



# HAV SELF-CERTIFICATION FORM (DRIVER ON BOARD)

Refer to [Publication 950](#) for more information.

NEW FORM     UPDATE TO EXISTING FORM    DATE: \_\_\_\_\_

| <b>A APPLICANT INFORMATION</b>   |   |        |  |                   |                              |                                 |                                 |
|--|---|--------|--|-------------------|------------------------------|---------------------------------|---------------------------------|
| Applicant Name:  |   |        |  |                   |                              |                                 |                                 |
| Address:   |   |        |  |                   |                              |                                 |                                 |
| Mailing Address (if different from Address):   |   |        |  |                   |                              |                                 |                                 |
| <b>PRINCIPAL POINT-OF-CONTACT</b>  |   |        |  |                   |                              |                                 |                                 |
| Name:  |   | Title: |  | Telephone Number: |                              |                                 |                                 |
| Email Address:   |   |        |  |                   |                              |                                 |                                 |
| <b>B VEHICLE INFORMATION (List All Applicable Vehicles) <i>If you have more than 12 vehicles, please submit a second form.</i></b> |   |        |  |                   |                              |                                 |                                 |
| 1  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |
| 2  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |
| 3  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |
| 4  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |
| 5  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |
| 6  | License Plate Number and Jurisdiction Issued:   |        | VIN Number, if applicable <sup>1</sup> :   |                   | Add<br><input type="radio"/> |                                 |                                 |
|  | US DOT Number, if a commercial HAV:   |        | Year, Make & Model and Engine Type:  |                   |                              | Modify<br><input type="radio"/> |                                 |
|  | SAE J3016 Designed Level of Driving Automation:   |        | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                   |                              |                                 | Delete<br><input type="radio"/> |
|  | Proof of Current Registration: <span style="background-color: #cccccc; padding: 2px 10px; font-weight: bold;">Attach</span> |        |  |                   |                              |                                 |                                 |

|    |   |  |                              |                                 |                                 |
|----|---|--|------------------------------|---------------------------------|---------------------------------|
| 7  | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |
| 8  | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |
| 9  | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |
| 10 | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |
| 11 | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |
| 12 | License Plate Number and Jurisdiction Issued:   | VIN Number, if applicable <sup>1</sup> :   | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | US DOT Number, if a commercial HAV:             | Year, Make & Model and Engine Type:  |                              |                                 |                                 |
|    | SAE J3016 Designed Level of Driving Automation: | Whether HAV is a Low-speed Highly Automated Vehicle:<br>Yes <input type="radio"/> No <input type="radio"/> |                              |                                 |                                 |
|    | Proof of Current Registration:                  | <b>Attach</b>  |                              |                                 |                                 |

|               |  |  |  |  |  |
|---------------|--|--|--|--|--|
| HAV Operation | List the number and location of Safety Associates within the HAV(s) by listing each vehicle by Number and the accompanying number and location of Safety Associates. |  |  |  |  |
|---------------|--|--|--|--|--|

|               |  |   |  |  |
|---------------|--|---|--|--|
| HAV Operation | Will any of your vehicles transport passengers or good?<br><input type="radio"/> Yes <input type="radio"/> No                              | If any of your vehicles will transport passenger, provide a copy of any Terms and Conditions that a passenger agrees to when riding in the HAV. | Attach Document                        | If no, provide a description of the service or function being provided by the HAV. |
|               | If applicable, do any of your vehicles charge a fare for passengers?<br><input type="radio"/> Yes <input type="radio"/> No                 |   |  |  |
|               | Are any of your vehicles wheelchair accessible?<br><input type="radio"/> Yes <input type="radio"/> No                                      | If yes, list vehicles by Number.  | If yes, any applicable accommodations? |  |
|               | Do any of your vehicles offer amenities for drivers or passengers with disabilities?<br><input type="radio"/> Yes <input type="radio"/> No | If yes, list vehicles by Number.  | If yes, any applicable amenities?      |  |

**C SAFETY DRIVER INFORMATION** (List All Applicable Employees, Contractors, and Designees) *If you have more than 20 Drivers, please submit a second form.*

|   |                                   |                              |                                 |                                 |
|---|-----------------------------------|------------------------------|---------------------------------|---------------------------------|
| 1 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 2 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 3 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 4 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 5 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 6 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |
| 7 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|   | Driver License Number:            |                              |                                 |                                 |
|   | State or Country Issued:          |                              |                                 |                                 |
|   | Training Completion Date:         |                              |                                 |                                 |

|    |                                   |          |             |             |
|----|-----------------------------------|----------|-------------|-------------|
| 8  | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 9  | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 10 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 11 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 12 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 13 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 14 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 15 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |
| 16 | Legal Name (First, Middle, Last): | Add<br>○ | Modify<br>○ | Delete<br>○ |
|    | Driver License Number:            |          |             |             |
|    | State or Country Issued:          |          |             |             |
|    | Training Completion Date:         |          |             |             |

|    |                                   |                              |                                 |                                 |
|----|-----------------------------------|------------------------------|---------------------------------|---------------------------------|
| 17 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | Driver License Number:            |                              |                                 |                                 |
|    | State or Country Issued:          |                              |                                 |                                 |
|    | Training Completion Date:         |                              |                                 |                                 |
| 18 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | Driver License Number:            |                              |                                 |                                 |
|    | State or Country Issued:          |                              |                                 |                                 |
|    | Training Completion Date:         |                              |                                 |                                 |
| 19 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | Driver License Number:            |                              |                                 |                                 |
|    | State or Country Issued:          |                              |                                 |                                 |
|    | Training Completion Date:         |                              |                                 |                                 |
| 20 | Legal Name (First, Middle, Last): | Add<br><input type="radio"/> | Modify<br><input type="radio"/> | Delete<br><input type="radio"/> |
|    | Driver License Number:            |                              |                                 |                                 |
|    | State or Country Issued:          |                              |                                 |                                 |
|    | Training Completion Date:         |                              |                                 |                                 |

**D LOCATION INFORMATION**

List of Municipalities where the HAV(s) is/are expected to operate. If updating an Authorization, make note whether the Municipality is being added or removed.

**E APPLICANT CONSENTS**

Check each box to acknowledge

The applicant shall consent to the following:

- The HAV shall operate in compliance with 75 Pa.C.S. and all applicable federal laws and regulations.
- The jurisdiction of courts of this Commonwealth for actions arising out of or resulting from any Accident involving the HAV in this Commonwealth.

**F APPLICANT CERTIFICATIONS**

Check each box to acknowledge

The applicant shall certify the following:

**Vehicle Operation**

- The Applicant has implemented a Safety Culture.
- The Applicant has performed a risk evaluation and appropriately mitigated risks associated with the HAV, the ADS, the intended Operational Design Domain (ODD), and if applicable, the HAV Driver.
- The Applicant has implemented measures to evaluate the effectiveness of risk mitigation measures.
- The Applicant has developed and implemented metrics to assess the performance of the HAV.
- Quality controls are deployed and monitored to ensure the self-certification is implemented, adhered to and measured to ensure safe operations.

**HAV Driver**

- The Applicant has established quality standards for HAV Drivers.
- The HAV Driver is properly licensed for the type and class of motor vehicle.
- The HAV Driver can appropriately interact with all roadway users and conditions within the intended ODD.
- A criminal background and driver record checks have been performed for all HAV Drivers.
- HAV Drivers have received training on the operation of the HAV.
- HAV Drivers have received training on decision-making process of when to engaged or disengaged the ADS.
- HAV Drivers have received training on the functionality and/or limitations of the ADS and the HAV.
- The Applicant has implemented measures to monitor and address HAV Driver fatigue, inattentiveness, and carelessness.
- HAV Drivers have been given training on Drug and Alcohol Impairment Awareness, including both prescribed and unprescribed controlled substances. Reference to drug and alcohol testing must explicitly refer to DOT Part 40 requirements for commercial drivers.
- The Applicant has implemented safety measures and/or training in the event the ADS disengages without reaching a Minimal Risk Condition.
- The Applicant has implemented a HAV Driver training program that addresses basic driving skills including vehicle operations, Hazard perception, response to malfunctions, response to sudden emergencies, response to driving distractions, response to aggressive drivers, and response to adverse weather conditions.
- The HAV Driver conducts pre-trip planning.
- All HAV Drivers must successfully complete a training program approved by the Applicant and perform remedial training when determined necessary.

**Vehicle with an HAV Driver on board**

- The HAV is capable of fault detection.
- The HAV is capable of identifying and obeying Traffic-control Devices.
- The HAV will operate in compliance with the submitted self-certification form including safety management plan.
- Cybersecurity risks have been considered and reasonable measures, which may include industry standards, best practices, company policies, or other methods, have been implemented to mitigate the risks.
- The HAV has been tested to ensure that it can safely operate in its intended ODD.
- The ADS and the HAV can appropriately interact with all roadway users and conditions within the intended ODD.
- Software and systems engineering processes best practices and/or standards were utilized when developing safety related elements for the ADS and the HAV.
- Best practices and/or standards will continue to be updated as applicable.
- Verification and validation methodologies have been developed and implemented.
- The Applicant has implanted routine maintenance and inspections cycles.
- The Applicant has implemented quality control processes for components integrated into the ADS, including those manufactured by third parties.
- The HAV can alert the HAV Driver if the ADS cannot perform the Dynamic Driving Task.
- The HAV has a mechanism to engage and disengage the ADS that is easily accessible.

|          |   |                                 |                           |                               |
|----------|---|---------------------------------|---------------------------|-------------------------------|
| <b>F</b> | <b>APPLICANT CERTIFICATIONS (CONTINUED)</b>   |                                 |                           | Check each box to acknowledge |
|          | <input type="checkbox"/> The HAV has a mechanism to indicate to the HAV Driver when the automated vehicle system is engaged.<br><input type="checkbox"/> The HAV is equipped with a means to store operational data and stores operational data as necessary.<br><input type="checkbox"/> The appropriate vehicle equipment standards have been implemented in accordance with 75 Pa.C.S. § 4103 (f). |                                 |                           |                               |
| <b>G</b> | <b>SAFETY MANAGEMENT PLAN</b>   |                                 |                           |                               |
|          | <input type="checkbox"/> Safety Management Plan (Required)  | <a href="#">Upload Document</a> | New <input type="radio"/> | Update <input type="radio"/>  |
| <b>H</b> | <b>Nonproprietary documentation submitted to the National Highway Traffic Safety Administration that resulted in an exemption to Federal Motor Vehicle Safety Standards</b>   |                                 |                           |                               |
|          | <input type="checkbox"/> NHTSA documentation upload (If applicable)   | <a href="#">Upload Document</a> | New <input type="radio"/> | Update <input type="radio"/>  |
| <b>I</b> | <b>EMERGENCY SERVICE RESPONDER PLAN</b>   |                                 |                           |                               |
|          | <input type="checkbox"/> Emergency Services Responder Procedures (Required)   | <a href="#">Upload Document</a> | New <input type="radio"/> | Update <input type="radio"/>  |
| <b>J</b> | <b>DEVELOPER ATTESTATION OR LETTER</b>  |                                 |                           |                               |
|          | <input type="checkbox"/> If the submitting Applicant is not the Developer of the ADS, the Applicant attests that coordination with the Developer has occurred prior to completing the Self-Certification to ensure that the information submitted is accurate as stated, or   |                                 |                           |                               |
|          | <input type="checkbox"/> Developer confirmation letter  | <a href="#">Upload Document</a> | New <input type="radio"/> | Update <input type="radio"/>  |

<sup>1</sup> Vehicle taken directly from an Original Equipment Manufacturer's assembly line, used for testing, and then immediately disposed of may not have a VIN Number.