



HVAC Indoor Air Quality Grant Program for Public Schools

Fiscal Year 2024 Program Guidance

Second Round

Release Date:	September 7, 2023
Application Deadline:	December 31, 2023
Contact Information:	DAS.GrantsAdministration@ct.gov
Eligible Applicants:	Local Board of Education Regional Board of Education Regional Education Service Center (RESC)
Awards Announced:	Spring 2024
Application Information:	https://ct.gov/hvacgrants

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I. Purpose

Sections 10, 360, and 367 of Public Act 22-118 established a new grant program to encourage public school districts to install, replace, or upgrade, their heating, ventilation, or air conditioning (HVAC) systems. This program addresses school facilities’ needs and repairs for improved ventilation and indoor air quality to support healthy learning environments in districts and schools. The program was codified into the Connecticut General Statutes at § 10-265r and § 10-265t and has been amended by Sections 48 and 328 of Public Act 23-204 and Sections 58 and 119 of Public Act 23-205.

II. Statutory Authority

Sec. 10-265r. Heating, ventilation and air conditioning system grant program. (a) For the fiscal year ending June 30, 2023, and each fiscal year after that, the Department of Administrative Services shall administer a heating, ventilation, and air conditioning system grant program to reimburse local and regional boards of education for costs associated with projects for the installation, replacement or upgrading of heating, ventilation, and air conditioning systems or other improvements to indoor air quality in school buildings. (b) (1) A local or regional board of education or a regional educational service center may apply, at such time and in such manner as the Commissioner of Administrative Services prescribes, for a grant for a project involving the installation, replacement or upgrading of heating, ventilation and air conditioning systems or other improvements to indoor air quality in school buildings. A local or regional board of education may submit an application for any such project that (A) was commenced on or after March 1, 2020, and completed before the effective date of this section, or (B) is commenced on or after the effective date of this section.

Sec. 10-265t. Bond issue for school air quality improvement grants. (a) For the purposes described in subsection (b) of this section, the State Bond Commission shall have the power from time to time to authorize the issuance of bonds of the state in one or more series and in principal amounts not exceeding in the aggregate seventy-five million dollars. (b) The proceeds of the sale of said bonds, to the extent of the amount stated in subsection (a) of this section, shall be used by the Department of Administrative Services for the purpose of providing grants-in-aid for school air quality improvements including, but not limited to, upgrades to, replacement of or installation of heating, ventilation and air conditioning equipment, provided not more than fifty million dollars of such proceeds may be used to provide reimbursements for such improvements that were completed not earlier than March 1, 2020, and not later than July 1, 2022.

III. **Definitions/Acronyms**

“Application” is the specific forms, documents, and attachments comprising an applicant’s submission to a grant opportunity.

“Award” is financial assistance that provides support or stimulation to accomplish a public purpose.

“Awardee” or “Awardees” are individual(s) or organization(s) that have been awarded a grant.

“CSFRF” are the Coronavirus State Fiscal Recovery Funds. This is one source of funding for the Grant Program. CSFRF is a form of American Rescue Plan Act (ARPA) funds.

“DAS” is the Department of Administrative Services.

“Deficiency” is a failing or shortcoming. In the context of this Grant Program, an application would be considered deficient if it were missing one of the Mandatory Application Requirements.

“Grant Program” is the program approved by Public Act 22-118 (Sec. 367) that encourages public school districts to install, replace, or upgrade heating, ventilation, or air conditioning systems. This document describes the Grant Program and the application, evaluation, and award process.

“HVAC” is an abbreviation for Heating, Ventilation, and Air Conditioning.

“IAQ” is an abbreviation for Indoor Air Quality.

“Mandatory Requirement” is an element of the Grant Application Process that **MUST** be met for the Applicant to be considered for a grant award.

“Non-Responsive” is the classification for a grant application should it be deficient. Non-responsive applications will not be considered for award.

“Project” is the named Project that will be, or has been, undertaken should the Applicant receive an Award under this Grant Program. The Project must involve the installation, replacement or upgrading of heating ventilation and air conditioning systems or other improvements to indoor air quality in school buildings.

“Resolution” is either the formal statement by which people in a local authority (i.e., city council, town council, etc.) vote or the decision taken due to this vote (i.e., approve or adopt a resolution). Grant Applications require the applicant to provide several Resolutions from the listed legislative body related to the Applicant’s Project.

“Subrecipient” for the purposes of this Grant Program, is the entity to which the State has made a grant award. Generally, this will be the town/city/municipality associated with the applicant school.

“Supplant or Supplanting” means deliberately reducing local funds because of the existence of federal or state funds.

“Unique Entity ID (UEI)” is a 12-character alphanumeric ID assigned to an entity by SAM.gov. Awardees under this Grant Program are required to have a UEI issued to their entity by SAM.gov.

IV. **Eligibility Criteria**

Pursuant to Conn. Gen. Stat. § 10-265r, as amended, the Commissioner of Administrative Services has developed the following eligibility criteria for the awarding of grants under the Program.

To be eligible, an applicant must be one of the following:

1. Local Board of Education
2. Regional Board of Education
3. Regional Education Service Center (RESA)

The below criteria may be utilized for evaluation in a competitive grant process:

- a) the age and condition of the current heating, ventilation, and air conditioning system or equipment being replaced or upgraded in the school,
- b) current air quality issues at the school,
- c) the age and condition of the overall school building,
- d) the school district's master plan,
- e) the availability of maintenance records,
- f) a contract or plans for the routine maintenance and cleaning of the heating, ventilation, and air conditioning system, and
- g) the local or regional board of education's or regional educational service center's ability to finance the remainder of the project's costs after receiving a grant under the program.

V. **Priority Areas**

Applicants shall build applications that address the following priority areas. In the event that the total value of applications exceeds available funding, these priority areas will be used as part of the evaluation criteria to determine an application's competitiveness. Applications will receive a score for their priority area as part of the evaluation process. See Appendix B for the evaluation rubric.

- A. No mechanical system for heating, ventilation, and air conditioning

Applicants under this priority area are requesting funding for activities that address indoor air quality issues in buildings or areas with no existing mechanical system for heating, ventilation, and air conditioning. This may be caused by the absence of a mechanical system, or the presence of a mechanical system that is no longer operational.

- B. Limited mechanical capability for heating, ventilation, and air conditioning

Applicants under this priority area are requesting funding for activities that address indoor air quality issues in buildings with areas with limited mechanical systems for heating, ventilation, and air conditioning. This may be caused by systems that are overstretched and servicing a larger area than recommended, or by systems that are experiencing mechanical difficulties due to age or chronic malfunctioning.

C. Other improvements to indoor air quality

Applicants under this priority area are requesting funding for other activities to improve the quality of indoor air within school facilities. This may include the installation or upgrade of systems that are scientifically proven effective to improve the quality of indoor air, subject to review of the evaluation committee.

Note: Funds will not be awarded for grants that include filtration or air purification systems that use technology that has not been supported by peer-reviewed scientific evidence. DAS strongly encourages the applicant to include information about whether this technology is recognized by the public health agencies such as CDC, EPA, or Connecticut Department of Public Health. Applicants are encouraged to use technology that is supported by ASHRAE standards & guidelines, guidance documents, or written recommendations. Refer to Appendix G for ASHRAE recommendations for reducing airborne infectious aerosol exposure.

VI. Project Duration

DAS will consider projects that were funded within the below timelines. Applicants will be asked to indicate their project completion date from one of the below options:

- A. Project was completed between March 1, 2020 and June 30, 2022.
- B. Project was completed between July 1, 2022 and date of this grant application.
- C. Project will be completed after the date of this grant application.

VII. Funding and Deadlines

This program is administered with state bond funds and federal Coronavirus State Fiscal Recovery Funds (CSFRF). Approximately \$244 million is available in this funding opportunity. This includes \$169 million in state bond funds and \$75 million in federal CSFRF funds.

Efforts proposed through this funding opportunity must be supplementary and complementary to, and must not supplant, what is funded through other state and federal grants.

DAS will determine the funding source for each grant award based on the information the applicant provides in their application, such as project completion date, local share funding source, and risk assessment. The Awardee will be notified of their funding source in the grant award letter should their application be approved.

Per Conn. Gen. Stat. § 10-265r, as amended, projects must be completed by the end of the next calendar year following the year of grant commitment. For example, a project that receives a grant commitment in March 2024 must be completed by December 31, 2025. Recipients of funds may request

an extension for good cause. Districts may request an extension by using the form to be posted on the DAS Office of Grants Administration website.

DAS will make payments to awardees on a reimbursement basis following the submission of proper documentation and required reporting as detailed in the Grant Agreement between the State and the awardee.

A. Federal Coronavirus State Fiscal Recovery Fund

If an Applicant is awarded CSFRF funds, the project deadlines will be in accordance with Conn. Gen. Stat. § 10-265r, as amended, as well as the federal deadlines. Those dates are as follows:

- All awarded CSFRF funds must be obligated (orders placed) by December 31, 2024.
- All obligations must be liquidated (paid or canceled) by December 31, 2026.

Contracts or purchase orders for the Project must be executed or issued (obligated) by 12/31/2024. Services/supplies must be delivered by 12/31/2026 (expenditure incurred). Final requests for reimbursement/invoices must be received by 2/28/2027 and paid out (recorded in CoreCT) by 3/31/2027.

B. State Bond Funds

A portion of the available funding for this program is from state bond funds. DAS will determine whether to award funds from either CSFRF or state bond funds. As previously stated, DAS will determine the funding source for each grant award based on the information the applicant provides in their application, such as project completion date, local share funding source, and risk assessment.

VIII. Cost Sharing or Matching

A local board of education may receive a grant equal to a percentage of its eligible expenses. In accordance with Conn. Gen. Stat. § 10-265r, as amended, the rate will be determined by its ranking, as follows:

(A) Each town will be ranked in descending order from one to one hundred sixty-nine according to the adjusted equalized net grand list per capita, as defined in section 10-261 of the general statutes of the town two, three, and four years before the fiscal year in which application is made,

(B) based upon such ranking, a percentage of not less than twenty or more than eighty shall be assigned to each town on a continuous scale, and

(C) the town ranked first shall be assigned a percentage of twenty, and the town ranked last shall be given a percentage of eighty.

DAS calculates these rates annually. Applicants will use the “General Construction” rate in effect on the date their application is submitted.

A link to the [reimbursement rates](#) as well as an interactive Excel Spreadsheet to calculate rates can be found on the [School Construction State Reimbursement Percentages](#) webpage.

IX. Application Requirements

DAS will review applications for complete application materials. Only applications that include the Mandatory Application Requirements will be considered for an award. Applicants will upload this information and documents into the CORE-CT system when the application is started. Applicants should obtain the documents described below before beginning the application process in the CORE-CT system.

Mandatory Application Requirements:

- Project Costs** (applicant must have submitted this as the Core-CT *bid amount*)
Project costs include the entire project amount. Total project costs must match the cost estimate.
- Cost Estimate**
Each project must have a detailed Project Cost Estimate titled Project Cost Estimate. This cost estimate must equal the bid amount. Applicants must submit cost estimates prepared by either 1) a mechanical contractor, 2) an engineering firm or 3) a professional cost estimating firm.
- Local Funding Authorization Letter**
Applicants must provide funds to serve as the local share for the named project and will provide a Local Funding Authorization Letter. The Local Funding Authorization Letter is documentation showing approval by the local authorizing body of the local share amount for the purpose of this project. Regardless of the source of the funds, applicants must submit a Local Funding Authorization Letter with supporting documentation (i.e., referendum, capital improvement budget, meeting minutes). Districts are encouraged to allocate more than their exact local share, as districts are responsible for any ineligible costs. The Local Funding Authorization Letter must be signed, dated and certified by the Town Clerk.
- Resolution 1 – Authorizes the application**
Applicants must provide the local resolution by the local authorizing body to authorize the Superintendent to apply for this grant. All Resolutions must include the school's name and the specific type of project and Project Name. All Resolutions MUST be signed, dated, and certified by the Town Clerk (not the Board of Education unless the application is from a regional district). Sample resolutions are provided in Appendix C of this guidance document.
- Resolution 2 – Creates a Project Building Committee**
Applicants must provide the local resolution by the local authorizing body to establish a building committee for the Project specified in this Application. All resolutions must include the school's name and the specific type of project and Project Name. All resolutions must be signed, dated, and certified by the Town Clerk (not the Board of Education unless the application is from a regional district). Sample resolutions are provided in Appendix C of this guidance document.
- Resolution 3 – Approves the preparation of drawings for the project**
Applicants must provide the local resolution by the local authorizing body to approve the preparation of schematic drawings and outline specifications. All resolutions must include the school's name and the specific type of project and Project Name. All resolutions should be signed, dated, and certified by the Town Clerk (not the Board of Education unless the application is from a regional district). Sample resolutions are provided in Appendix C of this guidance document.

Educational Specifications (project plan)

Applicants must provide detailed Educational Specifications. The Board of Education's Educational Specifications should pertain to only one school and only include the work that applies to the grant application. The description must include a detailed description of the work at this specific school or central administration. The Educational Specifications must be labeled 'Educational Specifications' on top of the document.

Approval of Educational Specifications by the Board of Education

Applicants must provide the Board of Education meeting minutes reflecting the Board of Education's approval of the Educational Specifications. The Board of Education meeting minutes must be signed and dated by the Recording Secretary or the Superintendent of Schools if they were present at the meeting.

Risk Assessment

Applicants must complete and provide the Risk Assessment form that is included in Appendix G of this guidance document.

X. Terms

- **Documentation** – This is a reimbursement grant. DAS requires documentation of all funding and supporting documentation of all monies owed for the project. The awardee will be provided instructions for submitting for reimbursement.
- **Audit** – Awardee will be subject to the audit requirements of the State. DAS audits projects based on the value of the grant award as follows:
 - Limited Scope Audit – Project cost is up to 5 million dollars.
 - On-Site Audit – Project cost is greater than 5 million dollars.Awardees of CSFRF funds may be subject to federal audit as well.
- **2 CFR 200 Procurement Requirements** – Awardees are responsible for ensuring that any procurement using CSFRF funds awarded under this Grant Program, or payments under procurement contracts using such funds, are consistent with the procurement standards set forth in the Uniform Guidance at 2 CFR 200.317 through 2 CFR 200.327. The full text of the Uniform Guidance 2 CFR 200 Procurement Standards can be found at this [URL](#). Additional information on 2 CFR 200 requirements is provided in Appendix E of this guidance document.
- **Reporting - Project & Expenditure Report** – Awardees under the Grant Program will be required to complete and submit a Project & Expenditure Report on a quarterly basis. DAS will provide the quarterly reporting form on the DAS Office of Grants Administration website. This requirement will be included in the Grant Agreement.

The Project & Expenditure Report will generally include the following information:

- Obligations and Expenditures
 - Current period obligations
 - Cumulative obligations
 - Current period expenditures
 - Cumulative expenditures
- Project Status
 - Not Started
 - Completed less than 50 percent
 - Completed 50 percent or more
 - Completed

XI. Out-of-Scope Activities

A. Disallowed Costs

The following costs or expenses are not eligible for reimbursement under this Grant Program per Conn. Gen. Stat. § 10-265r, as amended:

- i. Routine maintenance and cleaning of the heating, ventilation, and air conditioning system,
- ii. Work that is otherwise eligible for a school building project grant under chapter 173 of the general statutes, and
- iii. Work performed at or on a public school administrative or service facility not located or housed within a public-school building.

B. Supplanting

No grant funds received under this section by a local or regional board of education, or a regional educational service center can be used to supplant local matching requirements for federal or state funding otherwise received by such district for a project for the installation, replacement, or upgrading of heating, ventilation, and air conditioning systems or other improvements to indoor air quality in school buildings.

C. Ineligible Technologies and Equipment

DAS strongly encourages applicants to submit for projects that focus on the installation, replacement, or upgrade in the heating, ventilation, or air conditioning (HVAC) systems.

In the event that the applicant submits for a project that includes other technologies or equipment, funds will not be awarded for grants that include filtration or air purification systems that use technology that has not been supported by peer-reviewed scientific evidence. DAS strongly encourages the applicant to include information about whether this technology is recognized by the public health agencies such as CDC, EPA, or Connecticut Department of Public Health (DPH). Applicants are encouraged to use technology that is supported by ASHRAE standards & guidelines, guidance documents, or written recommendations. Refer to Appendix G for ASHRAE recommendations for reducing airborne infectious aerosol exposure.

DPH has resources for indoor air quality on their website at [Indoor Environmental Quality IEQ \(ct.gov\)](https://www.ct.gov/dph/indoor-environmental-quality).

XII. Contact

Questions regarding the Grant Program and the submission process can be submitted in writing to DAS.GrantsAdministration@ct.gov. Additional information regarding the Grant Program is also available on the Department of Administrative website at <https://ct.gov/hvacgrants>.

XIII. Due Date

All applications are due no later than December 31, 2023, at 5:00 PM ET. Due to the number of applications to be processed, late applications will not be accepted.

Applicants should take note that the CORE-CT system closes at 8:00PM each day.

XIV. Pre-Application Webinar

DAS Office of Grants Administration will share application information via a webinar in early fall. During this session, DAS will review the program application, evaluation, and award process. Applicants are encouraged to send in questions to be answered during this session to DAS.GrantsAdministration@ct.gov.

DAS will post information to access the webinar at <https://ct.gov/hvacgrants>. DAS will also send out the webinar link via email to all superintendents.

XV. Submission Instructions

Interested participants will submit their applications through the State of Connecticut [CORE-CT system](#) under the “Vendor Self Serve” (VSS) section. All districts enter the VSS through the superintendent's log in.

A separate user guide for submitting applications in CORE-CT is available on the DAS website at the following link: [Apply for School Construction Grants](#).

Applicants are strongly recommended to retain a copy of their application responses prior to submitting. Districts can access the application questions in Appendix A.

Applications are per school, not per district. For example, if a district intends to apply for funding for projects at three schools, the district must submit three applications – one application for each school.

XVI. Evaluation

All Applications will be evaluated using the “Application Evaluation Rubric” in Appendix B. The first eleven items are Mandatory Requirements and are evaluated as a pass/fail. Applications that pass the eleven mandatory requirements will be considered in *Pool 1* and may move on to the secondary evaluation, including items 12-18.

Those applicants that do not meet the eleven mandatory requirements will be notified and provided with the opportunity to rectify the deficiency in their application. If the deficiency is rectified, their application will be placed into *Pool 2*. *Pool 2* applications will be evaluated similarly to *Pool 1* applicants but not until after all *Pool 1* applications have been reviewed and evaluated.

XVII. Selection and Notification

If a proposal is selected for funding, DAS will send the applicant an award letter with further instructions on proceeding.

The level of funding and effective dates of the projects will be set forth in the notification of the grant award. DAS will retain all proposals submitted and such proposals will become part of the public

domain. As such, applicants should not include any confidential information in their application responses.

Applicants that were not approved will receive a letter that will detail the deficiencies of their application. Applicants may have the opportunity to correct the deficiencies and resubmit their application prior to final notification.

DAS reserves the right to award in part, to reject a proposal in its entirety or in part, and to waive technical defects, irregularities or omissions if, in its judgment, the best interest of the state would be served. After receiving the grant application, DAS reserves the right not to award all grants or to negotiate specific grant amounts as part of the evaluation process to meet federal requirements or the Department of Administrative Services' priorities. In addition, DAS reserves the right to change the dollar amount of grant awards to meet federal guidelines for grant awards.

All awards are subject to availability of federal and bond funds. Grants are not final until grant awards are executed.

XVIII. **Contract Compliance**

Pursuant to Conn. Gen. Stat. § 4a-60 *et seq.*, this project (if using \$50,000 or more of State funds) is subject to State set-aside and contract compliance requirements, which are administered by the Connecticut Commission on Human Rights and Opportunities ("CHRO"). Conn. Gen. Stat. § 4a-60g sets, for the contractor, a minimum goal of setting aside 25% of the state's financial assistance for Connecticut-based Small Business Enterprises and 6.25% of the state's financial assistance for Connecticut-based Minority Business Enterprises. **The Municipality must comply with the applicable CHRO requirements for this contract; requirements include, *but are not limited to*, adding specific CHRO language in the [bid documents/solicitations/advertisements](#), as well as in the [executed contract](#).** Information can be found on the [CHRO's website](#). Questions regarding these requirements are to be directed to Alvin Bingham (Alvin.Bingham@ct.gov; 860-541-4709), supervisor of the CHRO's Contract Compliance Unit.

Please see Appendix F for additional information.

Appendix A: Application Questions

The following table shows the questions applicants will answer in the CORE-CT system when completing their Grant Application. Applicants are encouraged to review the questions and the response type. For those questions requiring a 'File Upload,' applicants should have those digital files accessible while completing the questions in CORE-CT.

Question	Response Type
1. Select your Program Type, and attach the required SDE approvals for Specialty Programs (Dropdown options: Magnet, Special Ed., Vo-Ag, etc.)	Select the appropriate response from the list of options provided.
2. Please select your non-priority project types and/or non-priority bonus (Dropdown options: HVAC).	Select the appropriate response from the list of options provided.
3. Upload the local resolution authorizing the Superintendent to apply for this grant. All resolutions must include the school's name and the specific type of project and Project Name. All resolutions MUST be signed, dated, and certified by the Town Clerk (not the Board of Education).	File Upload
4. What is the date that the Superintendent grant application resolution was passed?	Date Entry
5. Upload the local resolution authorizing the establishment of a Building Committee for the Project specified in this Application. All resolutions must include the school's name and the specific type of project and Project Name. All resolutions must be signed, dated, and certified by the Town Clerk (not the Board of Education).	File Upload
6. What is the date that the building committee resolution was passed? Building committee charge must be for the current project.	Date Entry
7. Upload the local resolution authorizing the preparation of schematic drawings and outline specifications. All resolutions must include the school's name and the specific type of project and Project Name. All resolutions should be signed, dated, and certified by the Town Clerk (not the Board of Education).	File Upload
8. What is the date that the preparation of schematic drawings and outline specifications resolution was passed?	Date Entry

<p>9. What is the Local Funding Authorization Amount for the project? Local Funding Authorization Amount is the amount of funding that the applicant has secured via referendum or otherwise that should at a minimum equal the local share of the total project cost. Districts are encouraged to allocate more than their exact local share as districts are responsible for any ineligible costs.</p>	<p>Enter the dollar amount for the Local Funding Authorization Amount.</p>
<p>10. What is the date of local funding authorization approval or the date established for the local referendum?</p>	<p>Date Entry</p>
<p>11. Attach a copy of the referendum or proof of local funding. Please see the program guidance for information on how to show proof of local funding.</p>	<p>File Upload</p>
<p>12. Is the applicant using federal funds to support their local share?</p>	<p>Yes/No</p>
<p>13. Upload the detailed Educational Specifications. The Board of Education's Educational Specifications should only include the work that applies to the grant application. The description must include a detailed description of the work at the specific applicant school or central administration.</p>	<p>File Upload</p>
<p>14. Upload the Board of Education minutes documenting the Board of Education's approval of the Educational Specification for the project and the applicant school. The Board of Education minutes must be signed and dated by the Recording Secretary or the Superintendent of Schools if they were present at the meeting.</p>	<p>File Upload</p>
<p>15. Select the type of school (if you are a Board of Education located within a school, select Elementary, Middle, or Secondary. If located outside the school, please select Standalone).</p>	<p>Select the appropriate response from the list of options provided.</p>
<p>16. Attach the enrollment report for the applicant school.</p>	<p>File Upload</p>
<p>17. Please enter the name, email, and contact telephone number of the individual responsible for answering questions regarding this application.</p>	<p>Text Entry</p>
PROJECT COST / AMOUNT	
<p>What is your Bid Price?</p>	<p>The dollar amount for the Total Project Cost is entered here.</p>

SCHEDULE 1: GENERAL PROJECT DATA	
Q1: What is the name of your school?	Text Entry
SCHEDULE 6: SPACE STANDARDS	
Q4: What was the year of original construction?	Numeric (4-digit year) Entry
SCHEDULE 9: HEATING, VENTILATION AND AIR CONDITIONING SYSTEM (HVAC)	
Q1: What is the age of this school's current HVAC system or the equipment being replaced or upgraded?	Numeric (4-digit year) Entry
Q2: Provide a statement on the condition of the school's current HVAC system or equipment being replaced or upgraded.	Text Entry
Q3. Upload a document containing a narrative or engineer's report regarding any current or ongoing indoor air quality issues at this school. The State encourages applicants to include an engineer's report confirming existing indoor air quality issues at the applicant school. The engineer's report may also address the inability of the HVAC system to meet government recommendations/guidelines to improve indoor air quality.	File Upload
Q4. Provide a narrative of the condition of the school building.	Text Entry
Q5. Attach a copy of your district's master plan.	File Upload
Q6. Attach maintenance records for the existing equipment to be replaced or upgraded.	File Upload
Q7. Attach your contract or plan for the routine maintenance or cleaning of the HVAC system.	File Upload
Q8. Attach the municipality's most recent Single Audit.	File Upload
Q9: Attach a project schedule with details of the start date and estimated completion date.	File Upload
Q10: Indicate the project timeline: Project was completed between 3/1/20 and 6/30/22 Project was completed between 7/1/22 and today's date Project will be completed after the date of this application	Select the appropriate timeline from the list of options provided.

<p>Q11. Will this project provide air conditioning in academic areas in which there is currently no central air conditioning?</p>	<p>Yes/No</p>
<p>Q12. Attach the Project Cost Estimate. Each project must have a detailed, professionally prepared Project Cost Estimate that is titled Project Cost Estimate. This cost estimate must equal the Bid Amount.</p>	<p>File Upload</p>
<p>Q13. Applicant attests that the grant recipient shall be responsible for the routine maintenance and cleaning of the HVAC system and shall provide training to school personnel and building maintenance staff concerning the proper use and maintenance of the HVAC system.</p>	<p>Yes/No</p>
<p>Q14. Applicant attests that grant funds will not be used for routine maintenance, work that is otherwise eligible for a school construction grant under chapter 173, or work performed on an administrative or service facility located outside of a school building.</p>	<p>Yes/No</p>
<p>Q15. Applicant attests that all legislative and regulatory requirements, including applicable local, state, and federal policies, procedures, and regulations have been or will be met in awarding contracts for this school building project.</p>	<p>Yes/No</p>
<p>Q16. Has anyone involved in obtaining this grant or implementing the program presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; within a three-year period preceding this certification been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction, contract, or subcontract under a public transaction; for violation of federal or state antitrust statutes; or for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property; presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated above; and within a three-year period preceding this certification had one or more public transactions (federal, state or local) terminated for cause or default.</p>	<p>Yes/No</p>

<p>Q17. If yes to question 18 above, please attach additional information.</p>	<p>File Upload</p>
<p>Q18. Attach the risk assessment questionnaire. The risk assessment questionnaire has been included in the HVAC program guidance.</p>	<p>File Upload</p>
<p>Q19. Select all statements that apply to project area specified in this application. All or part of the proposed project area:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Currently has no mechanical system for HVAC. <input type="checkbox"/> Current HVAC system is inadequate for the area served. <input type="checkbox"/> Currently has other issues related to HVAC systems or IAQ. 	<p>Multiple Selection</p>
<p>Q20. Applicant attests that they agree to quarterly reporting requirements if awarded a grant. Awardees will be required to submit a 'Project & Expenditure Report' on a quarterly basis in accordance with the established reporting schedule.</p>	<p>Yes/No</p>
<p>Q21: Applicant attests that they are aware of the Audit requirements that will be performed by the State once the project has been completed.</p>	<p>Yes/No</p>

Appendix B: Application Evaluation Rubric

HVAC Indoor Air Quality Grant Program for Public Schools

Fiscal Year 2024 – Round 2

Application Evaluation Rubric

All Applications will be evaluated using the below evaluation rubric. The first eleven items are Mandatory Requirements and are evaluated as pass/fail. Applications that pass the eleven mandatory requirements may move on to items 12-18. DAS may score items 12-18 should it be necessary to determine grant awards.

Item	Requirement	Pass/Fail
1	Project Cost (<i>Bid Amount</i> in CORE-CT)	
2	Cost Estimate	
3	Local Funding Authorization	
4	Resolution 1 - Municipal legislative body authorizes the application.	
5	Resolution 2 - Municipal legislative body creates a Building Committee.	
6	Resolution 3 - Municipal legislative body approves the preparation of drawings for the project.	
7	Educational Specifications (Project Plan)	
8	Approval of Educational Specifications by the Board of Education	
9	Risk Assessment	
10	Application addresses the installation, replacement or upgrading of heating, ventilation and air conditioning systems or other enhancements supported by peer-reviewed scientific evidence to improve indoor air quality in school buildings.	
11	Application does not include out of scope activities. Per Conn. Gen. Stat. § 10-265r, as amended, out of scope activities include: (1) Routine maintenance and cleaning of the heating, ventilation and air conditioning system, (2) work that is otherwise eligible for a school building project grant under chapter 173, and (3) work performed at or on a public school administrative or service facility that is not located or housed within a public-school building.	
	Number of Requirements Met	/11

The below criteria align with C.G.S. 10-265r. The state may evaluate applications on the following criteria:

Item	Scored Criteria	Score Options	Relevant Application Questions
12	Age of existing HVAC System	1 = If < 20 years 5 = If 20-30 years 10 = If > 30 years	Schedule 9 - Q1
13	Condition of existing HVAC System	1 = Working & annual maintenance 3 = Service calls noted 5 = Not working	Schedule 9 – Q2
14	Current air quality issues at the school	1 = Other improvements to indoor air quality 3 = Limited mechanical capability for heating, ventilation, and air conditioning 5 = No mechanical system for heating, ventilation, and air conditioning	Schedule 9 – Q3 Question 12 – Education Specifications
15	Existing condition of school building	1 = Poor 2 = Fair 3 = Good	Schedule 9 – Q4
16	District master plan age	1 = If > 5 years 3 = If 1-5 years 5 = If < 1 year	Schedule 9 – Q5
17	Maintenance records of existing equipment to be replaced	0 = None or not provided 5 = Some/Missing Info 10 = Complete/Organized	Schedule 9 – Q6
18	A contract or plans for the routine maintenance of the heating, ventilation, and air conditioning system	0 = No maintenance contract indicated 5 = Partial or Limited 10 = Full Maintenance	Schedule 9 – Q7

Appendix C: Sample Resolutions

The following is an example of resolution language the applying entity may use for the Resolutions required to be submitted with the grant application.

SAMPLES OF THE THREE REQUIRED RESOLUTIONS:

(1) RESOLVED that the [*local authorizing body*] authorizes the [*town/district/RESC/academy*] Board of Education to apply to the Commissioner of Administrative Services and to accept or reject a grant for the *HVAC IAQ Grant* at the [*school name*].

(2) RESOLVED that the [*building committee*] is hereby established as the building committee about the *HVAC IAQ Grant* at the [*school name*].

(3) RESOLVED that the [*local authorizing body*] authorizes at least the preparation of schematic drawings and outline specifications for the *HVAC IAQ Grant* at the [*school name*].

Date

Name and title of certifying individual

In accordance with Section __[Charter Reference]__ of the Charter of the City/Town of __[City/Town Name]__, I, __[Certifying Individual]__, on this __[Day]__ of __[Month and Year]__, do hereby certify the attached documentation to be a true and accurate copy of the City/Town of __[City/Town Name]__ [local authorizing body] "Summary Minutes" reflective of its meeting held on _____, _____, whereby it was voted to approve the following resolutions:

Resolution 1: Resolved that the [local authorizing body] authorizes the Board of Education to apply to the State of Connecticut Commissioner of Administrative Services and to accept or reject a grant for the proposed __[Name of School]__ __[Project Name]__ Project.

Resolution 2: Resolved that the proposed __[School Name]__ __[Project Name]__ Project is hereby assigned to the Board of Education's Building & School Facilities Committee (__[Committee Member Names]__).

Resolution 3: Resolved that the [local authorizing body] authorizes the preparation of schematic drawings and outline specifications for the proposed __[Name of School]__ __[Project Name]__ Project.

ATTEST: _____

[Printed name and title

of certifying individual]

attachments

Appendix D: Risk Assessment Questionnaire

Applicants will complete this Risk Assessment Questionnaire and upload the document as part of the application in CORE-CT. DAS will use the information provided in this questionnaire to complete a risk assessment. The Federal Uniform Guidance requires a Risk Assessment to be completed on all subrecipients of federal grant funds. The following questions will be answered as they pertain to the entity to which the State will make a grant award. Most often, the entity will be the municipality and not the specific school or district. The risk assessment will be used to determine the funding source (CSFRF or bond funds) and monitoring level.

Applicant Name: _____

1	Applicant UEI number (SAM.gov)	
2	Type of accounting system used by the entity?	<input type="checkbox"/> Automated/Electronic <input type="checkbox"/> Manual <input type="checkbox"/> Combination
3	How many years has the entity used the current electronic accounting system?	
4	Is the entity receiving an award from the State for the first time?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5	Does the entity have adequate and qualified staff to comply with the terms of a resulting Grant Agreement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Does the entity have experience with similar grant programs?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Does the entity have an accounting system that will allow it to completely and accurately track the receipt and disbursements of funds related to the award?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	Did the entity's key staff attend required training and meetings during prior grant awards?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9	Did the entity's key staff members respond to State requests timely during prior grant awards?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10	Did the entity have one or more audit findings in their last Single Audit regarding program non-compliance?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11	Did the entity have one or more audit findings in their last Single Audit regarding significant internal control deficiency?	<input type="checkbox"/> Yes <input type="checkbox"/> No
12	Was the entity audited by the Federal or State government in the prior year(s)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
12a	If YES, did the audit result in one or more audit findings? <i>(If answered no to 11, leave blank)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
13	Does the entity have written procurement policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No
14	Does the entity have experience with 2 CFR 200 Procurement Standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No

14a	Does the entity have written standards of conduct (policy) covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts?	<input type="checkbox"/> Yes <input type="checkbox"/> No
15	Does the entity have an understanding of and compliance with Uniform Guidance conflict of interest provisions?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Appendix E: Federal Grant Procurement Compliance Checklist (2 CFR 200)

This checklist is provided to assist federal grant applicants in complying with the federal requirements that procurements must meet to be considered eligible expenses. DAS will determine the funding source (federal funds or bond funds) based on the answers provided in the application and risk assessment. A federal grant recipient or subrecipient means a non-federal entity (NFE) such as a State, local government, Indian tribe, Institution of Higher Education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient.

Importantly, this checklist is intended to provide general guidance only and does not provide a detailed explanation of the Federal procurement requirements.

To understand the requirements fully, the user should review the provisions of 2 CFR 200 and the most current version of [Compliance and Reporting Guidance for State and Local Fiscal Recovery Funds](#) (v5.1 dated 6/6/2023).

GENERAL CONSIDERATIONS		
<input type="checkbox"/>	The entity has performed appropriate procurement planning to: <ul style="list-style-type: none"> • Avoid acquisition of unnecessary or duplicative items • Determine if consolidation or breaking out procurements is required to obtain a more economical purchase • Perform a lease versus purchase analysis or any other appropriate analysis to determine the most economical approach (where applicable) • Consider options for cooperative purchasing in coordination with other governmental entities • Determine availability of Federal surplus property to meet needs • Determine feasibility of incorporating value engineering clauses for construction contracts sufficient in size to offer reasonable opportunities for cost reductions 	.318(d), (e), (f) & (g)
<input type="checkbox"/>	If the procurement is a time and materials contract, the entity has: <ul style="list-style-type: none"> • Documented why no other contract is suitable for use • Ensured the contract has a ceiling not-to-exceed (NTE) cost • Ensured there are appropriate provisions for oversight of the contractor to obtain reasonable assurance that the contractor is using efficient methods and effective cost controls 	.318(j)
<input type="checkbox"/>	The procurement does not place unreasonable requirements on firms for them to qualify to do business.	.319(b)
<input type="checkbox"/>	The procurement does not require unnecessary experience and excessive bonding.	.319(b)
<input type="checkbox"/>	The procurement does not involve noncompetitive pricing practices between firms or affiliated companies.	.319(b)
<input type="checkbox"/>	The procurement does not involve noncompetitive contracts to consultants that are on retainer contracts.	.319(b)
<input type="checkbox"/>	The procurement does not specify only a “brand name” product and allows for “an equal” product.	.319(b)

<input type="checkbox"/>	The procurement does not involve any arbitrary action on the part of the entity in the procurement process.	.319(b)
<input type="checkbox"/>	The procurement does not include any local or geographical preferences. If it does, it must be removed except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Geographic preference may be an acceptable selection criterion in contracting for architectural and engineering (A/E) services as long as adequate competition is still available.	.319(c)
<input type="checkbox"/>	The procurement includes a clear and accurate description of the technical requirements for the material, product, or service to be procured	.319(d)
<input type="checkbox"/>	The procurement identifies all requirements the offerors must fulfill and all other factors to be used in evaluating bids or proposals.	.319(d)
<input type="checkbox"/>	Determine if the procurement uses a prequalified list of persons, firms, or products to acquire goods and services. If so, confirm that the list is current and includes enough qualified sources to ensure maximum open and free competition. Verify that potential offerors were not precluded from qualifying during the original solicitation period.	.319(e)
<input type="checkbox"/>	If the procurement is less than \$10,000, it may be awarded without soliciting competitive quotations. If the entity micro-purchase threshold is lower than the federal threshold, local entity policies and procedures must be followed. If the entity micro-purchase threshold is higher, the entity will need to refer to 2 CFR 200.320 (a) (1) (iv) and (v) for guidance.	.320(a)
<input type="checkbox"/>	If the procurement is less than \$250,000 it may be awarded by obtaining a minimum of three (3) quotes. If the entity simplified procurement threshold is lower than the federal threshold, local entity policies and procedures must be followed.	.320(a)
<input type="checkbox"/>	If the procurement is more than \$250,000 a formal procurement method must be utilized. If the entity formal procurement threshold is lower than the federal threshold, local entity policies and procedures must be followed.	.320(a)
<input type="checkbox"/>	If a noncompetitive procurement (including sole source) is being utilized, it must meet one of the following requirements: <ul style="list-style-type: none"> • The item is available only from a single source • The public exigency or emergency for the requirement will not permit a delay resulting from publicizing a competitive solicitation • The Federal awarding agency or pass-through entity expressly authorized a noncompetitive procurement in response to a written request from the entity • After solicitation of a number of sources, competition is determined inadequate 	.320(c)
<input type="checkbox"/>	The entity has included language and taken all necessary affirmative steps to assure that minority businesses, women's business enterprises, and labor surplus area firms are used when possible (see 2 CFR 200.321 (b) for details).	.321
<input type="checkbox"/>	The entity has included a domestic preference for the purchase, acquisition, or use of goods, products, or materials produced in the United States. This must also be included in any subawards and or subcontracts.	.322
<input type="checkbox"/>	For purchases of goods exceeding \$10,000, the entity has included language to ensure compliance with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act.	.323

<input type="checkbox"/>	For purchases exceeding \$250,000, the entity has performed an independent cost and price analysis.	.324(a)
<input type="checkbox"/>	The entity is not seeking to utilize a cost plus a percentage of cost and a percentage of construction cost contracting method.	.324(d)
<input type="checkbox"/>	The entity has provided the specifications or pre-procurement document to the Federal awarding agency for review, as may be requested or required by the award.	.325(a)
<input type="checkbox"/>	The entity has included the following bonding requirements for Construction or facility improvement contracts: <ul style="list-style-type: none"> the bonding policy and requirements of the non-Federal entity provided that the Federal awarding agency or pass-through entity has made a determination that the Federal interest is adequately protected; OR A bid guarantee from each bidder equivalent to five percent of the bid price; AND A performance bond on the part of the contractor for 100 percent of the contract price; AND A payment bond on the part of the contractor for 100 percent of the contract price 	.326
<input type="checkbox"/>	The entity has included all federal flowthrough contract provisions required by 2 CFR 200.327 (see attached).	.327
<input type="checkbox"/>	The entity has included all grant flowthrough contract provisions required by the grant award agreement (see attached).	Grant Award
<input type="checkbox"/>	The procurement meets all entity policies and procedures.	.320

Solicitation Award Considerations

<input type="checkbox"/>	The contract is being awarded to a responsible contractor possessing the ability to perform successfully under the terms and conditions of the proposed procurement, giving consideration to such matters as contractor integrity, compliance with public policy, a record of past performance, and financial and technical resources.	.318(h)
<input type="checkbox"/>	The contractor bidding on the contract was not involved with developing or drafting the specifications, requirements, statement of work, invitation for bids, or request for proposals. If so, that contractor must be excluded from competing for such procurements.	.319(b)
<input type="checkbox"/>	The entity has validated that the intended awardee is not debarred, suspended, or otherwise excluded from or ineligible for participation in Federal programs or activities.	.214
<input type="checkbox"/>	The entity has included all federal flowthrough contract provisions required by 2 CFR 200.327 (see attached).	.327
<input type="checkbox"/>	The entity has included all grant flowthrough contract provisions required by the grant award agreement (see attached).	Grant Award
<input type="checkbox"/>	The recipient is registered with the System for Award Management (SAM).	2 CFR 25

FOR FORMAL BIDS

<input type="checkbox"/>	The solicitation was publicly advertised.	.320(b)
<input type="checkbox"/>	An adequate number of suppliers were informed of the public posting by the entity.	.320(b)

<input type="checkbox"/>	Bids were opened at the time and place identified in the solicitation.	.320(b)
<input type="checkbox"/>	The contract is being awarded to the lowest responsive and responsible bidder.	.320(b)
<input type="checkbox"/>	The contract being awarded is a firm fixed-price contract.	.320(b)
<input type="checkbox"/>	The entity properly documented all reasons for any rejected bids.	.320(b)
FOR FORMAL PROPOSALS		
<input type="checkbox"/>	The solicitation was publicly advertised.	.320(b)
<input type="checkbox"/>	An adequate number of suppliers were informed of the public posting by the entity.	.320(b)
<input type="checkbox"/>	The entity had a documented process for evaluation of proposals that was completed prior to submission of proposals.	.320(b)
<input type="checkbox"/>	The contract is being awarded to the responsible offeror whose proposal is most advantageous to the entity, with price and other factors considered.	.320(b)



Appendix F: State Set Aside and Contract Compliance Requirements for the HVAC Indoor Air Quality Grant for Public Schools

Pursuant to Conn. Gen. Stat. § 4a-60 *et seq.*, this project (if using \$50,000 or more of State funds) is subject to the State’s set-aside and contract compliance requirements, which are administered by the Connecticut Commission on Human Rights and Opportunities (“CHRO”). Conn. Gen. Stat. § 4a-60g sets, for the contractor, a minimum goal of setting aside 25% of the state’s financial assistance for Connecticut-based Small Business Enterprises and 6.25% of the state’s financial assistance for Connecticut-based Minority Business Enterprises. **The Grantee must comply with the applicable CHRO requirements for this contract; requirements include, but are not limited to, those outlined below.** Further information can be found on [the CHRO’s website](#). Questions regarding these requirements are to be directed to Alvin Bingham (Alvin.Bingham@ct.gov; 860-541-4709), supervisor of the CHRO’s Contract Compliance Unit.

A few critical reminders:

1. The Grantee must “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials,” pursuant to Conn. Agencies Regs. § 46a-68j-30(9).
2. In the procurement/bidding process, the Grantee must include the [CHRO bid language](#). Print-only media should use the shorter version (i.e., “This contract is subject to state set-aside and contract compliance requirements.”). When in doubt, err on the side of more information, not less.
3. Bidders must complete the [Bidder Contract Compliance Monitoring Report](#).
4. The Grantee’s contract with the contractor must include the [CHRO contract language](#). This contract language must be included in all subcontracts for the project.
5. Once the contractor has been selected, the CHRO must be notified with the appropriate form. Complete the appropriate notification on municipal letterhead. Email the completed document to CHRO.AwardNotification@ct.gov.
 - a. In the subject line, include the Grantee’s name, the funding program, and the state project number (e.g., “Notice of Award – HVAC Indoor Air Quality Grants for Public Schools – **123-456** HVAC – **Grantee**”).
 - b. For projects with State funding of \$50,00.00–\$499,999.99, email the [Notification of Contract Award for Municipalities](#).
 - c. For projects with State funding of \geq \$500,000.00, send the [Intent to Award Contract](#) to the selected contractor. Prior to contract execution, email (a) a copy of the Intent to Award Contract and (b) the [Request to Execute Contract](#) to the CHRO.
6. Within thirty days of contract award, the Contractor must submit its project-specific [Set-Aside Plan](#) (\$50,00.00–\$499,999.99 of State funds) or [Affirmative Action Plan](#) (\geq \$500,000.00 of State funds) to the CHRO. The Contractor is highly encouraged to attend a [CHRO training session](#) prior to Plan submission. The Contractor must mail a hard copy of its Plan to
Contract Compliance Unit
Commission on Human Rights and Opportunities
450 Columbus Blvd, Ste. 2
Hartford, CT 06103
7. The Contractor must make good faith efforts to employ MBEs as subcontractors and suppliers of materials. Those good faith efforts will be verified by the CHRO in its review of the Contractor’s Set-Aside Plan or Affirmative Action Plan.
8. The CHRO is authorized to audit records regarding contract compliance at any time. Accordingly, project-related records are to be maintained.

REV20230823

Main (860) 541-3400 | Fax (860) 541-3432
portal.ct.gov/CHRO | Toll Free in Connecticut (800) 477-5737 | TDD (860) 541-3459
Affirmative Action / Equal Opportunity Employer

Appendix G: ASHRAE Recommendations for Reducing Airborne Infectious Aerosol Exposure

<https://www.ashrae.org/file%20library/technical%20resources/covid-19/core-recommendations-for-reducing-airborne-infectious-aerosol-exposure.pdf>

1. Public Health Guidance – Follow all current regulatory and statutory requirements and recommendations, including vaccination, wearing of masks and other personal protective equipment, social distancing, administrative measures, circulation of occupants, hygiene, and sanitation.

2. Ventilation, Filtration, Air Cleaning

2.1 Provide and maintain at least required minimum outdoor airflow rates for ventilation as specified by applicable codes and standards. (*VENTILATION*)

2.2 Use combinations of filters and air cleaners that achieve MERV 13 or better levels of performance for air recirculated by HVAC systems. (*FILTRATION*)

2.3 Only use air cleaners for which evidence of effectiveness and safety is clear. (*OTHER AIR CLEANING*)

2.4 Select control options, including standalone filters and air cleaners, that provide desired exposure reduction while minimizing associated energy penalties.

3. Air Distribution - Where directional airflow is not specifically required, or not recommended as the result of a risk assessment, promote mixing of space air without causing strong air currents that increase direct transmission from person-to-person.

4. HVAC System Operation

4.1 Maintain temperature and humidity design set points. (*AIR CONDITIONING*)

4.2 Maintain equivalent clean air supply required for design occupancy whenever anyone is present in the space served by a system.

4.3 When necessary to flush spaces between occupied periods, operate systems for a time required to achieve three air changes of equivalent clean air supply.

4.4 Limit re-entry of contaminated air that may re-enter the building from energy recovery devices, outdoor air, and other sources to acceptable levels.

5. System Commissioning – Verify that HVAC systems are functioning as designed.

Note

Items shown in bold fall within the scope of the HVAC school grant program. Text in (*italics*) has been added to categorize each provision by its underlying basic system. Heating isn't considered to be within the scope of indoor air quality, it is an indoor environmental quality metric. However, heating systems are included in the Appendix B: Evaluation Rubric scoring as Sec. 10-265r specially notes "heating", and heating systems are a necessity for any school in Connecticut.