
MULTI-FAMILY REVIEW PROTOCOL

INTRODUCTION

Pursuant to DOE Guidance, any Grantee that does not have a DOE approved multi-family energy audit process, must submit ALL multi-family projects that include 5-24 units per building having a centralized heating/cooling system, or projects that have 25+ units per building for DOE evaluation and approval by the DOE Project Officer prior to any weatherization work being done. Projects with 2-4 units per building are to be treated as single-family units and do not require DOE Project Officer approval. Multi-family projects with 5-24 units per building that are individually heated/cooled (also known as *distributed* heating/cooling) may be evaluated using the Grantee's single-family audit tool (if it has been approved by DOE for such use) and also do not require approval from the DOE Project Officer. Rather than having each individual Project Officer review and approve/reject multi-family project submissions, it was decided by DOE management that utilizing a DOE Review Team, well versed in energy audit evaluation, would yield more consistent results. SMS will perform a secondary review subsequent to the DOE Review Team evaluation. The DOE Review Team will consider the SMS Review Team's input and generate a recommendation to the DOE Project Officer to approve/reject the prospective project.

The Grantee needs to review the submission from the Subgrantee and make a determination if it complies with DOE Guidance as well as if the proposed measures cost test and are reasonable (ex. no manipulation of the costs have occurred to make certain measures allowable). This is similar to what should be done during technical monitoring of single-family audits. When the Grantee is comfortable with the proposal and feels that it is a viable project, then the Grantee would submit the package to the DOE Project Officer and request DOE approval to proceed with the project.

INFORMATION NEEDED FOR AUDIT (OR ENGINEERING ASSESSMENT) REVIEW

In order to perform the DOE and SMS reviews, there are a few things that are needed for each project (in a digital format such as PDF please):

- Brief narrative with a sketch of the pressure/thermal boundaries for each floor, photos describing the building(s), including its age, condition, number of units, spatial orientation(s), heating/cooling type (central vs. distributed) and condition, and any other notable considerations.
- Building assessment sheets, such as lighting inventory and schedules; heating/cooling equipment and controls; water heating equipment, controls, and condition; air leakage determination; combustion/CO/CAZ testing; insulation type and levels; prior year's utility consumption and costs tabulated monthly and totaled for true-up analysis; windows and doors; and health and safety concerns, etc.
- Weatherization statement of work specifying energy savings measures, H&S activities, and incidental repair items; project timeline; and estimated costs (materials and labor); as well as any landlord contribution or buy-down requirements.
- Complete copy of the audit (or engineering assessment and report) showing all inputs/outputs including a baseload analysis and a narrative describing the methodology used to assess the building(s) (i.e. was every building individually evaluated, or were a sample evaluated and the others assumed to be the same).

DOE REVIEW PROCESS

STEP 1 – GRANTEE SUBMITS PROPOSED PROJECT TO PROJECT OFFICER FOR REVIEW

The Grantee should submit the review information [See "Information Needed for Audit (or Engineering Assessment) Review" section for details] along with the electronic audit file (ex. .tpg file for TREAT audits) for review to the respective Project Officer.

STEP 2 –PO SUBMITS THE PROJECT DOCUMENTS TO THE DOE REVIEW TEAM LEAD

The Project Officer will then consolidate the submitted information if necessary and forward the complete package to the DOE Review Team Lead (please include the project name in the subject line on all correspondence related to the project). The DOE Review Team Lead will either perform the review him/herself or assign the review to another Review Team member and notify the Project Officer of the assignment.

STEP 3 – DOE REVIEW TEAM EVALUATES PROPOSED PROJECT

The DOE Review Team will interface directly with the Grantee to request any additional information or clarification about the information submitted and will include the Project Officer on all communications.

STEP 4 – DOE REVIEW TEAM LEAD SENDS PROPOSED PROJECT TO SMS FOR SECONDARY REVIEW

When the DOE Review Team deems the prospective project submission acceptable, then the DOE Review Team Lead will forward the submission onto SMS for a secondary review and send a notification to the Project Officer regarding the status of the submission.

STEP 5 –SMS PERFORMS SECONDARY REVIEW AND GENERATES RECOMMENDATION

The SMS Review Team will perform a secondary review of the submitted information and will interface with the DOE Review Team to obtain any additional information or clarification as needed. When the SMS Review Team has completed their review, they will issue a recommendation regarding the proposed project to the DOE Review Team Lead.

STEP 6 – DOE REVIEW TEAM LEAD CONSIDERS SMS INPUT AND GENERATES RECOMMENDATION

The DOE Review Team Lead will consider the SMS Review Team’s recommendations and generate a recommendation to approve or reject the proposed project to the Project Officer.

STEP 7 – PO MAKES DECISION ON DOE APPROVAL/REJECTION AND NOTIFIES GRANTEE

The Project Officer will take into consideration all of the submitted information and the Review Teams’ recommendations and make a final determination (in consultation with his/her Branch Chief if necessary) to approve or reject the proposed project and inform the Grantee of their decision.

