

New York State Education Department
NEW YORK STATE LIBRARY
Division of Library Development

**\$14 MILLION PUBLIC LIBRARY CONSTRUCTION GRANT PROGRAM
(Program Period: July 1, 2009 – June 30, 2012)**

APPLICATION INSTRUCTIONS

Four copies of each application and required attachments must be submitted by the public library system to the New York State Library/Division of Library Development by Friday, September 11, 2009. No exceptions will be made.

APPLICATION FORM (Four pages, including assurances and authentication)

All questions must be answered. Applicant must indicate compliance with the Assurances listed on page 4 of the application by checking the applicable boxes. The first three assurances apply to all libraries. The fourth applies to any library that does not own its building with the exception of those libraries whose buildings are owned by a school district or BOCES. The President of the Library/System Board of Trustees must sign the Authentication of Application on the bottom of page 4 of the application.

For more detailed information about the construction grant program and application procedures, please consult the list of Frequently Asked Questions.

REQUIRED ATTACHMENTS

1. CONSTRUCTION PROJECT NARRATIVE (Application - Question 25)

A construction project narrative of two pages or less must be submitted as an attachment to the application. Include a complete description of the project for which applicant is requesting funding, including a description of the intended physical alteration to the building as well as how the project will address one or more of the following Public Library Construction Grant Program priorities:

- (1) increased effectiveness of library service due to increased and/or improved building space and capacity;
- (2) more efficient utilization of the building such areas as energy conservation and increased staff efficiency;
- (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.

2. PROJECT COST ESTIMATE (Application - Question 20 a & b)

A project cost estimate that is a reliable assessment of true project cost must accompany the application. Such estimate must be in the form of a quote or bid document from a contractor(s) to assure that the full cost of the project can be reliably assessed. If the construction project is multifaceted and more than one contractor will be involved, e.g., an electrician, plumber and carpenter, a quote or bid document from each contractor is required. Cost estimates from architects, engineering firms, or construction consultants are not acceptable.

A library does not have to have entered into final agreements with a contractor(s) at the time of application. However, allowing for reasonable increases in the cost of construction from the time the application is submitted, great care should be taken to assure that the cost estimates reflect anticipated true cost to ensure that sufficient funds are available to pay for the cost of the project, minus the award amount.

The full project cost should reflect the full cost of the construction project, regardless of the scope of the project for which funding is being sought. For example, if a new library or an addition to an existing library is being built, the full cost of the project might be \$6.5 million and that should be indicated on 20(a). However, if the project for which funding is being sought is the site preparation and foundation work, at a cost of \$750,000, the cost indicated on 20(b) should be \$750,000. Large projects composed of multiple components can be broken down for the purposes of applying for construction funding in consecutive years. If that is the case, evidence of available funds to pay for the full cost of the larger project, as reflected on 20(a), must accompany the application. In the case of more cohesive, smaller projects, the full cost of the project and the cost of the project for which funding is being requested will be the same and should be indicated as such on the application.

Please note, for the purposes of the 2009-10 application, the total project cost for which funding is being requested (20b) cannot include any costs incurred prior to January 1, 2009.

3. CERTIFICATION OF AVAILABLE FUNDS TO FINANCE PROJECT

The law allows that State funding through the Public Library Construction Grant Program can be provided for up to 50% of total construction project costs. It also stipulates that the availability of funds to pay for the cost of the project, minus the amount awarded through the Construction Grant Program, must be verified as part of the application. Such verification must be in the form of bank or bond certification, an official document(s) signed by a financial authority connected with the applying institution, and/or other such evidentiary documents as necessary. Such available funds can include public funds (federal, state or local), private funds, or a combination thereof.

Please take note that many projects are not funded at 50% due to the unavailability of sufficient funds available through the construction program. Applicants funded less than 50% of project cost must show certification of available funds to pay for the cost of the project, minus the award amount.

4. PROJECTS FUNDED, IN WHOLE OR IN PART, THROUGH THE ISSUANCE OF TAX-EXEMPT BONDS, BOND ANTICIPATION NOTES, REVENUE ANTICIPATION NOTES, OR OTHER SIMILAR FORM OF OBLIGATION

(Application Question 22)

If the project for which a library has submitted an application is or will be funded in whole or in part through the issuance of 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 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.

The cost estimate must include ALL project expenses, even those for which immediate funding is not being requested, and even if the costs are not eligible for funding under the construction grant program, including feasibility studies, architectural and engineering fees, construction costs, equipment, furnishings, etc. Bid/quote documents are required only for project costs for which funding is being requested.

5. CERTIFICATION OF 10 YEAR MINIMUM LEASE AGREEMENT AND PROJECT APPROVAL FROM BUILDING OWNER.

(Application – Questions 14/15)

If the library building or site is under a lease arrangement or otherwise legally available, the applicant must include a letter from the owner of such building or site certifying that the lease agreement or other legal arrangement will be in effect for a minimum 10 years from the date of anticipated project completion, that there is full awareness of and agreement with the construction project implications, that the owner has the legal authority to approve the improvement of the space, and that the building is open to the public. This requirement does not apply to library buildings that are owned by a school district or BOCES.

6. SED OFFICE OF FACILITIES PLANNING CERTIFICATE OF PROJECT APPROVAL

(Application - Question 17)

The State Education Department is charged by the Secretary of State [19NYCRR441.2(d)] with the “administration and enforcement of the NYS Uniform Fire Prevention and Building Code with respect to buildings, premises and equipment in the custody of, or activities related thereto, undertaken by School Districts and Boards of Cooperative Educational Services.”

If the library building is owned by a School District or BOCES and the total Public Library Construction Grant Program project cost will be \$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. The OFP Certificate of Project Approval, including the OFP issued Building Permit, must be included as an attachment to the project application form.

Questions regarding the OFP approval process should be directed to OFP at (518) 474-3906. You will then be directed to the appropriate Project Manager for the school district in which the library building is located.

NOTE: The designator “school district public library” does not necessarily indicate ownership of a library building by the school district; rather, it refers only to the boundaries of population served by the library. OFP approval is required only if the building is owned by a school district or BOCES, regardless of the library’s service area.

7. STATE HISTORIC PRESERVATION OFFICE (SHPO) APPROVAL DOCUMENTATION (Application - Question 16)

SHPO, New York’s State Historic Preservation Office, is part of the NYS Office of Parks, Recreation & Historic Preservation. The mission of SHPO is to help communities identify, evaluate, preserve and revitalize their historic, archaeological and cultural resources. Any library building which is 50 years or older comes under the auspices of SHPO and construction projects for such buildings must be approved by SHPO before construction aid applications can be considered.

In the event a building is determined by SHPO to be of historical significance, the SHPO approval letter must specify the precise changes to the building that are being approved. Any project components not specifically approved in writing will not be considered for funding. In the event a building is determined by SHPO to lack historical significance, a letter to that effect from SHPO must accompany the application. Such letter may be used in subsequent years to comply with construction application requirements.

Questions regarding the SHPO approval process should be directed to SHPO at (518) 237-8643 and press 0; or, for further information about New York State’s historic preservation initiatives, go to <http://www.nysparks.state.ny.us/shpo/>.

8. SHORT ENVIRONMENTAL ASSESSMENT FORM

The State Environmental Quality Review Act requires certain entities, including state agencies, public benefit corporations and certain libraries, to evaluate the potential environmental consequences of certain activities and to minimize adverse impacts.

All applicants must complete a Short Environmental Assessment Form (SEAF) as part of the application process. The SEAF is available on this website. In most cases, the SEAF will suffice to commence the SEQRA process. In certain cases, however, the applicant may need to complete a long form EAF. The applicant will be contacted in the event a long EAF is required.

Questions regarding SEQRA and/or the EAF should be directed to Sara Richards, Associate Counsel, Dormitory Authority of the State of New York, at (518) 257-3120 or SRichard@dasny.org.

9. FS-20 BUDGET SUMMARY FORMS

Properly completed FS-20 Budget Summary forms are essential for payment of approved project amounts. Three copies of the FS-20 Budget Summary forms with original signatures in blue ink must be submitted with the original application. Each page of the form must be on a single sheet of paper, not back-to back, with Page 2 facing out.

In addition, an appropriate Budget Category (or categories) form must be attached to the FS-20. Choose the category/ies which best describes your project and complete that Code page(s) only. The totals from each of the Budget Category forms must correspond to amounts shown on page 2 of the FS-20 Budget Summary form. **Please be advised, however, that the Grand Total on page 2 should reflect only the requested grant amount, not the total cost of the project.** The maximum funding for any project is 50% of the total approved project cost.

10. PAYEE INFORMATION FORM

In order to receive funds from the NYS Education Department, libraries must be entered on the SED Reference File and have accurate payee information on record. Sections I, II, III, and IV should be completed on the Payee Information Form as per the instructions printed on the form. For Section III, #4, the Exemption Category for libraries is Category 2.

If you have any questions about this form, please get in touch with Jeffrey Kirkendall at jkirkend@mail.nysed.gov.

11. BUILDING PHOTOGRAPHS

Detailed photographs of the proposed construction project site should accompany each application. If taken with a digital camera, printouts of the pictures should be included with the application materials. Electronic pictures should be forwarded to Kim Anderson at kanderso@mail.nysed.gov.