



FY 2023 State Aid for Library Construction Instructions

I. BEFORE YOU APPLY

In order to be eligible to apply for a State Aid for Library Construction grant, libraries need to complete an [Intent to Apply](#) form by June 1, 2022. Awards will be based on eligibility and total project cost submitted in the Intent to Apply. **New for FY 2023:** Proof of Available Funds and Contractor Quotes must be uploaded to the Intent to Apply.

Libraries will be notified of their award amounts on June 10, 2022. Libraries must affirm that they are moving forward with their projects at the award level announced by June 17, 2022 and may begin work on their full Construction Aid Applications in the state portal at this time.

The following identification numbers and registration are needed to complete the grant paperwork:

- **Federal Employer Identification Number (FEIN or EIN)** - All libraries need to have their own 9-digit FEIN (aka EIN or your tax ID number or TIN); it cannot be shared with a municipality. If a library does not have a FEIN/TIN, they can apply online through the IRS website at the following link: irs.gov/businesses/small/article/0,,id=102767,00.html or download the paper form and mail or fax it to the IRS.
- **NYS Vendor Identification Number** – This is a 10-digit number assigned by the Office of the State Comptroller (OSC) to an agency to do business with the State of New York. If a library does not know its agency's number, contact the NYS Statewide Financial System helpdesk at helpdesk@sfs.ny.gov.
- **Data Universal Numbering System / DUNS Number** – A library only needs to provide a DUNS number if it had one in the past [to register with the Federal System for Award Management (SAM), explained below]. A 9-digit DUNS number is issued by Dun & Bradstreet and used by the federal government to track how federal grant funds are allocated and expended by NY State, the State Education Department, and local agencies. To search for an agency's DUNS number or to register for one, go to Dun & Bradstreet's website: fedgov.dnb.com/webform/displayHomePage.do
- **Federal System for Award Management (SAM)** – A library does not need a SAM account unless they have had one in the past. As noted above, a library will need a DUNS number to register with SAM. This must be the library's own DUNS number; it cannot be shared with a municipality. To register with SAM, visit www.sam.gov.

II. SUBMITTING YOUR APPLICATION

Account Setup: To create a new NYS Directory Service Account, visit: eservices.nysed.gov/ldgrants/ldgext/diRegistration.do. A username and password will be sent within 48 hours.

Login: <https://eservices.nysed.gov/ldgrants>

A. Online Application:

- The “Construction Project Manager” can be either a Library Staff or Board member. It should be someone that can act as the primary contact and organizer for the entire project (until the funding period is complete).
- For “Estimated Project Costs”:
 - **Total Project Cost:** These include all project expenses. Include costs here that are not eligible for funding, such as feasibility studies, architectural and engineering fees, construction costs, equipment, furnishings (but do not include quote documents for them).
 - **Cost of Project for Which Funding is Being Requested:** The total eligible costs of the project. For the application, this cannot include any costs incurred before January 1, 2021. Costs incurred before July 1, 2021 may be used as matching funds.
 - **Amount of Public Library Construction Program Funds requested for this project:** This answer cannot be greater than 50% of the Cost of Project for which funding is being requested (or 75% if a library serves an economically disadvantaged community).

B. Additional Funding Sources:

- List all sources of funding for this project, public and private.

C. Project Narratives:

- **Abstract:** Briefly describe the project (150 words max).
- **Description of Project:** Describe the construction activities, including the intended physical alteration of the building. If this project is part of a larger project, briefly describe the entire project.
- **Impact of Project:** Explain how the project will benefit the library and the community it serves as a result of its addressing one or more of the priorities of this grant program:
 - Increased effectiveness of library service due to increased and/or improved building space and capacity;

- More efficient utilization of the building in such areas as energy conservation and increased staff efficiency (libraries and library systems are encouraged to support “green” projects that may result in buildings eligible for LEED certification);
 - Improved access to and use of building services by all library users, including those with physical disabilities; and
 - Provision of library services to geographically isolated or economically disadvantaged communities.
- **Timetable:**
 - Provide a timetable, indicating the projected start date, the duration of the proposed project, the beginning and ending dates for all contracted services, and the schedules for all other significant activities impacting the project.
 - List activities by the anticipated completion **month**. The activities should take place starting July 1, 2022 and ending before June 30, 2026 (the deadline to close a FY 2023 project).
- **Budget Narrative:**
 - Describe all items entered on the Budget pages (see below).
 - The Budget Narrative must match the Budget entries, the attached quotes, and the “Cost of Project for which funding is being requested” exactly.
 - If the vendor quotes contain options, the narrative must indicate those options and the associated dollar value.

D. Budget:

- The expenditures of most libraries will fall under **Purchased Services: CODE 40** as most libraries hire a contractor to do the entire job (including purchasing the necessary supplies, providing the labor, etc.).
- The amounts must match the attached quotes, the budget narrative amounts, and the “Cost of Project for Which Funding is Being Requested” exactly.
- If your project includes ineligible costs, you should still mention the entire cost in your narrative. For example: “We will contract with XYZ Boiler Company for \$200,000 (\$150,000 eligible costs)....”

E. Scanned/Uploaded Documents:

The following documents must all be **SIGNED BY HAND, SCANNED, and UPLOADED** as individual PDFs. These forms will be available once the application portal is open:

1. Assurances Form

- This form must be adopted by the board and signed by the Board President before the submission deadline at a board meeting. Please plan accordingly.

2. Certificate of Available Funds to Finance Project

- The availability of funds to pay for the cost of the project, minus the amount awarded through the Construction Grant Program must be certified and verified as part of the application. Verification must be in the form of bank or bond certification or an official document(s) signed by a financial authority connected with the applying institution (such as a statement on library letterhead signed by the library treasurer, Board President, Village Treasurer, etc.).
- Available funds can include public funds (federal, state, or local), private funds, or a combination.
- Many library projects are not funded at the full 50% (or 75%) match due to the number of applications and the number of available funds. Applicants funded less than the maximum allowable must state that they have **sufficient funds available to cover the cost of the grant project less the award amount** before a final award can be made.
- If the project is, or will be, funded in whole or part through tax-exempt bonds, bond anticipation notes, revenue anticipation notes, or some similar form of obligation, the application must include a copy of the final official statement relating to the applicable issuance, a full debt service schedule for the issuance, a detailed breakdown of the funding sources and uses for the project (including the issuance amount, the requested construction grant award amount, and any other equities dedicated to the project), and a current cost estimate of the entire project.

3. Short Environmental Assessment Form (SEAF)

- All applicants must submit a two-part, signed Short Environmental Assessment Form (SEAF). In most cases, the SEAF will suffice to comply with the SEQRA process. In certain cases, the applicant may also need to complete a long form EAF (see the SEAF instructions).
- Include a map of the library's location for the SEAF. You can upload an image from Google Maps.

4. Photographs

- Take detailed "before" (must be in color) photographs of the construction site and upload them as individual jpg or png files.

5. Smart Growth Form

- All libraries must submit a signed Smart Growth Form to certify that their proposed projects are in compliance with the Smart Growth Public Infrastructure Policy Act.
- Most libraries select the first option: “to advance projects for the use, maintenance or improvement of existing infrastructure”.
- Include the application project number on the form (this is emailed to you with your password).
- The Chief Officer/CAO can be the Library Director.

6. Certificate of Required Minimum Lease

Only required if the library does not own their building. This requirement does not apply to library buildings that are owned by a school district.

- An official letter from the building owner verifying that:
 1. The lease or another legal arrangement will be in effect for a minimum ten years from the date of anticipated project completion
 2. There is full awareness of an agreement with the construction project implications
 3. The owner has the legal authority to approve the improvement of the space
 4. The building is open to the public.
- This letter must be submitted as a PDF attachment.

7. Office of Facilities Planning Approval

Only required if the library is owned by the school district and the project will cost \$10,000 or more.

- The applicant must submit plans and specifications to the State Education Department’s Office of Facilities Planning for review and approval. Submit a copy the OFP Certificate of Project Approval, including the OFP issued Building Permit.

8. State Historic Preservation Office (SHPO) Approval Documentation

Please review the guidelines if the library building is 50 years or older and/or the project involves ground disturbance and/or demolition.

- Check to see if the project is exempt from SHPO review according to “Attachment A” of the agreement between SHPO and SED, accessible at nysl.nysed.gov/libdev/construc/14m/shpo_sed_resolution.pdf. All components of the project must be exempt to avoid applying for SHPO approval.

- If this process is required, SHPO must approve your project before the PLS application deadline to be considered. **THIS IS A SEPARATE APPLICATION PROCESS AND TAKES APPROXIMATELY A MONTH TO COMPLETE.** For questions about the approval process, call SHPO at 518-237-8643.
- SHPO reviews are now processed through the Cultural Resource Information System (CRIS). Paper submissions are no longer accepted. Access CRIS at: cris.parks.ny.gov/Login.aspx? Click "Proceed as Guest" and then go to the "Submit" tab and select "Consultation Project." Applications will need to enter and/or upload the following: contact information; a brief description of the project; the location of the project area; the building location, description, and images (exterior and interior views); and any relevant supplemental information such as plans and specs.
- SHPO project approval must be included as an attachment in the application. If the building is determined to be of historical significance, the SHPO approval letter must specify the precise changes to the building that are being approved.

9. Contractor Quote/Bid Documents

Quotes from architects are not allowed.

- Unless a library is using a general contractor, a quote/bid from each contractor involved must be included (i.e. the plumber, the electrician).
- Each bid must include a breakdown of the individual costs, and must be signed and dated.
- Contractor/vendor quotes are required only for project costs for which funding is being requested.

F. Paper Documents Submitted Directly to PLS

The following documents are submitted directly to PLS, NOT online:

1. FS-10 Budget Summary Form

- Submit **three** original copies, signed in **BLUE** ink.
- Please use the FS-10 form that is prepared by the online system as part of the Construction Grant application.
- Each page must be on a single sheet of paper, not double-sided, with the back page facing out. Do **not** staple pages together.
- **FS-10 forms are submitted with their category code amounts left blank** (these code amounts will be filled in at the Division of Library Development once a final award amount has been determined). Only fill out the first page and the last page (minus the budget summary).

2. Payee Form

- Submit **one** original copy, signed in **BLUE** ink.
- Every applicant must complete this form even if you have completed it in the past.
- In Section II check off that the library is a **Non-Profit Organization** and a **Non-sectarian Organization** that is chartered by the NYS Board of regents.

3. Substitute W-9

- Submit **one** original copy, signed in **BLUE** ink.
- Every applicant must complete this form even if you have a NYS Vendor ID number.

Additional resources and a detailed timeline of the FY 2023 grant cycle can be found on OWWL Docs: <https://docs.owwl.org/Members/ConstructionGrants>

Questions can be forwarded to Suzanne Macaulay smacaulay@pls-net.org or 585-394-8260 x1106.