NYS G&C IT RFP Master Copy

New York Farm Viability Institute

How To Apply: The Application

Application Overview

The complete Request for Proposals (RFP) package for NYS G&C ITRD includes three documents as described below. Applicants are encouraged to read the Technical Requirements closely before developing their application.

- *Technical Requirements*: Outlines the specifics of the NYS G&C Infrastructure and Technology RFP.

- *Application*: Online application form, which is required to be submitted.

- *Budget Template*: Excel template that must be used to develop an applicant's budget and uploaded as part of the online application.

All files are available at NYS Grown and Certified ITRD Grant Program.

All applicants are encouraged to read all parts of the RFP closely to determine how to best create a competitive proposal that will assist their business in profitably bringing New York State Grown & Certified (NYS G&C) products to market.

Application Format

This grant program is being administered entirely online. The first section of the online application offers technical tips for using the online platform.
While forms are identical for all NYS G&C ITRD regional groups , applicants must select and use the application form that corresponds with the location of the proposed project. This will ensure the application is submitted and reviewed within the correct regional group. Please refer to the list in Appendix D to determine the correct regional group for your submission.

This application form will collect information about the business, the potential impact of the grant funds to its operations, and its ability to bring NYS G&C product to market.
The purpose of the online application is to provide a consistent format that will allow proposals to be evaluated in a uniform and objective manner.

Application Content

The application includes the following sections. Some sections may have more than one part to make the application easier to navigate.

1. Business Profile and Practices (specific to type of applicant business)

2. Project Description, Priority Area and Level of Innovation, Next Step

3. SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis specific to the use of the grant funds.

4. Business Impact: SMART (Specific, Measurable, Achievable, Relevant, and Time-Bound) goal specific to the use of the grant funds

5. Project Team

6. Work Plan (outlining the steps necessary to complete the project)

7. Project Budget

8. Financial Information

9. Attestations

Technical Tips

Technical Tips for using this platform

This Grant Lifecycle Management (GLM) online platform has some features that you may find useful:

Languages: Google Translate can be found in the upper left-hand corner of the screen, right below the NYFVI logo. Google Translate will be used to allow all submissions to be reviewed in English.

Saving your work: The document will save your work as you go.

Opening, and Closing Sections: Use the arrow on the left-hand side of the blue bar to open or close each section.

Collaboration: The platform will allow you to invite others to collaborate on a proposal by clicking the lightbulb in the upper right-hand corner of the screen. If you would like further instruction, this link offers more information.

Tutorials about using the online GLM platform can be found here. (Note: These tutorials are not specific to the NYS G&C ITRD program.)

Branching Questions

The application uses branching questions. Branching questions are questions that direct respondents to different sets of questions based on their answers to a previous question.

Character Counts

The GLM platform utilizes character counts, not word counts. The character limit includes spaces. The application will indicate the character count limit for each question.

As a general guide, the below estimates provide word and page limitations based on a rough average of six characters per word.

10,000 characters = 1,600 words or 3.5 pages single-spaced
7,000 characters = 1,200 words or 2.5 pages single-spaced
5,000 characters = 800 words or 1.5 pages single-spaced
3,500 characters = 575 words or 1 page single-spaced
1,500 characters = 250 words or .5 page single-spaced
500 characters = 80 words
250 characters = 40 words

Section 1: Business Profile and Practices (Branching Question)

Project Name*

Please provide a short descriptive title for your project.

Character Limit: 150

County*

NYS G&C ITRD funds are allocated and administered on a regional basis. The physical location of the project determines which group an applicant must use. If you do NOT see your county on the list below you are in the WRONG application.

Using the drop down menu, select the county for the proposed project.

Choices

Albany
Allegany
Bronx
Broome
Cattaraugus
Cayuga
Chautauqua
Chemung
Chenango
Clinton
Columbia
Cortland
Delaware
Dutchess
Erie

Essex
Franklin
Fulton
Genesee
Greene
Hamilton
Herkimer
Jefferson
Kings
Lewis
Livingston
Madison
Monroe
Montgomery
Nassau
New York
Niagara
Oneida
Onondaga
Ontario
Orange
Orleans
Oswego
Otsego
Putnam
Queens
Rensselaer
Richmond
Rockland
St. Lawrence
Saratoga
Schenectady
Schoharie
Schuyler
Seneca
Steuben
Suffolk
Sullivan
Tioga
Tompkins
Ulster
Warren
Washington
Wayne
Westchester
Wyoming
Yates

The Business Profile section collects fact-based information about the business that is applying for the grant. Applicants will have the opportunity to describe their business in their own words later in the application. The information collected in this section will allow reviewers to quickly understand a business and will allow data to be aggregated.

The question below is a branching question. That simply means that the system will customize the online application form based on your selection below. Choose the certification category that the grant recipient would use for the production, processing or distribution of the NYS G&C food or beverage products **that will be supported by the grant.**
If an applicant is eligible for NYS G&C in more than one certification category, they should select the category that best aligns with how the funds would be used.

If you are unsure about which certification category to select, please review the eligibility section in the Technical Requirements document.

If you believe the correct category is "Other" please reach out to arandolph@nyfvi.org before proceeding with your application. If you are a non-profit working with NYS G&C participants on a proposal, the NYS G&C participant's certification category should be used.
Questions about eligibility may be emailed to arandolph@nyfvi.org.

NYS G&C Category*
The NYS G&C certification category the applicant currently has or will obtain by the end of the project is:

Choices
Producer/Farmer including dairy farmers
Processors
Distributor/Strategic Partner including retailers conducting distribution activities.
Other (see note above)

Section 1 Branching: Farmer/Producer

Producer/Farmer Business Profile and Business Practices

This is a branching question. You are seeing this section of the application because you indicated in the prior section that the NYS G&C certification category for the business is producer/farmer.

Business Structure (Producer/Farmer)*
Please select the business structure for this enterprise:

Choices
No formal business structure
Sole proprietorship

LLC (Limited Liability Company)
LLP (Limited Liability Partnership)
Corporation
Partnership
Sub S Corporation
Not for profit that is eligible to be certified in NYS G&C

Year Created (Producer/Farmer)*

What year was the business created?

Character Limit: 4

NYS G&C Status (Producer/Farmer)*

The applicant's organization is:

Choices
Currently enrolled in NYS G&C
Has actively started the enrollment process and certification is pending.
Is a dairy farm and the processor or co-op is enrolled in NYS G&C
Not yet enrolled in NYS G&C

NYS G&C Certification Category*

For farmers/producers, the NYS G&C program certifies specific product categories or entire operations. Please select the product categories that are or will be NYS G&C for the applicant's business. *Note: If the application is specific to supporting processing activities that require a different NYS G&C certification, revisit your choice in Section 1: Business Profile and Practices (Branching Question)*

Choices
Fruits and Vegetables
Beef
Eggs
Poultry
Pork
Seafood
Sheep and Goat
Craft beverage ingredients (cider apples, wine grapes, hops, malting barley and distillers' grains)
Raw ingredients for processed food products (e.g., apples, juice grapes, small grains and legumes)
Honey
Maple Syrup
Dairy farmer who markets to a NYS G&C processor or co-operative

Non NYS G&C Product Categories*

Please list all types of products produced by the farm that are not, or will not seek to become NYS G&C. If the answer is none, please enter "All commercial products produced by the farm are NYS G&C"

Character Limit: 250

Environmental Management Plans*

NYS G&C certification requires participation in the NYS Agricultural Environmental Management (AEM) program or its equivalent. Below are descriptions of the NYS AEM Tiers.

Tier 1 – Inventory current activities, interests, and potential environmental concerns of the farmer.

Tier 2 – Document current environmental stewardship and assess and prioritize areas of concern.

Tier 3 – Develop conservation plans addressing concerns and opportunities tailored to farm goals.

Tier 4 – Implement plans using available educational, technical, and financial assistance.

Tier 5 – Evaluate practices and plans for conservation and farm viability.

Please indicate the answer that best describes your business's situation.

Choices
Tier 1
Tier 2
Tier 3
Tier 4
Tier 5
CAFO plan in place
Other environmental standard accepted by the NYS G&C program currently in place.
No AEM or other formal environmental plan currently in place

Production System*

What production system is the applicant currently using or planning to use for the NYS G&C product?

Choices
Forests
Land-based systems, non-forest
High tunnels (covered structure without heat source)
Controlled environment agriculture (covered structure that can regulate temperature, and inputs)
Confined animal feeding operation
Other types of livestock operation
Aquaculture, confined system
Aquaculture, open water

Route to Market (Producer/Farmer)*

By volume, most of the applicants' NYS G&C product is or will be sold via:

Choices
Wholesale, from the farm to the retailer
Wholesale through an intermediary
Direct market, from the farm to consumer
Direct market, at farmers' markets

NYS G&C % Product (Producer/Farmer)*

By volume, what is the approximate percentage of the applicant's overall production that is or will be NYS G&C?

Character Limit: 4

NYS G&C % Sales (Producer/Farmer)*

What is the approximate percentage of the applicant's overall sales that is or will be NYS G&C?

Character Limit: 4

NYS G&C Marketing (Producer/Farmer)*

Please identify any way that your products are marketed as NYS G&C.

Choices
Label on package
Label at retail environment
Advertising
Social Media
Website
Business Card
Not actively marketed as NYS G&C
Not yet NYS G&C

Clarifying Information (Producer/Farmer)

If the applicant would like to provide clarifying information about the information provided in this Business Profile section, please include it here:

Character Limit: 300

Producer/Farmer Business Practices

An applicant's responses in this section of the proposal will help the reviewers understand how the business is structured and managed. Best practices for a business may vary based on the type of business, needs, and stage of the business's maturity.

Business Plan Status (Producer/Farmer)*

Does the business have a current business plan?

Choices
Yes
No

Business Checking Account (Producer/Farmer)*

Does the applicant have a business checking account?

Choices
Yes
No

Personal Tax Returns Status (Producer/Farmer)*

Is the primary owner of the business current in filing State and Federal **personal** income tax returns?

Choices

Yes

No

Business Tax Returns Status (Producer/Farmer)*

Is the business current in filing State and Federal **business** tax returns?

Choices

Yes

No

Tax Returns Not Current

If either the personal or business tax returns are not current, please explain.

Character Limit: 250

Business Tax Form Used*

Which form was last used to file taxes for your business?

Choices

Form 1120

Form 1120S

Form 1065

Form 1040 Schedule C

Form 1040 Schedule F

Other

Years Filed*

How many years, if any, has the applicant filed business tax returns for this enterprise?

Character Limit: 3

Financial Review*

How often does the business review its financials (income and expenses)?

Choices

Only on an as needed basis

Weekly

Monthly

Quarterly

Annually

None of the above

Management Routine (Producer/Farmer)*

Briefly describe how the financial review management routine functions. (What is the process?, Who participates in the reviews?, etc.) At the last financial review, what were the highlights?

Character Limit: 1500

Business Goals (Producer/Farmer)*

Later in the application you will be asked about the next steps for your business, which will address what you generally want to accomplish or do.
For this answer, please provide the **specific production or financial outcomes** the business hopes to achieve in the next five years.

Character Limit: 5000

Recognition*

Briefly describe any recent public recognition that the business has received (e.g. awards, articles, etc.).

Character Limit: 250

Section 1 Branching: Processor

Processors Business Profile and Practices

This is a branching question. You are seeing this section of the application because you indicated previously that the NYS G&C certification category for the business is processor.
Not all businesses serve the same markets. If a question is not relevant to your business, simply enter "0" for numerical answers or "Not Applicable" for narrative answers.

Business Structure: (Processors)*

Please select the formal business structure for this enterprise

Choices
No formal business structure
Sole proprietorship
LLC (Limited Liability Company)
LLP (Limited Liability Partnership)
Corporation
Partnership
Sub S Corporation
Agricultural Co-operative
Not for profit that is leading an application for other eligible entities
Not-for-profit that is eligible to be certified in NYS G&C
Not-for-profit that is leading an application for eligible entities.

Year (Processors)*

What year was the business created?

Character Limit: 4

NYS G&C Status (Processors)*

The applicant's organization is:

Choices
Currently enrolled in NYS G&C
Actively in the process of becoming NYS G& C
Not yet enrolled in NYS G&C

NYS G&C Certification Category (Processors)*
Please select the NYS G&C application(s) that are or will be used by this applicant to certify their products. Keep in mind that the program certifies specific products, not entire operations.

Choices
Craft beverage/beer
Craft beverage/hard cider
Craft beverage/wine
Craft beverage/spirits
Craft beverage/mead
Dairy products
Processed food/beverage

Certification Category Aligned with Project Purpose
Some applicants may have more than one certification category for their NYS G&C products.

If an applicant selected more than one category above, please indicate the category that is associated with the proposed project.

Choices
Craft beverage/beer
Craft beverage/hard cider
Craft beverage/wine
Craft beverage/spirits
Craft beverage/mead
Dairy products
Processed food/beverage

NYS G&C Products (Processor)*
Please list all current and proposed NYS G&C products produced by the business.
Character Limit: 750

Product Packaging (Processors)*
Are products packaged for:

Choices
Institutional Buyers
Food Service
Retail Outlets
Direct Market

Market Channel (Processor)*
How are products marketed?

Choices
Marketed by the business directly to consumers
Marketed by the business to all channels
Marketed through an intermediary

NYS G&C Seal*
The use of the NYS G&C seal is optional, and many products are not sold in a branded manner. Is the NYS G&C logo used on certified products produced by this facility?

Choices
All current products
All future products
At least half of the products
Less than half of the products
None of the products
None of the products, products are branded with NYS G&C in retail environment.

Number of Processing Facilities*
How many processing facilities does the applicant have in NYS?

Character Limit: 4

Number of Employees*
How many people are employed by these NY facilities?

Character Limit: 4

Number at Facility*
How many people are employed at the facility where the proposed project will be based?

Character Limit: 4

New Employees as a Result of Project*
Will the proposed project result in any new full-time jobs? If so, approximately how many?

Character Limit: 4

Number of Unique Product Types*
On an annual basis, how many types of unique products are created at the location where the project will be based?

Character Limit: 4

Number of NYS G&C Product Types
How many of those product types are, or will be, NYS G&C

Character Limit: 4

Marketing Region*
The NYS G&C products produced by the applicant are marketed

Choices
Nationally
Across NYS
In a region or regions of NYS that are near the processing facility or ingredient producer.

Number of Outlets*
Approximately how many retail outlets currently sell the NYS G&C products produced by the business?

Character Limit: 5

Number of Institutional Buyers*
On an annual basis, how many institutional buyers typically purchase the NYS G&C products?

Character Limit: 5

Number of Food Service Outlets*
On an annual basis, how many food service outlets typically purchase the NYS G&C products?

Character Limit: 5

NYS Producers*
Please download this template and use it to provide information about NYS producers that are part of the applicant's organization or product supply chain. (Note, this information will be treated confidentially and will not be shared outside of NYFVI)

Upload the file below.

File Size Limit: 2 MB

NYS Producers Supplying to Facility*
Number of NY farmers included on the spreadsheet that supply ingredients to the facility where the project will be based.

Character Limit: 4

Number of NYS G&C Producers*
How many of the farmers included on the spreadsheet are NYS G&C?

Character Limit: 5

Relationship with supply chain*
Please describe the relationship the business has with its ingredient supply chain.
For example, what is the average length of the business relationship?

Character Limit: 1500

Processor Business Practices

An applicant's responses in this section of the proposal will help the reviewers understand how the business is structured and managed. Best practices for a business may vary based on the type of business, its needs, and stage of maturity.

Business Plan (Processor)*

Does the business have a current business plan?

Choices

Yes

No

Ownership Structure (Processor)*

Briefly describe the ownership structure of the business.

Character Limit: 250

Current Tax Filings (processor)*

Is the business current in filing State and Federal business tax returns?

Choices

Yes

No

Late Tax Filing

If the business is not current in filing State and Federal taxes, please provide the last year filed and describe any extenuating circumstances that may have created the delay.

Character Limit: 400

Taxes: Number of years

How many years, if any has the enterprise filed business tax returns?

Character Limit: 4

Tax Forms*

Please select which form was used most recently.

Choices

Form 1040 Schedule C

Form 1040 Schedule F

Form 1120

Form 1120S

Form 1065

Management Team (processor)*

If the size of the business requires a management team, please describe its structure and summarize the responsibilities for each role within the team.

If the business does not use a management team, please describe how the business is managed. In either case, the work of outside consultants may be included.

Character Limit: 800

Management Routine
How often does the management team review the financials (income and expenses) of the business?

Choices
Only on an as needed basis
Weekly
Monthly
Quarterly
Annually

Financial Review Highlights (Processor)*
At the last financial review, what were the highlights?

Character Limit: 800

Human Resource (HR) Policies*
Does the business have formal, written HR procedures and policies in place?

Choices
Yes
No

Financial Goals (processors)*
What are the businesses financial goals for the next five years? Please describe if NYS G&C is part of those goals.

Character Limit: 1000

External Recognition (Processors)*
In the last five years, has the business been recognized for its activities by outside organizations (e.g. awards, articles, etc.)? If so, please describe.

Character Limit: 250

Section 1 Branching: Distributor/Strategic Partner
This is a branching question. You are seeing this section because you indicated that the registration category for your business is Distributor/Strategic Retail partner.

Product Sourcing Footprint*
Please describe the geographic region that the distributor uses to source food and beverage products.

Character Limit: 250

Market Geographic Footprint

Please describe the geographic region that the distributor serves (food and beverage only)

Character Limit: 250

NYS G&C Product Catalog (Distributor)*

Please indicate the types of NYS G&C products that are offered through the applicant's business.

Choices

Craft beverages, alcoholic
Craft beverages, non-alcoholic
Dairy
Eggs
Processed products, frozen
Processed products, shelf stable
Produce Fruits
Produce Vegetables
Protein, Beef
Protein, Pork
Protein, Poultry
Protein, Seafood
Protein, Sheep and Goat
Raw ingredients (e.g. small grains, legumes, fruit, etc.)
Sweeteners, Honey
Sweeteners, Maple syrup
Other

Full Food and Beverage Catalog*

Please list all categories of food and beverages distributed by the applicant.

Character Limit: 500

Unique NYS G&C Products*

Approximately how many unique NYS G&C products are currently distributed?

Character Limit: 250

Business Relationships (Distributor)*

Please describe how the sales and business relationship with the NYS G&C participants is structured and the average length of these relationships.

Character Limit: 800

Number of Facilities*

How many facilities does the applicant have in NYS?

Character Limit: 5

Number of Employees (Distributor)*

How many people are directly employed at these facilities

Character Limit: 4

NYS G&C Distribution*

The NYS G&C products are distributed:

Choices
Nationally
Across NYS
In a specific region or regions of NYS

NYS G&C Businesses (Distributor)*

Please download this template to provide information about the NYS G&C businesses that provide products that are part of the distributors' product portfolio. In order to qualify for funding, distributors MUST work with at least 10 current New York Grown and Certified businesses, or the majority of their volume must be NYS Grown & Certified product.

Note: This information will be treated confidentially and will not be shared outside of NYFVI.

File Size Limit: 2 MB

Number of NYS G&C Businesses*

How many businesses were listed on the spreadsheet?

Character Limit: 4

Percentage of Portfolio*

What is the percentage of product that is NYS G&C by revenue?

Character Limit: 4

NYS G&C Marketing*

Please describe how the business markets the NYS G&C products to its customers.

Character Limit: 750

Distributor Business Practices

An applicant's responses in this section of the proposal will help the reviewers understand how the business is structured and managed. Best practices for a business may vary based on the type of applicant, its needs, and stage of the business's maturity.

Business Plan Status (Distributor)*

Does the business have a current business plan?

Choices
Yes
No

Tax Status (Distributor)*

Is the business current in filing State and federal business tax returns?

Choices

Yes
No

Taxes, Years (Distributor)*

How many years, if any, has the applicant filed business tax returns for this enterprise

Character Limit: 4

Ownership Structure (Distributor)*

Describe the ownership structure of the business:

Character Limit: 500

Management Team (Distributor)*

Describe the management team and summarize each individual's responsibilities.

Character Limit: 500

Financial Review (Distributor)*

How often does the management team review the financials (income and expenses) of the business?

Choices

Only on an as needed basis
Weekly
Monthly
Quarterly
Annually

Financial Highlights (Distributor)*

At the last financial review, what were the highlights?

Character Limit: 250

Human Resource (HR) Policies (Distributor)*

Does the business have formal, written HR procedures and policies in place?

Choices

Yes
No

Recognition (Distributor)*

In the last five years, has the business been recognized for its activities by outside organizations (e.g. awards, articles, etc.)? If so, please describe.

Character Limit: 250

Section 1: Overall Project

Overall Project Impact*

This project will allow the applicant to:

Choices

Bring more volume of NYS G&C product to market
Bring more types of NYS G&C product to market
Bring NYS G&C product to market more profitably

Proposal Development*

If the applicant worked with an outside consultant or expert to prepare or develop any portions of this application, please describe their name/organization and the role they played.

Character Limit: 250

Prior Grant Funding*

This is a branching question. The response will allow the online platform to tailor additional questions.

Has the applicant or their business previously received any State or Federal grants?

Choices

Yes
No

Section 1 Branching: Prior Grant Funding

Prior Funding Details*

Please provide the name of the grant program, year of the award, size of the awards, how they were used, and the results/impact that the funds created.

Character Limit: 3500

Section 2: Priority Area, Project Description, Next Step

In this section applicants will select the priority area associated with their funding request, provide a project description, and share information about the level of innovation associated with the project and/or the NYS G&C product it will support.

Defining a Project

This RFP uses these terms to refer to three different types of projects.

- Stand-Alone, Fully Funded Project. Projects of this type will be fully implemented and operational at the end of the grant contract using only the grant award and the required match.

- Stand-Alone, Partially Funded Projects: Projects of this type will be fully implemented and operational at the end of the grant contract; however the project will require additional resources other than the grant award and the required match for full implementation.

- Multi-Stage Projects. The grant award and its match will fully implement a single stage of a larger project.

Applicants are encouraged to read the application carefully to ensure they are providing the correct information based on their project type.

Tip: Applicants may find it helpful to make sure they have read the full RFP, particular ly the
Business Impact: SMART Goal and SWOT Analysis sections of this RFP before finalizin g this section.

Statewide Priority Area*

From the list below, please select the priority area that best aligns with the primary purpose of the project.

Choices

Distribution capacity enhancement
Processing and packaging
Production automation and labor efficiency

Project Description Examples

A clear, succinct description of the proposed project is essential for reviewers to be able to understand and accurately assess the information that follows in the remainder of your application. The description should be focus on HOW the grant funds would be used to implement the project, not the benefits of the project.

If the grant proposal is for a single stage of a project with multiple stages of work, that should be included in the project description. Those examples are labeled as "multi-stage" projects.

Below are a examples of project descriptions:

Examples: Production Automation

Example 1: Big Apple Cider will use this grant to purchase an innovative mechanical apple harvester suitable for use with its existing (scale) tractor and orchard infrastructure.

Example 2: Five Farms Co-Op will use this grant to purchase a new (scale) production line that will use biodegradable trays for packaging peeled sweet corn and allow the business to meet all food safety requirements.

Example 3: Great Goats Farm will use this grant to purchase an innovative robotics milking system that will accommodate (number) of animals in its existing barn.

Example: Multi-stage Packaging and Processing

Example 4: Big Apple farm will use this grant to build a 8,000 square foot new climate controlled (size) packing and storage facility for its apples, and product sourced from an additional 5 farms. Plans have been developed and permits secured. Equipment for use in the building has been identified and will be purchased with funds from other sources.

Example: Multi-stage Production Automation

Example 5: Good Dairy Farm will use this grant to install animal handling equipment in its new, innovative facility. Construction funds for the facility have already been secured and building is planned for next summer.

Project Description*
Keeping in mind the examples above, provide a specific, straightforward description of the goods or services to be purchased if this application is funded. All items requested must be aligned with grant priority selected above.
Character Limit: 1500

Level of Innovation*
All projects must implement new and innovative practices or approaches to meet industry needs and consumer demand. In some instances, it might be that the product that will result from your project is innovation, not the project itself. For example, if the project involves construction of a new processing facility, the construction may not necessarily be innovative, but the product or approach may be new or innovative.

Please describe how the project is innovative to your farm or business, or how it will help your business meet industry needs and consumer demands.
Character Limit: 1500

Next Step*
How did the business determine that the proposed project was the right next step for the business and this grant application? Please describe how the project fits into the overall business and its plans for the next five years.
Character Limit: 4000

Section 3: SWOT Analysis

SWOT refers to **S**trengths, **W**eaknesses, **O**pportunities, and **T**hreats. This framework is often used by organizations to develop strategic plans for their business. Typically, strengths and weaknesses assess internal factors, while opportunities and threats focus externally. A strong SWOT analysis can help demonstrate that the business has considered a wide range of factors and is prepared to leverage opportunities and overcome any weaknesses.

A SWOT analysis can be used for a specific product, an organization, or even the broader industry. *In terms of this application the information provided for the SWOT analysis should be specific to the proposed project.*

The example below corresponds with the Distribution Capacity Project Description above.

Strengths	Weaknesses
Underutilized land capacity to produce more crops	No market presence or reputation in new markets
High level of horticultural experience among the team	Cash flow unreliable in the early stages
	Challenges finding labor
Electric vehicle aligned with brand/farm values	Market access, new customers not yet secured
Opportunities	**Threats**
Additional vehicle capacity would allow for new markets, possibly wholesale crops.	Increasing costs of necessary supplies to grow additional inventory.
Growing consumer interest in local, sustainable, product.	Inflation is forcing some customers to be more price conscious.
Potential to add new items for growing ethnic population.	Vegetable crops sensitive to extreme weather
Increased revenue.	

More information about how to develop a SWOT analysis is available at NYS Grown and Certified ITRD Grant Program

SWOT Tips:
Consider the tips below but understand that the analysis will vary based on the type of project proposed and not all will be relevant.

- Does the SWOT analysis appropriately categorize the agricultural expertise and skills that the team possesses to implement the project? Did it also consider business management or sales expertise?

- Does the SWOT analysis provide insights about the external marketplace for the business' products and pricing? Is it clear what is, or isn't, driving demand for the business' product?

- Does the SWOT analysis include an assessment of any competitors?

- Does the SWOT analysis include any advantages that the business may have? Consider proximity to markets, infrastructure, and soil quality and other growing conditions.

- Are there clear solutions to improve any weaknesses?

- Is availability of labor part of the SWOT analysis?

- Does the SWOT analysis address the priority area that was chosen previously?

Develop a SWOT Analysis

Use the following questions to develop the SWOT analysis for your project.

Strengths List*

Identify three to five of the project's strengths and provide a one-sentence description of each.

Character Limit: 250

Strengths Justification

Next, provide a few short paragraphs that justify why these strengths are critical to the specific project.

Character Limit: 3500

Weaknesses List*

Identify three to five of the project's weaknesses and provide a one-sentence description of each.

Character Limit: 250

Weaknesses Justification*

Next, provide a few paragraphs that outline how the project can overcome these vulnerabilities.

Character Limit: 1500

Opportunities List*

Identify three to five opportunities presented by the project and provide a one-sentence description of each.

Character Limit: 250

Opportunities Justification*

Next, provide a few short paragraphs about how the project will ensure the opportunities are realized

Character Limit: 1500

Threats List*

Identify three to five threats and provide a one-sentence description of each.

Character Limit: 250

Threats Justification*

Next, provide a few paragraphs about how to protect the project's outcomes from these threats or how the business might respond.

Character Limit: 1500

Section 4: Business Impact, SMART Goal

SMART stands for **S**pecific, **M**easurable, **A**chievable, **R**elevant, and **T**imebound. This commonly used approach to goal setting helps a business identify and execute its next steps. The SMART goal in coordination with the SWOT analysis will provide reviewers with a more complete background of your project/business. For this grant application, the SMART goal must focus on how the goods or services purchased with the grant funds will help the applicant and NYS G&C producers to produce and profitably bring NYS G&C products to market.

In Section 2 of this application a priority area was selected. These priority areas can be associated with operational outcomes for the business or in other words, what happens when a change is made. If the applicant is able to purchase the goods and services that were described, what would result? The table below offers examples of how the different priority areas may be associated with operational outcomes. (Note: Applicants are NOT limited to these operational outcomes when developing their SMART goal. These are intended to serve as examples only).

Priority Areas	Operational Outcomes
Production Automation and Labor Efficiency can occur at any stage of the supply chain. These projects should focus on work directly related to the product that is NYS G&C.	Reduced labor hours (absolute or per product measure) Increased volume of production Number of new products at market Food safety maintained or improved Environmental sustainability maintained or improved
Distribution Capacity Enhancement projects are likely to be focused on improving or building storage capacity or increasing or improving the number of transportation options.	Increased volume of product sold Food safety maintained or improved Environmental sustainability maintained or improved
Processing and Packaging. These projects are likely to focus on meeting industry needs and consumer demand by offering	Increased volume of production Produce a new product

new products, new packaging sizes, or more environmentally friendly packaging.	Increased sales through new or improved packaging Number of new products at market Food safety maintained or improved Environmental sustainability maintained or improved

SMART Goal Examples

Example 1: By the (year) growing season, my business will be using a new weed cultivator in our vegetable fields. This will reduce labor hours by (number) per acre/per season, and eliminate the use of herbicides, which will save (dollars) per acre/per season. This improved operational efficiency will translate to an annual savings of (dollars) and improve our profit margin by (number)%. I am particularly excited about this new tool because the reduced use of herbicides may help improve soil health and provide a marketing point for the business.

Example 2: By the (year) growing season, my business will be serving 3 additional weekly farmers' markets using the electric cargo van that will be purchased with these grant funds. This will increase the volume of product sold by (number) pounds/units and our sales revenue by (number)%. The farm has the capacity to produce the crops for these markets.

Tip: It's helpful to provide your numbers in both absolute and % terms. In some cases, the absolute number may look small—but it can be a big impact for your business on a % basis

As you review the SMART examples above, you'll see that the operational outcomes were linked to specific financial targets. To help applicants get started, worksheets for both stand-alone projects and multi-stage projects are provided below. They are intended to be aids in developing the proposal and will not be submitted as part of the application.

Worksheet: Stand-alone Project. This optional worksheet provides a template to develop a smart goal for a project that will be fully operational by the end of the grant.

Worksheet: Multistage Project. This optional worksheet includes examples and more information about how to develop a SMART goal for a multi-stage project. (optional)

Additional Resources. This document provides links for more information about the use of SMART goals in agriculture.

SMART Goal*
Please provide the SMART goal for this project.

Character Limit: 1500

Estimates*
Provide a description of HOW the applicant's estimates were developed to provide context for the numbers used in the SMART Goal.

Character Limit: 1500

Multi-stage project*
Are the operational outcomes identified in the SMART goal long-term and dependent on additional investment? (Branching question)

Choices
Yes
No

Leased land*
Is this application for an infrastructure, building, or renovation project on land that is leased or rented and not owned by the business applying?

Choices
Yes
No
Not an infrastructure, building or renovation project

Leased land letter of support
If the project is on leased land, upload a letter of support from the landowner that includes the timeframe of the lease and a brief description of the project.
File format must be pdf

File Size Limit: 2 MB

Section 4 Branching: Multi-Stage Projects

Multi-Stage Project Additional Steps*
This is a branching question. Previously you indicated that this project in this proposal is one part of a larger multi-stage project.

Please list the additional steps that will be necessary for the overall project to become fully operational. Include the estimated number of months each step will require.

Character Limit: 1500

Multi-Stage Project Budget*
Have budget estimates for the full multi-stage project been estimated?

Choices

Yes
No
Partially

Budget Estimate Detail*

Please briefly describe how the estimates were developed.

Character Limit: 250

Multi-Stage Project Financing*

Please describe how the additional stages of the overall project will be financed.

Character Limit: 500

Section 5: Project Team

Project Team*

Some projects may benefit from having an implementation team to make sure that it stays on track and meets all expectations. Please briefly describe how the management of this project will be structured. Include any outside expertise that will be part of the implementation. If this is a simple project, a team approach may not be necessary, and that would be an appropriate response. If the project will be managed internally by current staff, provide how current responsibilities will be delegated to allow the project to succeed.

Tip: It may be easier to complete or review this section after completing the workplan, which is the next section of the application.

Character Limit: 2000

Section 6: Work Plan

Workplan, Number of Weeks*

After you have completed the work plan below, please calculate the total number of weeks that the project is estimated to take from contract to completion.

Keep in mind that Track 1 projects that are less than $50,000 dollars must be completed in 24 months (104 weeks) and Track 2 projects that are over $50,001 must be completed in 27 months (117 weeks).

How many weeks will it take to complete this project?

Character Limit: 4

This section is an opportunity to demonstrate to the reviewers that you and the implementation team clearly understand what is necessary to successfully implement the

project. Please outline the steps that will be taken to implement the project and the role of the person who will be responsible for each step.

Some projects will be simpler than others to implement. For example, the work plan for the purchase of a single piece of equipment—regardless of its price—may be fairly straightforward:

1. Solicit or confirm competitive bids

2. Receive and select bid

3. Order equipment

4. Equipment delivered

5. Equipment installed

6. Equipment operational and in routine use

As you consider steps for your project, be sure that it is easy to determine if a step has been completed. For example, if you are seeking funding for renovation or building projects, the work plan should reflect that complexity and include the necessary steps and adequate time for building design, permits, construction phases, etc. The information available in Appendix C: Considerations for Infrastructure, Building and Renovation Projects, may be helpful.

The work plan will also need to demonstrate that you can implement the project in the established timeframe. For the purpose of this application, all projects should complete the work plan using the number of weeks necessary for each step.

Tip: Please note the example provided was deliberately simply. The work plan is a scored section and an opportunity for an applicant to shine. If warranted, high numbers of steps and accompanying detail are welcome.

The application system is pre-loaded for applicants to fill out 6 steps. You may use fewer or more than 6 steps for your project, depending on the complexity of your project and work plan. If you need more than 6 steps, answer "yes" to the prompt at the end of the section. (Note: Up to 15 steps total are allowed for the work plan section).

Step One*
Character Limit: 1000

Step 1 Number of Weeks*
Character Limit: 3

Step 2*
Character Limit: 1000

Step 2 Number of weeks*
Character Limit: 3

Step 3*
Character Limit: 1000

Step 3 Number of Weeks*
Character Limit: 3

Step 4*
Character Limit: 1000

Step 4 Number of Weeks*
Character Limit: 3

Step 5*
Character Limit: 1000

Step 5 Number of Weeks*
Character Limit: 3

Step 6*
Character Limit: 1000

Step 6 Number of Weeks*
Character Limit: 4

Additional Workplan Steps*
Do you need more steps for your workplan?

Choices
Yes
No

Section 6 Workplan Additional Steps

Step 7
Character Limit: 1000

Step 7 Number of Weeks
Character Limit: 3

Step 8
Character Limit: 1000

Step 8 Number of Weeks
Character Limit: 3

Step 9
Character Limit: 1000

Step 9 Number of Weeks
Character Limit: 3

Step 10
Character Limit: 1000

Step 10 Number of Weeks
Character Limit: 3

Step 11
Character Limit: 1000

Step 11 Number of Weeks
Character Limit: 3

Step 12
Character Limit: 1000

Step 12 Number of Weeks
Character Limit: 3

Step 13
Character Limit: 1000

Step 13 Number of Weeks
Character Limit: 3

Step 14
Character Limit: 1000

Step 14 Number of Weeks
Character Limit: 3

Step 15
Character Limit: 1000

Step 15 Number of Weeks
Character Limit: 3

Section 7: Project Budget

Project Budget Instructions

A clear, well-defined budget that is aligned with the detailed work plan is critical to showing that the project has the necessary financial resources to successfully implement the project. Additionally, it is important to note that if a project is selected for funding, the full application and its budget will become part of the contract and dictate the expenditures that will be allowed for reimbursement. Applicants are strongly encouraged to thoroughly research the cost of their project components prior to submitting a proposal. When researching potential contractors, it is important to note that all projects must use licensed contractors.

If you anticipate spending between $5,000 and $50,000 with one vendor, pricing from at least 3businesses should be obtained. Quotes can be gathered through online research or emails. Dates should be included on all quotes (screenshots can be used for online quotes)
If an applicant anticipates spending $50,000 or more with a single business, formal cost proposals/bids from at least three businesses will be required for projects selected for funding.

The purpose of the project will determine what type of cost an applicant will need to include in the budget. An applicant will want to ensure that the narrative description of the budget provides a clear understanding of what's included and how it is directly associated with the project's goal.

It is critical to ensure that all costs included in the budget are eligible for reimbursement from the NYS G&C ITRD program. (see pages 7-8 of the *Technical Requirements* document)

Note: Transactions involving immediate and extended family members are permitted, but they must be disclosed. Keep in mind that the value of the goods or services must be readily apparent, and if utilized all construction trades must be appropriately licensed.

Immediate family members include any member of the household, as well as the applicant's parents, stepparents, in-laws, siblings and any business in which they have an ownership interest.

Extended family includes, but is not limited to aunts, uncles, cousins and any business in which they have an ownership interest

Applicants will provide budget information in three steps:

1. Develop a *Detailed Budget* for the grant award and its 10% match using the *Excel Template* spreadsheet provided **here**. Instructions are included on each tab of the spreadsheet

2. A *Summary Budget* and *Source of Funds* budget are available in the second tab of the *Excel Template* spreadsheet. These summary and source of funds will automatically

populate when as the applicant completes any of the worksheet tabs that are appropriate for the budget request. To finalize the information entered into the *Excel Template* spreadsheet, the applicant must indicate how the costs will be allocated between the grant award and its required match.

3. *Additional Narrative Budget* detail is required. That information will be provided directly in response to questions provided for each of the budget categories below.

Detailed Budget Categories

- Machinery/Equipment: Tangible, non-expendable, personal property having a useful life of more than one year, e.g, mechanical harvesters, processing and packing equipment, etc.

- Land improvements: Infrastructure improvements such as wells, irrigation systems and fencing.

- Buildings: Construction, acquisition, renovation or expansion of buildings.

- Architectural and engineering services

- Technical service providers.

- Other consultants whose services are required to achieve the project's purpose.

Detailed Budget File Upload*
Complete budgets must be provided using the Excel Template provided. Once it is fully completed, upload it here. It should remain as an Excel file.

Use the totals from the Summary Budget and Source of Funds worksheet to answer the next three questions.

File Size Limit: 2 MB

Grant Funds Requested*
Character Limit: 20

Matching Funds*
Character Limit: 20

Total Grant Funds and Matching Funds*
Character Limit: 20

Partially Funded Projects, Additional Funds*
This is a branching question. Some projects may require more resources than the grant and the required 10% match will provide, while other projects will be fully implemented using only the grant award and match. For example, an applicant may be seeking a grant to support construction of a building that costs more than the grant award. This is fully acceptable as long as the applicant's proposal clearly defines the costs for which grant funds will be utilized. Any

expenditures beyond what is specified in the proposal will not be reimbursable.

Proposals are not evaluated based on the size of the applicant's financial contributions. Projects may be funded entirely through the grant award and the required match.

If this project, as described in the Project Description and SMART goal, will cost more than the amount requested, plus the required 10% match provide the total of the additional resources required. If the project as described in Section 4 will be fully completed using only this NYS G&C ITRD grant and its match, please enter zero.

Character Limit: 20

Transactions Involving Family or Extended Family Members*

If the project budget includes transactions involving family or extended family members, describe why it is the best choice for the purchase, how the price was negotiated and why it represents the best value.
If the project does not include any transactions involving immediate or extended family members, please include this statement.
"The project does not include any transactions involving immediate or extended family members."

Character Limit: 1000

Budget Categories*

This is a branching question. Please select any budget categories that were completed in the Excel Template spreadsheet.

Choices
Land Improvements
Buildings
Machinery/Equipment
Architectural/Engineering Services
Technical Service Providers
Other Consultants

Section 7: Branching: Partially Funded Projects

This section is for projects that will not be fully funded by the NYS G&C ITRD grant award and the applicant's 10% match.

As a detailed budget is developed, applicants must stay within maximum grant award of $250,000 and its 10% match. An additional column is provided on the Detailed Budget spreadsheet that allows the applicant to provide the amount of additional funding that will be required and indicate which budget category.

Partial Funding*

Please describe how the applicant will access the additional funds necessary to complete the project.

Character Limit: 1000

Section 7 Branching: Narrative Detail Land Improvement

Land Improvements

Provide the address of the parcel where the improvements will occur. Identify if the land is owned or leased, and if leased, the term of the lease. Describe improvements to be made. Explain how you came up with the cost and when the estimates were provided. NYFVI reserves the right to request copies of the cost estimates

Character Limit: 1500

Section 7 Branching: Narrative Detail Budget Buildings

Buildings Detail*

Provide the address of the parcel where the construction or improvements will occur. Identify if the building is owned or leased, and if leased, the term of the lease. Describe the construction project or improvements to be made. Explain how you came up with the cost and when the estimates were provided.
NYFVI reserves the right to request the cost estimates.

Character Limit: 2500

Section 7 Branching: Narrative Detail Machinery/Equipment

Machinery/Equipment Detail*

Describe how the cost estimates were developed for each piece of equipment and indicate if the machinery/equipment is being purchased as new or used.

If the budget includes installation, please describe how those estimates were developed.

Character Limit: 1500

Section 7 Branching: Narrative Detail Architectural/Engineering Services

Architectural/Engineering Services*

If a firm has not yet been hired to provide these services, discuss how the firm will be identified. If the firm has already been identified, provide the name of the firm and describe how they were selected. In either case, provide how the costs were determined and the deliverables the firm will provide.

Character Limit: 1500

Section 7 Branching: Narrative Detail Technical Service Providers

Technical Service Providers Detail*

If a firm has not yet been hired to provide these services, discuss how the firm will be identified. If the firm has already been identified, provide the name of the firm and describe how they were selected. In either case, provide how the costs were determined and the deliverables the firm will provide.

Character Limit: 1000

Section 7 Branching: Narrative Detail Consultants

Other Consultants*

If a firm has not yet been identified to provide these services, discuss how the firm will be identified. If the firm has already been identified, provide the name of the firm and describe how they were selected. In either case, provide how the costs were determined and the deliverables the firm will provide.

Character Limit: 2000

Section 8: Financial Information

Instructions

The following information will be reviewed only by NYFVI staff and their financial consultants. The information provided will allow NYFVI staff to be able to confirm with the reviewers that the applicant is managing their business using generally accepted accounting principles.

Income statements and balance sheet definitions and tables are provided below. Provide financial information for the 12-month period ending 12/31/2023. If the business was not operational in 2023, provide 2024 information through the first two quarters. Use the same

time period for both the income statement and balance sheet tables to ensure they match

Financial Information Definitions

Income Statement

- Revenue/Sales – All revenue/sales from operations

- Cost of Goods Sold – Any expenses directly related to the act of generating revenue/sales from operations. Some entities will not have cost of goods sold but will report them under expenses.

- Gross Profit – The difference between Revenues/Sales and Cost of Goods Sold.

- Expenses – All administrative and general expenses associated with running the operations.

- Expenses: Interest – Any interest paid on debt (loans, credit cards, family loans, etc.), if any.

- Expenses: Depreciation/Amortization – Any depreciation/amortization that the applicant may have expensed during 2023, if any.

- Expenses: Taxes – Any taxes that the applicant may have expensed during 2023, if any.

- Net Operating Income/(Loss) – The difference between Gross Profit and Total Expenses.

Balance Sheet

- Current Assets – Cash, inventory, accounts receivable and any other assets that could become cash within 12 months.

- Fixed Assets net of Depreciation – Real estate, buildings, machinery and equipment, furniture and fixtures net of accumulated depreciation.

- Other Assets – Amortization or other assets that could become cash after 12 months.

- Total Assets – Sum of Current Assets, Fixed Assets net of Depreciation, Other Assets

Liabilities

- Current Liabilities – Accounts payable, notes payable, current portion of long-term debt, and other debt owed within 12 months.

- Long-term Liabilities – Mortgages and other debts where the amount is paid after 12 months.

- Total Liabilities – Sum of Current Liabilities and Long-term Liabilities

- Owner Equity/Shareholder Equity – The amount of equity in the business. Typically, the difference between Total Assets and Total Liabilities.

- Total Liabilities and Equity – The sum of Total Liabilities and Owner Equity/Shareholder Equity. This total will ALWAYS equal Total Assets.

Income Statement

Any negative number must be entered using a minus sign ("-"), not parentheses.

Income Statement Time Period	
Revenue/Sales	
Costs of Good Sold (enter number using a minus sign "-")	
Gross Profit	
Leave Blank	
Expenses General and Administrative	
Expenses Interest	
Expenses Depreciation/Amortization	
Expenses Taxes	
TOTAL EXPENSES	

Net Operating Income or Loss*

Using the information provided above, calculate and provide the Net Operating Income or loss. This is the difference between the Gross Profit and the Total Expenses.

If the number is negative, enter use a minus sign ("-") before the number, not parentheses.

Character Limit: 20

Balance Sheet

All negative numbers must be entered using a minus sign ("-"), not parentheses.

Balance Sheet Time Period	

Current Assets	
Fixed Assets net of Depreciation	
Other Assets	
TOTAL ASSETS	
Current Liabilities (Enter as negative number using a minus sign).	
Long term liabilities (Enter as negative number using a minus sign).	
TOTAL LIABILITIES	
Owner Equity/Shareholder Equity	

Total Liabilities and Equity*

Calculate and provide the Total Liabilities and Equity. This is the sum of Total Liability and Owner Equity/Shareholder Equity. This total will ALWAYS equal Total Assets.

Character Limit: 20

Financial Standing

The answers to the following questions will be seen only by NYFVI and will be treated as confidential information.
The purpose of these questions is to be better able to understand the applicant pool for future grant offerings. If a project is selected for funding the information provided will also help us create a more efficient contracting process.

Outstanding Tax Liens*

Does the applicant or the business have any outstanding local, NYS, or Federal tax liens?

Choices
Yes
No

Bankruptcy*

Has the applicant or the business declared bankruptcy in the last 10 years?

Choices
Yes
No

Bankruptcy Explanation

If the answer to the question above was yes, please provide a brief description of the circumstances.

Character Limit: 500

Source of Funds

If an application is selected for funding, the grantee must have access to resources to implement the full costs of the project. Grantees will be reimbursed at the project's conclusion after suitable documentation has been provided by the grant recipient and reviewed by NYFVI staff.

Source of Implementation Funds*

Indicate how the funds necessary to implement the project will be sourced prior to reimbursement.

Choices
Self-financed with current cash reserves
Self-financed with credit cards
Self-financed with current line of credit
Self-financed with support through personal relationships
Applicant will seek a loan
Other

Source of Matching Funds*

Please indicate how the required 10% match will be sourced.

Choices
Self-financed with current cash reserves
Self-financed with credit cards
Self-financed with current line of credit
Self-financed with support from personal relationships
Applicant will seek a loan
Other

Source of Funds Other

If other was selected as the answer for either of the questions above, please explain.

Character Limit: 250

ATTESTATIONS

Attestations Part 1*

All applicants must read and select the check box to confirm that they understand the following program requirements if they are selected for funding:

Choices

A personal and/or business credit report may be obtained during the contract process.

Large projects will require proof of access to funds to implement the project prior to contract.

I am responsible for all costs associated with this project until its completion.

No expenditures incurred before a contract is executed may be submitted for reimbursement.

Payment will be made only following acceptance of required reports and documented expenditures.

Payment will only be made if all NYS G&C enrollments are completed and in good standing

A W-9 form will be collected and a 1099 issued, and that grant income may be taxable.

It is my responsibility to abide by all applicable laws and regulations specific to the project.

Attestations Part 2*

By selecting yes below the applicant confirms that all information provided in this application is true and accurate.

Choices

Yes

No