





#### 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. CO<sub>2</sub> 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**





Building and Site Information:					
<b>Building Address:</b>					
Building Age:	Build	ding 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	nts:	
Typical Weekly Occupancy Schedu	le:				
Typical Weekly HV Thermostat Heatin Setpoint:			Typical Weekly Thermostat Co Setpoint:		
Typical Weekly Far Operation Schedul				<u>'</u>	
Holiday/Break We HVAC Thermostat Heating Setpoint:	ekly		Holiday/Break Weekly HVAC Thermostat Co Setpoint:		
Holiday/Break We Fan Operation Schedule:	ekly			<u>'</u>	
Typical Annual Ter 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** 

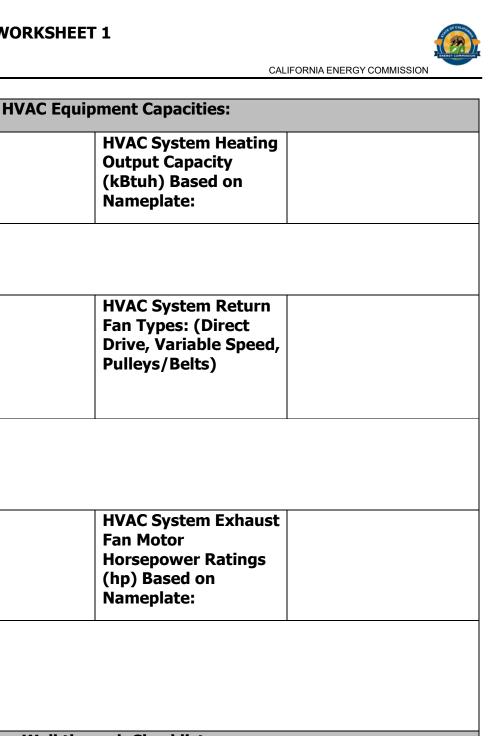
Nameplate:

Output)

(kBtuh) Based on

Capacity: (kBtuh

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#### **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**

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<b>Ventilation System Operation</b> - Physically test all ventilation components for proper
operation.
Economizer
 Demand Control Ventilation
<ul> <li>Air Distribution - Verify all ventilation is reaching the served zone, how air isdistributed, and that there is adequate distribution.</li> <li>Inlet Total</li> <li>Outlet Total</li> </ul>
<b>Building Pressure -</b> Verify a slight positive building pressure and a negative pressure for contaminant rooms temporarily occupied by sick patrons.
<b>General Maintenance.</b> 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
<b>Operational Controls -</b> 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.
<b>CO<sub>2</sub> Monitoring</b> - To ensure proper ventilation is maintained during building operation, at least one CO <sub>2</sub> monitor shall be installed in each zone of the building.
<b>HVAC Assessment Report -</b> Preparation of an HVAC Assessment Report that includes documentation of all verifications and deficiencies.
<b>Energy and Ventilation Upgrades -</b> 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	Document rating of existing filters.							
Document	filters size/d	lepth/qu	antity.					
	,	. , .	,					
Size:		Depth:			Quantity:		MERV:	
C:		Dantha			O Lib		MEDV	
Size:		Depth:			Quantity:		MERV:	
	Is the f	l filter inst	alled co	orrectly?	(Yes or No) <i>If I</i>	not docu	ment the	
		ncy and			urements requir			
					free of any ope			
					reated air to by the deficiency a			
	-	-			ake the repair.	arra tarre	arry	
					control (ECM, V		-	
		Docume applicab		eplate a	nd installed con	nponents	sas	
Motor								
Manufactu	ırer =		Model	=		Phase	=	
HP = Frame				RPM =				
		e Factor	=	Amps :	=			
Volts = ECM =		(Y/ <u>N)</u>						
<b>Drive Assembly</b> Belt D		riven 🗆		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



Variabl (VFD)	e Frequ	ency Drive	(Yes or No)		
Manufac	cturer =		Model =	Operating Hz:  • Full cooling of	or High Fan Speed
<ul> <li>With unit operating at full cooling, or high fan speed, what is the filter pressure drop?</li> </ul>					In. w.c.
	MERV	13 Verificati	on		
	•	MERV 13 or	better filtration is installed. (Yes	or No)	
	•	If MERV 13 (	or better filtration is not installed	d, perform the	
		_	ps to determine the highest Mir	-	
			alue (MERV) filtration that can b	e installed without	
		<b>.</b>	pacting equipment.		
	•	themanufact	xisting filters new and final pres	ssure arop from	
	•		unit to provide full cooling, or hi	ah fan	
	·		isable the economizer.	girian	
	•		sting filters installed, perform, a	nd document a	
			re profile, temperature profile, f		
		•	oltage, and amps.	·	
ESP ∆ =	:		TSP Δ =	Filter SP $\Delta =$	
Fan RPM	1 =		Motor RPM =	Mixed Air (RA+OSA	) Temp =
Supply 7	Гетр =		Voltage =	Amps =	
Hertz (H	lz) =				
	•	Using the pr	eviously recorded data as a bas	eline, determine	
			m filter pressure drop, without a		
			uipment, by adding material to		In. w.c
			calculated airflow drops by no		
	•		hod to verify airflow - Directly m	leasure the	
	•	_	flow if accessible and efficient. Iethod – Calculate the change ir	airflow	
	•			i aii ii Ovv	
		$\circ$ CFM <sub>N</sub>	$= CFM_O \times \frac{\sqrt{SP_N}}{SP_O}$		
	•	With the ma	ximum pressure drop achieved,	document	
static pressure profile, temperature profile, fan RPM, Motor					
•			e amps, and note the ability to i	-	
		speed if nee		T -	
ESP Δ =			TSP Δ =	Filter SP Δ =	
Fan RPM	1 =		Motor RPM =	Mixed Air (RA+OSA	a) Temp =
Supply 7	Геmp =		Voltage =	Amps =	

<sup>&</sup>lt;sup>1</sup> 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

outdoorairflow. 100 x (Step3b/Step3c)

a.

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%

%

	Determine Minimum Required Outside	e Air (OSA)		
	CFM			
	Determine if the zones actual use ar	nd occupancy mate	thes the	
	designs expected use and occupance			
Original	Occupancy (Design): Occupancy Categor		Occupancy:	
	, , , , , , , , , , , , , , , , , , , ,	, ()	,	
How was	s original occupancy determined?			
	ccupancy Occupancy Category	rv (Use):	Occupancy:	
	s actual occupancy determined?	., (333).	о острано,	
	If Yes, proceed to outside air measurements	rements.		
	<ul> <li>If No, calculate the new minimum or</li> </ul>			
	62.1 or Table 120.1-A of the 2019 T		9	
	Energy Efficiency Standards, as requ	ired by your local	jurisdiction	CFM
	<ul> <li>See Example at end of document</li> </ul>			
	Vorify Minimum Doguirod Outside Ai	- (OCA)		
Ctone	Verify Minimum Required Outside Ai	r (USA)	CAV	VAV
Steps	Disable descend sectors of the secto	Charalta	CAV	VAV
1	Disable demand control ventilation	☐ Check if NA		
	(if applicable)			
2	Verify unit is not in economizer mode dur	ing test		
3	(economizer disabled) CAV and VAV testing at full supply airflow	,		
3				
a.	Adjust supply air to achieve design airflov airflow at full cooling	v or maximum		
b.	Measured outdoor airflow reading (cfm)		cfr	m cfm
c.	Required outdoor airflow (cfm)		cfr	m cfm
7	Time for outside air damper to stabilize a	fter full supply		
d.	airflow is achieved (minutes):			min
4	VAV testing at reduced supply airflow			
а.	Adjust supply airflow to either the sum of zone airflows, full heating, or 30% of the			
	airflow	total acoign		
b.	Measured outdoor airflow reading (cfm)			cfm
C.	Required outdoor airflow (cfm)			cfm
	Time for outside air damper to stabilize a	fter reduced		9
d.	supplyairflow is achieved (minutes):	ito. I caacca		min
5	Return to initial conditions			
6	Calculations			
	ne Percent Outside Air at full supply airflow	(%OA <sub>FA</sub> ) for Step	3.	
	${}^{\circ}_{\circ}OA_{FA}$ = Measured outdoor airflow readi	· · · · · · · · · · · · · · · · · · ·		

#### HVAC ASSESSMENT REPORT WORKSHEET 3 VENTILATION RATE

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b.	%OA <sub>FA</sub> is within 10% of design Outside Air. (90% $\leq$ %OA <sub>FA</sub> $\leq$ 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 (%OA	(A) 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	e Air	
	the ventilation components can provide increased recommended.	
Document un	it model and serial number	
documentation can determine and can be w	mentation, including relevant photographic on, in the assessment report so a licensed professional e if the minimum outside air can should be increased vithout compromising the system's ability to maintain ons 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 <sup>2</sup>	342	342	342
24 (2019)		CFM	CFM	CFM

# **HVAC ASSESSMENT REPORT WORKSHEET 4 ECONOMIZER OPERATION**

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	Economizer Information:					
F	: T-		1.	Passassinas Poetkaloss	T	
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 <sub>2</sub> 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):				the	
	a. Economizer damper modulates 100% open and that the return air damper modulates 100% closed.					
	b. All applicable fans and dampers operate as intended to maintain building pressure.					
	c. The unit heating is disabled (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:	Restore demand control ventilation systems (if applicable) and remove all system					
Step 7:		mizer functions		` '		
	If economizer does not function as designed and requires adjustment or repairs:					
	•	Include relevar	nt photograph	nic documentation		

#### HVAC ASSESSMENT REPORT WORKSHEET 5 DEMAND CONTROL VENTILATION OPERATION

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	Verify DCV Operation	
Step	Passing this test verifies the DCV and associated CO <sub>2</sub> sensor operates as designed.	Results
1	Prior to functional testing, record the following:	
a.	Disable economizer controls.	
b.	Set CO <sub>2</sub> concentration setpoint at 800 ppm or less. <sup>1</sup>	ppm
2	Simulate a signal at or slightly above the CO <sub>2</sub> 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 <sub>2</sub> setpoint.	
a.	Apply CO <sub>2</sub> calibration gas at a concentration well below the setpoint to the sensor or ventilate the sensor as necessary.	ppm
b.	Hillillium value. (P/P/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.	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 <sup>1</sup>	
	<ul> <li>If No, and the DCV requires adjustment or repairs:         <ul> <li>Document Required Repairs and Adjustments</li> <li>Document information required for a repair or adjustment (i.e. mea model, serial, etc.)</li> </ul> </li> </ul>	surements,
TC ::	Include relevant photographic documentation	
1,100	demand control ventilation system does not maintain average daily maximu ppm, it shall be disabled until such time as the LEA determines that the COVnas passed, unless disabling the control would adversely affect operation of n.	VID-19

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.



<del></del>	Verify Air Distribution and Building Pressurization								
	Supply Outlets – Measure and document supply air volume (CFM).								
	<ul> <li>Include individual outlet test report</li> <li>Include duct pitot traverse report (if available)</li> </ul>								
	Return Inlets – Measure and document return air volume (CFM).								
				ii aii voiuille (C	a 141 <i>)</i> .				
	Include indiv     Include duct			ilabla)					
		•	se report (if ava		CEM)				
	Exhaust Inlets –			irn air volume (	CFM).				
	Include individual inlet test report								
	<ul> <li>Include duct pitot traverse report (if available)</li> <li>With Power Exhaust disabled (if applicable), determine if</li> </ul>								
	Measured Supply								
					of significant discrepancies				
	` _ `		_	•	measurement location).				
					uilding pressure and a				
	<u> </u>	ssure for cor			ccupied by sick patrons.				
	Supply Air		Outsid	de Air	Return Air				
		=		+					
Buildi	ing or Zone		In	In relation					
<u>Press</u>	ure		w.c.	to:					
		ust enable	With Power Exhaust enabled (if applicable), determine if						
	Measured Supply Air slightly greater than Measured Return Air								
			_						
_	Document as	ny discrepan	cies that do not	match design	intent. Determine the				
	Document as cause of sign	ny discrepana nificant discre	cies that do not epancies (i.e. le	t match design akage, ductwo	intent. Determine the rk serving other zones,				
	<ul> <li>Document as cause of sign inaccurate m</li> </ul>	ny discrepan nificant discre neasurement	cies that do not epancies (i.e. le location, powe	t match design eakage, ductwo r exhaust requi	intent. Determine the rk serving other zones, res adjustment).				
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## HVAC ASSESSMENT REPORT WORKSHEET 7 GENERAL MAINTENANCE



Verify General Maintenance						
	Verify coil condition - Note downstream and upstream condition					
	Verify con	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 condition of drive assembly. (if applicable)					
	<b>Deficiencies</b> - 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					
		Conditio	ning Unit Details:			
	dification					
Pre-Modification			Pre-Modification			
Unit Airflow:			Unit Supply Fan			
			Power:			
Pre-Modification			Pre-Modification			
Unit Return Fan			Unit Exhaust Fan			
Power:			Power:			
Post-Modification						
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



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	or control sequences to verify systems will maintain intended conditions during goperation.
	<b>Temperature</b> – Setpoints match design.
Setpoi	nt Design
	<ul> <li>Humidity (if applicable) – Setpoints match design.</li> <li>Licensed professional to determine if setpoint should be adjusted to maintain a relative humidity between 40% and 60%.</li> </ul>
Setpoi	nt Design
Ventila	tion Schedule Operation
	<ul> <li>Ventilation operates continuously during occupied hours.</li> <li>Occupied hours to include all hours building is occupied by staff or patrons (i.e. teachers, security, janitorial staff, night shift, etc.).</li> <li>Includes all exhaust fans and fans used to distribute outside air.</li> </ul>
	<ul> <li>Verify a daily flush is scheduled for 2 hours before and after scheduled occupancy (or)</li> <li>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</li> <li>Calculated Flush Time =</li> </ul>
	<b>Deficiencies</b> - Document deficiencies, options for adjustment (i.e. Humidity) and recommendations for additional maintenance, replacement or upgrades.
	Include relevant screenshots and photographic documentation

<sup>&</sup>lt;sup>1</sup> 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)

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# **HVAC ASSESSMENT REPORT WORKSHEET 9 CO2 MONITORING**

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	<ul> <li>Verify installation or install a CO<sub>2</sub> monitor.</li> <li>All classrooms shall be equipped with a CO<sub>2</sub> monitor.</li> </ul>				
	CO2 monitors sl	•	pped with a CO <sub>2</sub> momeon.		
	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 <sub>2</sub> 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 <sub>2</sub> levels have exceeded 1,100 ppm.				
	Maintain a record of previous data which includes at least the maximum CO <sub>2</sub> 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 <sub>2</sub> concentration and is certified by the manufacturer to require calibration no more frequently than once every five years.				
	Is a CO <sub>2</sub> 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 <sub>2</sub> monitor nameplate data.				
Manufacturer:		Model:			
Serial:					
	Include relevant photographic do				
		Fan O	utput Verification:	-	
Pre-Modification Fan Power:		Post-Modification Fan Power:			