



Pre-Application Checklist

Special Purposes Exemption Application for Vehicles

The following is a list of the information you should have before starting your Special Purposes Exemption application under 49 U.S.C. 30114(a). If you need assistance, contact SpecialExemptions@dot.gov, including in the subject line "Special Purposes Exemption Application for Vehicles" and (as applicable) your submission ID.

If your response contains any material that you wish to claim as confidential business information, you must submit a request for confidential treatment ([49 CFR Part 512](#)). Instructions for submission are available upon request.

If you are a manufacturer, please also ensure you have met the VIN and Manufacturer Identification requirements under 49 CFR 565 and 49 CFR 566 by registering in the [Manufacturer Portal](#).

SECTION 1: Vehicles

- ☐ Applicant contact information
- ☐ If you are seeking permission to import the vehicle into the United States, you must provide broker contact information and a filer code
- ☐ Vehicle information
 - Make
 - Model
 - Model Year(s)
 - GVWR
 - Vehicle Type (passenger car, multipurpose passenger vehicle, truck, bus, trailer, incomplete vehicle, low speed vehicle, motorcycle, or school bus)
 - VIN(s) or S/N(s)
- ☐ Purpose of exemption
 - Research
 - Investigation
 - Demonstration
 - Training
 - Competitive Racing Event
- ☐ A brief description of the purpose for the exemption and why it is necessary

- ☐ Address and/or description of the location where the vehicle(s) will be operated or tested
- ☐ Interaction with the public
 - Will the vehicle(s) be operated on public roads or outside of controlled laboratory/test track conditions at any time?
 - Will the vehicle(s) be operated near members of the public (e.g., pedestrians, bicyclists, motor vehicles) at any time?
 - Will the vehicle(s) be involved in transporting members of the public at any time?
- ☐ Will the vehicle(s) be operated by an Automated Driving System (ADS) at any time?
- ☐ The intended means of final disposition after completion of the purposes of the exemption
 - Export
 - Destroy
 - (For domestically produced vehicles only) Agree to retain possession and keep the vehicle off public roads
- ☐ The requested duration of the permission in weeks

SECTION 2: Vehicles Interacting with the Public

If the vehicle(s) will be operated on public roads, outside of controlled laboratory/test track conditions, near members of the public, or be involved in transporting members of the public at any time, you must also provide the following:

- ☐ Noncompliance with specific FMVSS
 - For each applicable Federal Motor Vehicle Safety Standard (FMVSS), indicate if the vehicle meets the requirements
 - If you select **Yes**, you are indicating that the vehicle meets all requirements for that FMVSS.
 - If you select **No** or **Unknown**, describe the potential noncompliance and explain how any risks resulting from the potential noncompliance will be mitigated. If the mitigation includes compliance with standards other than the FMVSS, identify each such standard and explain how the vehicle's conformity to the other standard compares to compliance with the corresponding FMVSS provision
 - If you select **Not Applicable**, explain why you believe that FMVSS does not apply
 - A table of applicable FMVSSs for each vehicle type can be found in Appendix 15 of the [New Manufacturers Handbook](#). Use the format below to prepare your response **before** starting your application

FMVSS #	Meets the Requirements? (Yes, No, Unknown, Not Applicable)	Description/Explanation	Mitigation

- ☐ Will you maintain insurance coverage from a regulated insurance company at all times in a sufficient amount to cover liability for damages, including for bodily injury or death, that may result from the operation of the vehicle in the manner and location(s) described in this application?
- ☐ Interior and exterior photos of the vehicle. If requesting exemption for multiple identical vehicles, you may provide photos of a single vehicle that are representative of the group
- ☐ An estimate of the total number of miles to be driven while interacting with the public
- ☐ Contact information for the entity that will employ the safety operator(s) or driver(s) of the vehicle(s)

SECTION 3: ADS-Equipped Vehicles

If the vehicle(s) will be operated by an Automated Driving System (ADS) at any time, you must also provide the following:

- ☐ A description any hardware or software changes to the vehicle model or its ADS since your previous granted permission, if applicable. If this is your first application with this vehicle, proceed to the next item
- ☐ A discussion of the vehicle's Operational Design Domain (e.g. maximum speed, road type, geographical, time-of-day restrictions, etc.) including any weather (temperature, snow, rain, fog, hail, high winds, cloud cover, etc.) or other environmental conditions that may affect the performance of the vehicle's ADS
- ☐ A description of the extent to which this ADS or a substantially similar ADS (e.g. prior/newer generation) has been previously tested using this vehicle model or another vehicle model. List any incidents resulting in deaths or injuries and any incidents occurring within the last 5 years on public roads resulting in property damage
- ☐ The maximum SAE Automation Level of the vehicle as operated
- ☐ A description of the engineering development process employed by the vehicle's manufacturer including any processes/certifications related to quality management, design and development, and/or risk management (e.g. ISO/TS 16949, ISO 9001, ISO 26262, etc.)

SECTION 4: ADS-Equipped Vehicles Interacting with the Public

If the vehicle(s) will be operated by an Automated Driving System (ADS) on public roads, outside of controlled laboratory/test track conditions, near members of the public, or be involved in transporting members of the public at any time, you must also provide the following:

- ☐ A detailed description of your proposed operation, including any research, demonstration, training, or investigation objectives you may have. Identify all entities involved with this project
- ☐ Precisely where the operation(s) will be performed, including addresses of starting point(s) and any stops, as applicable. State the length of all routes in miles. Provide a map or aerial view of all location(s) and/or anticipated route(s). Ensure that all roads are clearly labeled, as applicable. (.kmz and Google Earth files are preferred)
- ☐ The degree of anticipated public interaction during operation. State the vehicle's maximum operating speed(s), the posted speed limit(s) on all roads where the vehicle will travel or cross, and the anticipated times of day the vehicle will be operated
- ☐ A description of any public outreach you have performed in preparation of this operation and the response from the community
- ☐ Is the vehicle equipped with seat belts at all seating positions?
- ☐ Will operation of the vehicle(s) involve only seated occupants?

- ☐ Vehicle braking system information:
 - A description of the vehicle's braking system architecture, including any redundant or backup systems
 - The maximum deceleration rate that the ADS can apply while braking
 - The minimum stopping distance that the ADS can achieve while braking from its maximum operating speed
- ☐ A list and description of any predetermined points during operation where the safety operator will assume control or provide input to the vehicle's operation
- ☐ How you plan to limit the operation of the vehicle and ADS to its Operational Design Domain (e.g. maximum speed, road type, weather, etc.) described previously
- ☐ Do you anticipate updating the software or hardware of the vehicle at any time during the requested operational period? If so, explain
- ☐ A list of all local or state government authorizations required to test the vehicle in autonomous mode on public roads. Note any required authorizations not yet obtained. If local or state government authorization is not required, so state
- ☐ Discuss vehicle storage. Include where the vehicle(s) will be stored when not in operation, the distance between storage and the operating location(s), and how the vehicle(s) will be transported to and from storage
- ☐ Will the vehicle(s) be operated in any school zones or near other areas where children congregate at any time?
- ☐ Safety Operator training information:
 - Will a trained safety operator be in the vehicle(s) at all times during operation?
 - Will a trained safety operator be able to take immediate control of the vehicle should the need arise? If so, describe this process and specifically how the ADS is engaged/disengaged
 - A description of your training program, specifically how operators are selected, trained, monitored, and corrective actions are enforced. If your training program references any industry best practices, provide the document reference
 - What topics are covered in training?
 - Are safety operators provided with information on the limitations of the vehicle as part of the training or otherwise?
 - Are safety operators required to pass a written evaluation or skills assessment? If so, describe
 - Is supervised operation conducted prior to permitting operation alone? If so, describe
 - Is periodic monitoring, evaluation, or training conducted following initial training? If so, describe
 - Do safety operators use pre-trip checklists? If so, describe
 - Briefly describe your policies regarding mandatory breaks and for limiting safety operator distraction
- ☐ A description of your incident response protocols