WORKSHEET 4.9

# Surveillance, and the Year Performance Fell

*Subchapter 4.9 · case in the book: Alicante*

Open the folder you intend to hand the auditor at your next surveillance visit and find the month in which your energy performance last moved the wrong way. Then find the record of what you did about it. If the second document does not exist, the auditor will not be told that performance fell. He will establish it himself, in an afternoon, from your own figures, and he will establish the second thing in the same afternoon. Only one of the two is a finding, and it is not the one you are afraid of.

This worksheet turns the tools of the subchapter into a form you can fill in. The texts come from the book; the empty columns are for your own property. Adapt it before use: an unadapted checklist is exactly what the book warns against.

## Practical application: what to do in your property

| Step (from the book) | Done? | What we found / owner |
|---|---|---|
| Close the period figure before the visit, not during it. | | |
| Put the fall on the first page of what you hand over. | | |
| Write the significance threshold into the monitoring plan, before the period starts. | | |
| Run the four questions in reverse: degree days, denominator, boundary, baseline. | | |
| Put a number on the attributable share and a number on the rest. | | |
| Read the control system's change log monthly, and record who read it and when. | | |
| Plot the normalisation's fitted points against the points you are applying it to. | | |
| Revise the baseline forward only, by a method written before the result, keeping both series. | | |
| Take the fall to the management review as a decision with an owner and a date. | | |
| Give ownership the energy cost of the commercial decisions it made. | | |

These steps are the book’s method, not requirements of ISO 50001. Evidence can take whatever form suits the property; a separate document is needed only where an applicable requirement, or the property’s own system, makes it necessary.

## Verification Pact: what is believed, tested against the standard

| What is commonly believed | What actually holds | Our position |
|---|---|---|
| «Performance fell, so we will lose the certificate.» | A fall is not a nonconformity. Three questions decide the visit: did the system see it, did it separate it, did it act on its own part. Answer all three and the certificate is not in question. | |
| «The summer was hot; that explains it.» | That is a condition, not a quantity. It becomes an explanation when the degree day series says how much of the movement it accounts for, and only inside the range where your normalisation means anything. | |
| «We will revise the baseline before the visit.» | Revision runs forward, on stated triggers, by a method that existed before the result. Drafted in the month before an audit on a disappointing year, it is the audit's principal finding. | |
| «That deviation was not significant.» | Against which threshold, written down when? A property that never defined significance is not saying the deviation was small. It is saying it never decided. | |
| «Our indicator is normalised, so the weather is handled.» | Within the conditions the model was fitted on. Plot the fitted points and this year's points on one chart; where the second group sits outside the first, the number is an extrapolation and should be described as one. | |
| «Surveillance is a sample: performance may not come up.» | In this standard it comes up every visit, though not in the same form: at surveillance as the implementation of actions for improvement and the response to deviations, at initial certification and recertification as improvement actually achieved. | |
| «We will explain it in the closing meeting.» | A meeting is not evidence. Eleven pages prepared in advance cost three weeks once; an explanation improvised in a closing meeting costs a finding and then the three weeks anyway. | |
| «The cycle is lost.» | The cycle is judged over the cycle. Four point two per cent better than baseline is improvement, and is stated in the same breath as the fall against last year. Both are true. | |

## Common mistakes: a self-check

| Mistake (from the book) | Present here? | Action / owner |
|---|---|---|
| Concealing a fall in the belief that it costs the certificate. | | |
| Accepting a fall as weather and trade without separating anything. | | |
| Revising the baseline after seeing the result it will be applied to. | | |
| Replacing the old series instead of reporting both side by side. | | |
| Leaving significance undefined and then calling a deviation insignificant. | | |
| Applying a normalisation outside the conditions it was fitted on. | | |
| Holding one headline indicator and none of the supporting series. | | |
| Never opening the change log of the building management system. | | |
| A management review that notes performance and decides nothing. | | |
| Restating an unmet objective quietly, without the reason, in the minutes. | | |

## Operative synthesis

- **The requirement is continual improvement, which means recurring over time with intervals between the recurrences, and not continuous improvement, which would mean without interruption. A year in which performance fell is provided for by the word the standard actually uses, and a certificate is not at risk because a number moved the wrong way.**
- **What is examined at surveillance in such a year is the response, and it reduces to three questions. Did the system see the fall, and when. Did it separate what belonged to the property from what belonged to the weather, the trade and the calendar. Did it act on its own part. The four artefacts that test an improvement test a decline equally well (degree days, denominator, boundary, baseline) and they are four questions with four documents behind them and an afternoon's work in front of them.**
- **The state that is unambiguously a nonconformity is the significant deviation recorded and not investigated, and the word significant belongs to the property to define in advance. A threshold that was never written cannot be invoked afterwards; its absence is not a defence but a second finding. One line in the monitoring plan, before the period starts, is the cheapest protection this standard offers.**
- **Revision of the baseline is legitimate and sometimes owed, and it is the commonest way a property turns a bad year into a bad audit. It runs forward, from a stated date, on triggers named in advance, by a method that existed before the result, restricted to what actually changed, with the unrevised series retained beside it. Fail any one of those and the revision stops being a clean correction and becomes what the audit examines, and often what it finds.**
- **In Alicante nothing was concealed and nothing was invented. A season was extended for good commercial reasons, a summer was hot, an exchanger failed, a schedule outlived the season it**

**was written for, and one and a half degrees given to a tour group in August were still being given away in February. One and three-tenths of the three and a half points belonged to the property, the cycle remained four point two per cent better than the baseline, the certificate was maintained, and the only finding concerned seven months in which a recorded deviation was never investigated. The property now has a valid certificate, a year it can describe accurately, and a decision to make about how it describes both in public. The next subchapter is about that decision: the mark, the claim that is true, the claim that is true and misleading, and the suspension that arrives for a sentence on a website while the system behind it is working perfectly well.**

## Action plan for our property

| Action | Owner | Due | How we will know it worked |
|---|---|---|---|
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Source: Francesco Dore, The Helm and the Lens, Volume 4b «The Lens», subchapter 4.9. Edizioni Effedore, 2026. Clause references are paraphrased; this sheet does not reproduce the text of ISO 50001, ISO 50003 or ISO/IEC 17021-1. It is not legal advice: energy law is that of the place where the property operates.