# SASO Auto Spare Parts Regulation

## Audit Scorecard

A 15-point compliance assessment for spare parts classification, conformity requirements, labelling, traceability, and counterfeit control per SASO technical regulations

| | |
|---|---|
| **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 SASO Auto Spare Parts Regulation 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:** SASO's technical regulation for auto spare parts places specific obligations on dealers and importers regarding conformity certification for safety-critical parts. Selling non-conforming or counterfeit safety parts exposes the dealership to significant regulatory, legal, and reputational risk. Any suspected non-conforming part should be quarantined immediately and the OEM or SASO regional office notified — do not dispose of or return suspected counterfeit parts without documentation.

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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 |
|---|---|---|---|---|---|---|---|
| **PARTS CLASSIFICATION & CONFORMITY REQUIREMENTS** | | | | | | | |
| **1** | Are auto spare parts stocked and sold classified correctly per SASO's technical regulation for auto spare parts, distinguishing between safety-critical and non-safety parts? | ○ | ○ | ○ | ○ | ○ | |
| **2** | Are safety-critical spare parts (brake components, steering parts, tyres, lighting) sourced only from suppliers with valid SASO conformity certificates or equivalent approved certification? | ○ | ○ | ○ | ○ | ○ | |
| **3** | Is evidence of conformity assessment (SASO CoC or equivalent) available and on file for all spare parts categories that require it under the technical regulation? | ○ | ○ | ○ | ○ | ○ | |
| **4** | Is the dealership's parts sourcing limited to authorised suppliers approved by the OEM or holding valid conformity documentation, with no sourcing from unverified or informal suppliers? | ○ | ○ | ○ | ○ | ○ | |
| **PRODUCT LABELLING & SUPPLIER DOCUMENTS** | | | | | | | |
| **5** | Are all spare parts labelled as required by SASO regulations, including part number, country of origin, and any applicable conformity mark? | ○ | ○ | ○ | ○ | ○ | |
| **6** | Are supplier documents (invoice, packing list, certificate of origin) retained for every parts shipment, available for inspection if requested by SASO or customs authorities? | ○ | ○ | ○ | ○ | ○ | |
| **7** | Are OEM-branded parts sold with original OEM packaging and labelling intact, with no evidence of repackaging that could obscure origin or authenticity? | ○ | ○ | ○ | ○ | ○ | |
| **8** | Are aftermarket parts clearly identified and distinguished from genuine OEM parts in both the inventory system and at point of sale, with customer informed of the distinction? | ○ | ○ | ○ | ○ | ○ | |
| **STORAGE & TRACEABILITY** | | | | | | | |
| **9** | Are parts stored in conditions appropriate to their type, with temperature-sensitive, fragile, or chemical parts stored per the manufacturer's storage requirements? | ○ | ○ | ○ | ○ | ○ | |
| **10** | Is a traceability record maintained allowing any stocked part to be traced back to its supplier, batch, and purchase date? | ○ | ○ | ○ | ○ | ○ | |
| **11** | Are expired, deteriorated, or compromised parts identified through a periodic inspection and removed from saleable stock immediately? | ○ | ○ | ○ | ○ | ○ | |

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| COUNTERFEIT PARTS CONTROL & GOVERNANCE | | | | | | | |
|---|---|---|---|---|---|---|---|
| **12** | Is there a documented procedure for identifying and rejecting suspected counterfeit or non-conforming parts at the point of receiving? | ○ | ○ | ○ | ○ | ○ | |
| **13** | Are staff responsible for receiving and selling parts trained to identify the visual and documentary indicators of counterfeit parts? | ○ | ○ | ○ | ○ | ○ | |
| **14** | Are suspected counterfeit parts quarantined and reported to the OEM, SASO, or the relevant authority rather than returned to supplier or disposed of without documentation? | ○ | ○ | ○ | ○ | ○ | |
| **15** | Is a record maintained of any counterfeit or non-conforming parts identified, with the outcome (returned, quarantined, reported) documented? | ○ | ○ | ○ | ○ | ○ | |
| **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 |
|---|---|---|---|---|
| Parts Classification & Conformity Requirements | /20 | | | |
| Product Labelling & Supplier Documents | /20 | | | |
| Storage & Traceability | /15 | | | |
| Counterfeit Parts Control & Governance | /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

## SASO Auto Spare Parts Regulation — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close SASO Auto Spare Parts Regulation 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 SASO Auto Spare Parts Regulation 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 | SASO Auto Spare Parts Regulation / 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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|---|
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