State Dealer Licensing Compliance

Audit Scorecard

A 15-point compliance assessment for dealer license, sales permits, surety bond, display lot requirements, records, title processing, temp tags, and state-specific renewals

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 State Dealer Licensing 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: State dealer licensing compliance varies significantly between states — what is required in Texas differs from California, Florida, or New York. Operating without a valid dealer license, with a lapsed surety bond, or in violation of display lot requirements exposes the dealership to license suspension, fines, and potential criminal liability. Review your state's specific requirements annually, as state DMV regulations change without the level of publicity that federal rule changes receive.

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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
DEALER LICENSE & SALES PERMITS							
1	Is the dealership's state motor vehicle dealer license current, valid, and covering all vehicle types and transaction types (new, used, wholesale) conducted at the licensed location?	○	○	○	○	○	
2	Is the dealer license displayed at the licensed location as required by state law — typically in a conspicuous location accessible to customers?	○	○	○	○	○	
3	Are any additional sales permits, motor vehicle dealer endorsements, or specialty vehicle authorisations required by the state confirmed as current and on file?	○	○	○	○	○	
4	Is the licensed location address current — with any change of address, addition of a satellite lot, or opening of an additional location reported to the state DMV within the required timeframe?	○	○	○	○	○	
SURETY BOND & DISPLAY LOT REQUIREMENTS							
5	Is the dealership's motor vehicle dealer surety bond current, in the required amount for the state, and held with a licensed surety company?	○	○	○	○	○	
6	Is the surety bond amount reviewed when the state adjusts requirements — with the bond amount increased to meet any updated state minimum?	○	○	○	○	○	
7	Does the display lot meet state requirements — including minimum number of display spaces, required signage, required hours of operation, and any fencing or physical requirements specified by state DMV?	○	○	○	○	○	
8	Is the display lot's zoning confirmed as permitting motor vehicle dealer activity — with zoning documentation available if requested by the state DMV during a compliance inspection?	○	○	○	○	○	
TITLE PROCESSING & TEMP TAGS							
9	Is title processing completed within the state's required timeframe — with no titles held beyond the allowed period before being transferred to the buyer's name?	○	○	○	○	○	
10	Is temp tag (temporary registration permit) issuance controlled — with permits issued only for legitimate vehicle sales, recorded in a temp tag log, and not issued in excess of the state's permitted quantity or expiry period?	○	○	○	○	○	
11	Is a title log or equivalent tracking system maintained, confirming the status of every title in process — identifying any titles approaching the state's maximum processing timeframe?	○	○	○	○	○	

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RECORDS & STATE-SPECIFIC RENEWALS							
12	Are deal records retained for the period required by state law — typically 3–5 years — in a format that allows production for a state DMV audit?	○	○	○	○	○	
13	Are license, bond, and permit renewal dates tracked in a compliance calendar — with renewals initiated sufficiently in advance to prevent any lapse in the dealer's authorised operating status?	○	○	○	○	○	
14	Is the dealership's qualifying officer or designated dealer representative (required in some states) currently licensed and their license status monitored for renewal?	○	○	○	○	○	
15	Is a named person responsible for state dealer licensing compliance — with authority to initiate renewals, respond to state DMV inquiries, and escalate compliance issues to the Dealer Principal?	○	○	○	○	○	
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
Dealer License & Sales Permits	/20			
Surety Bond & Display Lot Requirements	/20			
Title Processing & Temp Tags	/15			
Records & State-Specific Renewals	/20			
OVERALL SCORE	**/75**			

Sign-Off

Auditor Name	
Auditor Signature	
Date	
Dealer Principal Name	
Dealer Principal Signature	
Next Audit Date	

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Action Plan Tracker

State Dealer Licensing Compliance — Gap Closure Framework

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