Extended Warranty Upsell

Audit Scorecard

A 15-point compliance assessment for eligibility, coverage explanation, pricing, exclusions, customer consent, policy activation, and document handover

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 Extended Warranty Upsell 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: Extended warranty upsell compliance sits at the intersection of consumer protection law and customer trust. The two highest-risk moments are the exclusions explanation (customers who later discover an excluded component often feel misled) and the consent documentation (customers who don't remember agreeing to a product they are paying for monthly are a complaint risk). Both require specific, documented attention at 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
ELIGIBILITY & COVERAGE EXPLANATION							
1	Is extended warranty eligibility confirmed before any offer is made to the customer — covering vehicle age, mileage, condition, and any service history requirements?	○	○	○	○	○	
2	Is the specific coverage of the extended warranty explained clearly to the customer — which systems and components are covered — using plain language rather than policy document terminology?	○	○	○	○	○	
3	Is the extended warranty explained as a continuation of protection beyond the standard warranty, with the customer understanding what changes at the point the standard warranty expires?	○	○	○	○	○	
4	Are different coverage tier options (powertrain only, comprehensive, bespoke) presented and explained where available, allowing the customer to choose the level appropriate to their usage and risk appetite?	○	○	○	○	○	
PRICING & EXCLUSIONS							
5	Is the total cost of the extended warranty clearly stated — whether paid as a lump sum or incorporated into finance — before the customer is asked to decide?	○	○	○	○	○	
6	Are exclusions communicated clearly and specifically — identifying parts and failure types not covered — rather than referring only to a policy document the customer is unlikely to read at point of sale?	○	○	○	○	○	
7	Is a value comparison offered to the customer — e.g., average cost of a common covered repair versus the total premium — to help them assess whether the coverage represents value for their usage?	○	○	○	○	○	
8	Is any deductible or excess applicable under the policy clearly disclosed at point of sale, with the customer understanding their out-of-pocket cost if a claim is made?	○	○	○	○	○	
CUSTOMER CONSENT & POLICY ACTIVATION							
9	Is written customer consent obtained specifically for the extended warranty purchase — separately from any other product or finance consent — confirming the customer chose to take it and understood its terms?	○	○	○	○	○	
10	Is the extended warranty policy activated on the provider's system on the day of sale, with the customer's coverage commencing without a gap	○	○	○	○	○	

	from the date of purchase?						
11	Is the customer informed of the cooling-off period (where applicable under local consumer protection rules) and how to exercise their right to cancel if they change their mind?	○	○	○	○	○	
DOCUMENT HANDOVER & GOVERNANCE							
12	Is the policy certificate or warranty document handed to the customer at point of sale — not posted later — with the document confirming coverage dates, scope, and claim contact details?	○	○	○	○	○	
13	Is the customer shown how to make a claim under the extended warranty — who to call, what information to have available, and what happens after a claim is submitted?	○	○	○	○	○	
14	Is the extended warranty sale recorded in the CRM and DMS against the vehicle and customer record, enabling service advisors to reference coverage status at every future visit?	○	○	○	○	○	
15	Are extended warranty mis-selling or complaint indicators monitored — including cancellation rate within the cooling-off period and claim rejection rates — with patterns reviewed for training and process implications?	○	○	○	○	○	
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
Eligibility & Coverage Explanation	/20			
Pricing & Exclusions	/20			
Customer Consent & Policy Activation	/15			
Document Handover & Governance	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Finance and Insurance Manager Name	
Finance and Insurance Manager Signature	
Next Audit Date	

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Action Plan Tracker

Extended Warranty Upsell — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close Extended Warranty Upsell 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 Extended Warranty Upsell 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	Extended Warranty Upsell / Dealer Team	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, supporting documents, records.
COMPLETED	Finance and Insurance 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 Finance and Insurance 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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