Dealer Compliance

Audit Scorecard

A 15-point compliance assessment for statutory licences, OEM agreements, insurance, safety approvals, and regulatory requirements

Dealer / Center Name	
Dealer Code	
Region / Zone	
Auditor Name	
Audit Date	
Cycle / Period	

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How to Use This Scorecard

This scorecard evaluates Dealer Compliance compliance across 15 criteria grouped into 4 categories. For each criterion, circle a score from 1 (not in place) to 5 (fully embedded and sustained). Do not rate where you aspire to be — rate what you observe on the day.

Score Scale

Score	Level	What it means
1	**Not in place**	Standard does not exist or has never been implemented at this dealership.
2	**Attempted**	Some effort made but inconsistent — visible gaps remain in most areas.
3	**Defined**	Standard is documented and partially followed. Some areas compliant, others not.
4	**Managed**	Standard is followed consistently. Minor exceptions occur.
5	**Fully Sustained**	Fully embedded. Evidence of ongoing compliance between audits without prompting.

RAG Status Guide

Status	Overall Score	Action
Green	60–75 (80–100%)	Compliant. Maintain current standards.
Amber	38–59 (50–79%)	Improvement required. Structured action plan within 30 days.
Red	0–37 (0–49%)	Non-compliant. Priority intervention. Escalate to regional management.

AutoSmart Tip: Dealer compliance audits carry legal and regulatory exposure and should verify original documents, not copies, wherever possible. Any Red-rated finding in licences, permits, or insurance coverage should be escalated to the Dealer Principal and regional compliance team the same day, rather than deferred to the formal report.

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Scorecard

Circle a score 1–5 for each criterion. Record observations in the Notes column.

No.	Criterion / Question	1	2	3	4	5	Notes
STATUTORY LICENCES & PERMITS							
1	Is the commercial registration/trade licence current, valid, and matching the business activities actually conducted at the site?	○	○	○	○	○	
2	Are municipality, civil defence, and any other local operating permits valid and displayed or filed as required?	○	○	○	○	○	
3	Are environmental permits (where applicable) for waste handling and emissions current and on file?	○	○	○	○	○	
4	Is a register maintained tracking all licence and permit expiry dates, with renewal actions triggered in advance?	○	○	○	○	○	
OEM AGREEMENTS & INSURANCE							
5	Is the dealer agreement with the OEM/distributor current, signed, and consistent with the operations actually being conducted?	○	○	○	○	○	
6	Is general liability and garage/dealer insurance coverage current, with policy documents available for inspection?	○	○	○	○	○	
7	Is product liability or warranty-related insurance coverage (where required by the OEM agreement) current and adequate?	○	○	○	○	○	
8	Are any sub-dealer, partner, or outsourced service agreements current, signed, and compliant with OEM policy on third-party arrangements?	○	○	○	○	○	
SAFETY APPROVALS & TAX DOCUMENTS							
9	Are fire safety and civil defence compliance certificates current, with the most recent inspection findings closed out?	○	○	○	○	○	
10	Is the VAT/tax registration certificate current, displayed where required, and consistent with invoicing practice?	○	○	○	○	○	
11	Are tax filings and statutory financial submissions up to date, with no overdue filings at the time of audit?	○	○	○	○	○	
DATA COMPLIANCE & LOCAL REGULATIONS							
12	Is customer data handled in accordance with applicable data protection regulations, including consent for marketing communications?	○	○	○	○	○	
13	Is a data retention and disposal policy in place and followed for customer and transaction records?	○	○	○	○	○	

14	Are staff working in customer-facing or back-office roles holding valid work permits/residency documentation as required by local law?	○	○	○	○	○	
15	Is a documented process in place for tracking and responding to changes in local regulatory requirements affecting dealer operations?	○	○	○	○	○	
OVERALL SCORE →		/ 75 =	%				

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Category Summary & RAG Status

Transfer category totals from the scorecard. Assign RAG status and record the priority action for each category.

Category	Score	%	RAG	Priority Action
Statutory Licences & Permits	/20			
OEM Agreements & Insurance	/20			
Safety Approvals & Tax Documents	/15			
Data Compliance & Local Regulations	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Dealer Principal Name	
Dealer Principal Signature	
Next Audit Date	

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Action Plan Tracker

Dealer Compliance — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close Dealer Compliance non-compliances

Dealer / Center Name	
Dealer Code	
Region / Zone	
Audit Cycle / Period	
Tracker Owner (ASM / ZSM)	
Date Opened	
Target Close Date	

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How to Use This Tracker

This tracker is designed to be completed immediately following a Dealer Compliance audit. Every non-compliance recorded must be logged here as an action item and progressed through all four stages before it is considered resolved.

Four-Stage Workflow

1. PENDING	2. IN PROGRESS	3. COMPLETED	4. APPROVED
Finding assigned. Owner & date set.	Work underway. Evidence being gathered.	Dealer submits evidence for review.	Auditor verifies and closes the item.

Stage Rules

Stage	Actioned by	Required action	Evidence required
PENDING	ASM / Auditor	Assign a named responsible party. Set a close date. Log the non-compliance description.	No evidence required at this stage.
IN PROGRESS	Dealer Compliance / Dealer Team	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, supporting documents, records.
COMPLETED	Dealer Principal	Mark item complete and submit for review. Evidence must be attached before submission.	Photo of rectified item, signed procedure, supporting evidence.
APPROVED	ASM / ZSM / Auditor	Review evidence. Verify compliance on next site visit if required. Approve and close.	Auditor sign-off. Date of verification recorded.

Tracker Summary

Fill in after completing each audit cycle.

Stage	Description	Count	Notes
PENDING	Not yet started		
IN PROGRESS	Work underway		
COMPLETED	Awaiting approval		
APPROVED	Verified & closed		

AutoSmart Tip: With AutoSmart Audit, every non-compliance is automatically converted into an action item at the point of audit — with owner assignment, close dates, evidence upload, and a four-stage approval workflow built in. No spreadsheets. No manual follow-up.

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Action Plan Tracker

Log every non-compliance from the audit below. Progress each item through all four stages before closure.

STAGE — PENDING						
Ref	**Non-Compliance / Gap Description**	**Category**	**Responsible Party**	**Target Date**	**Status**	**Evidence / Notes**
P-01						
P-02						
P-03						
P-04						
P-05						
P-06						
P-07						
P-08						
P-09						
P-10						

STAGE — IN PROGRESS						
Ref	**Non-Compliance / Gap Description**	**Category**	**Responsible Party**	**Target Date**	**Status**	**Evidence / Notes**
I-01						
I-02						
I-03						
I-04						
I-05						
I-06						
I-07						
I-08						

STAGE — COMPLETED						
Ref	**Non-Compliance / Gap Description**	**Category**	**Responsible Party**	**Target Date**	**Status**	**Evidence / Notes**
C-01						
C-02						

C-03						
C-04						
C-05						
C-06						

STAGE — APPROVED						
Ref	**Non-Compliance / Gap Description**	**Category**	**Responsible Party**	**Target Date**	**Status**	**Evidence / Notes**
A-01						
A-02						
A-03						
A-04						
A-05						
A-06						

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Cycle Sign-Off

To be completed once all action items in this cycle are Approved. Both the Dealer Principal and the Regional Auditor must sign.

Dealer Principal Name	
Dealer Principal Signature	
Regional Auditor / ASM Name	
Auditor Signature	
Date of Review	
Next Review Date	

Cycle Notes
