





California Schools Healthy Air, Plumbing, and Efficiency Ventilation Program

HVAC Assessment and Maintenance Pathway

HVAC Assessment Report Worksheets October 2021

- 1. System Overview
- 2. Filtration System
- 3. Ventilation Rate
- 4. Economizer Operation
- 5. Demand Control Ventilation
- 6. Air Distribution and Building Pressure
- 7. General Maintenance
- 8. Operational Controls
- 9. CO₂ Monitoring

These worksheets are made available to help Program participants gather information for an HVAC Assessment Report as part of the California Schools Healthy Air, Plumbing, and Efficiency (CalSHAPE) Ventilation Program Assessment and Maintenance Grant. These worksheets are intended to be used for optional information gathering purposes only since completion of these worksheets does not constitute an HVAC Assessment Report. To comply with grant requirements and be eligible for funding, participants must submit an HVAC Assessment Report electronically by entering the required information through the CalSHAPE Online System as set forth in the most recent CalSHAPE Ventilation Program Guidelines.

These worksheets were designed and offered with a technician in mind that may not always have an electronic device to use when recording data. These worksheets can be printed out and then written on in the field. The information can later be typed into the required HVAC Assessment Report submitted electronically to the CalSHAPE Online System.

The CalSHAPE Ventilation Program Guidelines, these worksheets, and other program requirements such as a data reporting and processes are subject to change by the California Energy Commission, including but not limited to any changes to data reporting requirements from the California Public Utilities Commission. It is the participant's responsibility to use the most recent version of these worksheets and otherwise comply with the current requirements of the CalSHAPE Ventilation Program.

HVAC ASSESSMENT REPORT WORKSHEET 1 OVERVIEW



						THIRDY COMMISSION
--	--	--	--	--	--	-------------------

Building and Site Information:						
Building Address:						
Building Age: B	uilding Type:	Approximate S Space	quare Footage of Conditioned			
Climate Zone:	Utility Account N	umber:	Utility Meter Information:			
	HVAC Equ	ipment Details:				
Unit:						
Model Number:						
Serial Number:						
SEER Rating:						
Seasonal Energy						
Efficiency Ratio						
Refrigerant:						
	HVAC User Inp	outs and Set Poi	ints:			
Typical Weekly						
Occupancy Schedule:						
Typical Weekly HVAC		Typical Weekly	· · · · · · · · · · · · · · · · · · ·			
Thermostat Heating		Thermostat Cooling				
Setpoint:		Setpoint:				
Typical Weekly Fan Operation Schedule:						
<u> </u>	,					
Holiday/Break Weekl	У	Holiday/Break				
HVAC Thermostat		Weekly HVAC	a Phonon			
Heating Setpoint:		Thermostat Co Setpoint:	oling			
Holiday/Break Weekl Fan Operation Schedule:	У					
Typical Annual Term Schedule: (Dates of Terms)						

HVAC System Heating

HVAC System Cooling

HVAC System Supply

Drive, Variable Speed,

HVAC System Exhaust Fan Types: (Direct **Drive, Variable Speed,**

HVAC System Supply

Horsepower Ratings

HVAC System Return

Horsepower Ratings

Fan Types: (Direct

Pulleys/Belts)

Pulleys/Belts)

(hp) Based on

(hp) Based on Nameplate:

Nameplate:

Fan Motor

Fan Motor

Input Capacity

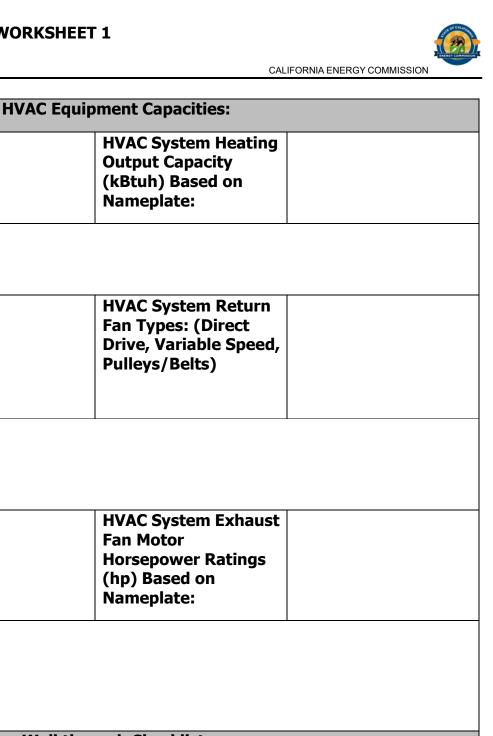
Nameplate:

Output)

(kBtuh) Based on

Capacity: (kBtuh

October 2021



Walkthrough Checklist: Filtration - Review system capacity and airflow to determine the highest Minimum Efficiency Reporting Value (MERV) filtration for eliminating contagions, replace or upgrade filters where needed, and verify that such filters are installed correctly. **Ventilation Rate** - Calculation of the required outside air rates for each occupied area based on the anticipated occupancy and physical verification that the ventilation rate meets or exceeds the minimum ventilation set forth by the local jurisdiction in all modes

Nameplate:

Fan Motor

(hp) Based on

Nameplate:

Outside Air

of operation.

Exhaust Air

HVAC ASSESSMENT REPORT WORKSHEET 1 OVERVIEW

October 2021 CALIFORNIA ENERGY COMMISSION



Ventilation System Operation - Physically test all ventilation components for proper
operation.
Economizer
Demand Control Ventilation
 Air Distribution - Verify all ventilation is reaching the served zone, how air isdistributed, and that there is adequate distribution. Inlet Total Outlet Total
Building Pressure - Verify a slight positive building pressure and a negative pressure for contaminant rooms temporarily occupied by sick patrons.
General Maintenance. Verify coil condition, condensate drainage, cooling coil air temperature differential (entering and leaving dry bulb), heat exchanger operation, and drive assembly. Recommendations for additional maintenance, replacement or upgrades shall be recorded in the HVAC Assessment Report
Operational Controls - Review of HVAC control sequences to verify systems will maintain intended ventilation, temperature, and humidity conditions during operation. Verify ventilation systems are programmed to flush the building for 2 hours prior and following occupancy.
CO₂ Monitoring - To ensure proper ventilation is maintained during building operation, at least one CO ₂ monitor shall be installed in each zone of the building.
HVAC Assessment Report - Preparation of an HVAC Assessment Report that includes documentation of all verifications and deficiencies.
Energy and Ventilation Upgrades - Upon completion of the HVAC Assessment Report, a Mechanical Engineer shall review and determine if upgrades can be made to the HVAC system to increase energy efficiency, filtration, disinfection, and ventilation.

HVAC ASSESSMENT REPORT WORKSHEET 2 FILTRATION



	xisting Filt	er Data						
Document	rating of exi	sting filt	ers.					
Document	filters size/d	lepth/qu	antity.					
	·	. , ,	,					
Size:		Depth:			Quantity:		MERV:	
Cina		Danabla			O a akib		MEDV.	
Size:		Depth:			Quantity:		MERV:	
					(Yes or No) <i>If I</i>			
	deficie. repair.	•	take ar	ny measu	urements requir	ed to ma	nke the	
					free of any ope			
					reated air to by the deficiency a			
	measu	ırement	s requii	red to m	ake the repair.		ŕ	
					control (ECM, V		-	
		Docume applicab		eplate ai	nd installed con	nponents	sas	
Motor								
Manufactu	ırer =		Model	=		Phase	=	
HP =			Frame	=		RPM =	RPM =	
HZ =		Servic	e Factor	=	Amps =			
Volts = E		ECM =						
Drive Assembly Be		Belt D	riven \square		Direct	Drive □		
Belt(s) Number=		Belt Ty	ype=		Belt Le	ngth:		
Center to 0	Center =							
Motor Sheave	Model:			Shaft S	ize:	Position	n (if Variable)	:
Fan Sheav	e Model:			Shaft S	ize:			

HVAC ASSESSMENT REPORT WORKSHEET 2 FILTRATION



Variable Frequen (VFD)	ncy Drive	(Yes or No)		
Manufacturer =		Model =	Operating Hz:	
				or High Fan Speed In. w.c.
	 With unit operating at full cooling, or high fan speed, what is the filter pressure drop? 			
MERV 13	Verification	on		
• N	MERV 13 or	better filtration is installed. (Yes	or No)	
f. F	following ste Reporting Va	or better filtration is not installed ps to determine the highest Min Ilue (MERV) filtration that can be pacting equipment.	imum Efficiency	
• (xisting filters new and final pres	sure drop from	
S	speed,and di	unit to provide full cooling, or hi isable the economizer.		
S	With the existatic pressu MotorRPM, v	nd document a an RPM,		
ESP Δ =		TSP Δ =	Filter SP $\Delta =$	
Fan RPM =		Motor RPM =	Mixed Air (RA+OSA) Temp =
Supply Temp =		Voltage =	Amps =	
Hertz (Hz) =				
t ii r • F	the maximur mpacting eq measured or Primary Meth changein airl Secondary M	eviously recorded data as a base of filter pressure drop, without a puipment, by adding material to calculated airflow drops by no mod to verify airflow - Directly material accessible and efficient. We had - Calculate the change in $CFM_O \times \frac{\sqrt{SP_N}}{SP_O}$	dversely the filter until the more than 5%. ¹ leasure the la airflow	In. w.c
S F S	static pressu	ximum pressure drop achieved, re profile, temperature profile, fe amps, and note the ability to inded.	an RPM, Motor ncrease fan	
ESP Δ =		TSP Δ =	Filter SP Δ =	
Fan RPM =		Motor RPM =	Mixed Air (RA+OSA	a) Temp =
Supply Temp =		Voltage =	Amps =	

¹ 5% recommendation and maximum pressure drop determination steps derived from: ASHRAE, ASHRAE Epidemic Task Force: Building Readiness (updated May 22, 2020) (https://www.ashrae.org/file%20library/technical%20resources/covid-19/ashrae-building-readiness.pdf)

HVAC ASSESSMENT REPORT WORKSHEET 2 FILTRATION



Hertz (Hz) =			
•	within manu Minimum Cf	lume, under maximum pressure drop condition, is ufacturers specifications. Commonly specified as: M per ton (or) upply Air Temperature	
•		e, document and take any measurements required the filter frames to accommodate deeper filters.	
•	assessment	ded material and provide documentation in the report so a licensed professional can determine the RV filtration that can be installed with the existing	
•		unit to normal operation and enable the	
	economizer.		
•	Include rele	vant photographic documentation	
Ultraviolet Ger	micidal Irra	diation	
Replacement Wattage	•		
Replacement Quantity	•		

HVAC ASSESSMENT REPORT WORKSHEET 3 VENTILATION RATE

October 2021 CALIFORNIA ENERGY COMMISSION

|--|--|

		D 1 10 111		221			
	Determine Minimum	-				1	
If available, obtain the design documents and obtain the minimum							
required OSA							
							CFM
	Determine if the	zones actual use and	OCCI	inancy mate	hes the		
					iles tile		
designs expected use and occupancy (Yes or No)							
Original Occupancy (Design): Occupancy Category (Use): Occupancy:						cy.	
	s original occupancy de		<i>(</i> 1.1				
	ccupancy	Occupancy Category	(Use	:):	Occupan	cy:	
How was	s actual occupancy dete	l l					
	 If Yes, proceed to 	to outside air measure	men	ts.			
	If No. calculate to	the new minimum outs	cido :	air rato hace	n ASH	DAE	
	•	20.1-A of the 2019 Title				IVAL	
		y Standards, as require			_	_	CFM
		end of document	eu by	your local	jurisuictioi	1	CITI
	3 See Example at	cha or accament					
	Verify Minimum Re	auired Outside Air (OSA)			
Steps			(00/	-)	С	AV	VAV
Otopo	Disable demand contr	rol ventilation		□ Check			0,10
1	(if applicable)	or ventulation		if NA			
	, , , ,	conomizor modo durine					
2	Verify unit is not in economizer mode during test						
3	(economizer disabled)						
J	CAV and VAV testing at full supply airflow Adjust supply air to achieve design airflow or maximum						
a.		cnieve design airtiow o	or ma	aximum			
b.	airflow at full cooling Measured outdoor air	flow roading (cfm)				cfm	cfm
		<u> </u>				cfm	cfm
C.	Required outdoor airf		c II		_	CIIII	CIIII
d.		amper to stabilize afte	er Tull	supply			
	airflow is achieved (m	,					min
4	VAV testing at reduce	' ' '					Г
a.		to either the sum of the					
	I =	iting, or 30% of the to	ital d	esign			_
	airflow	Cl !: (C)					
b.	Measured outdoor airflow reading (cfm)					cfm	
С.	Required outdoor airf	low (cfm)					cfm
d.	Time for outside air d	amper to stabilize afte	er rec	luced			
u.	supplyairflow is achie	ved (minutes):					min
5	Return to initial condi-	tions					
6	Calculations						
Determin	ne Percent Outside Air	at full supply airflow (%OA	FA) for Step	3.		
	T T T T T T T T T T T T T T T T T T T	utdoor airflow reading					
a.	outdoorairflow.	- · · · · · · · · · · · · · · · · · · ·	,	•		%	%
2	100 x (Step3b/Step3c)						

HVAC ASSESSMENT REPORT WORKSHEET 3 VENTILATION RATE

October 2021 CALIFORNIA ENERGY COMMISSION



b.	%OA _{FA} is within 10% of design Outside Air. (90% \leq %OA _{FA} \leq 110%) (Pass or Fail)		
C.	Outside air damper position stabilizes within 5 minutes. (Step 3d < 5 minutes) (Pass or Fail)		
VAV on	ly: Determine Percent Outside Air at reduced supply airflow (%OAi	RA) for Step 4.	
a.	$\%OA_{RA}$ = Measured outdoor airflow reading /Required outdoor airflow reading. $100 \times (Step4b/Step4c)$		%
b.	%OA _{RA} is within 10% of design Outside Air. (90% \leq OA _{RA} \leq 110%) (Pass or Fail)		
C.	Outside air damper position stabilizes within 5 minutes. (Step 4d < 5 minutes) (Pass or Fail)		

increased Outside Air
 Document if the ventilation components can provide increased outside air if recommended.
Document unit model and serial number
 Provide documentation, including relevant photographic documentation, in the assessment report so a licensed professional can determine if the minimum outside air can should be increased and can be without compromising the system's ability to maintain space conditions and pressurization.

Sample calculation of a new minimum outside air rate based on ASHRAE 62.1 or Table 120.1-A of the 2019 Title 24 California Building Energy Efficiency Standards, as required by your local jurisdiction.

• Sample requirement for a 900 square foot meeting room or assembly area.

Standard	Method	15 People	25 People	35 People
ASHRAE 62.1	$10 \ CFM/person + 0.12 \ CFM/ft^2$	258	358	458
2019		CFM	CFM	CFM
California T24	15 CFM/person Use Larger	225	375	525
(2019)		CFM	CFM	CFM
California Title	0.38 CFM/ft ²	342	342	342
24 (2019)		CFM	CFM	CFM

HVAC ASSESSMENT REPORT WORKSHEET 4 ECONOMIZER OPERATION

October 2021

CALIFORNIA ENERGY COMMISSION

Economizer Information:								
F								
Econom	lizer i e	emperature:	1	Economizer Enthalpy:				
Single o	or Diffe	rential:	C	Demand Control Ventilation: (Yes or No)				
Econom	nizer Co	ontrol Type:	E	Economizer Changeover Setpoint:				
		Minimum osition:	,					
☐ Verif	y Econ	omizer Opera	tion					
Step	Passing design	-	ies the DCV a	and associated CO ₂ sensor operates as	Results (Pass, Fail, NA)			
Step 1:				n systems (if applicable)				
Step 2:	Enable the economizer and simulate a cooling demand large enough to drive the economizer fully open (record all of the following):							
	a. Economizer damper modulates 100% open and that the return air damper modulates 100% closed.							
	b.	All applicable building press		npers operate as intended to maintain				
	C.	The unit heat	ing is disable	d (if applicable).				
Step 3:	Disable			ate a cooling demand (record all of the follo	wing):			
	a.			to its minimum position.				
	b.	All applicable building press		npers operate as intended to maintain				
	C.			d (if unit has heating capability).				
Step 4:	capabl	_	(i.e., actual o	ulate a heating demand and set economizer outdoor air conditions are below lockout set				
	a.	Economizer is		position.				
	b.	Return air da	mper opens.					
Step 5:	Turn o	ff the unit. Rec	ord if the Eco	onomizer damper closes completely.				
Step 6:		e demand cont les initiated.	rol ventilatior	n systems (if applicable) and remove all sys	stem			
Step 7:		mizer functions		` '				
	•	Document Rec	uired Repairs rmation requ	s designed and requires adjustment or repa s and Adjustments iired for a repair or adjustment (i.e. measur				
	Include relevant photographic documentation							

HVAC ASSESSMENT REPORT WORKSHEET 5 DEMAND CONTROL VENTILATION OPERATION

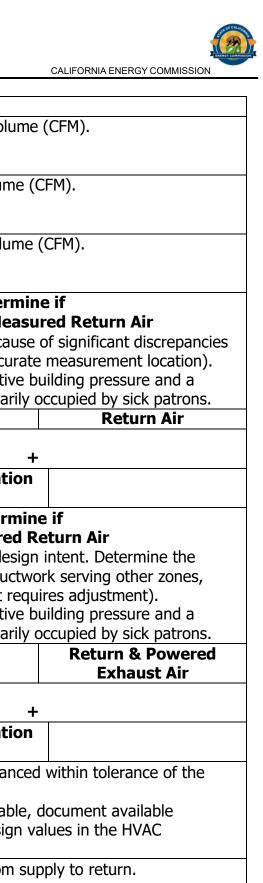
OCTOBER 2021



	Verify DCV Operation			
Step	Passing this test verifies the DCV and associated CO ₂ sensor operates as designed.	Results		
1	Prior to functional testing, record the following:			
a.				
b.	Set CO ₂ concentration setpoint at 800 ppm or less. ¹	ppm		
2	Simulate a signal at or slightly above the CO ₂ concentration setpoint required (Step 1b).			
a.	setpoint to the sensor.	ppm		
b.	For single zone units, verify that the outdoor air damper modulates open to satisfy the total required ventilation air called for in the Mechanical Schedule. (P/F/NA)			
C.	For multiple zone units, the zone damper (or outdoor air damper when applicable) modulates open to satisfy the zone ventilation requirements. (P/F/NA)			
3	Simulate signal well below the CO ₂ setpoint.			
a.	Apply CO ₂ calibration gas at a concentration well below the setpoint to the sensor or ventilate the sensor as necessary.	ppm		
b.	For single zone units, outdoor air damper modulates to the design minimum value. (P/F/NA)			
c.	For multiple zone units, the zone damper (or outdoor air damper when applicable) modulates to satisfy the reduced zone ventilation requirements. (P/F/NA)			
4	Verify DCV operation with economizer			
a.	Restore economizer controls and remove all system overrides initiated during the test.			
b.	the sensor.	ppm		
C.	Verify that the outdoor air damper modulates open to satisfy the total ventilation required air. (P/F)			
5	Remove all system overrides initiated during the test and return system to normal operation.			
Y/N	DCV functions as designed with a setpoint of 800 ppm ¹			
	 If No, and the DCV requires adjustment or repairs: Document Required Repairs and Adjustments Document information required for a repair or adjustment (i.e. measurements, model, serial, etc.) 			
Include relevant photographic documentation				
If the	demand control ventilation system does not maintain average daily maximu	m CO ₂ levelsbelow		
1.100	ppm, it shall be disabled until such time as the LEA determines that the COV	/ID-19		

crisis has passed, unless disabling the control would adversely affect operation of the overall system.

¹ The CO₂ set point of 800 ppm is recommended by the UC Davis Western Cooling Efficiency Center. The purpose of the 800 ppm set point for demand control ventilation systems is to prevent the automated control system from overshooting a maximum 1,100 ppm CO₂ concentration.



Verify Air Distribution and Building Pressurization						
	Supply Outlets –				ply air volume	(CFM).
	Include individual outlet test report					
	Include duct					
	Return Inlets – Me				n air volume (CFM).
	Include indivi					
	Include duct			•		(0514)
	Exhaust Inlets - M				rn air volume	(CFM).
	Include indivi Include duet				اماما	
	Include duct Include duct			•	•	- if
	With Power Exhau		_			
	Measured Supply					of significant discrepancies
						e measurement location).
						uilding pressure and a
						occupied by sick patrons.
	Supply Air	3010 101 001		Outsid		Return Air
	Supply All			Outsid	IC All	Return An
		=	=		+	
Buildir	ng or Zone			In	In relation	
Pressu	_			w.c.	to:	
	With Power Exhau	ıst enable	d (if a			e if
	Measured Supply		-			
			_			intent. Determine the
					_	ork serving other zones,
						ires adjustment).
						uilding pressure and a
						occupied by sick patrons.
	Supply Air			Outsid		Return & Powered
						Exhaust Air
		=	•		+	
	ng or Zone			In	In relation	
Pressu	- <u>-</u>			W.C.	to:	
(Y/N)		•				d within tolerance of the
	system design as listed within design documents.					
	If the original system design values are not available, document available					
	information and note unavailability of system design values in the HVAC					
	Assessment Report.					
	Air Distribution Notes. – Note how the air moves from supply to return.					
	Repairs and Adjustment.					
	Document Required Repairs and Adjustments					
	Include relevant photographic documentation					

HVAC ASSESSMENT REPORT WORKSHEET 7 GENERAL MAINTENANCE



Verify (General Mai	ntenance			
	Verify coil condition - Note downstream and upstream condition				
	Verify condensate drainage				
	Temperature Differential - Measure and Document cooling coil air temperature differential (entering and leaving dry bulb) • If applicable, measure GPM				
	Verify heat exchanger operation – Measure and document air temperature differential (entering and leaving dry bulb) • If applicable, measure GPM				
	Verify con	dition of drive asse	mbly . (if applicable)		
	Deficiencies - Document deficiencies, general condition of unit, and make recommendations for additional maintenance, replacement, or upgrades.				
	Repairs and Adjustment. • Document Required Repairs and Adjustments				
	Include relevant photographic documentation				
		Conditi	oning Unit Details:		
Pre-Mo	dification				
Pre-Modification			Pre-Modification		
Unit Airflow:			Unit Supply Fan		
			Power:		
Pre-Modification			Pre-Modification		
Unit Return Fan			Unit Exhaust Fan		
Power:			Power:		
Post-M	odification	,			
Post-Modification			Post-Modification		
Unit Airflow:			Unit Supply Fan		
			Power:		
Post-Modification			Post-Modification		
Unit Return Fan			Unit Exhaust Fan		
Power:			Power:		

HVAC ASSESSMENT REPORT WORKSHEET 8 OPERATIONAL CONTROLS



October 2021 CALIFO

Review control sequences to verify systems will maintain intended conditions during building operation.					
	Temperature – Setpoints match design.				
Setpoint		Design			
	 Humidity (if applicable) – Setpoints match design. Licensed professional to determine if setpoint should be adjusted to maintain a relative humidity between 40% and 60%. 				
Setpoin	t	Design			
Ventila	tion Schedule Operation				
	 Ventilation operates continuously during occupied hours. Occupied hours to include all hours building is occupied by staff or patrons (i.e. teachers, security, janitorial staff, night shift, etc.). Includes all exhaust fans and fans used to distribute outside air. 				
	 Verify a daily flush is scheduled for 2 hours before and after scheduled occupancy (or) Demonstrate calculation of time for 3 air changes to reduce concentration of airborne infectious particles by 95% per ASHRAE Guidance for Building Readiness¹ or otherwise applicable local or state guidance Calculated Flush Time = 				
		ncies, options for adjustment (i.e. Humidity) and naintenance, replacement or upgrades.			
	Include relevant screenshots and	photographic documentation			

¹ ASHRAE, ASHRAE Epidemic Task Force: Building Readiness (updated May 22, 2020) (https://www.ashrae.org/file%20library/technical%20resources/covid-19/ashrae-building-readiness.pdf)

STATE OF CALIFORNIA

HVAC ASSESSMENT REPORT WORKSHEET 9 CO2 MONITORING

October 2021 CALIFO



	 Verify installation or install a CO₂ monitor. All classrooms shall be equipped with a CO₂ monitor. 				
	CO2 monitors sl	•	pped with a CO ₂ momen.		
	Be hard-wired or plugged-in and mounted to the wall between 3 – 6 feet above the floor and at least 5 feet away from the door and operable windows.				
	Display the CO ₂ readings to the occupants through a display on the device or other means such as a web-based application or cell-phone application.				
	Notify the building operator through visual indicator on the monitor (e.g. indicator light) or other alert such as e-mail, text, or cell phone application, when the CO ₂ levels have exceeded 1,100 ppm.				
	Maintain a record of previous data which includes at least the maximum CO ₂ concentration measured.				
	Have a range of 400 ppm to 2000 ppm or greater.				
	Be certified by the manufacturer to be accurate within 75 ppm at 1,000 ppm CO ₂ concentration and is certified by the manufacturer to require calibration no more frequently than once every five years.				
	Is a CO ₂ monitor installed that meets the required features listed above? (Yes or No)				
	If installed but lacking required features, what features are missing?				
	If installed, document CO ₂ monitor nameplate data.				
Manufacturer:		Model:			
Serial:					
Include relevant photographic doc					
Fan Output Verification:					
		Post-Modification Fan Power:			