ESMA Auto Spare Parts Certification

Audit Scorecard

A 15-point compliance assessment for UAE spare parts certification, conformity marks, traceability, and counterfeit prevention

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 ESMA Auto Spare Parts Certification 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: UAE spare parts conformity requirements place the compliance obligation on the entity placing the part in the market — which includes the dealership, not only the importer or manufacturer. Selling a non-conforming spare part, even if sourced through the OEM supply chain, exposes the dealership to direct regulatory liability. Verify certification at the point of receiving, not only at the point of sale.

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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
CERTIFICATION & CONFORMITY REGISTRATION							
1	Are all spare parts stocked and sold by the dealership that fall within UAE conformity requirements registered and certified before being placed in the market?	○	○	○	○	○	
2	Is certification status verified for each regulated spare part category, confirming UAE conformity approval is current and has not lapsed?	○	○	○	○	○	
3	Are safety-critical spare parts (brake components, steering linkages, lighting, tyres) sourced only from suppliers holding valid UAE conformity certification?	○	○	○	○	○	
4	Is a register maintained of all certified spare part categories stocked, with certification expiry dates tracked and renewals initiated in advance?	○	○	○	○	○	
LABELLING & CONFORMITY MARKS							
5	Are spare parts labelled in compliance with UAE requirements, including product name, part number, country of origin, and applicable conformity mark where required?	○	○	○	○	○	
6	Are conformity marks correctly applied — not self-applied without underlying certification — and matching the actual approval held for that part?	○	○	○	○	○	
7	Is original OEM packaging and labelling preserved on genuine OEM parts, with no evidence of repackaging that obscures origin, batch, or authenticity information?	○	○	○	○	○	
8	Are aftermarket parts clearly distinguishable from OEM parts in both labelling and shelf storage, with customers informed of the distinction before purchase?	○	○	○	○	○	
SUPPLIER DOCUMENTS & TRACEABILITY							
9	Are supplier documents (invoice, packing list, certificate of origin, conformity certificate) retained for every parts shipment received?	○	○	○	○	○	
10	Is traceability maintained for every stocked part, allowing identification of supplier, batch, and receipt date if a part recall or quality issue is identified?	○	○	○	○	○	
11	Are parts sourced only from suppliers on the OEM-approved or ESMA-registered supplier list, with no sourcing from unverified or informal channels?	○	○	○	○	○	
COUNTERFEIT PREVENTION & APPROVED PARTS							

12	Is a documented receiving procedure in place to identify and reject suspected counterfeit or non-conforming parts at the point of delivery?	○	○	○	○	○	
13	Are receiving staff trained to identify visual and documentary indicators of counterfeit spare parts, with refresher training provided when new counterfeit patterns are identified?	○	○	○	○	○	
14	Are suspected counterfeit parts immediately quarantined and reported to the OEM, ESMA, or relevant authority, with a record of the report retained?	○	○	○	○	○	
15	Is a zero-tolerance policy for counterfeit parts documented, communicated to all staff, and enforced with no exceptions for cost or availability reasons?	○	○	○	○	○	
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
Certification & Conformity Registration	/20			
Labelling & Conformity Marks	/20			
Supplier Documents & Traceability	/15			
Counterfeit Prevention & Approved Parts	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Parts Manager Name	
Parts Manager Signature	
Next Audit Date	

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Action Plan Tracker

ESMA Auto Spare Parts Certification — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close ESMA Auto Spare Parts Certification 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 ESMA Auto Spare Parts Certification 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	ESMA Auto Spare Parts Certification / Dealer Team	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, supporting documents, records.
COMPLETED	Parts Manager	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 Parts Manager 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

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