Warranty Policy Compliance

Audit Scorecard

A 15-point compliance assessment for OEM warranty policy adherence, repair guidelines, claim limits, and authorisation rules

Dealer / Center Name	
Dealer Code	
Region / Zone	
Auditor Name	
Audit Date	
Cycle / Period	

Powered by AutoSmart Audit | www.autosmarts.co | © 2026 AutoSmart. All rights reserved.

AutoSmart Audit

How to Use This Scorecard

This scorecard evaluates Warranty Policy Compliance 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: Policy compliance audits work best as a scenario-based conversation rather than a document review alone. Present the warranty administrator with two or three realistic claim scenarios and ask how each would be handled under current policy — gaps in actual understanding surface faster this way than by checking whether the policy document is merely present and filed.

AutoSmart Audit

Scorecard

Circle a score 1–5 for each criterion. Record observations in the Notes column.

No.	Criterion / Question	1	2	3	4	5	Notes
POLICY AWARENESS & UPDATES							
1	Is the current OEM warranty policy document available and accessible to warranty administrators and service staff?	○	○	○	○	○	
2	Are policy updates from the OEM/distributor cascaded to relevant staff within a defined timeframe of release?	○	○	○	○	○	
3	Can warranty administrators and service advisors correctly state current policy positions on common scenarios when checked at random?	○	○	○	○	○	
4	Is a log maintained of policy briefings conducted, confirming which staff have been updated on which policy version?	○	○	○	○	○	
REPAIR GUIDELINE ADHERENCE							
5	Are repairs performed in accordance with the OEM's documented repair procedure for the specific fault, rather than a workshop-preferred shortcut?	○	○	○	○	○	
6	Is the use of genuine OEM parts (versus aftermarket or substitute parts) verified for all warranty repairs, as required by policy?	○	○	○	○	○	
7	Are technical service bulletins (TSBs) relevant to the fault checked and applied before a warranty repair is finalised?	○	○	○	○	○	
8	Is repair work consistent with the claimed labour operation, with no work performed outside the scope of the approved claim?	○	○	○	○	○	
CLAIM LIMITS & TIMELINES							
9	Are claim value limits per repair type understood and adhered to, with claims exceeding standard limits handled via the correct exception process?	○	○	○	○	○	
10	Are claim submission and customer notification timelines as specified by OEM policy being consistently met?	○	○	○	○	○	
11	Is the warranty period calculation (from date of sale/registration, not delivery or invoice date) applied correctly and consistently?	○	○	○	○	○	
AUTHORISATION RULES & GOVERNANCE							
12	Are pre-authorisation requirements for specific repair types (e.g., major component replacement) being followed before work begins?	○	○	○	○	○	

13	Is the dealership's compliance with OEM authorisation rules reviewed periodically as part of internal governance, not only during OEM-led audits?	○	○	○	○	○	
14	Are instances of policy non-compliance identified internally, documented, and corrected before they are discovered by an external OEM audit?	○	○	○	○	○	
15	Is there a designated person at the dealership accountable for overall warranty policy compliance, distinct from day-to-day claim processing?	○	○	○	○	○	
OVERALL SCORE →		/ 75 =			%		

AutoSmart Audit

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
Policy Awareness & Updates	/20			
Repair Guideline Adherence	/20			
Claim Limits & Timelines	/15			
Authorisation Rules & Governance	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Service Manager Name	
Service Manager Signature	
Next Audit Date	

The leading digital field audit platform for automotive distributor networks.
www.autosmarts.co

Action Plan Tracker

Warranty Policy Compliance — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close Warranty Policy Compliance non-compliances

Dealer / Center Name	
Dealer Code	
Region / Zone	
Audit Cycle / Period	
Tracker Owner (ASM / ZSM)	
Date Opened	
Target Close Date	

Powered by AutoSmart Audit | www.autosmarts.co | © 2026 AutoSmart. All rights reserved.

AutoSmart Audit

How to Use This Tracker

This tracker is designed to be completed immediately following a Warranty Policy Compliance 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 Policy Compliance / Dealer Team	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, supporting documents, records.
COMPLETED	Service Manager	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.

AutoSmart Audit

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						

AutoSmart Audit

Cycle Sign-Off

To be completed once all action items in this cycle are Approved. Both the Service Manager 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

The leading digital field audit platform for automotive distributor networks.
www.autosmarts.co