



Warranty Compliance

Audit Checklist

A monthly internal review framework for automotive dealer warranty process compliance

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

How to Use This Checklist

This checklist is designed for monthly internal use by the warranty administrator, workshop manager, or ASM. It covers five areas of warranty compliance — from documentation standards through to network-level tracking. Complete Sections A–D at the individual dealer level. Section E is completed by the regional or network management team.

1. Review the last 30 days of submitted warranty claims for Sections A and B.
2. Section C assesses whether the internal audit process itself is functioning.
3. Section D evaluates accountability structures at the dealership.
4. Section E is completed by the ASM or network manager — not the dealer.
5. Mark Yes / No / Partial per criterion. Record evidence references in the Notes column.
6. Complete the Comeback & Rejection Tracker on the final page for the last six months.

AutoSmart Tip: The internal warranty audit is your first line of defence against OEM chargebacks. A dealer that reviews its own claims monthly will identify documentation gaps before the OEM auditor does.

Warranty Compliance Checklist

Mark Yes / No / Partial for each criterion. Record notes and evidence in the final column.

A. CLAIMS DOCUMENTATION STANDARDS

#	Criterion	Yes	No	Partia l	Notes / Evidence
A1	Customer complaint is captured verbatim on the job card — not paraphrased by the service advisor	☐	☐	☐	
A2	Root cause is documented separately from the symptom	☐	☐	☐	
A3	Labour operation codes are correct and match the repair performed	☐	☐	☐	
A4	Pre- and post-repair vehicle diagnostic scan results are attached to the job card	☐	☐	☐	
A5	Technician ID, certification level, and timestamp are recorded on every warranty job card	☐	☐	☐	
A6	Vehicle mileage and VIN are recorded on every warranty job card	☐	☐	☐	
A7	All required parts return records are complete and filed against the relevant claim	☐	☐	☐	
A8	Warranty claims are submitted within the OEM-specified time window from date of repair	☐	☐	☐	

B. REPAIR QUALITY & FIR COMPLIANCE

#	Criterion	Yes	No	Partia l	Notes / Evidence
B1	Technician performing warranty work holds the required OEM certification for the vehicle model	☐	☐	☐	
B2	A post-repair quality gate (test drive or inspection) is completed before vehicle handover	☐	☐	☐	
B3	Warranty comeback rate is tracked monthly and reported to workshop management	☐	☐	☐	
B4	Repeat repairs on the same vehicle/fault are flagged and analysed separately from first-time claims	☐	☐	☐	
B5	FIR rate is monitored as a KPI and available for audit review	☐	☐	☐	

C. INTERNAL WARRANTY AUDIT PROCESS

#	Criterion	Yes	No	Partia l	Notes / Evidence
C1	A sample of recently submitted claims is reviewed internally at least monthly	☐	☐	☐	
C2	Internal audit reviews labour operation codes, documentation completeness, and parts return compliance	☐	☐	☐	

C3	Internal audit findings are recorded and shared with the warranty administrator and workshop manager	☐	☐	☐	
C4	Recurring documentation errors are escalated to training — not just corrected individually	☐	☐	☐	
C5	Internal warranty audit results are accessible to the ASM / regional manager during field visits	☐	☐	☐	

D. ACCOUNTABILITY & OWNERSHIP

#	Criterion	Yes	No	Partial	Notes / Evidence
D1	A named individual (warranty administrator or equivalent) is accountable for claims compliance at this dealer	☐	☐	☐	
D2	Warranty compliance is a standing agenda item in service department meetings	☐	☐	☐	
D3	Chargebacks are reviewed and responded to within the OEM's specified timeframe	☐	☐	☐	
D4	A documented chargeback response process exists — not managed ad hoc	☐	☐	☐	
D5	Staff receive documented training on OEM documentation standards at least annually	☐	☐	☐	

E. NETWORK-LEVEL TRACKING (COMPLETE AT REGIONAL / NETWORK LEVEL)

#	Criterion	Yes	No	Partial	Notes / Evidence
E1	Warranty comeback rate is tracked and visible at the network level across all dealers	☐	☐	☐	
E2	Dealers with high rejection rates or chargebacks are prioritised for review before the next OEM audit cycle	☐	☐	☐	
E3	Network-level warranty compliance data is aggregated and reviewed at least quarterly	☐	☐	☐	
E4	Systemic documentation failures (same error at multiple dealers) are addressed at programme level	☐	☐	☐	
E5	Warranty compliance scores are included in dealer performance reviews	☐	☐	☐	

Comeback & Rejection Tracker

Record monthly warranty performance data for the last six months. Use this to identify trends before the next OEM audit cycle.

Month	Total Claims Submitted	Rejected	Comebacks	FIR %	Notes / Actions

Sign-Off

Warranty Administrator	
Workshop Manager	
ASM / Regional Manager	
Date of Review	
Next Review Date	