Warranty Claim Approval

Audit Scorecard

A 15-point compliance assessment for claim validation, policy eligibility, approval hierarchy, and exception/goodwill handling

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 Claim Approval 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: Claim approval audits should specifically test segregation of duties — confirm that the person approving a claim is genuinely independent of the person who submitted it, not just nominally a different name in the system. Self-approval or rubber-stamp approval by a closely affiliated colleague is a common control gap that undermines the entire approval process.

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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 VALIDATION & POLICY ELIGIBILITY							
1	Is the vehicle's warranty status (active, expired, extended) verified against the OEM system before a claim is validated?	○	○	○	○	○	
2	Is the claimed fault checked against current warranty policy exclusions before approval is sought?	○	○	○	○	○	
3	Is prior service history reviewed to confirm the vehicle has been maintained in accordance with warranty conditions (e.g., scheduled maintenance)?	○	○	○	○	○	
4	Is a consistent eligibility check applied to every claim, rather than approval being based on the claim's submitter or dealership relationship?	○	○	○	○	○	
APPROVAL HIERARCHY							
5	Is a documented approval hierarchy in place, defining which claim values or types require which level of sign-off?	○	○	○	○	○	
6	Are claims above the standard threshold escalated to the correct approval level (regional/OEM) rather than approved locally?	○	○	○	○	○	
7	Is segregation of duties maintained, with the approver being someone other than the person who created or submitted the claim?	○	○	○	○	○	
8	Is approval turnaround time tracked against target, with delays escalated according to a defined process?	○	○	○	○	○	
EXCEPTION & GOODWILL APPROVAL							
9	Is a documented process followed for goodwill claims (out-of-warranty assistance), including required justification and sign-off level?	○	○	○	○	○	
10	Are goodwill approvals tracked separately from standard warranty claims, allowing visibility of goodwill spend over time?	○	○	○	○	○	
11	Is goodwill approval frequency and value reviewed periodically to identify patterns that may indicate a recurring product or process issue?	○	○	○	○	○	
CLAIM STATUS TRACKING & GOVERNANCE							
12	Is each claim's status (submitted, under review, approved, rejected, paid) visible and current in the claim tracking system?	○	○	○	○	○	

13	Are rejected claims reviewed to determine whether resubmission, write-off, or process correction is the appropriate next step?	○	○	○	○	○	
14	Is approval and rejection data reviewed periodically by management to identify trends by technician, fault type, or claim category?	○	○	○	○	○	
15	Is there a documented escalation path for disputed claim decisions between the dealership and the OEM/distributor?	○	○	○	○	○	
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 Validation & Policy Eligibility	/20			
Approval Hierarchy	/20			
Exception & Goodwill Approval	/15			
Claim Status Tracking & Governance	/20			
OVERALL SCORE	**/75**			

Sign-Off

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

Action Plan Tracker

Warranty Claim Approval — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close Warranty Claim Approval 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 Claim Approval 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 Claim Approval / 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
