Saudi Compliance

Audit Scorecard

A 15-point regulatory compliance assessment for automotive dealerships operating in the Kingdom of Saudi Arabia

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 Saudi regulatory compliance across 15 criteria grouped into five categories. For each criterion, circle a score from 1 (not in place) to 5 (fully embedded and sustained). All permit and certificate items must be verified by physical inspection of the originals — not copies unless explicitly stated. 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: Compliance audits in Saudi Arabia carry regulatory and legal consequences. Any Red-rated finding in the Regulatory Permits & Documentation or VAT & Financial Compliance categories must be escalated to the Dealer Principal and the regional compliance team on the same day as the audit. Do not defer escalation pending the formal report.

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Scorecard

Circle a score 1–5 for each criterion. Record document reference numbers, expiry dates, and observations in the Notes column.

No.	Criterion / Question	1	2	3	4	5	Notes
REGULATORY PERMITS & DOCUMENTATION							
1	Are the commercial registration permit, civil defense permit, municipality permit (matching business activities), and traffic registration permit all valid and displayed visibly on the wall?	○	○	○	○	○	
2	Is a live contract copy for outsourced staff available and confirmed with the HR Manager, Service Manager, and Sales Manager?	○	○	○	○	○	
3	Are all staff working in customer-facing roles holding valid Iqama (residency permits), and is a register of permit expiry dates maintained and monitored?	○	○	○	○	○	
4	Is the official ZATCA-compliant tax invoice issued for every transaction, with VAT amount itemised separately and a copy provided to the customer?	○	○	○	○	○	
VAT & FINANCIAL COMPLIANCE							
5	Is the VAT certificate displayed at visible locations, including near the point of sale (POS)?	○	○	○	○	○	
6	Does the center have evidence of written approval or SMS for additional costs and revised delivery times, and is a hard copy of the additional job approval (e.g., SMS, WhatsApp screenshot) attached?	○	○	○	○	○	
CONSUMER PROTECTION & CUSTOMER RIGHTS							
7	Is the "Know Your Rights" roll-up banner or poster available and displayed prominently in the Service / Sales / Parts Reception area?	○	○	○	○	○	
8	Does the Service Advisor have knowledge of the buy-back policy, towing policy, courtesy car policy, and warranty policy, including warranty validation and extension periods?	○	○	○	○	○	
9	Is a formal written complaints procedure in place and communicated to customers, with records of complaints received and resolutions maintained?	○	○	○	○	○	
VEHICLE & SAFETY COMPLIANCE							
10	Is the SASO fuel label demonstration poster available and well displayed at the sales reception, and is the fuel label (colour) displayed on the display vehicle (left rear window)?	○	○	○	○	○	

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11	Is a courtesy car provided in accordance with regulations (for warranty repair or if the delivery date is promised but not met)?	○	○	○	○	○	
12	Are fire safety equipment inspections, civil defence compliance records, and emergency evacuation plans current and available for inspection by authorities?	○	○	○	○	○	
WASTE & ENVIRONMENTAL COMPLIANCE							
13	Is waste segregation available at the workshop, with designated areas for metal, plastic, battery, tyre, thinner, paint, and other chemicals?	○	○	○	○	○	
14	Are used acid-based batteries stored in a segregated, ventilated area and placed on drip trays?	○	○	○	○	○	
15	Is a licensed third-party waste disposal contractor engaged, with valid contracts and disposal manifests retained on file as evidence of compliant hazardous waste removal?	○	○	○	○	○	
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
Regulatory Permits & Documentation	/20			
VAT & Financial Compliance	/10			
Consumer Protection & Customer Rights	/15			
Vehicle & Safety Compliance	/15			
Waste & Environmental Compliance	/15			
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

Saudi Compliance — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close Saudi regulatory 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 Saudi 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. For regulatory findings, target close dates must reflect the urgency of the compliance risk.

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	Compliance / Dealer	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, permit applications, updated documents.
COMPLETED	Dealer Principal	Mark item complete and submit for review. Evidence must be attached before submission.	Photo of displayed permit, renewed certificate, signed record.
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

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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

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