Warranty Documentation

Audit Scorecard

A 15-point compliance assessment for job cards, technician reports, diagnostic evidence, and warranty file completeness

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 Documentation 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: The clearest test of warranty documentation quality is a cold-pull exercise: pick a claim number at random, with no advance notice, and time how long it takes staff to produce the complete file. A file that takes more than a few minutes to assemble — or arrives incomplete — indicates a documentation gap that would surface in a real OEM audit.

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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
JOB CARDS & CUSTOMER COMPLAINTS							
1	Is the original job card retained on file for every warranty claim, matching the claim reference number?	○	○	○	○	○	
2	Is the customer's complaint recorded on the job card in the customer's own words, rather than pre-translated into a technical fault description?	○	○	○	○	○	
3	Is the job card signed by the customer at intake, confirming the recorded complaint and vehicle condition?	○	○	○	○	○	
4	Are job cards for warranty claims retained for the minimum period required by OEM policy, with no premature disposal?	○	○	○	○	○	
TECHNICIAN REPORTS & PHOTOS							
5	Does every warranty file include a technician's written findings describing the fault, cause, and corrective action taken?	○	○	○	○	○	
6	Are photographs of the failed part or defect included in the file where required by OEM policy, clearly showing the fault?	○	○	○	○	○	
7	Are photographs date-stamped or otherwise verifiable as being taken during the relevant repair, not reused from a prior claim?	○	○	○	○	○	
8	Is the technician's name and certification level recorded against the warranty repair, supporting accountability for the diagnosis?	○	○	○	○	○	
DIAGNOSTIC REPORTS							
9	Is a diagnostic tool printout or report attached to the file for claims involving electronic or sensor-related faults?	○	○	○	○	○	
10	Does the diagnostic report content support the fault code and labour operation claimed, with no inconsistency between the two?	○	○	○	○	○	
11	Are diagnostic reports legible, complete, and not missing pages or truncated data?	○	○	○	○	○	
REPAIR ORDERS, INVOICES & APPROVAL RECORDS							
12	Is the final repair order/invoice retained on file, itemising labour and parts consistent with the submitted claim?	○	○	○	○	○	
13	Are pre-authorisation approval records (where required) retained and cross-referenced to the relevant claim?	○	○	○	○	○	
14	Is the complete warranty file (job card through to approval) organised and retrievable as a	○	○	○	○	○	

	single set, not scattered across multiple uncross-referenced locations?						
15	Would the warranty file, if requested by the OEM for audit, be produced complete and within a reasonable timeframe (e.g., same day)?	○	○	○	○	○	
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
Job Cards & Customer Complaints	/20			
Technician Reports & Photos	/20			
Diagnostic Reports	/15			
Repair Orders, Invoices & Approval Records	/20			
OVERALL SCORE	**/75**			

Sign-Off

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

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Action Plan Tracker

Warranty Documentation — Gap Closure Framework

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