ESMA Product Traceability

Audit Scorecard

A 15-point compliance assessment for supplier records, invoice matching, batch traceability, certificate mapping, and recall support

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

Powered by AutoSmart Audit | www.autosmarts.co | © 2026 AutoSmart. All rights reserved.

AutoSmart Audit

How to Use This Scorecard

This scorecard evaluates ESMA Product Traceability 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: Product traceability is most commonly tested in practice during a recall event — and that is exactly when gaps in batch records, certificate mapping, or storage location data become critical. Conduct a traceability drill annually: select a product batch at random and time how long it takes to identify all units, their location, and the customers or vehicles they were used on.

AutoSmart Audit

Scorecard

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

No.	Criterion / Question	1	2	3	4	5	Notes
SUPPLIER RECORDS & INVOICE MATCHING							
1	Is a supplier register maintained, listing all active suppliers with their ESMA registration or conformity approval status for each product category supplied?	○	○	○	○	○	
2	Are purchase invoices retained for every product shipment received, and matched to the corresponding delivery note and conformity certificate before stock is accepted?	○	○	○	○	○	
3	Is the product data on the invoice (part number, description, quantity, batch reference) reconciled against the physical delivery before stock is put into the system?	○	○	○	○	○	
4	Are discrepancies between invoice data and physical delivery documented, escalated, and resolved before the affected stock is released for sale or use?	○	○	○	○	○	
BATCH & SERIAL NUMBER TRACEABILITY							
5	Is a batch or serial number recorded in the inventory system for every traceable product received, allowing individual units to be identified within the stock?	○	○	○	○	○	
6	Is batch information recorded at the point of sale or fitment, linking the specific batch used to the vehicle, customer, and job card?	○	○	○	○	○	
7	Are serialised products (diagnostic tools, safety equipment, high-value assemblies) tracked by serial number from receipt through to sale, fitment, or disposal?	○	○	○	○	○	
8	Is the traceability system tested periodically by performing a sample trace — selecting a batch number and confirming all units from that batch can be located within the system?	○	○	○	○	○	
CERTIFICATE MAPPING							
9	Is every conformity certificate mapped to the specific product categories, brands, and specifications it covers — not applied generically across a broader product range?	○	○	○	○	○	
10	Are certificates cross-referenced to the products currently in stock, confirming that every stocked regulated product has an in-scope, current certificate?	○	○	○	○	○	
11	Is the certificate register updated when new products are added to stock or when existing certificates expire or are superseded, with no gaps in coverage?	○	○	○	○	○	

AutoSmart Audit

STORAGE LOCATION & RECALL SUPPORT							
12	Is the storage location of each product batch recorded in the inventory system, allowing physical retrieval of all units within a specific batch without a manual search?	○	○	○	○	○	
13	Is the traceability data sufficient to support a regulatory recall — identifying, locating, and withdrawing all affected units within a defined timeframe if instructed by ESMA or a supplier?	○	○	○	○	○	
14	Has the dealership participated in or supported a product recall in the past 24 months, and if so, was the recall handled within the required timeframe with records maintained?	○	○	○	○	○	
15	Is a documented recall response procedure in place, defining who is notified, what actions are taken, and how withdrawn products are handled?	○	○	○	○	○	
OVERALL SCORE →	/ 75 = %						

AutoSmart Audit

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
Supplier Records & Invoice Matching	/20			
Batch & Serial Number Traceability	/20			
Certificate Mapping	/15			
Storage Location & Recall Support	/20			
OVERALL SCORE	**/75**			

Sign-Off

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

The leading digital field audit platform for automotive distributor networks.
www.autosmarts.co

Action Plan Tracker

ESMA Product Traceability — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close ESMA Product Traceability non-compliances

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

Powered by AutoSmart Audit | www.autosmarts.co | © 2026 AutoSmart. All rights reserved.

AutoSmart Audit

How to Use This Tracker

This tracker is designed to be completed immediately following a ESMA Product Traceability 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 Product Traceability / 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.

AutoSmart Audit

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						

AutoSmart Audit

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

The leading digital field audit platform for automotive distributor networks.
www.autosmarts.co