CARB Compliance

Audit Scorecard

A 15-point compliance assessment for California emissions rules, aftermarket parts approval, catalytic converters, emissions labels, and CARB Executive Order documentation

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 CARB 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: CARB compliance applies not only in California but in every state that has adopted California's emissions standards — currently approximately one-third of the US vehicle market. Selling a non-CARB-approved aftermarket part or an uncertified replacement catalytic converter in any of these states carries the same penalty exposure as a California sale. Confirm CARB status for every emissions-related part before installation in any CARB-adopting state.

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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
CALIFORNIA EMISSIONS STANDARDS							
1	Are vehicles sold in California (and other CARB-adopting states) confirmed as meeting the California Air Resources Board's emissions standards rather than only the federal Tier 3 standards?	○	○	○	○	○	
2	Is the California-specific certification (CARB Executive Order for vehicle compliance) confirmed as current and covering all variants sold in California-complying states?	○	○	○	○	○	
3	Are the Zero Emission Vehicle (ZEV) mandate obligations understood and tracked for manufacturers required to meet California's ZEV program requirements?	○	○	○	○	○	
4	Are California Advanced Clean Cars, Advanced Clean Trucks, or equivalent current CARB program requirements tracked for applicable model years and vehicle categories?	○	○	○	○	○	
AFTERMARKET & PERFORMANCE PARTS APPROVAL							
5	Are aftermarket parts that affect vehicle emissions — performance air filters, exhaust systems, tune modules, EGR modifications — confirmed as CARB-approved (holding a CARB Executive Order) before being sold or installed in California?	○	○	○	○	○	
6	Is a process in place to prevent installation of aftermarket parts on California vehicles that do not have a valid CARB Executive Order for the specific vehicle application?	○	○	○	○	○	
7	Are staff responsible for parts and accessories sales trained on the CARB aftermarket parts compliance requirement — distinguishing between federally legal parts and California-legal parts?	○	○	○	○	○	
8	Is the CARB Executive Order number for each approved aftermarket part confirmed and recorded at point of sale in California, providing traceability if a smog check or CARB inspection raises a query?	○	○	○	○	○	
CATALYTIC CONVERTERS & EMISSIONS LABELS							
9	Are replacement catalytic converters sold or installed on California vehicles confirmed as CARB-approved — with the CARB Executive Order number verifiable for the specific application?	○	○	○	○	○	
10	Is the California emissions label (CARB label) confirmed as present and legible on every California-certified vehicle, with no label	○	○	○	○	○	

	removed or obscured during service work?						
11	Are non-CARB-approved catalytic converters clearly identified and not sold for use on California vehicles — even if they are legal for use in other states?	○	○	○	○	○	
EXECUTIVE ORDER DOCUMENTATION & GOVERNANCE							
12	Is a register maintained of CARB Executive Orders applicable to the vehicles and aftermarket parts sold, with expiry dates tracked and renewals confirmed before previous orders lapse?	○	○	○	○	○	
13	Is CARB compliance reviewed when new models, new aftermarket products, or new California program requirements are introduced — confirming that California-specific approval is obtained before California sales begin?	○	○	○	○	○	
14	Are CARB compliance obligations in California-adopting states (currently 17 states including New York, Massachusetts, and Washington) tracked alongside California itself, as the same CARB standards apply?	○	○	○	○	○	
15	Is a named person designated as responsible for CARB compliance, with the authority and process to confirm California-specific approval status before any parts or vehicles are sold in CARB-adopting states?	○	○	○	○	○	
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
California Emissions Standards	/20			
Aftermarket & Performance Parts Approval	/20			
Catalytic Converters & Emissions Labels	/15			
Executive Order Documentation & Governance	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Compliance Manager Name	
Compliance Manager Signature	
Next Audit Date	

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Action Plan Tracker

CARB Compliance — Gap Closure Framework

A structured four-stage workflow to assign, track, verify, and close CARB Compliance 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 CARB 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	CARB Compliance / Dealer Team	Begin remediation. Update status. Upload progress evidence as work is completed.	In-progress photos, supporting documents, records.
COMPLETED	Compliance 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.

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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 Compliance 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

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