

# Stage 1 Audit Report

TÜV Rheinland of North America, Inc.



Client	Standard(s)	Certification Number(s)	Audit Type
Addvolt, S.A.	ISO/IEC 27001:2022	44 500 0003	CA



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## 1 Audit result

The objective of the stage 1 audit was to review the organization's readiness for the stage 2 audit. The results and findings are outlined in Section 4 of this report and permit appropriate planning of the stage 2 audit. The audit was carried out [remotely](#).

<input type="checkbox"/>	The organization is fully ready for a stage 2 audit.
<input checked="" type="checkbox"/>	The audit revealed weaknesses which may be rated as nonconformities in the stage 2 audit. The weaknesses must be eliminated as discussed, so that the stage 2 audit can be carried out as scheduled.
<input type="checkbox"/>	The organization is NOT ready for a stage 2 audit. The stage 1 audit has to be repeated.

## 2 Basic Audit Information

### 2.1 Audit Team and Dates

Audit Team Leader : DAVID CORTES BRAÑA

Audit Team Members : DAVID CORTES BRAÑA

Team Accompanying Persons :  
(Expert/ Observer/ Translator/ Witness Auditor/ Trainee)

Client's Representative : Miguel Sousa

Audit Date : 2025-05-26 - 2025-05-26

### 2.2 Description of the Organization

The company adds its product to refrigerated trucks so that refrigeration is provided using battery electricity instead of fossil fuels. Data is collected on the trucks' operation and can be displayed via an app.

The company was founded in 2013 and began marketing the product in 2018. They sell their products in Portugal, France, Germany, Spain, and other European countries.

It was recently acquired by Carrier.

ITAR applicability (US citizenship requirements): Please choose

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Certificate Structure: Single Site

<b>Company Name</b> (as appears on the certificate)	<b>Addvolt, S.A.</b>
<b>Address</b> (as appears on the certificate)	<b>Rua Santos Dias 1121, E5 4465-255 São Mamede de Infesta Portugal</b>
<b>No. of employees</b> (For campus, include all sites)	<b>65</b>

Has any of the above information been changed during this stage 1 audit? ☐ No ☒ Yes

Details if marked Yes: Employees of another site at one kilometer of the central has been included.

## 2.3 Scope / Code / Risk

<b>Scope:</b> (per standard):	<b>Research, development, production, commercialization of sustainable energy management systems and products for vehicles.</b>
SoA version (ISO 27001/27701 only):	30/05/2025

Has the scope been changed during this stage 1 audit? ☐ No ☒ Yes

Details if marked Yes: Just a mismatched word on the scope,

Standard(s):	ISO/IEC 27001:2022	
EA Code/ Business Sector:	2	
Excluded controls per SoA (27001 & 27701 only):	A.7.12 A.8.30	<b>Justification / Rationale</b>
		Network operation are done via WiFi Do not use outsourced development.
ISO 9001 QMS Risk level:	Please choose	
ISO 14001 EMS Complexity level:	Please choose	
ISO 45001 Safety Risk level:	Please choose	

Has any of the above information been changed during this stage 1 audit? ☐ No ☒ Yes

Details if marked Yes: A.8.23 was excluded and has been included because the reason for exclusion was not correct.

### Remote Auditing Statement:

The entire audit was conducted remotely. All scheduled processes were audited using the ICT tool (audio/video) MS Teams hosted by the client. The responsible persons for each process were available during the stage 1 audit. The auditees were able to show, through these ICT tools, adequate evidences and records of the implementation of the management system. There were no adverse impacts on the effectiveness of the audit.

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## 2.4 Multi-site/ Campus details

### 2.4.1 Sites basic information

The following sites are included in the scope of certification:

Sub-cert.	Name and address	Site-scope	No. of emp.	Audit ed	Changed/ New site
Main	Addvolt, S.A. Rua Santos Dias 1121, E5 4465-255 São Mamede de Infesta Portugal	Research, development, production, commercialization of sustainable energy management systems and products for vehicles.	45	<input checked="" type="checkbox"/>	<input type="checkbox"/>
/00	Addvolt, S.A. Rua Santos Dias 1121, E5 4465-255 São Mamede de Infesta Portugal	Central functions		<input checked="" type="checkbox"/>	<input type="checkbox"/>
/01	Addvolt Tech Rua Dom António Castro Meireles, 798, Armazém E 4425-600 Pedrouços - Maia Portugal	Research, development, production, commercialization of sustainable energy management systems and products for vehicles.	20	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Any changes to the sites (e.g. new/removed/changed) or scope/activities? ☐ No ☒ Yes

Details if marked Yes: A site at one kilometer far of the central is added

### 2.4.2 Multi-site eligibility criteria

The audit team confirms that:

- ☒ All site(s) have a legal or contractual link with the Central Function.
- ☒ The organization has a single management system.
- ☒ The organization has identified a central function. The central function is part of the organization and is not subcontracted to an external organization.
- ☒ The central function has organizational authority to define, establish, and maintain the single management system.
- ☒ The organization's single management system is subject to a centralized management review.
- ☒ The sites are subject to the organization's internal audit program.
- ☒ The central function is responsible for ensuring that data is collected and analyzed from all sites and can demonstrate its authority and ability to initiate organizational change as required in regard, but not limited, to:
  - i. system documentation and system changes;
  - ii. management review;
  - iii. complaints;
  - iv. evaluation of corrective actions;
  - v. internal audit planning and evaluation of the results; and
  - vi. statutory and regulatory requirements pertaining to the applicable standard(s).

Details if any item cannot be confirmed:

In case of sampling for sites:

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☐ Sampling can be performed in the stage 2 audit as planned.

## 3) General Document Review

### 3.1 Basic Requirements

General Requirements	YES	NO (see findings)
The organization has documented the management system in accordance with the requirements. The documentation were sampled and reviewed during this stage 1 audit: <ul style="list-style-type: none"><li>MD.05.01 20250523_KPIs 2024 30/01/2024</li><li>MP_SOD1 2018-08-26 V 2 2024-12-01</li><li>Documents Information Security Management System External documents</li><li>Internal Audit Report 2/12/2024</li><li>P 01 2 20 Management review 25/09/2024</li><li>Manual of Functions</li><li>ISO27001 ISMS Risk Assessment 24.10.08 V 1.1 2024.12.23</li><li>P 02 4 30 Risk Assessment</li><li>EG1- Incident Recovery – 240924-103800</li><li>Control of Documented Information 2018-08-26 V 3</li><li>P 03 1 30 Training &amp; Development Performance Evaluation 25/09/2024</li><li>P 02 2 10 Process Management</li><li>Change Management Policy 2024-03-29</li></ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The certification scope applies to the context of the organization, it is documented and available for the interested parties.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The scope matches the image presented by the organization (e.g. in website, brochures, etc.).	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The selection of the audit team is appropriate for the scope of certification.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The management system is appropriate for implementing corporate policy and objectives.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has established processes to identify and comply with statutory and regulatory requirements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The objectives are established by the organization in accordance with the requirements. Below are the highlights of the objectives: <ul style="list-style-type: none"><li>Number of incidents related to information security &lt;= 1</li><li>Average service interruption time &lt;= 2 hours on a quarter</li><li>Average incident resolution time &lt;= 24 hours</li><li>Number of critical services stops &lt;= 1</li></ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The internal audits are being planned and performed by the organization in accordance with the requirements. Below are the highlights of the internal audit system: <ul style="list-style-type: none"><li>7 Nonconformities</li><li>17 Opportunities for Improvement</li></ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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The management review(s) are being planned and performed by the organization in accordance with the requirements. Below are the highlights of the management review system: <ul style="list-style-type: none"><li>N/A</li></ul>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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## 3.2 Standard Specific Requirements

### ISO 27001:2022

Information Security Management System	YES	NO (see findings)
The information security management system (ISMS) policy and information security objectives have been defined and documented. (5.2, A.5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has defined and documented the scope of the information security management system. (4.3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has defined and documented roles, responsibilities and authorities. (5.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
The risk assessment and treatment methodology has been defined and documented. (6.1.2)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The current risk assessment report has been prepared. (8.2)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A risk treatment plan has been prepared on the basis of the risk assessment and the results of risk treatment are documented. (6.1.3 e, 6.2 and 8.3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has established and maintains procedures governing monitoring and measurement, the investigation of incidents, non-conformities and corrective and preventive actions related to significant information security management system aspects. (9.1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The required records are protected and controlled. (7.5)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Management is committed to the establishment, operation and improvement of the information security management system and the organization maintains appropriate records which provide evidence thereof (5).	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has established and provided the resources needed to operate the information security management system. (7.1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Initial and advanced training of personnel on information security aspects has been carried out and documented. (7.2, 7.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Internal ISMS audits have been carried out and documented in line with the requirements. (9.2)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Management Reviews have been carried out and documented in line with the requirements. (9.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
A "Statement of Applicability" (SoA) has been documented. (6.1.3d)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have controls of Annex A been excluded? If yes, which ones? - A.7.12 Because network operation are done via WiFi  - A.8.30 Because they do not use outsourced development.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Has the effectiveness of the ISMS been monitored and measured as well as documented? (9.1)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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Are the results of corrective action and continual improvement documented (10)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Changes to the information security management system, are being carried out in a planned manner. (6.3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## 4) Audit Findings

### 4.1) Stage 1 findings

Review of management system documentation and verification of management system implementation revealed the following results:

No.	Process/ Site	Standard Clause	Positive findings (POS)
1			N/A

No.	Process/ Site	Standard Clause	Opportunities for Improvement (OFI)
1	Central	9.2.2	It is recommended that audit notes be obtained from the internal auditor as evidence of their performance.
2	Central	10.2.b	It is recommended to apply some methodology to find the root cause of non-conformities.

No.	Process/ Site	Standard Clause	Areas of Concerns (Potential NCR in stage 2 audit)	Rating*
1	Central	9.3	The management review is not ready yet. It must be performed.	1
2	Central	5.3	Roles and their authorities must be completed.	1
3	Central	7.2 & 7.3	Training on information security to employees is not done. Trainign and Awarness must be performed.	1

\*) Rating:

1 = Probably rated as major nonconformity in stage 2

2 = Probably rated as minor nonconformity in stage 2

Because audits are always based on sampling, weaknesses may still exist which were not revealed and identified during this audit.

The auditor and the certification body will treat all information gained during the audit with strict confidentiality.

### 4.2 Special features of stage 2 audit

Important information for stage 2 audit planning: now there are 2 sites.

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The stage 2 audit was agreed with the client to take place on [Date](#). (not agreed yet)

<b>5/26/2025</b>	<b>David Cortés Braña</b>
_____	_____
Date	Audit Leader / Auditor(s)