

Application

**New York State
New Farmers Grant Fund**



State of New York
Andrew M. Cuomo, Governor

Empire State Development

October 2014

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New York State New Farmers Grant Fund

The New Farmers Grant Fund Guidelines contain important program requirements and should be referred to when completing this application.

A complete application consists of an application form filled out in its entirety and all of the required elements and attachments requested within. An application checklist is included as a guide.

The guidelines, application and associated information can be found at the following web sites.

www.esd.ny.gov

www.ag.ny.gov

Additional information can be obtained by writing to Bonnie Devine at:
nyfarmfund@esd.ny.gov

Applicants must submit four copies of the completed application and all attachments in the following forms:

- Three paper copies – One signed original and two copies
- One compact disk containing the complete application and attachments in PDF format.

Applications must be postmarked by January 28, 2015. Applications postmarked after such date and incomplete applications will be rejected.

Mail all materials to the following address:

NYS New Farmers Grant Fund
Empire State Development
625 Broadway, 8th floor
Albany, NY 12245

Applications must be postmarked by January 28, 2015

Application

New York State New Farmers Grant Fund

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ATTACHMENT CHECKLIST

The New Farmers Grant Fund Guidelines contain program requirements and information and should be referred to when completing this application. In addition to a complete application the following items **must** be included, please check if attached:

- Business Plan as required in Section 3 of the application including a complete project budget with sources and uses of funds and project work plan
- Copy of applicant's NYS Driver's License or other form of identification (U.S. Passport or birth certificate)
- Copies of the applicant's federal and state tax returns for the 3 most recent years and a copy of all owners federal and state personal tax returns for the 3 most recent years
- Certificate/Letter of Incorporation
- NYS Minority or Woman-owned Business Certification Letter (if applicable)
- Resumes for all farm operation owners including complete contact information
- Demonstration of matching funds including commitment letters
- Demonstration of financial need
- Documentation of project costs including detailed specifications, scope of services and associated quotes
- Photocopy of property deed or lease
- If property 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; feasibility and readiness of project to move forward; and, likelihood that the project will be sustainable and result in the growth of agribusiness within the state
- Tax map indicating location of project
- Plot plans, photos and other visual material that will help describe the project
- For all construction: designs and specifications which must conform with federal, state, and/or local law with applicable certifications, stamps and/or seals
- A copy of all permits, certificates and/or approvals obtained for the existing farm operation and those required for the proposed project, if obtained
- An original voided check for the applicant's bank account imprinted with the business name and address

SECTION 1: APPLICANT INFORMATION

A.	Legal Name of Farm Operation (Applicant):
	Street Address of Farm Operation:
	City: State: Zip: County:
	Tax Map Lot and Block Numbers:
	Website Address:
	Name of Owner authorized to apply on behalf of the Farm Operation:
	Mailing Address:
	City: State: Zip: County:
	Phone: E-mail:
B.	Federal Taxpayer ID:
	NYS Department of State ID:
	Duns Number:
	NYS Unemployment Insurance Tax Number:
	NYS Sales Tax Registration Number:

C. A. FORM OF BUSINESS

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

B. IS THE COMPANY a Certified:

- Minority-Owned Business YES NO
- Woman-Owned Business YES NO

Include all certificates/letters of incorporation.
For a Minority or Woman-owned Business please attach a copy of your NYS certification letter.

D. 1. Is the farm operation less than 150 acres and located wholly within New York State?

- YES NO

2. Have all of the owner(s) been producing agricultural products in New York State for less than 10 years?

- YES NO

3. Does the farm operation currently employ the use of innovative agricultural techniques or is the farm operation seeking to employ the use of innovative agricultural techniques as a result of this project? If yes, provide details.

- YES NO

4. Is the farm operation currently seeking other New York State assistance or has the farm received other state assistance in the past? If yes, provide details.

- YES NO

B. Proposed Project Activities:

- Describe the proposed project scope including the specific market trends and opportunities the project will address.
- Describe how each owner will substantially and materially participate in the production of an agricultural product grown or raised on the farm operation.
- Describe any innovative agricultural techniques to be incorporated into the project.
- Identify project goals and outcomes, and the plan for evaluating and measuring success.
- How many additional acres are proposed to be used for the production of an agricultural product?
- What is the proposed project's cost and how are grant funds to be used?
- Identify and describe involvement by other entities in the project.
- Identify any local, state or federal permits, approvals, or certifications that are required for the project, and provide the status of all applications.
- List all North American Industrial Classification (NAICS) numbers used to classify each type of the farm operation's proposed project activities/products.

C. Economic and Environmental Impacts and Benefits

- Provide the financial projections for the next three years including a balance statement, income statement and cash flow statement.
- Describe how the proposed project will result in the growth of agribusiness and result in increased tax revenues in New York State.
- Describe the likelihood of the project becoming self-sustaining and not indefinitely dependent on grant funds.
- Describe whether the proposed project will enhance or protect natural resource values.
- Describe how the impacts and benefits of the project will be measured.

D. Management and Personnel

- For all farm operation owners provide contact information and attach a resume detailing all work experience, both agricultural and otherwise, and describe involvement (including whether full-time or part-time) in the production of agricultural products on the farm operation. Include any relevant education, formal agricultural related training, agricultural certifications or involvement with farming mentors.
- For each owner, indicate percentage of farm operation ownership.
- Provide job descriptions for new positions to be created as a result of the proposed project, including skills required and compensation.

E. Budget

- Detail the total project cost, the source of all funds, and amounts and uses of all funds, including cash equity. Attach all letters of commitment.
- Provide a detailed explanation (attach supporting documentation) as to why grant assistance is necessary and why the proposed project could not be implemented without such funding.
- Document how budget costs were determined; include all estimates.
- Describe how the project costs are reasonable and appropriate, and how the procurement process will be fair and open to competition; guarded against favoritism; and protect the interests of New York State and taxpayers.
- If leasing machinery or equipment, provide documentation as to the applicant's ability to either purchase, or continue the lease of, the machinery and equipment at the end of the lease term.
- Provide all banking relationships (name of bank, address, telephone, account numbers, types of accounts, loan officers)

F. Workplan

- Describe the specific activities that are necessary to implement the proposed project.
- Provide a timeline that indicates when each activity will occur (at least month and year) as well as a beginning and end date for the project. Make sure the work plan timeline shows that the project will be completed within a two-year period.

SECTION 4: ESTIMATED TOTAL PROJECT BUDGET

Please provide detailed information about your proposed total project costs in the tables below. Any item that is not itemized on your proposed budget will not be considered for funding. For each budget item include three quotes from responsible vendors.

Proposed use of fund	Amount	Source of Funds
Machinery & Equipment	\$	
Construction or Expansion of Farm Buildings	\$	
Construction or Expansion of Farm Systems	\$	
Supplies	\$	
Other	\$	
	\$	
	\$	
PROJECT BUDGET TOTAL	\$	

SECTION 4a: ESTIMATED MACHINERY & EQUIPMENT BUDGET

Describe any machinery or equipment to be purchased or leased. Machinery or equipment may be leased for a maximum of two years.

Item Description	Justification for Use in Project	Purchase or Lease	Amount
			\$
			\$
			\$
			\$
			\$
			\$
			\$
Machinery and Equipment Subtotal:			\$

SECTION 5:**ATTESTATIONS**

1. Is the applicant or any owner presently the subject of any litigation, or is any litigation threatened, which would have a material adverse effect on the applicant's financial condition?
2. Has the applicant or any owner ever been involved in bankruptcy, a creditor's rights or receivership proceeding, or sought protection from creditors?
3. Has the applicant or any owner ever settled a debt with a lending institution for less than the full amount outstanding?
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?
5. Is the applicant and are all owners in compliance with federal, state or local laws or regulations with respect to labor practices, hazardous wastes, environmental pollution or operating practices?
6. Are there any outstanding judgments or liens pending against the applicant or owner other than liens in the normal course of business?
7. Is the applicant or any owner delinquent on any New York State, federal or local tax obligations?
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 YES NO

(NOTE: If your answer is "YES" for any of the above questions, please provide an explanation on an attached sheet.)

SECTION 6:**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) All statements in this Application, including all schedules, appendices and additional information submitted in connection herewith, are true and accurate;
- (c) 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;
- (d) 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;
- (e) This application is a request for assistance and does not obligate ESD to award any funds;
- (f) 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;
- (g) 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;
- (h) All documents submitted will become property of ESD and will not be returned;

- (i) ESD reserves the right to modify the requirements of this application and to require additional information from the applicant;
- (j) ESD, acting in its sole discretion, may reject any application that it deems incomplete, ineligible for assistance or inappropriate for funding;
- (k) Complete applications must be post-marked by January 28, 2015, to be considered for funding;
- (l) 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;
- (m) In accordance with IRS regulations all Program Assistance disbursed to applicant will be reported by ESD to the IRS and ESD shall mail a Form 1099 to you at the address provided;
- (n) 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;
- (o) Applicant agrees to comply with the New York State New Farmers Grant Fund Guidelines and requirements;
- (p) If funded, the application is subject to audit prior to and for up to six years from the date of disbursement of funds;
- (q) Applicants name and any grant award may be used by ESD or New York State in its promotional materials;
- (r) Applicant will 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,
- (s) 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.

Signature of owner authorized to sign on behalf of Applicant:

_____ Date: _____

Print Name: _____ Title: _____