Warranty Audit

Audit Scorecard

A 15-point compliance assessment for claim sampling methodology, fraud indicators, process gaps, and audit closure

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 Warranty Audit 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: This checklist is the meta-audit — the framework for auditing the warranty function itself, as distinct from auditing individual claims, documentation, or parts retention day to day. Findings here should feed directly into whichever of the other warranty checklists (submission, documentation, retention, approval) the root cause points to, rather than being tracked in isolation.

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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
CLAIM SAMPLING & DOCUMENTATION REVIEW							
1	Is a statistically meaningful sample of claims selected for review (e.g., randomised, not pre-selected by the dealership)?	○	○	○	○	○	
2	Does the sample include a mix of high-value, high-frequency, and randomly selected claims rather than only the easiest to review?	○	○	○	○	○	
3	Is each sampled claim's documentation reviewed for completeness and internal consistency (job card, diagnostic report, photos, invoice all aligned)?	○	○	○	○	○	
4	Are findings from the documentation review categorised by type (missing document, coding error, policy breach) to support trend analysis?	○	○	○	○	○	
PARTS VERIFICATION & POLICY COMPLIANCE							
5	Are claimed parts physically verified against retained parts in storage for the sampled claims, where applicable?	○	○	○	○	○	
6	Is parts pricing and quantity on the claim cross-checked against the dealership's parts inventory records?	○	○	○	○	○	
7	Are sampled claims checked against current OEM warranty policy to confirm eligibility and correct application of claim limits?	○	○	○	○	○	
8	Is genuine parts usage verified for sampled claims, with no evidence of aftermarket substitution claimed as OEM?	○	○	○	○	○	
FRAUD INDICATORS							
9	Are sampled claims checked for duplicate submissions (same fault, same vehicle, claimed more than once)?	○	○	○	○	○	
10	Are claims checked for patterns suggesting fabricated faults (e.g., identical complaint wording across unrelated vehicles, implausible fault frequency)?	○	○	○	○	○	
11	Is technician and advisor claim activity reviewed for unusual concentration (one individual responsible for a disproportionate share of high-value or rejected-then-resubmitted claims)?	○	○	○	○	○	
PROCESS GAPS & AUDIT CLOSURE							
12	Are process gaps identified during the audit (not just individual claim errors) documented separately for action by dealership management?	○	○	○	○	○	

13	Is a formal audit findings report issued to the dealership, distinguishing between claim-level errors and systemic process issues?	○	○	○	○	○	
14	Is a corrective action plan agreed with the dealership for all significant findings, with target closure dates set?	○	○	○	○	○	
15	Is audit closure confirmed only after corrective actions have been verified as implemented, not merely acknowledged?	○	○	○	○	○	
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
Claim Sampling & Documentation Review	/20			
Parts Verification & Policy Compliance	/20			
Fraud Indicators	/15			
Process Gaps & Audit Closure	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Warranty Administrator Name	
Warranty Administrator Signature	
Next Audit Date	

Action Plan Tracker

Warranty Audit — Gap Closure Framework

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