AUDIT FINDING DECISION TREE

QAP-F20 (REV D)

AUDIT CONDITION IS FOUND OR OBSERVED

IS THE FINDING ONE OF THE QAP PROGRAM V REQUIREMENTS LISTED?

IS THERE A KNOWN AUDIT FINDING CODE EXCLUDING "OTHER"?

NO

YES

RECORD THE AUDIT FINDING CODE ON THE AUDIT REPORT

HAS THE DETERMINATION ALREADY BEEN MADE (MAJOR, MINOR)?

NO

HAS THIS SAME FINDING BEEN OBSERVED IN 1 OF THE PREVIOUS 2 AUDITS?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING

GO TO NEXT FINDING OR END

QAP PROGRAM V REQUIREMENTS

**NOTE: NOT ALL REQUIREMENTS ARE LISTED, IF THE FINDING IS NOT ONE LISTED, CONTINUE FOLLOWING THE TREE AS "NO"**

REQ. DESCRIPTION OF SECTION

A – INSURANCE
B – QAP LABELING AND LABEL LOG
C1 – CUSTOMER FILE
C2 – TRAINING VERIFICATION
C3 – STANDARDS OF KNOWLEDGE
C4 – CALIBRATION
C6 – CHANGES IN EMPLOYEES
D – STRUCTURAL MANUALS
F – SHOP FACILITY SPECIFICATIONS
G – FACILITY COMPLIANCE POLICY
H – EQUIPMENT REQUIREMENTS
I – 24/7 EMERGENCY SERVICE
J – OUT OF AREA SALES/SERVICE
K – QAP CONTACT

GO TO PG(S) 2-5 AND FOLLOW APPLICABLE REQ FLOW THEN COME BACK AND CONTINUE AT '1' (BELOW)
A

INSURANCE FINDING

CAN DEALER PROVIDE PROOF OF INSURANCE?

NO

ISSUE MAJOR FINDING (CAR REQUIRED)

YES

NO FINDING OR ISSUE OFI AND DESCRIBE OPPORTUNITY

B

QAP LABELING AND LABEL LOG FINDING

**NOTE: THIS IS THE PROCESS, NOT THE CUSTOMER FILE INFO

IS THERE ANY EVIDENCE THE DEALER IS FOLLOWING THE QAP LABELING AND REPORTING PROCESS?

YES

HAS THIS SAME FINDING BEEN OBSERVED ON MORE THAN 1 VEHICLE THIS AUDIT OR IN 1 OF THE PREVIOUS 2 AUDITS?

NO

ISSUE MAJOR FINDING (CAR AND OUT OF SEQUENCE AUDIT MAY BE REQUIRED)

NO

ISSUE MINOR FINDING

C1

CUSTOMER FILE FINDING

IS THE FINDING CLERICAL/TYPO OR MISSING/WRONG DOCUMENTS

MISS WRG

SAME FINDING IN 3 OR MORE FILES?

YES

ISSUE MAJOR FINDING (CAR AND OUT OF SEQUENCE AUDIT MAY BE REQUIRED)

NO

TYPO/CLERICAL

HAS THIS SAME FINDING BEEN OBSERVED IN 1 OF THE PREVIOUS 2 AUDITS?

NO

ISSUE MINOR FINDING

YES

ISSUE MAJOR FINDING (CAR REQUIRED)
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C6

CHANGES IN EMPLOYEES FINDING

WAS THIS FINDING OBSERVED ON THE LAST AUDIT?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING


D

STRUCTURAL MANUALS FINDING

ARE THE MANUALS CURRENT?

NO

IS THE DEALER PERFORMING THIS TYPE OF MODIFICATION?

YES

WAS THIS FINDING OBSERVED ON THE LAST AUDIT?

YES

ISSUE MAJOR FINDING (CAR AND OUT OF SEQUENCE AUDIT MAY BE REQUIRED)

NO

ISSUE MINOR FINDING

YES

YES

NO

NO

NO

NO


F/G

SHOP FACILITY/COMPLIANCE POLICY FINDING

WAS THIS FINDING PREVIOUSLY OBSERVED AND THE DEALER NOTIFIED?

HAS 12 MONTHS ELAPSE SINCE NOTIFICATION?

YES

YES

ISSUE MAJOR FINDING (CAR AND OUT OF SEQUENCE AUDIT MAY BE REQUIRED)

NO

ISSUE MINOR FINDING SO THAT NMEDA QAPC CAN FOLLOW UP

NO

ISSUE MAJOR FINDING (CAR REQUIRED)
EQUIPMENT REQUIREMENTS FINDING

IS CALIBRATION REQUIRED AND IS THE CALIBRATION OVERDUE?

NO

HAS THIS SAME FINDING BEEN OBSERVED IN 1 OF THE PREVIOUS 2 AUDITS?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING

24/7 EMERGENCY SERVICE FINDING

WAS THIS FINDING OBSERVED ON THE LAST AUDIT?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING

OUT OF AREA SERVICE FINDING

HAS THIS SAME FINDING BEEN OBSERVED IN 1 OF THE PREVIOUS 2 AUDITS?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING

QAP CONTACT FINDING

WAS THIS FINDING OBSERVED ON THE LAST AUDIT?

YES

ISSUE MAJOR FINDING (CAR REQUIRED)

NO

ISSUE MINOR FINDING