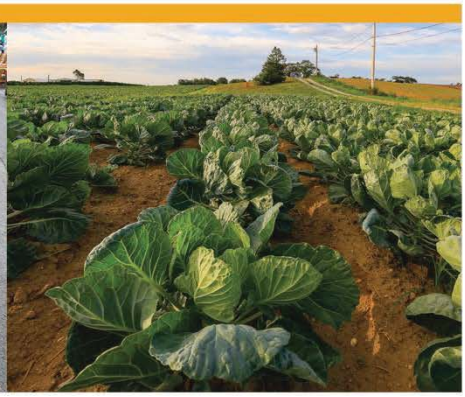
NEW YORK STATE OF OPPORTUNITY | Empire State Development

APPLICATION

State of New York
Andrew M. Cuomo

Empire State Development
Howard Zemsky, President & CEO

October 2018

NEW YORK STATE
NEW FARMERS GRANT FUND

When completing this application, be sure to consult the ***New Farmers Grant Fund Guidelines*** document which contains important program requirements.

The Guidelines, this application and associated information can be found at the following web site:
https://esd.ny.gov/new-farmers-grant-fund-program

Questions may be emailed to Bonnie Devine at:
nyfarmfund@esd.ny.gov

The application is a PDF fillable form. Applicants must submit one unbound, unstapled paper copy of the completed application with an original signature and all required attachments to:

NYS New Farmers Grant Fund
Empire State Development
625 Broadway, 8th floor
Albany, NY 12207

Applications must be postmarked by January 25, 2019.

Applications postmarked after this date, and incomplete applications, will not be awarded funding.

SECTION 1: ARE YOU ELIGIBLE?

1. The farm operation is located wholly within New York State and produces an agricultural product as defined by the grant program guidelines.	☐ YES ☐ NO
2. The farm operation has a minimum of $10,000 in farm income from sales of agricultural products grown or raised on the applicant's farm operation as reflected in either personal or business 2017 tax returns.	☐ YES ☐ NO
3. All owners are New York State residents of at least 18 years of age.	☐ YES ☐ NO
4. As of April 1, 2018, all farm operation owners are in the first 10 years of having an ownership interest in any farm operation.	☐ YES ☐ NO
5. All owners materially and substantially participate in the day-to-day production of an agricultural product grown or raised on the farm operation.	☐ YES ☐ NO
IF "YES" TO ALL QUESTIONS, PROCEED WITH ATTESTATIONS.	

SECTION 2: ATTESTATIONS

1. Is the applicant or any owner presently the subject of any litigation or is litigation threatened which will likely have a material adverse effect on the applicant's financial condition?	☐ YES ☐ NO
2. Has the applicant/owner(s) been or is the applicant/owner(s) involved in bankruptcy, a creditor's rights or receivership proceeding, or sought protection from creditors?	☐ YES ☐ NO
3. Has the applicant or any owner ever settled a debt with a lending institution for less than the full amount outstanding?	☐ YES ☐ NO
4. Has the applicant or any owner ever been convicted of any felony or misdemeanor, other than a minor traffic violation, or are any such charges pending?	☐ YES ☐ NO
5. Has the applicant or any owner ever been out of compliance with federal, state or local laws or regulations with respect to labor practices, hazardous wastes, environmental pollution or operating practices?	☐ YES ☐ NO
6. Are there any outstanding judgments or liens pending against the applicant or owner other than liens in the normal course of business?	☐ YES ☐ NO
7. Is the applicant or any owner delinquent on any New York State, federal or local tax obligations?	☐ YES ☐ NO
8. Has the applicant or any owner ever defaulted on an obligation to the New York State Urban Development Corporation, doing business as Empire State Development (ESD) or any other agency or public benefit corporation of the State of New York?	☐ YES ☐ NO
9. If a farm owner's spouse is not identified as an owner of the farm operation in Section 5 C(1) of the application, has the spouse had an ownership interest in any farm operation since April 1, 2008?	☐ YES ☐ NO
IF YOU ANSWERED "NO" TO THE ABOVE QUESTIONS, PROCEED WITH THE FULL APPLICATION.	
IF YOU ANSWERED "YES" TO ANY OF THE ABOVE QUESTIONS PROVIDE A DETAILED EXPLANATION ON AN ATTACHED SHEET AND SUBMIT IT WITH A COMPLETE APPLICATION. YOUR APPLICATION WILL BE REVIEWED, HOWEVER PROGRAM ELIGIBILITY CANNOT BE GUARANTEED.	

SECTION 3: APPLICANT INFORMATION

A.

Legal Name of Farm Operation (Applicant):

Mailing Address:

City: State: Zip: County:

Phone: E-mail:

Website Address:

Name of a Farm Owner authorized to apply on behalf of the Farm Operation:

Address of Project Site(s):

City: State: Zip: County:

Tax Map Lot and Block Number(s) of Project Site(s):

B.

Federal Taxpayer ID:

C.

FORM OF BUSINESS:

- ☐ Business Corporation
- ☐ Sole Proprietorship
- ☐ Limited Liability Company
- ☐ Partnership
- ☐ Subchapter S Corporation
- ☐ Agricultural Cooperative

SECTION 4: PROJECT SUMMARY

Provide a brief summary of the proposed project:

Total Project Cost: $_____ x 50% = $ _____ Grant Request
($30,000 - $100,000) ($15,000 - $50,000)

Any grant request must be matched with an equivalent amount of eligible matching funds.

SECTION 5: BUSINESS PLAN

ADDRESS ALL OF THE FOLLOWING IN AN ATTACHED NARRATIVE (use headings as outlined below):

A. Description of Current Farm Operation

1. Provide a brief history of the farm operation and how it has transitioned to what it is today.
2. Describe the land used for the farm operation: including the number of acres and parcels that comprise the farm, and a general breakdown of how the acreage is utilized for farming. (Attach a map or graphic to help clarify narrative.)
3. Provide information on all of the farm's buildings/structures: including their location, size and current use. (Attach a map or graphic to help clarify narrative.)
4. Provide a list of major farm equipment owned by the applicant.
5. Describe the types and quantities of agricultural products being produced and sold, and quantity and type of livestock housed at the farm.
6. Describe how the farm operation meets the minimum $10,000 farm income requirement (as reflected in 2017 tax returns) for sales of products grown or raised on the farm operation.
7. Identify the markets and customers reached for the farm's products.
8. Provide the number of full-time and part-time employees (who are not farm operation owners) who work at the farm and describe their titles and duties.
9. If the project will be located on leased property, describe the relationship and association between the applicant and landlord, and whether there is any shared space and/or equipment. Describe how the relationship constitutes an arm's length transaction. Identify any financial interest or gain to the landlord as a result of the applicant's project.
10. If the farm operation is a parent, subsidiary and/or lease affiliate of another company fully describe the ownership structure including the percentage of ownership by each entity.

B. Proposed Project Scope, Goals, Work Plan and Implementation Schedule

1. Fully describe the proposed project, including how the project will improve the farm's profitability through one or both of the following goals:
   - Expanding agricultural production, diversifying agricultural production and/or extending the agricultural production season;
   - Advancing innovative techniques that increase sustainable agricultural production practices such as organic farming, food safety, reduction of farm waste and/or water use.
2. Identify any involvement with partnerships to advance the project and provide a summary of any formal partnership agreement(s).
3. Describe the business goals and economic impacts the farm expects to achieve through this project and how they will be measured.
4. Identify the steps needed to implement the project and the anticipated timeframe.
5. Describe any new positions that will be created as a result of the project.
6. For all building construction and renovation projects, describe all uses to be housed in the structure, and if/where these uses are currently housed. If the new/renovated building will incorporate uses that currently take place in other farm structures, describe the uses that are anticipated to occupy the former structure.

7. For renovation projects, provide a clear description of the work to be performed, as well as photo-documentation of the condition of the structure to be improved.
8. If machinery/equipment is to be purchased, identify where the items will be stored.
9. If subject to the criteria for projects located on leased land, describe how the project will meet the criteria that all equipment and machinery, and construction project elements must be portable.
10. Identify any local, state or federal permits, approvals or certifications required for the project and provide the status and anticipated timeline of each.

C. Applicant Experience and Career in Farming

1. List each owner of the farm operation by name, and the percent of their ownership interest (total must equal 100%).
2. For each owner provide the following:
   - Hours per week currently worked on the farm and description of duties, and hours per week proposed to be worked as a result of the project.
   - Years involved in the farm operation, and an overall description of duties during those years.
   - Name and address of current and previous farm ownership interests and dates of such ownership.
3. Describe how the applicant/owners have the expertise, experience and capacity to successfully manage and implement the project; and achieve anticipated project results.
4. Describe how the project will advance the farm owner(s) livelihood in farming.

D. Budget, Match and Need for Grant

1. Provide a detailed description of the total project costs.
2. Explain how the budget is cost effective and appropriate to the farm operation, and the scale, scope and expected results of the project.
3. Describe the source and amounts of matching funds, as well as the funds to be used to complete the project prior to reimbursement.
4. Detail any Federal, State or Local financial assistance applied for, received, or anticipated for this project.
5. If the farm operation received New Farmers Grant Funding from a previous round, describe progress/status of grant and amount of previous funding awarded.
6. Explain why grant assistance is necessary to implement the project.

SECTION 6: ESTIMATED PROJECT BUDGET

Provide the total project costs in the table below. Provide detailed project costs in the subsequent tables.

Be sure to attach required quotes for all items listed in the following tables.

Proposed use of funds	Amount	Funding Source
Machinery & Equipment	$	
Construction or Improvement of Farm Structures	$	
Supplies	$	
TOTAL PROJECT BUDGET TOTAL (Minimum $30,000)	**$**	
Matching Funds (50%) of Total Project Budget	**$**	
NEW FARMERS GRANT FUND REQUEST (50%) of Total Project Budget	**$**	

SECTION 6a: ESTIMATED MACHINERY & EQUIPMENT BUDGET

Identify all machinery or equipment to be purchased (and installed, if applicable).

Indicate if item will be purchased new or used.

Item Description	Justification for Use in Project	Amount
		$
		$
		$
		$
		$
		$
		$
		$
	Machinery and Equipment Subtotal:	$

SECTION 6b: ESTIMATED CONSTRUCTION BUDGET

Identify all eligible costs associated with the construction or improvement of physical structures. Indicate whether cost is for materials, contractor services (indicate type), or both.

Note: An applicant's labor, immediate family's labor, or employee's labor, is not an eligible project cost. If an applicant wishes to perform the work themselves only the cost of construction materials is eligible.

Description of what is to be Constructed/Improved	Justification	Amount
		$
		$
		$
		$
		$
		$
		$
		$
	Construction Subtotal:	**$**

SECTION 6c: ESTIMATED SUPPLIES BUDGET

List supplies to be purchased. Justify how they will support the purpose and goal of the project.

Item Description	Justification for Use in Project	Per Unit Cost	# of Units	Amount
		$		$
		$		$
		$		$
		$		$
		$		$
		$		$
		$		$
		$		$
			Supplies Subtotal:	**$**

SECTION 7: CERTIFICATIONS

The undersigned does solemnly affirm, acknowledge and agree that:

(a) He/she is authorized to execute this application on behalf of the farm operation and that to the best of his/her knowledge, information and belief, all statements in the application, including all attachments hereto and any affidavits, certifications or supplemental information provided herewith, are true and accurate;

(b) Applicant will be obligated to repay any grant funds received under this Program in the event (a) its application, including any information provided therewith or thereafter, contains any material misrepresentations; or (b) the grant was made in error and the applicant is not entitled to assistance under the Guidelines; or (c) it fails to provide documentation to support any grant payments; or (d) as specified in Section 4F of Guidelines;

(c) In the event the applicant fraudulently represents any information in the application or supporting documentation, ESD may exercise any and all remedies available to it under the law and shall refer the matter to the appropriate authorities for prosecution;

(d) This application is a request for assistance and does not obligate ESD to award any funds;

(e) All calculations in the application are subject to review and adjustment. Under no circumstances do the calculations imply award of funds. If approved, award may be adjusted or rescinded if warranted upon comparison of all documentation;

(f) The receipt of any grants made under this Program is subject to the approval of the Program by the NYS Division of the Budget and the receipt of funds by ESD;

(g) All documents submitted will become property of ESD and will not be returned;

(h) ESD reserves the right to modify the requirements of this application and to require additional information from the applicant;

(i) ESD, acting in its sole discretion, may reject any application that it deems incomplete, ineligible for assistance or inappropriate for funding;

(j) Complete applications must be postmarked by January 25, 2019, to be considered for funding;

(k) ESD's non-discrimination and affirmative action policies and programs, which are grounded in both public policy and applicable law, mandate that ESD take affirmative action when implementing projects, to ensure that Minority- and Women-owned Business Enterprises (MWBEs), minority group members and women participate in the economic benefits generated by ESD's participation in projects or initiatives. ESD's non-discrimination and affirmative action policies and programs will apply to this initiative wherever applicable;

(l) In accordance with IRS regulations all Program Assistance disbursed to an applicant will be reported by ESD to the IRS and ESD shall mail a Form 1099 to you at the address provided;

(m) Applicant agrees to indemnify and hold harmless ESD, as well as their respective agents, directors and employees, for any claims arising from the administration of this Program;

(n) Applicant agrees to comply with the New York State New Farmers Grant Fund Guidelines and requirements;

(o) If funded, the application is subject to audit for a period specified in the contract with ESD;

(p) Applicant's name and any grant award may be used by ESD or New York State in its promotional materials;

(q) Applicant may be required to reimburse ESD for any direct expenses incurred in connection with any grant award it may receive, including costs related to holding a public hearing; and,

(r) Applicant authorizes ESD to order credit reports or other financial background information on the applicant, and any individual or entity proposed as a guarantor, as may be necessary to provide the assistance requested.

_____ _____

(Applicant Signature) **(Title)**

_____ _____

(Printed Name) **(Date)**

SECTION 8: ATTACHMENT CHECKLIST *(all documents should be unbound)*

The following items must be included, please check if attached:

- ☐ Application with original signature and all attachments.
- ☐ Business plan, as required in Section 5 of the application, including a complete project budget and project work plan;
- ☐ Copy of all farm owners NYS issued identification (i.e. driver's license or non-driver identification card).
- ☐ Copies of the farm operation's complete federal and state tax returns for the 3 most recent years and a copy of all owners complete federal and state personal tax returns for the 3 most recent years. (Except for the first page of each filing, please redact Social Security or Employer Identification numbers from documents)
- ☐ Documentation of the annual revenues from the sale of agricultural products for the past three years (or less if not in business that long) including a balance statement, income statement and cash flow statement.
- ☐ Assuming funding is awarded, income projections for the next three years, including balance statement, income statement and cash flow statement.
- ☐ Certificate of Incorporation or Assumed Name Certificate (DBA) unless sole proprietor using own name.
- ☐ Current resumes for all farm operation owners including complete contact information. Include both agricultural and non-agricultural work. For agricultural work experience, indicate if work was full-time or part-time; and describe duties. Include any relevant education, formal agricultural related training, agricultural certifications or involvement with farming mentors.
- ☐ Documentation of matching funds, including loan commitment letters, or bank statements.
- ☐ Documentation of project costs including detailed scope of services with one quote attached for all items under $1,000 and three quotes attached for items over $1,000.
- ☐ Photocopy of the lease(s) or deed(s) for all properties that comprise applicant's farm.
- ☐ If property where project is to be located is leased, a letter of support for the project from landowner.
- ☐ Two letters of support for the project commenting on experience and capacity of applicant and feasibility and readiness of project to move forward.
- ☐ Tax map(s) indicating location of all farm operation properties, with project location clearly identified.
- ☐ Plans, sketches, photos and other visual material that provide context for understanding your farm operation and justifying the proposed project.
- ☐ For construction projects: design plans, layout of uses, and photos of the project site.
- ☐ If obtained, a copy of all permits, certificates or approvals for the project. If not yet obtained, provide status. If a construction project will not need a building permit, provide documentation to that effect.