# Warranty Claim Submission

## Audit Scorecard

A 15-point compliance assessment for claim creation, coding accuracy, labour operations, and submission timelines

| | |
|---|---|
| **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 Submission 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 submission audits should sample a mix of recently submitted claims and trace each one back to its original job card and diagnostic report. Coding accuracy is best verified by checking whether the claimed labour operation and fault code genuinely match the technician's documented diagnosis, not just whether the claim was submitted on time.

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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 CREATION & REQUIRED DOCUMENTS** | | | | | | | |
| **1** | Is a warranty claim created in the system for every eligible repair, with no warranty-eligible work left unclaimed? | ○ | ○ | ○ | ○ | ○ | |
| **2** | Is the customer complaint accurately transcribed from the job card into the claim, without summarisation that loses diagnostic detail? | ○ | ○ | ○ | ○ | ○ | |
| **3** | Are all OEM-required supporting documents (diagnostic printout, technician notes, photos) attached to the claim before submission? | ○ | ○ | ○ | ○ | ○ | |
| **4** | Is the vehicle's chassis/VIN, mileage, and in-service date verified and correctly entered on every claim? | ○ | ○ | ○ | ○ | ○ | |
| **CLAIM CODING ACCURACY** | | | | | | | |
| **5** | Is the correct fault code or defect code selected for each claim, consistent with the diagnostic findings? | ○ | ○ | ○ | ○ | ○ | |
| **6** | Are labour operation codes selected accurately, matching the actual repair performed rather than a similar but incorrect code? | ○ | ○ | ○ | ○ | ○ | |
| **7** | Is claimed labour time consistent with the OEM standard time for the operation code used, with deviations explained where required? | ○ | ○ | ○ | ○ | ○ | |
| **8** | Is a second-person review (warranty administrator or service manager) conducted on claim coding before submission? | ○ | ○ | ○ | ○ | ○ | |
| **LABOUR OPERATION & PARTS DETAIL** | | | | | | | |
| **9** | Are part numbers on the claim verified against the parts actually fitted, with no generic or placeholder part numbers used? | ○ | ○ | ○ | ○ | ○ | |
| **10** | Is the quantity of parts claimed consistent with the quantity issued from parts inventory for that job? | ○ | ○ | ○ | ○ | ○ | |
| **11** | Are sublet or outsourced repair costs (where applicable) included in the claim with appropriate supporting invoices? | ○ | ○ | ○ | ○ | ○ | |
| **SUBMISSION TIMELINES** | | | | | | | |
| **12** | Are warranty claims submitted to the OEM/distributor within the required timeframe from completion of the repair? | ○ | ○ | ○ | ○ | ○ | |
| **13** | Is a tracker maintained showing claim submission status, with overdue or pending submissions flagged for action? | ○ | ○ | ○ | ○ | ○ | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **14** | Are claims requiring pre-authorisation submitted and approved before repair work begins, where required by policy? | ○ | ○ | ○ | ○ | ○ | |
| **15** | Is a root-cause review conducted when claims are submitted late, to identify and resolve recurring process delays? | ○ | ○ | ○ | ○ | ○ | |
| **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 Creation & Required Documents | /20 | | | |
| Claim Coding Accuracy | /20 | | | |
| Labour Operation & Parts Detail | /15 | | | |
| Submission Timelines | /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 Submission — Gap Closure Framework

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

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