Introduction to the NYS Construction Grant Program – State Aid for Library Construction

Dawn Vincent
State Services Coordinator
North Country Library System
Outline

- What is State Aid for Library Construction
- What is and isn’t eligible
- Guidelines
- Timeline
- How to apply
- Components of the application
- Review process
What is Construction Aid?

- Funds from an appropriation of millions of dollars in capital funds in the State Budget to aid public libraries and library systems with up to 75% of construction costs.
Basic Information

- State Aid for Public Library Construction received a decrease from $34 million last year to $14 million for the current funding cycle.

- The program is bonded through the Dormitory Authority of the State of New York (DASNY).

- Funds are allocated to public library systems based on formulas in Education Law 273-a.

- Administered by the NYS Division of Library Development through the 23 public library systems.

- Member Library applications are submitted and overseen by the coordinator at each library system.
WHO CAN APPLY FOR A GRANT?

- Any public library or public library system
  - chartered by the NYS Regents or
  - established by an act of the NYS Legislature
Facts about applications

- One application per library
  - Branch libraries are separate buildings from main library so can submit one application for each library
  - Libraries included in a “coordinated” project with the system can still submit an individual project

- One application per year (multiple activities)
  - Combine all individual projects into one application even if it seems like you are putting together very disparate projects (i.e. Creating a parking lot and expended children’s area)

- Require clearly defined projects with detailed narratives
  - Especially important when breaking out projects (ex. Masonry on North and South side in Year One. Masonry on East and West side in Year Two.)
IF A LIBRARY OR LIBRARY SYSTEM RECEIVED AN AWARD IN THE PAST (even if the previously awarded project is still open), can they still submit an application and receive an award in 2020–2021?

YES, as long as it is for a NEW project (or a new phase of an existing project). Libraries CAN NOT receive funding again for a project that has already been funded in a previous year.
HOW MUCH MONEY IS AVAILABLE? HOW MUCH CAN ONE LIBRARY APPLY FOR?

- System-wide Allocation of available funds
- 50% to 75% of total project approved costs (possible 90% of costs if meet eligibility requirements)
- $2,500 minimum award ($5,000 minimum project cost)
Grant Period

- The funding cycle is **July 1, 2020– June 30, 2023**. Two years with option for extension for third year (Progress Report & Form)

- Any costs incurred before July 1, 2020 are not eligible for direct construction aid.

- Funds expended on a project between January 1 – June 30, 2020 can be considered match funds and be included as part of the total project cost.

- Projects completed before the application deadline set by the System are not eligible for funding (even if they are started after July 1, 2020).

- No expenditures made prior to January 1, 2020 may be included.
WHAT KINDS OF PROJECTS ARE ELIGIBLE?

- SITE ACQUISITION (need a letter that land can be used for library purposes)
  - Purchase of land with an existing building or purchase of vacant land with evidence of plans and available funding to construct a new building or parking lot.

- NEW CONSTRUCTION
  - New library building
  - Addition to existing library building
  - Demolition and Site Preparation
WHAT KINDS OF PROJECTS ARE ELIGIBLE?

- BUILDING RENOVATION/RECONSTRUCTION/REHABILITATION/RESTORATION/REMODEL
  - Installation of photovoltaic panels, geothermal wells, and other alternative energy resources
  - Replacement of roofs, windows, and doors
  - Reconstruction of existing space
  - Accessible entryways (ramps & doorways) and bathrooms
  - Installation of elevators
  - New electrical, plumbing, lighting, and HVAC
  - New driveways, sidewalks, and parking lots
  - New furniture, equipment (if has a useful life over six years), computers and shelving for new or newly reconfigured space – MUST be within the context of an eligible construction project
WHAT KINDS OF PROJECTS ARE ELIGIBLE?

- Emergency Generators
- Outdoor signage
- Security Systems (including cameras and key card access)
- Assistive listening devices and systems (such as an audio induction loop)
- Supervision/management of the construction, renovation, or rehabilitation
- Non-speculative architectural and engineering firm fees. Since DLD is now allowing architectural & engineering fees, they ask that the library upload (if available) the architectural & engineering plans.
- Bringing fiber (broadband) to the building
WHAT KINDS OF PROJECTS ARE NOT ELIGIBLE?

- Routine maintenance and REPAIR activities
- New carpet, flooring, painting unless required by construction or code
- Speculative architectural and engineering plans/Building Consultant Feasibility Studies
- Mold abatement as a stand-alone project
- Interest or Carrying Charges on bonds financing the project
- Mortgage payments
- Purchase of books or other library materials
- Landscaping (unless required by construction)
Grant Guidelines

- Make sure to read the “Guidelines for 2020–2021 NYS Construction Grant Program” for NYS requirements, NCLS requirements, eligibility for the reduced match, and ranking guidelines.

- These guidelines can be found on the Construction Grant web page: https://web.ncls.org/page/construction-grants
**Approximate Timeline**

- **June 2020** – Online application becomes available (Site visits are usually conducted during this time but that may not be possible due to the current COVID-19 situation. Libraries are encouraged to schedule a Zoom meeting with State Services Coordinator to discuss their proposed project).

- **June 30 – July 13, 2020** – Deadline – Intent to Apply: Libraries intending to apply must have completed the *Intent to Apply* survey and included a clear narrative describing the project before or during this time period.

- **June–August 2020** – Libraries work on the application; NCLS offers technical assistance via phone and email (virtual conferencing sessions may also be available due to the current COVID-19 situation).

- **July 2020** – NCLS provides one-on-one sessions at the NCLS service center or through Zoom meetings (priority for these sessions will be given to member libraries that submit a narrative prior to the deadlines).

- **August 17, 2020** – Deadline – Application: Grant applications (including all forms and attachments) must be completed and submitted before this date.

- **August 27, 2020** – NCLS Board Recommendations Approved

- **October 2020** – System Due Date to DLD

- **June–August 2021** – Notification of Award from State Library

- **July–September 2021** – 90% of award paid out to your library
Important Dates – After Submission

- **January 2022** – **180-day Notice**: Libraries are required to start the project within 180 days from the date of award.

- **Spring 2022** – **Progress Report / Request for extension**: Libraries must report on the current status of the project. If an extension is needed, they must ask for an extension form, complete the form and return to the Division of Library Development (DLD).

- **Summer 2022** – **Extensions Granted by DLD**

- **June 30, 2022** – **Deadline – Construction**: Libraries that did not request an extension need to have their construction completed by this date.

- **June 30, 2023** – **FINAL Deadline – Construction**: ALL library construction projects (submitted to NCLS in 2020) must be completed by this date.
This is a matching grant and the library will need to show available funds to complete the project.

“The law...stipulates that the availability of funds to pay for the cost of the project, minus the amount awarded through the Program must be verified as part of the application.”
HOW DO YOU APPLY?

• All application forms will be found on the construction program online portal and must be submitted through the web-based application portal.

• Libraries must create an account to gain access to the online application system.

• Additional information is available on the NYS website: http://www.nysl.nysed.gov/libdev/construc/index.html
  AND the NCLS website: https://web.ncls.org/page/construction-grants
Register for a **NYS Directory Service Account**

Once the portal is open, go to the **Online Portal**: and enter the username and password you received from the State.

Fill out the Online Application

Upload all necessary attachments

Submit your completed application to NCLS

Send documents that cannot be attached to the online application (FS–10s, Payee Forms, and W–9 forms) to NCLS
Components of Application

- Application form
- Additional funding sources
- Project narratives
- Budget
- Attachments
- NYS Financial Forms
Library or System Name: Hannibal Free Library
SEDREF Institution ID: 800000040022
Mailing Address: 162 Oswego St
Address: Hannibal NY 13074
City, State, Zip: Oswego
County: Shelly Stanton
Director of Institution: Library Director
Title:
Email:
State Judicial District: 5
State Senate Districts: 48 49 50
State Assembly Districts: 124 128
State Congressional Districts: 23 25
FEIN #: 160964280
Public Library System: School District: Hannibal Csd
North Country Library System

NOTE: The institutional information listed above is pulled from the SEDREF database. SEDREF is the single authoritative source of identifying information about institutions which the NYS Education Department determines compliance with applicable policy, law and/or regulation.

If your institutional or director information is incorrect, it can only be updated once your Payee Information Form is received by Division of Library Development and approved by Grants Finance. Library Development staff do not have authority to update SEDREF information.

Submitted by the LIBRARY regardless who owns the building!
BUILDING INFORMATION

Building Information – Provide the following information for the building (existing or proposed) or site that is the subject of this application.

*Building Name:  
*Street Address:  
*City:  
*State:  
*Zip Code:  
*Building Type
  Main Library  Branch Library  System Headquarters  Other

Library building is or will be accessible to persons with disabilities:
Physical access: Yes  No  
Program access: Yes  No

Make sure you use the library's chartered name and not the popular name.
BUILDING INFORMATION

Library building is:

- Owned by applicant
- Leased by applicant with a minimum of 10 years lease
- Otherwise legally available (i.e., located in a municipal building).

Library site is:

- Owned by applicant
- Leased by applicant with a minimum of 10 years lease
- Otherwise legally available (i.e., located in a municipal building).

⚠️ Additional Requirement if you “do not own” building
CERTIFICATION OF 10 YEAR LEASE

Only required if YOU DO NOT OWN the library building.

A letter FROM THE OWNER that:

- Guarantees that the library will have use of the building (lease or other legal arrangement) for at least 10 years after the completion of the project
- States a full awareness of and agreement with the proposed construction project
- Certifies that the owner has the legal authority to approve the improvement of the space
- States that the building is open to the public
**BUILDING INFORMATION**

Year of initial construction of library building (yyyy)

Number of floors.

Square footage of building.

The building is designated a historic landmark. Yes  No

The building is in a historic district. Yes  No

The building is over 50 years old. Yes  No

Does your Project involve ground disturbance Yes  No

- If your library building is **50 years old or older and/or the project involves ground disturbance and/or demolition**, please read the “**Letter of Resolution between the New York State Office of Parks, Recreation and Historic Preservation and the New York State Education Department**” available at [http://www.nysl.nysed.gov/libdev/construct/14m/shpo.htm](http://www.nysl.nysed.gov/libdev/construct/14m/shpo.htm) to determine if your project needs SHPO approval.
**Exempt from review:**
- You will need to cite language from Attachment A that demonstrates your project is exempt from SHPO review and contact SHPO by email or phone to request approval of the exemption. The exemption must be applicable to all project elements.

**Not Exempt from review:**
- Obtain an approval letter (this can take 6–8 weeks)
  - New Online Submission Process: Cultural Resource Information System (CRIS). Tutorial and video available to assist at [https://parks.ny.gov/shpo/online-tools/](https://parks.ny.gov/shpo/online-tools/)
  - Paper applications are no longer accepted
The library building is owned by a school district.  

Yes  No

Which school district? (if applicable)

The total cost of this project will exceed $10,000?  

Yes  No
Project Title:

Construction Project Manager:
First Name:
Last Name:
Phone:
Phone Extension:
Email:

Library Director:
Name:
Phone:
Email:

Make sure the Construction Project Manager:
- Is Library Staff or Board Member and is affiliated with the project
- Will (hopefully) be there at the completion of the project
- Receives all materials that are sent to the library (All materials/paperwork/forms are sent to the library address. It is the responsibility of the library staff to forward information to the Construction Project Manager).

- NEW! DLD is now requesting TWO (2) points of contact so if your director is also the Construction Project Manager, please list another point of contact.
Construction project application is for (select all that apply):

- New Construction
- Building Expansion
- Site Acquisition
- Renovation/Rehabilitation
- Energy Conservation
- Accessibility
- Safety
- Broadband

Will the library’s completed project require a local Certificate of Occupancy?  
Yes  No
Estimated Project Costs (also see Project Budget)

a. Total Project Cost ($)

b. Cost of Project for which funding is being requested

c. Amount of Public Library Construction Program Funds requested for this project (cannot be more than 50%/75% of the amount in question b above)

d. This project is or was funded, in whole or in part, by funds secured through the issuance of tax exempt bonds, bond anticipation notes, revenue anticipation notes or a similar form of obligation.  Yes  No

Attach quote/bid documents to show costs. Additional documentation necessary if project is funded through a bond.
CONSTRUCTION BID/QUOTE

GOOD

- Looks Official – Contractor letterhead, signed and dated
- Break down the costs of the project
- Uses the good “R” words (Renovate, Rehabilitate, Restore, Reconstruct, Replace)

BAD

- Hand-written, not on letterhead
- Not signed by the contractor or dated
- Uses the bad “R” words (repair, routine)
- Remodel has been listed as bad sometimes and acceptable others so it is best to just avoid it and use the other “R” words

- Remember to provide a quote/bid for EACH contractor UNLESS you hired a general contractor who is sub-contracting the work to others
Start/Completion Dates

**Timeframe** (date format MUST BE mm/dd/yyyy)

This project is expected to start on or before:

The project was started on ____________ and is not complete at the time of this application.

The project is expected to be completed by ________________

- 3–year period starting July 1, 2020 and ending June 30, 2023. Must complete Progress Report in Spring of the second year to get an extension for the third year.
ASSURANCES

UPDATE THIS INFORMATION!!!!

ASSURANCES: Public Library Construction Grant Program
The applicant hereby gives assurances of the following: (check all boxes that apply)

☐ It possesses the legal authority to submit this application including all understandings and assurances contained herein and to direct and authorize the person identified as the construction project manager to act as the official representative of the applicant in connection with this application and to provide such additional information as may be required.

☐ The project will begin land acquisition, construction, or continue construction work in the case of a project that has begun but is not complete as of the date of application to the library system, within 180 days after receipt of written notification from the State Education Department that state aid construction funds have been approved for the project, and that the conditions of the funding have been met.

☐ The project will be conducted in accordance with all applicable Federal, State, and local laws and regulations.

☐ In the event the library building or site of the construction project is leased by the applicant or otherwise legally available, the lease on the building or site or other legal agreement is for a minimum of 10 years from the date of the anticipated completion of construction, the owner is aware of and approves the proposed construction project, and the building is open to the public.

AUTHENTICATION OF APPLICATION
This application completed in the preceding pages and accompanying documents for a public library construction grant to be administered in accordance with the requirements of Education Law §273-a (as Amended by Chapter 57 of the Laws of 2007) and Commissioner’s Regulations §90.12 was read and duly adopted by the Board of Trustees of the Library at a legal meeting on ______________ 2017.

Signature of President, Library Board of Trustees: ________________________________________________

Name of President (type or print): _______________________________________________________________
# Additional Funding Sources

List all funding sources that contribute to this construction project.

<table>
<thead>
<tr>
<th>Fund Source</th>
<th>Description</th>
<th>Amount</th>
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<tbody>
<tr>
<td>NYSED – State Education Department</td>
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<tr>
<td>NYSOITS – State Office of Information Technology Services</td>
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<tr>
<td>NY Economic Development Program grant</td>
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<tr>
<td>Special Legislative Grants (member items) or Bullet Aid</td>
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<tr>
<td>Private Funding/Private Donations</td>
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<tr>
<td>USDA – US Department of Agriculture</td>
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<td>RUS – Rural Utilities Service</td>
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<td>Library Capital Funds</td>
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<td>Public Library System Funds</td>
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<tr>
<td>NYSERDA – State Energy Research &amp; Development Authority</td>
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<tr>
<td>Other</td>
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<td></td>
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<tr>
<td>Library Operating Funds</td>
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</tbody>
</table>

SAM funds (State and Municipal Facilities Program) CANNOT be used as match funds for this program, by law!
Certification of Available Funds to Finance Project

- Can be:
  - Affirming Letter on Official Letterhead signed by Board Official (preferably Treasurer or President)
  - Bank Statement (verification of funds committed to project signed by Board Official)
  - Proof of Bond—tax exempt bonds, bond anticipation notes, revenue anticipation notes, or similar form of obligation. (additional requirements necessary if project is funded, in whole or in part, through bonding. See instructions).
  - Legislative Member Item
  - Other
Project Narratives

- Project Abstract (150 characters) – Brief description of project – descriptive but concise

- Description of Project – Complete description of the project for which funding is being requested

- Impact of Project – Describe how the project will address one or more of the NYS priorities

- Timetable – Start & completion dates, Timeline of project

- Budget Narrative – Description of the Budget (proposed vendor(s), description of work, and associated costs).
  - If bid has “Options” or “Alternatives,” the budget narrative must define which are being included/excluded.
CONSTRUCTION PROJECT NARRATIVE

GOOD

- Clearly defines the library’s project
- Uses good “R” words
  - Renovate/Renovation
  - Restore/Restoration
  - Rehabilitate/Rehabilitation
  - Reconstruct/Reconstruction

BAD

- Does not clearly define the library’s project
- Uses bad “R” words
  - Repair
  - Routine
  - Remodel (has been listed as bad sometimes and acceptable others so it is best to just avoid it and use the other “R” words)
Project Budget

- **Purchased Services** (Code 40) – contractors/vendors
- **Supplies and Materials** (Code 45)
- **Equipment Expenses** (Code 20)

- Fill in actual cost, not the grant request amount
Short Environmental Assessment Form

- Complete the SEAF – PART 1 using the **EAF Mapper** which can help answer some of the questions and provides the required location map.

- Use the [Environmental Assessment Form (EAF) Workbook](#) to assist you in answering the questions

- Complete PART 2 & 3 separately

- Board of Trustees is the Lead Agency – needs signature of Board President

- For help, contact: Sara Richards, Associate Counsel, Dormitory Authority of the State of New York at (518) 257-3120 or SRichard@dasny.org
Smart Growth Form

- Check at least one box to indicate compliance
- Fill in justification; enter small paragraph explaining the project and how meets compliance
- Sign and date
Please make sure to add a justification (your project abstract can be reused here).
Leave blank, just sign and date IN BLUE INK and send to NCLS!!!!

**Budget Summary**

<table>
<thead>
<tr>
<th>Categories</th>
<th>Code</th>
<th>Project Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Salaries</td>
<td>15</td>
<td>XXXXXXXXXX</td>
</tr>
<tr>
<td>Support Staff Salaries</td>
<td>16</td>
<td>XXXXXXXXXX</td>
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<tr>
<td>Purchased Services</td>
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<tr>
<td>Supplies and Materials</td>
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<td>Travel Expenses</td>
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<td>Employee Benefits</td>
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<td>Indirect Cost (IC)</td>
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<tr>
<td>BOCES Services</td>
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<td>XXXXXXXXXX</td>
</tr>
<tr>
<td>Minor Remodeling</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td>Equipment</td>
<td>20</td>
<td></td>
</tr>
</tbody>
</table>

**For Department Use Only**

Approved Funding Dates: July 1, 2009 - June 30, 2011

Program Approval: ________________________

Date: ________________________

**Chief Administrator’s Certification**

I hereby certify that the requested budget amounts are necessary for the implementation of this project and that this agency is in compliance with applicable Federal and State laws and regulations.

Date: ________________________
Signature: ________________________

Name and Title of Chief Administrative Officer: ________________________

Finance: Log: ________ Approved: ________ MDR: ________

**Grant Applicant Information**

Funding Source: Public Library Construction Grant Program

Project Manager:

Applicant:

Mailing Address: ________________________
Street: ________________________
City: ________________________
State: ________________________
Zip Code: ________________________

Telephone #: ________________________
E-Mail Address: ________________________

Project Funding Dates: July 1, 2010 - June 30, 2012

**Instructions**

- This form has been standardized for use for the Public Library Construction Grant Program ONLY and therefore should not be used for any other purpose.
- Submit three FS-28s with original signatures in triplicate along with your completed application and other required documents to your Public Library System Headquarters.
- All budget items must be entered in whole dollar amounts only.
- The Project Manager must be a Librarian, staff member, or a Board Member.
- Certification on page 6 must be signed by the Chief Administrative Officer or designee.
- An approved copy of the FS-20 Budget Summary will be returned to the contact person noted above. A window envelope will be used; please make sure that the contact information is accurate, legible, and contained in the address field.
- For information on budgeting, including 2005-06 Revised guidelines for equipment and supplies, refer to the Fiscal Guidelines for Federal and State Allocated Grants at www.commerce.nys.gov.
- For further information on budgeting, please contact Grace Gilly at gilly@nyslibrary.org.
Payee Form & W–9

- Must be signed in **BLUE INK** and sent to NCLS
- You MUST have your own **FEIN** and **NYS Vendor ID Number** at the time of application
- Applicants must register with the Federal System for Award Management (SAM) with their library’s Data Universal Numbering System/DUNS number. Failure to register in **SAM** (or to renew your registration) may delay the awarding of funds
- Despite what is indicated in the Payee Information Form instructions, a **substitute W–9 Form** must be completed by all construction applicants
Payee Information Form

All libraries check Number 4 and Exemption Category 2

This organization is exempt from the requirement of registering with the Department of State as a charitable organization pursuant to the Department of State Exemption Category indicated below (Please read attached Bulletin No. G-79 and the Summary of Exemption Categories and check ONE Exemption Category listed below, if applicable).

Exemption Category 1
Exemption Category 2
Exemption Category 3
Exemption Category 4
Exemption Category 5
Exemption Category 6
Exemption Category 7
Exemption Category 8

Section IV: Certification
I hereby certify that the information herewith provided is to the best of my knowledge both accurate and true.

Chief Administrative Agency Official/Authorized Designee (Please Print)

Signature - Chief Administrative Agency Official/Authorized Designee Date

SED USE ONLY: Deputy Area/Program Office
Institution ID: 8 0 0 0 0
I have reviewed the payee information contained herein and hereby approve this agency for payment.

Deputy Area (Please Print) Program Office (Please Print)

Program Manager (Please Print)

Signature - Program Manager Date

SED USE ONLY: Grants Finance
SED Agency Number/BEDS Code (If applicable): 0 0 0 0 0 0 0
Institution Type: 
Institution Subtype: 
Interest Eligible: Yes No
Reviewer: Date: 
Photographs

- Detailed photographs of the proposed construction project site
  - Front of building showing building name
  - Area(s) being renovated
  - View from library of surrounding area (street view)
- Must attach color photos (before and after)
Attachment Specifications

- PDFs
- Word Documents & Excel files
- Jpegs (bmps are also acceptable but jpegs are preferred)

- Please make sure that file names are clear and understandable
  - For example:
    
    **USE**  – SmartGrowth.pdf OR FrontofLibrary.jpeg
    **NOT**  – Attachment#5.pdf OR IMG_20170519.jpeg
WHAT HAPPENS WHEN THE APPLICATION IS COMPLETE?

- Submit the application to your system
  - System sets deadline *(Due to NCLS by August 17, 2020)*

- The System will begin the review and approval process according to the Commissioner’s Regs. §90.12
  - “rank the applications from its system area in order of its recommendations, giving particular attention to the service needs of any communities which are isolated, economically disadvantaged or located beyond the reasonable service capabilities of other libraries which are members of such library system”
Applications are evaluated according to established criteria:

- Completeness of application
- Inclusion of all required documentation
- Project eligibility
- How well the project matches NCLS identified priorities
System Recommends Award

- Systems do “System Evaluation and Recommendation Form”
- System prepares “Reduced Match Justification Form” for eligible libraries
- System submits applications to New York State Library Division of Library Development for review *(Date due to DLD – October 6th)*
- DLD sends to DASNY for review
June 2020 – Online application becomes available (Site visits are usually conducted during this time but that may not be possible due to the current COVID–19 situation. Libraries are encouraged to schedule a Zoom meeting with State Services Coordinator to discuss their proposed project).

June 30 – July 13, 2020 – Deadline – Intent to Apply: Libraries intending to apply must have completed the Intent to Apply survey and included a clear narrative describing the project before or during this time period.

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October 2020 – System Due Date to DLD

June–August 2021 – Notification of Award from State Library

July–September 2021 – 90% of award paid out to your library
What is the BIGGEST TIP ?????
Don’t Procrastinate…look for things you can be doing now!

- Clearly define your project, write your Construction Project Narrative and send to NCLS
- Register for a NYS Directory Service Account
- If SHPO is required, begin SHPO application now
- Obtain your NYS Vendor ID number
- Verify your DUNS number
- Register your DUNS number in SAM.
- Verify or obtain the library’s FEIN
QUESTIONS?