



# Pioneer Library System

## CONSTRUCTION GRANT INSTRUCTIONS TO APPLY

**I. Before You Apply:** The following identification numbers and registration are needed to complete the grant paperwork.

1. **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 your municipality. If you do not have a FEIN/TIN, you can apply for this online through the IRS website at the following link: <http://www.irs.gov/businesses/small/article/0,,id=102767,00.html>. You can also download the paper form and mail or fax it to the IRS.
2. **NYS Vendor Identification Number** – This is a 10-digit number assigned by the Office of the State Comptroller (OSC) to your agency to do business with the State of New York. If you do not know your agency’s number contact the NYS Statewide Financial System helpdesk at [helpdesk@sfs.ny.gov](mailto:helpdesk@sfs.ny.gov) to obtain it so that it can be provided on the Payee Information form. If you do not have one contact Ron Kirsop for help completing the process.
3. **Data Universal Numbering System / DUNS Number** – *Your library only needs a DUNS number if you have 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 your agency's DUNS number or to register for one, go to Dun & Bradstreet's website: <http://fedgov.dnb.com/webform/displayHomePage.do>
4. **Federal System for Award Management (SAM)** – *Your library does not need a SAM account unless they have had one in the past.* As noted above, you will need a DUNS number to register with SAM. This must be your own DUNS number – not used by your municipality. To register with SAM, visit <http://www.sam.gov>.

## II. Submitting Your Application:

**ACCOUNT SETUP:** If you do not already have a NYS Directory Service Account, create a username and password at <https://eservices.nysed.gov/ldgrants/ldgext/diRegistration.do>. You will receive a username and password within 48 hours. *Note: passwords expire every three months.*

**LOGIN:** <https://eservices.nysed.gov/ldgrants>

### A. Online Application Form:

- The “Construction Project Manager” can be either a Library Staff or Board member, but 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<sup>st</sup> of the year you are applying. Costs incurred before July 1<sup>st</sup> of the year your library is applying may be used as matching funds. Contact your system representative for clarification on timeline, matching funds, and grant 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 you serve an economically disadvantaged community).

### B. Additional Funding Sources:

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

### C. Project Narratives:

**Abstract:** Briefly describe the project (150 words max).

**Description of Project:** Describe your 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 you serve as a result of its addressing one or more of the priorities of this grant program:

1. Increased effectiveness of library service due to increased and/or improved building space and capacity;
2. 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);
3. Improved access to and use of building services by all library users, including those with physical disabilities; and
4. Provision of library services to geographically isolated or economically disadvantaged communities.

***Timetable:***

- Provide a detailed 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 affecting the project.
- Listing your activities by the **month** you anticipate that they will be complete is sufficient. The activities should take place between July 1<sup>st</sup> of the year you are applying and three years out from the anticipated acceptance date.

***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 (\$150,00 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.
- NOTE: 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.

- You will need to include a map of the library’s location with your SEAF. You can use an image from Google Maps.

#### ***4. Photographs***

- Take detailed “before” (must be in color) photographs of the construction site and upload them as individual documents.

#### ***5. Smart Growth Form***

- All applicants 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***

NOTE: 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***

NOTE: 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***

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

- First check to see if your project is exempt from SHPO review according to “Attachment A” of the agreement between SHPO and SED, accessible at [http://www.nysl.nysed.gov/libdev/construc/14m/shpo\\_sed\\_resolution.pdf](http://www.nysl.nysed.gov/libdev/construc/14m/shpo_sed_resolution.pdf). All components of your project must be exempt to avoid applying for SHPO approval.
- If this process is required for you, 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: <https://cris.parks.ny.gov/Login.aspx?> Once you enter CRIS you can “Proceed as Guest” and then go to the “Submit” tab and select “Consultation Project” which will take you through a series of screens where you will enter and/or upload the following items: 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.
- You must include the SHPO project approval as an attachment in your 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***

NOTE: Quotes from architects are not allowed.

- Unless you are using a general contractor, you must include a quote/bid from each contractor involved (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 3 original copies, signed in **BLUE** ink.
- Please use the FS-10 form that is prepared for you 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.
- **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 an 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 you are a **Non-Profit Organization** and a **Non-sectarian Organization** that is chartered by the NYS Board of regents.
- The Substitute W-9 form on page 4 must be completed and submitted with all applications, even if you have a NYS Vendor ID number.