



Autonomous Vehicle Demonstration or Testing Permit Program Application Checklist

- Contact Information.** Basic applicant and contact information.
- Experience.** Description of technology and previous AV testing experience.
 - AV technology capabilities
 - Previous testing experience
 - Crash and incident history
- Demonstration or Testing Plan.** Description of the purpose and parameters of the demonstration or test; maximum number of test vehicles; proposed date(s), hour(s), and location(s); operational design domain of AV technology, and any testing occurring in other jurisdictions within 25 miles of New York City.
- Safety Plan.** Documentation of the test vehicle operator training, ability of test vehicle operators to assume control of the vehicle(s) in the event of failure of the autonomous vehicle technology, pre-testing preparation, and plan for effective interactions with law enforcement and first responders in New York City.
- Certifications and Conditions of Permit.** Self-certifications and associated documentation.
 - Test Vehicle Operator Presence Self-certification
 - Test Vehicle Operator Training and Recruitment Self-certification
 - Safety Self-certification
 - Cybersecurity Self-certification
 - FMVSS Compliance or Exemption Self-certification
 - Acknowledgment of and commitment to the conditions of the permit
- Additional Documents and Signature.** Additional documentation required as part of the permit application and entity signature.
 - Proof of NYSDMV application approval
 - First Responder Coordination Plan
 - Proof of Insurance
- Appendix A: Roster of Test Vehicle Operators** (to be completed upon receipt of NYC DOT AV Demonstration or Testing Permit)
- Appendix B: List of Vehicles Equipped for Testing** (to be completed upon receipt of NYC DOT AV Demonstration or Testing Permit)
- Appendix C: Reporting Requirements** (to be transmitted once demonstration or testing has begun)



Application for Permit to Demonstrate or Test Autonomous Vehicles in New York City

NYC DOT is subject to the New York State Freedom of Information Law, which governs the process for the public disclosure of certain records maintained by NYC DOT. (See: Public Officers Law, Sections 87 and 89). Individuals or firms that submit materials to NYC DOT may request that NYC DOT except all or part of such materials from public disclosure, on the grounds that the materials contain trade secrets, proprietary information, or that the information, if disclosed, would cause substantial injury to the competitive position of the individual or firm submitting the information. Such exception may extend to information contained in the request itself, if public disclosure would defeat the purpose for which the exception is sought. The request for such an exception must be in writing and state, in detail, the specific reasons for the requested exception. It must also specify the materials or portions thereof for which the exception is requested by marking each section or associated document as "CONFIDENTIAL." If NYC DOT grants the request for exception from disclosure, NYC DOT shall keep such materials or portions thereof in secure facilities.

For questions or to apply, please contact automatedmobility@dot.nyc.gov.

Application type: New ___ Renewal ___ Modification ___ Additional permit ___

Contact Information

Entity Contact Information

Legal Name of Entity	Doing Business As name (if applicable)	Street Address
Phone Number	Entity Email Address	Entity Website URL

Primary Point of Contact Information

Point of Contact Name	Title	Mailing Address
Office Phone Number	Mobile Phone Number	Email Address

Entity First Responder Contact (FRC) Information

FRC Name	Title	Mailing Address
Office Phone Number	Mobile Phone Number	Email Address

Experience

Provide a description of Entity's AV technology and previous AV testing experience with a particular focus on dense urban environments.

- **AV technology capabilities:** An overview of the level of automation and safety performance of the AV technology, including capabilities and limitations of AVs.
- **Previous testing or operational experience:** For demonstration, testing, or operation in other locations, please provide:
 - An overview of the scale and duration of testing and operations in each location, including the maximum number of AVs deployed at one time and AV miles travelled in each of the following types of operation:
 - With a test vehicle operator
 - Without a test vehicle operator
 - Providing free or for-hire transportation services to members of the public
 - A list of all permits, active or inactive/expired, to test or operate autonomous vehicles (if applicable) and brief description of coordination efforts related to testing or operation with any foreign, state, or local government agency.
 - A report describing the frequency of significant incidents involving Entity's AVs over the last 12 months and brief descriptions of actions taken to prevent them from occurring in the future. A significant incident means an instance in which Entity has determined the AV or test vehicle operator committed one or more of the following traffic violations:
 - Speeding
 - Disobeying a traffic device (e.g., a stoplight, stop sign, turn restriction sign, or one-way street sign)
 - Failure to yield to a pedestrian, cyclist, or other vehicle with the right-of-way
 - Failure to yield the right-of-way to an emergency vehicle
 - Failure to comply with the traffic direction of a police officer, traffic enforcement agent, or flag person
 - Obstructing a traffic lane, including instances where an AV becomes disabled in the public right-of-way
 - A report of all crashes involving Entity's AVs over the last three years, including crashes that involved minor property damage, significant property damage, minor injury, significant injury, or death. The report must include date, approximate time, and location of each crash. For any crash involving serious injury or death, include a description of the circumstances, any intervention by a test vehicle operator, and the autonomous vehicle technology's behavior immediately before, during, and immediately after the collision.
 - Copy of police report(s) issued for crashes involving serious injury or death involving Entity's AVs.



Demonstration or Testing Plan

The proposed Demonstration or Testing Plan within New York City must include:

- **The purpose and parameters** of the demonstration(s) or test(s);
- **The maximum number of AVs** to be deployed during the permit period;
- **Proposed starting date and duration** of AV demonstration or testing;
- **A description of the Operational Design Domain (ODD)** in which the autonomous vehicle technology would be tested, including, but not limited to, times of day, weather conditions, specific geographic areas, and roadway types; and
- **A list of other locations within 25 miles of New York City** where the entity has applied to or been approved to operate AVs concurrently with its testing in New York City, including whether the entity intends to operate AVs across New York City limits.

Safety Plan

The Safety Plan must describe how the entity will safely conduct testing in the proposed locations and conditions. The Safety Plan should include the following elements:

- **Test vehicle operator recruitment, training, and work conditions:** A description of the recruitment of; types of specialized training, education, and evaluation provided to; and working conditions and responsibilities of test vehicle operator(s) and how they comport with the most recent versions of the Society of Automotive Engineers “AVSC Best Practice for In-Vehicle Fallback Test Driver Selection, Training, and Oversight Procedures for Automated Vehicles Under Test” (AVSC00001201911) and “Safety-Relevant Guidance for On-Road Testing of Prototype Automated Driving Systems (ADS)-Operated Vehicles” (J3018™)
- **Safety assurance protocols:** Safety assurance protocols for hardware and/or software system failure, including how test vehicle operators will compensate for any system limitations to proactively avoid crashes, test vehicle operator active supervision and oversight, and remote observation, communications, and vehicle control.
- **Preparation for testing in New York City:** Any prior planning efforts in New York City: for example, mapping city streets or collecting infrastructure asset locations.
- **Crash and incident coordination plan:** A description of proposed regular coordination with NYC DOT and NYPD, including regular coordination meetings; protocols for notification of serious crashes; protocols for notification of significant incidents (including, but not limited to, interference with emergency response and traffic, pedestrian, and cyclist movement); and protocols for the timely resolution of such incidents.

Voluntary Safety Self-Assessments prepared for the National Highway Traffic Safety Administration that address some of these items may be submitted as part of the Safety Plan.



Certifications and Conditions of Permit

_____, _____ on behalf of _____ certifies that:
Name of Person Title Name of Entity

- A test vehicle operator with a valid driver's license will be in the driver's seat of each autonomous vehicle while it is in operation on any public highway in the City of New York and the test vehicle operator will be able to safely assume control of the vehicle in the event of a failure of the autonomous vehicle technology or other incident during which the autonomous vehicle technology cannot function.
- All test vehicle operators engaged in testing in New York City have been or will be recruited and trained in accordance with the most recent version of the Society of Automotive Engineers (SAE)
 - AVSC Best Practice for In-Vehicle Fallback Test Driver Selection, Training, and Oversight Procedures for Automated Vehicles Under Test (AVSC00001201911)
 - Safety-Relevant Guidance for On-Road Testing of Prototype Automated Driving Systems (ADS)-Operated Vehicles (J3018™)
- The test vehicle(s) combined with the actions of the test vehicle operator(s) will operate in New York City more safely than a human driver.
- The test vehicle(s) meet appropriate and applicable industry standards to help defend against, detect, and respond to cyber-attacks, unauthorized intrusions, or false vehicle control commands.
- The test vehicle(s) complies with all federal standards and applicable New York State inspection standards for any motor vehicle with AV technology intended for testing or demonstration on any public highway in the City of New York. If applicable, indicate any federal or New York State standard from which the vehicle has been exempted.
- Entity will provide NYC DOT with a complete Roster of Test Vehicle Operators that have completed Entity's operator training program (see Appendix A) at least 20 business days prior to the commencement of testing and will thereafter submit an updated list 10 business days prior to the introduction of new test vehicle operators.
- Entity will provide NYC DOT with a complete List of Vehicles Equipped for Testing (see Appendix B) at least 20 business days prior to the commencement of testing and will thereafter submit an updated list 10 business days before new vehicles begin testing.
- Entity will complete a test drive in the Operational Design Domain with NYC DOT officials at least 10 business days prior to the commencement of testing.
- Entity will adhere to the submitted Safety and Demonstration or Testing plans.
- Entity will submit to NYC DOT for approval any increase in the maximum number of test vehicles or change to the Operational Design Domain, testing dates, times, locations,



safety or operational plans, or company, vehicle, or test vehicle operator information provided in its application.

- Entity will comply with all applicable traffic laws and curb and parking meter regulations.
- Entity will pay all traffic and parking fines issued to its AV test fleet.
- Entity will report testing data at the frequency and in the format specified in Appendix C.
- Entity will notify NYC DOT and the New York City Police Department of any crash or other incident involving Entity’s AV and a fatality, an injury, and/or property damage, or any significant disruption of traffic operations, as soon as possible and no more than four hours after such occurrence.
- Entity will provide NYC DOT written notice of plans to end demonstration or testing.
- The permit will have an initial term of one year and may be eligible for renewal.
- Entity will suspend demonstration or testing within 24 hours of receiving written notice from NYC DOT of the suspension or revocation of the permit.
- To the fullest extent permitted by law, Entity will indemnify, defend, and hold the City of New York and its officials and employees (“Indemnitees”) harmless against any and all claims, liabilities, settlements, damages, costs and expenses of whatever kind or nature (including, without limitation, attorneys’ fees and disbursements) arising out of or related to any of the Entity’s obligations set forth in NYC DOT Autonomous Vehicle Demonstration or Testing Permit.
- Testing Permit and Application. Insofar as the facts or law relating to any of the foregoing would preclude the Indemnitees from being completely indemnified by the Entity, the Indemnitees shall be partially indemnified by the Entity to the fullest extent permitted by law.

Additional Documents

Please include the following documents with the submission:

- Copy of Autonomous Vehicle Technology Demonstration / Testing Permit(s) from the New York State Department of Motor Vehicles (NYS DMV).
- Copy of Autonomous Vehicle Technology Demonstration/Testing Application (AV-1) and Addendum (AV-2) submitted to NYS DMV and associated application documents.
- Copy of Law Enforcement Interaction Plan submitted to NYS DMV.
- Proof of at least \$5 million in automobile insurance for any motor vehicle with autonomous vehicle technology intended for demonstration or testing on any public highway in the city of New York, a minimum of \$3 million in personal liability insurance, and a minimum of \$2 million in property damage insurance.



Signature

I certify that I am duly authorized to make this application on behalf of, and with the power to bind, the above-named Entity, and all information I have provided in connection with this Application is true and complete to the best of my knowledge. Entity named herein agrees to comply with all terms and conditions set forth herein. Entity acknowledges that the NYC Department of Transportation may suspend or revoke my authority to demonstrate/test motor vehicles equipped with autonomous vehicle technology if Entity named herein fails to comply with the terms and conditions set forth herein, or upon an occurrence regarding the demonstration/test that causes any concern, in the Department's determination, regarding public health or safety.

Entity Name
(Please Print) _____

BY, (Sign) **X** _____

Print Name: _____

Title: _____ Date: _____



NYC DOT AV Demonstration or Testing Permit holder must complete the following sections at least 20 business days prior to testing on New York City public highways.

Appendix A: Roster of Test Vehicle Operators

Provide a table in the format below listing information for all test vehicle operators under an NYC DOT AV testing permit. All test vehicle operators must have completed the applicant’s test vehicle operator training program.

Roster of Test Vehicle Operators						
Name	Employee ID (if applicable)	Driver License Number	State Issued	Date Issued	Date of Expiration	Training Completion Date

Appendix B: List of Vehicles Equipped for Testing

- Number of vehicles proposed for testing in New York City: _____
- Level of automation: Specify the automation level(s) of the vehicles to be tested according to SAE J3016.

Provide a table in the format below listing information for all vehicles that will be tested under NYC DOT AV Testing permit.

List of Vehicles Equipped for Testing						
Plate Number	State Issued	VIN Number	Year	Make	Model	Level of Automation of AV Technology



Appendix C: Reporting Requirements

Section 4-17(h) of Chapter 4 of Title 34 of The Rules of the City of New York details the following reporting requirements associated with the AV testing permit, to be transmitted at a frequency specified by NYC DOT. NYC DOT will coordinate with permit holders regarding data fields, format, and reporting frequency.

1. Make, model, and license plate number of each vehicle engaged in demonstration or testing;
2. Miles driven in total and with autonomous vehicle technology engaged;
3. Location(s), date(s), and hour(s) of operation and number of test vehicle operators or other staff in each vehicle;
4. Median and maximum test vehicle operator driving shift length;
5. Information on crashes involving the autonomous vehicle;
6. Information on safety-related traffic violations;
7. Information on instances in which the test vehicle operator assumed control of the vehicle while the autonomous vehicle technology was engaged;
8. The permit holder's most recent Voluntary Safety Self-Assessment transmitted to the National Highway Traffic Safety Administration; and
9. Any information transmitted to the National Highway Traffic Safety Administration under its General Order 2021-01, "Incident Reporting for Automated Driving Systems (ADS) and Level 2 Advanced Driver Assistance Systems (ADAS)" regarding incidents that occurred within the city of New York.