Warranty Parts Retention

Audit Scorecard

A 15-point compliance assessment for failed parts tagging, storage, retention period, and OEM audit readiness

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 Parts Retention 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 most reliable way to audit parts retention is a blind retrieval test: select three claim numbers from the warranty system at random and ask staff to physically locate the corresponding retained parts without advance notice. Inability to locate a part that the system shows as 'pending retention' is the clearest possible audit failure in this category.

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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
TAGGING & CLAIM REFERENCE							
1	Is every warranty-replaced part tagged with the claim reference number immediately upon removal from the vehicle?	○	○	○	○	○	
2	Does the tag include sufficient detail (VIN, date, part number) to trace the part back to the original claim without ambiguity?	○	○	○	○	○	
3	Are tags securely attached and legible, with no parts found loose, untagged, or with illegible tags during the audit?	○	○	○	○	○	
4	Is a parts retention log maintained, cross-referencing each stored part to its claim number and storage location?	○	○	○	○	○	
STORAGE & PHYSICAL CONDITION							
5	Is a designated, secure storage area maintained exclusively for warranty parts pending inspection or return?	○	○	○	○	○	
6	Is the storage area organised (shelving, bins, labelling) to allow any specific part to be located quickly when requested?	○	○	○	○	○	
7	Are parts stored in a manner that preserves their condition for inspection (e.g., fluids contained, fragile parts protected)?	○	○	○	○	○	
8	Is the storage area secured against unauthorised access, removal, or tampering with retained parts?	○	○	○	○	○	
RETENTION PERIOD & DISPOSAL							
9	Are parts retained for at least the minimum period specified by OEM policy before disposal is considered?	○	○	○	○	○	
10	Is a documented disposal log maintained, recording the date, authorisation, and method of disposal for each part released?	○	○	○	○	○	
11	Is disposal only carried out after explicit OEM/distributor clearance where required by policy, rather than on the dealership's own initiative?	○	○	○	○	○	
OEM AUDIT READINESS							
12	Could a specific retained part, if requested by the OEM auditor, be located and produced within a reasonable timeframe?	○	○	○	○	○	
13	Is the parts retention area itself included in the dealership's own internal audit cycle, rather	○	○	○	○	○	

	than only being reviewed when an OEM audit is announced?						
14	Are staff responsible for parts retention aware of current OEM policy on tagging, storage duration, and disposal authorisation?	○	○	○	○	○	
15	Has the dealership previously failed an OEM parts retention audit, and if so, have the root causes been addressed?	○	○	○	○	○	
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
Tagging & Claim Reference	/20			
Storage & Physical Condition	/20			
Retention Period & Disposal	/15			
OEM Audit Readiness	/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 Parts Retention — Gap Closure Framework

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