



## Consumer Protection and Enforcement Division



Charter-Party Carrier of Passengers  
(TCP) Application for Drivered AV  
Passenger Service Pilot Program

**PUBLIC UTILITIES COMMISSION**

505 VAN NESS AVENUE  
SAN FRANCISCO, CA 94102-3298



Dear Applicant:

This packet contains the necessary information and forms to apply for a charter-part carrier of passengers (TCP) certificate or permit from the California Public Utilities Commission (CPUC) in order to participate in CPUC's Autonomous Vehicle (AV) Passenger Service pilot programs. *Before you begin completing any forms*, it is important that you read and understand the information on the following pages, including the Basic Information for Autonomous Vehicle Testing Pilot Program Applicants. The document is (1) an introduction to the AV Passenger Service pilot programs and required TCP authorities; (2) a guide to assist you throughout the application process; and (3) a reference for after your authority is issued to help you keep it in good standing and comply with the pilot program(s) requirements.

**Participation in each AV pilot program requires entities to obtain separate transportation charter-party carrier (TCP) authorities from CPUC and to comply with the added requirements of each pilot program.**

Once you decide to apply, use the checklist immediately following this notice to keep track of the forms you must complete. Forms should be attached to the application in the order shown on the checklist.

It is your responsibility to accurately complete and submit all required attachments. We may return your application and filing fee if you fail to:

- 1) pay the filing fee;
- 2) submit DMV Pull Notice Agreement (INF 1105);
- 3) submit documentation of active status on file with the California Secretary of State; and
- 4) submit all other forms listed in the checklist following this notice.

Before submitting your application, make a copy of the completed application and attachments for your own records. If any problems arise, it will be easier to resolve them if you have your own copies for reference.

General (expected) timeline for processing applications (if missing all required attachments):

Timeframe	Action
Approximately two (2) weeks after receipt of complete application, filing fee and required attachments	An analyst will review your application and determine what information and documents are lacking or incomplete. You will receive a status update ("deficiency letter") telling you what you need to do before we can issue your authority.
30 days after first deficiency letter	If you have not completed the items in your first deficiency letter, we will send a second letter telling you what remains to be done.
30 days after second deficiency letter	If you have not completed the remaining items in your deficiency letter, we will send a "Final Notice" advising you that if the remaining items are not completed within 20 days, we may deny your application.
20 days after "Final Notice" deficiency letter	The CPUC may deny your application. Once your application has been denied, you will not receive a permit unless you submit a new application and pay the application filing fee again.

When you receive the first deficiency letter, the bottom right hand corner will include the email address of the analyst assigned to your application. Please send this email address to your drug consultant so they can forward drug test results and list of services directly to the analyst. Please also send remaining deficient documentation by email to your assigned analyst.

Your authority will not be issued until you send all required attachments. **You should not submit an application unless you are committed to meeting all requirements for insurance and ready to start operation within 3 months.** The License Section will deny an application if the applicant has not completed all requirements within the timeline shown above. Incomplete applications and/or incorrect information will delay issuance of your authority, and may cause denial of your application. **Remember, filing fees are not refundable.**

Transportation License Section  
Consumer Protection and Enforcement Division

# CHARTER-PARTY CARRIER OF PASSENGERS CERTIFICATE/PERMIT APPLICATION CHECKLIST DRIVERED AV PASSENGER SERVICE PILOT

Your application must include all of the following documents and a check or money order for your filing fee. If any of these documents are missing, your application and filing fee will be returned to you. Please submit your completed forms in the order shown below:

## TCP AUTHORITY

- Filing Fee – Payment must be from the applicant
- Form PL-739-AV\* – Application for Charter-Party Carrier Authority
- Form INF 1105 – DMV Pull Notice Agreement (no fictitious business names or dba names)
- Form PL-739A – Driver Statement of Applicant
- Form PL-739B – Terminal Inspection Fee Statement
- Form PL-664-AV\*\* – AV Equipment Statement
- Form PL-668-AV – Vehicle Inspection Declaration Form
- Form PL-706-I – Highway Safety Requirements for Charter-Party Carrier
- Form PL-706-J-AV – Controlled Substances and Alcohol Testing Certification Program
- Form TL-706-F3 – Profit and Loss Statement
- Form PL-740 – School Pupil Transportation Declaration
- Documentation of active status filed with the **California Secretary of State**:
  - Corporation – Articles of Incorporation and Statement of Information
  - Limited Liability Company (LLC): Articles of Organization and Statement of Information
  - Limited Partnership (LP): Partnership Agreement and Certificate of Limited Partnership
- Form TL-706K – Workers’ Compensation Declaration
- Form TL-706K-LLC – LLC Exclusion Waiver (For LLC Entities Only)
- Form TL-706B – General Partnership Agreement (For General Partnership Entities Only)
- Proof of Insurance\*\*\* (\$5 million as required by DMV AV testing regulations)

## DRIVERED AV PASSENGER PILOT PROGRAM

- DMV AV Manufacturer’s Testing Permit
- DMV AV Test Vehicle Operator Permit(s)
- AV Test Driver Training Course Outline and Description
- Certification of Compliance with DMV Regulations
- Attestation of 30 Days of Operations Testing of Drivered AV(s)
- Passenger Notice and Consent Plan
- Statement and Map (“geo-fenced” area) of Operational Design Domain

\*Participation in each AV pilot program requires entities to obtain separate transportation charter-party carrier (TCP) authorities from CPUC and to comply with the added requirements of each pilot program.

\*\*AVs under the Drivered AV Passenger Service pilot program and the AV test drivers who will operate them must be listed on a different TCP permit than AVs to be operated under the Driverless AV Passenger Service and the remote operators capable of performing the dynamic driving task who may operate them.

\*\*\*CPUC requires the same proof of financial responsibility provided to DMV for purposes of its AV Manufacturer’s Testing permit to be provided to CPUC.

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
APPLICATION FOR CHARTER-PARTY CARRIER AUTHORITY  
AV PASSENGER SERVICE PILOT PROGRAMS**

FOR CPUC USE ONLY:

PSG \_\_\_\_\_

**IMPORTANT**

Please do not begin to complete this application until you have read and understand the document entitled, "BASIC INFORMATION FOR AUTONOMOUS VEHICLE TESTING PILOT PROGRAM APPLICANTS." Filing this application, in and of itself, does not constitute authority to engage in the AV Passenger Service pilot programs. Any operations conducted prior to Commission authorization are unlawful and may subject applicant to fine and/or imprisonment. A filing fee must accompany this application and is not refundable. Payment should be made by check or money order, payable to "California Public Utilities Commission" or "CPUC". Payment must be made out by the applicant.

Check the certificate or permit for which you are applying and enclose the filing fee required.

TYPE OF AUTHORITY	NEW FILING FEE	REFILE FILING FEE	FOR CPUC USE ONLY
CHARTER-PARTY CERTIFICATE: CLASS "A" DRIVERED AV <input type="checkbox"/> DRIVERLESS AV <input type="checkbox"/>	\$1,500	\$1,500	(512)
CHARTER-PARTY PERMIT(S): "P" DRIVERED AV <input type="checkbox"/> DRIVERLESS AV <input type="checkbox"/>	\$1,000	\$1,000	(530)

**PLEASE TYPE OR PRINT CLEARLY**

**PART I: STATEMENT OF OWNERSHIP**

1. Applicant  HAS  HAS NOT been previously licensed by this Commission. If so, list PSC or TCP number(s):

\_\_\_\_\_

2. Applicant is:

Individual:

First Name

Middle Name

Last Name

General Partnership:

\_\_\_\_\_

(List full names of all partners. Use additional sheet if necessary. ALL PARTNERS MUST SIGN ALL FORMS.)

Corporation  LLC  LP California Secretary of State (CSOS#) Number: \_\_\_\_\_

(Show exact name as registered with the California Secretary of State.)

Other:

(Show exact name and specify type)

Doing Business as (DBA):

\_\_\_\_\_

Note: Any entity doing business under one or more fictitious names shall, with respect to each fictitious name comply with Sections 17900-17930 of the California Business And Professions Code, entitled "Fictitious Business Names".



**3. Applicant Business Affiliation (Check One):**

- (a)  Applicant is associated or affiliated with the following business entities by reason of common ownership, control or management (own part or all of the company, hold a responsible position in the company or guide the operations of the company, directly or indirectly.). Please list and indicate the type of entity, i.e., whether a corporation, LLC, LP, general partnership, or other. Use additional sheets if necessary.

NAME	TYPE OF ENTITY

- (b)  No affiliation exists.

**PART II: SCOPE OF OPERATIONS PROPOSED**

(Please read the document entitled, “BASIC INFORMATION FOR AUTONOMOUS VEHICLE TESTING PILOT PROGRAM APPLICANTS.” All charters must be prearranged. Fare collection is not authorized in the AV Passenger Service pilot programs.)

**1. CHARTER-PARTY CERTIFICATE**

- Class “A” Statewide authority and round-trip sightseeing service.

**2. CHARTER-PARTY PERMIT**

- Class “P” Carriers using only vehicles under 15-passenger seating capacity.

**3. DESCRIPTION OF SERVICES:**

- A.** Applicant intends to provide the following services (describe the service). If you plan to be a sub-carrier, provide the TCP number and the name of the overlying carrier.

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- B.** If applicant intends to engage primarily in the transportation of infants and/or children under the age of 18 years and their parents, guardians and child care providers, Applicant must comply with the rules applicable to infant and child common carrier, as set out in Decision (D.) 97-07-063 and pursuant to Public Utilities Code §5382. As part of the requirements of D. 97-07-063, carrier are required to conduct criminal background checks of drivers and employees in physical contact with children passengers through the Department of Justice’s Trustline Unit.

State affirmatively whether Applicant intends to engage primarily in the transportation of infants and/or children under the age of 18 years and their parents, guardians and child care providers. Changes in service(s) offered following the issuance of a TCP permit / certificate may result in immediate suspension of operating authority, if Applicant is found to be primarily engaged in the transportation of unaccompanied infants and/or children under the age of 18 years and their parents, guardians and child care providers. Additional consequences include citation, financial penalty, and imprisonment.

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**4. TERMINAL INSPECTION:**

- (a) Terminal Inspection Fee Statement (Form PL739-B), complete and attach to application.  
(b) Passenger Carrier Equipment Statement (Form PL664-AV), complete and attach to application.

### **PART III: SAFETY OF OPERATION**

- 1. DEPARTMENT OF MOTOR VEHICLES DRIVER REGULATIONS:** All applicants, including owner-operators and employers, are required to participate in DMV's Pull Notice Program. Applicant agrees to hire and utilize only drivers or AV remote operators capable of performing the dynamic driving task who are licensed (and certified, if appropriate) for the type of vehicles they will be driving. Applicant agrees to check its drivers' records with DMV for all drivers and remote operators capable of performing the dynamic driving task prior to their hiring or participation in the AV Passenger Service pilot programs and agrees to comply with applicable laws and regulations pertaining to the employment of drivers and remote operators.  

Every carrier shall enroll in the "Pull Notice Program" of the Department of Motor Vehicles as defined in Vehicle Code Section 1808.1. A charter-party vehicle shall not be operated by any driver or remote operator capable of performing the dynamic driving task who is presumed to be a negligent operator under Vehicle Code Section 12810.5. You will receive a requester code number from DMV when you are enrolled in the Pull Notice Program.
- 2. MAINTENANCE CAPABILITIES:** By signing this application, applicant certifies that applicant is willing and able to maintain its vehicles in safe operating condition and in compliance with the California Vehicle Code and with regulations contained in Title 13 of the California Code of Regulations relative to motor carrier safety. Every carrier must inspect all vehicles and maintain proper documentation of such inspections.
- 3. WORKERS' COMPENSATION DECLARATION FORM:** Complete Form TL706-K and attach to application.
- 4. SUBCARRIER AGREEMENTS:** Applicant agrees to hire and utilize subcarriers only in compliance with General Order 157 Series.
- 5. HIGHWAY SAFETY REQUIREMENTS:** Complete Form PL706-I and attach to application.
- 6. CONTROLLED SUBSTANCE AND ALCOHOL TESTING CERTIFICATION REQUIREMENTS:** Applicants must provide for a drug testing program which includes educational materials for their drivers, training for supervisors and specified testing of drivers for use of controlled substances and alcohol. Complete Form PL706J-AV and attach to application.

### **PART IV: FINANCIAL RESPONSIBILITY AND INSURANCE REQUIREMENTS**

1. Complete Form TL706-F3 (Projected Profit and Loss Statement) and attach to the application. The financial information you submit may be verified by the Commission staff.
2. Applicant shall deposit evidence of adequate bodily injury and property damage insurance required by General Order 115 Series. A certificate / permit will not be issued without insurance being on file with the Commission. Pursuant to California Code of Regulations, Title 13, Section 227.04 and CPUC Decision 18-05-043, the required minimum public liability and property damage insurance coverage for test AVs is \$5 million and must be proven in the form of an insurance policy, surety bond, or a certificate of self-insurance as evidenced to DMV. After you apply, you will be assigned a File Number (PSG Number) which will appear on all correspondence you receive from the License Section.

### **CERTIFICATION**

I (we) certify (or declare), under penalty of perjury, that the representations appearing in this application and in any forms attached thereto (including any accompanying financial schedules, statements or projections) are, to the best of my (our) knowledge and belief, true, correct and complete, based on all the information required to be included therein, of which I (we) have any knowledge, and these representations are made in good faith. Where the applicant is a corporation, LLC or LP, I further certify that I am an officer of the corporation, managing member of the LLC, or partner of the LP, and am authorized to make this certification on its behalf. I (we) further certify (or declare), under penalty of perjury, that a final judgment has not been entered against the applicant(s) pursuant to Section 3716.2 of the Labor Code (workers' compensation violations) and that I (we) am (are) in compliance with the Americans with Disabilities Act of 1990 as required by D.92-12-065.

If applicant is an individual, he or she must sign below. If applicant is a general partnership, all partners must sign below, as well as all forms attached to this application. If applicant is a corporation, LLC or LP, then the person signing must be authorized to do so, as certified above. The person(s) signing below is (are) responsible for this certification, regardless of whether another party prepared, or assisted in preparing, the application or its attachments.

**INDIVIDUAL, CORPORATION, LLC, OR LP**

\_\_\_\_\_  
Signature of Individual Applicant, or Authorized Officer,  
Managing Member or LP Partner

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

**GENERAL PARTNERSHIP**

(Make as many copies of this page as necessary for all partners to sign.)

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Signature of Partner

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

**FOR USE OF CONSULTANT / PREPARER**

If this application was prepared by an outside consultant not affiliated with the applicant, please provide the following:

Name: \_\_\_\_\_  
(Name of individual who prepared this application)

Company Name (if different): \_\_\_\_\_

Email: \_\_\_\_\_

**COMPLETE AND RETURN ALL PAGES OF THIS APPLICATION TO:**

CPUC License Section  
505 Van Ness Ave.  
San Francisco, CA 94102





**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
TERMINAL INSPECTION FEE STATEMENT**

PSG-\_\_\_\_\_

APPLICANT REQUESTS AUTHORITY TO OPERATE AS A CHARTER-PARTY CARRIER OF PASSENGERS.

NAME: \_\_\_\_\_

DOING BUSINESS AS (DBA): \_\_\_\_\_

BUSINESS ADDRESS: \_\_\_\_\_  
Street Address City County Zip Code

PHONE: ( ) \_\_\_\_\_  
Area Code Phone No.

TERMINAL ADDRESS: \_\_\_\_\_  
Street Address City County Zip Code

**P.U. Code Section 5373.1(b) states: The Commission shall also require each application to be accompanied by a fee to offset the cost of the charter-party carrier bus terminal inspections conducted by the Department of the California Highway Patrol. The fee shall be fifteen dollars (\$15) per tour bus, as defined in Section 612 of the Vehicle Code, or a maximum of six thousand five hundred dollars (\$6,500) for each operating carrier.**

**PLEASE CHECK APPROPRIATE. BOX BELOW:**

- Applicant **WILL NOT** use any vehicles seating more than 10 passengers including the driver.
- Applicant **WILL** use \_\_\_\_\_ vehicles seating more than 10 passengers including the driver. Total submitted \$ \_\_\_\_\_ (\_\_\_\_\_ vehicles x \$15.00). **MAXIMUM AMOUNT \$6500. LIST EQUIPMENT ON FORM PL-664.**

**NOTE:**

Terminal inspection fee is in addition to the application fee and is not refundable. Application cannot be processed without BOTH the application filing fee and terminal inspection fee.

**FAILURE TO LIST ALL VEHICLES WILL BE DEEMED REASON FOR DENIAL OR LATER SUSPENSION AND/OR REVOCATION OF ANY ISSUED AUTHORITY.**

**You must immediately notify this Commission of any changes to your equipment list.**

**CERTIFICATION**

**I (WE) CERTIFY (OR DECLARE) UNDER PENALTY OF PERJURY THAT THE FOREGOING INFORMATION IS TRUE AND CORRECT.**

Date: \_\_\_\_\_

\_\_\_\_\_

Signature of Applicant(s)

If applicant is a corporation:

\_\_\_\_\_

Signature of Corporate Officer

\_\_\_\_\_

Title of Corporate Officer

\_\_\_\_\_

# CALIFORNIA PUBLIC UTILITIES COMMISSION

## PASSENGER CARRIER EQUIPMENT STATEMENT INSTRUCTIONS (Form PL664-AV) AV PASSENGER SERVICE PILOT PROGRAMS

Transportation companies required to file this form must report to the CPUC any additions or deletions to the list of their vehicles within 10 days of the date the vehicle is put into or pulled out of service.

**The California Vehicle Code requires a vehicle used or maintained for the transportation of persons for hire, compensation or profit to be registered as a commercial vehicle.**

### SECTION 1 – CARRIER INFORMATION

All fields in this section must be completed. If you do not have a “Fictitious Business Name / DBA” or an “Email Address” indicate N/A in those fields.

### SECTION 2 – EQUIPMENT

**Check New Application, Renewal Application, Refile Application or Update (Add/Delete/Change).**

<b>Add, Delete Change</b>	Make a selection for the vehicle you will be entering on the form.
<b>License Plate</b>	Enter the license plate information associated with the vehicle.
<b>State</b>	Enter the state (ex: CA for California).
<b>Vehicle Identification Number (VIN)</b>	Enter the VIN number for the vehicle. <b>*Any vehicle purchased from another TCP carrier must be deleted from the old TCP before you can add it to your TCP.</b>
<b>Seats</b>	Enter the total seating capacity of the vehicle including the driver. (You are required to complete a new PL-664 if the seating capacity changes)
<b>Body Type</b>	Enter one of the following: LIM = Limousine, CAR = Car, BUS = Bus, VAN=Van, SUV=Suv, SW = Station Wagon
<b>Year</b>	The model year of the vehicle.
<b>Gross Vehicle Weight Rating (GVWR) – (lbs)</b>	Enter the Gross Vehicle Weight Rating (GVWR) of the vehicle assigned by the manufacturer.
<b>Chassis Stretch (Inches)</b>	If the vehicle chassis has been stretched, indicate the number of inches (for example, 140”).
<b>Handicapped Accessible</b>	Indicate Yes or No
<b>Modified Limousine</b>	Indicate Yes or No Any vehicle that has been modified, altered, or extended in a manner that increases the overall wheelbase of the vehicle, exceeding the original equipment manufacturer’s published wheelbase dimension for the base model and year of the vehicle, in any amount sufficient to accommodate additional passengers with a seating capacity of not more than 10 passengers including the driver, and is used in the transportation of passengers for hire.
<b>Autonomous Vehicle</b>	Indicate Yes or No Any vehicles that are classified as autonomous by the DMV and authorized for testing on public roads.
<b>Fire Extinguishers</b>	Indicate number of fire extinguishers
<b>Emergency Exits</b>	Indicate number of emergency exits
<b>Terminal Address</b>	Enter the location where this vehicle is garaged or operated from. Provide the Address, City, State and Zip Code. *If you have multiple terminals please group your vehicles by terminal location.
<b>Phone</b>	Enter area code and phone number associated with the terminal address entered.

# CALIFORNIA PUBLIC UTILITIES COMMISSION

## PASSENGER CARRIER EQUIPMENT STATEMENT INSTRUCTIONS (Form PL-664-AV) AV PASSENGER SERVICE PILOT PROGRAMS

### SECTION 3 – CERTIFICATION

Sign, print name, and date the form.

### OTHER INFORMATION

- A copy of the current **commercial vehicle registration** for each vehicle must accompany this form. **The applicant or permit holder must be shown on the registration as either the registered owner or the lessee.** (In the case of a partnership, at least one of the general partners whose name is listed on the permit or certificate must appear on the registration.) Samples of acceptable registration are available via our website:  
[http://www.cpuc.ca.gov/psg\\_transportation\\_forms/](http://www.cpuc.ca.gov/psg_transportation_forms/)
- **Effective immediately**, individuals and one-owner LLC's and Corporations without employees will be permitted to have and maintain *two (2) vehicles*. The term "employee" is defined here as a non-manager-member (LLC) and non-officer (Corp). Requests to add more than two (2) vehicles must include a reason justifying the additional vehicle, and may result in the CPUC requiring the filing of an active workers' compensation insurance policy.
- If there are any changes regarding vehicle license plate numbers, it is your responsibility to immediately submit a PL-664 reflecting these changes.

### **Vehicle Registration:**

Before the License Section will process your request to add a vehicle, you must provide us with a copy of the vehicle's registration, which must show that the vehicle is registered "commercial" or "limousine". In addition, the registration must show the registered owner or lessee to be the following and as listed on the Statement of Information (SOI) if your entity is a Corporation or LLC:

For this type of entity	the registered owner or lessee must be
Individual	The Individual
General Partnership	One or more of the partners
Corporation	The Corporation or Corporate Officer
LLC	The LLC or Manager Member or Member
LP	The LP or a general partner

### **YOU MUST PRINT, SIGN AND DATE THE FORM.**

You can scan and email the copy to: [licensing@cpuc.ca.gov](mailto:licensing@cpuc.ca.gov)

Or Mail to: License Section  
California Public Utilities Commission  
505 Van Ness Avenue  
San Francisco, CA 94102

**CALIFORNIA PUBLIC UTILITIES COMMISSION  
AV PASSENGER SERVICE PILOT PROGRAMS**

**PASSENGER CARRIER EQUIPMENT STATEMENT (Form PL-664-AV)**

**SECTION 1 - CARRIER INFORMATION**

PSG/TCP#	CARRIER NAME	FICTITIOUS BUSINESS NAME / DBA (IF ANY)			
BUSINESS ADDRESS	CITY	STATE	ZIP CODE	PHONE	
EMAIL ADDRESS				CA#	

**SECTION 2 – EQUIPMENT**

NEW APPLICATION     RENEWAL APPLICATION     REFILE APPLICATION     UPDATE (Add/Delete/Change)

**NOTE: In "SEATS" indicate the seating capacity (i.e., number of seats), including the driver.**

<input type="checkbox"/> ADD <input type="checkbox"/> DELETE <input type="checkbox"/> CHANGE		LICENSE PLATE	STATE	VEHICLE IDENTIFICATION NUMBER (VIN)				AUTONOMOUS VEHICLE <input type="checkbox"/> Yes <input type="checkbox"/> No	
SEATS	BODY TYPE	YEAR	GVWR (LB)	CHASSIS STRETCH (INCHES)	HANDICAPPED ACCESSIBLE <input type="checkbox"/> Yes <input type="checkbox"/> No	MODIFIED LIMOUSINE <input type="checkbox"/> Yes <input type="checkbox"/> No	# of FIRE EXTINGUISHERS	# of EMERGENCY EXITS	
TERMINAL ADDRESS							PHONE		
ADDRESS		CITY		STATE	ZIP				
<input type="checkbox"/> ADD <input type="checkbox"/> DELETE <input type="checkbox"/> CHANGE		LICENSE PLATE	STATE	VEHICLE IDENTIFICATION NUMBER (VIN)				AUTONOMOUS VEHICLE <input type="checkbox"/> Yes <input type="checkbox"/> No	
SEATS	BODY TYPE	YEAR	GVWR (LB)	CHASSIS STRETCH (INCHES)	HANDICAPPED ACCESSIBLE <input type="checkbox"/> Yes <input type="checkbox"/> No	MODIFIED LIMOUSINE <input type="checkbox"/> Yes <input type="checkbox"/> No	# of FIRE EXTINGUISHERS	# of EMERGENCY EXITS	
TERMINAL ADDRESS							PHONE		
ADDRESS		CITY		STATE	ZIP				
<input type="checkbox"/> ADD <input type="checkbox"/> DELETE <input type="checkbox"/> CHANGE		LICENSE PLATE	STATE	VEHICLE IDENTIFICATION NUMBER (VIN)				AUTONOMOUS VEHICLE <input type="checkbox"/> Yes <input type="checkbox"/> No	
SEATS	BODY TYPE	YEAR	GVWR (LB)	CHASSIS STRETCH (INCHES)	HANDICAPPED ACCESSIBLE <input type="checkbox"/> Yes <input type="checkbox"/> No	MODIFIED LIMOUSINE <input type="checkbox"/> Yes <input type="checkbox"/> No	# of FIRE EXTINGUISHERS	# of EMERGENCY EXITS	
TERMINAL ADDRESS							PHONE		
ADDRESS		CITY		STATE	ZIP				

**SECTION 3 - CERTIFICATION**

I certify that the above information is accurate and that each autonomous vehicle listed is covered by an automobile liability insurance policy which provides at least \$5 million of coverage.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

**PLEASE ALLOW 7-10 BUSINESS DAYS FOR PROCESSING**

PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
AV PASSENGER SERVICE PILOT PROGRAMS  
VEHICLE INSPECTION DECLARATION FORM

YOUR FILE NUMBER

Carrier Name \_\_\_\_\_

TCP \_\_\_\_\_

Pursuant to Decision 16-04-041 Ordering Paragraph 1, all TCP vehicles shall be inspected by a facility licensed by the California Bureau of Automotive Repair (CBAR): (a) before the vehicle is first introduced into service; and (b) every 12 months or 50,000 miles thereafter, whichever occurs first. The required inspection shall include, at minimum, a 19-point inspection pursuant to Decision 13-09-045 (Reg. Req't. 1) and as detailed below. Pursuant to Decision 18-05-043, test autonomous vehicles may be inspected by the autonomous vehicle's manufacturer in lieu of a facility licensed by CBAR.

- |                                |   |
|--------------------------------|---|
| 1. Foot brakes                 | 11. Front seat adjustment mechanism           |
| 2. Emergency brakes            | 12. Doors (open, close, lock)                 |
| 3. Steering mechanism          | 13. Horn                                      |
| 4. Windshield                  | 14. Speedometer                               |
| 5. Rear window and other glass | 15. Bumpers                                   |
| 6. Windshield wipers           | 16. Muffler and exhaust system                |
| 7. Headlights                  | 17. Condition of tires, including tread depth |
| 8. Taillights                  | 18. Interior and exterior rear view mirrors   |
| 9. Turn indicator lights       | 19. Safety belt for driver and passenger(s)   |
| 10. Stop lights                |   |

TCPs shall be responsible for ensuring that each of their vehicles complies with this requirement and shall maintain records of such compliance for a minimum of three years.

**CERTIFICATION**

**I (we) certify (or declare), under penalty of perjury, that I (we) have read and understand the above requirement regarding 19-point vehicle inspections by a facility licensed by the California Bureau of Automotive Repair or by the autonomous vehicle's manufacturer, and that I (we) am (are) able to and will comply with it. I (we) certify (or declare), under penalty of perjury, that the foregoing is true and correct.**

Date: \_\_\_\_\_

\_\_\_\_\_  
Print Name of Applicant / Officer

\_\_\_\_\_  
Signature of Applicant(s)

\_\_\_\_\_  
Signature of Corporate Officer

\_\_\_\_\_  
Title of Corporate Officer

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
HIGHWAY SAFETY REQUIREMENTS  
FOR CHARTER-PARTY CARRIERS**

Before completing this form, refer to "A Guide to Filling Out Form TL706-I"

**I. GENERAL HIGHWAY SAFETY REQUIREMENTS**

Public Utilities Code Section 5374 states that:

(a) (1) Before a permit or certificate is issued or renewed, the Commission shall require the applicant to establish reasonable fitness and financial responsibility to initiate and conduct or continue to conduct the proposed or existing transportation services. The Commission shall not issue or renew a permit or certificate pursuant to this chapter unless the applicant meets all of the following requirements:

(A) It is financially and organizationally capable of conducting an operation that complies with the rules and regulations of the Department of the California Highway Patrol governing highway safety.

(B) It is committed to observing the hours of service regulations of state and, wherever applicable, federal law, for all persons, whether employees and subcarriers, operating vehicles in transportation for compensation under the permit or certificate.

(C) It has a preventive maintenance program in effect for its vehicles used in transportation for compensation that conforms to regulations of the California Highway Patrol in Title 13 of the California Code of Regulations.

(D) It participates in a program to regularly check the driving records of all persons, whether employees or sub-carriers, operating vehicles used in transportation for compensation.

(E) It has a safety education and training program in effect for all employees or sub-carriers operating vehicles used in transportation for compensation.

(F) It will maintain its vehicles used in transportation for compensation in a safe operating condition and in compliance with the Vehicle Code and with regulations contained in Title 13 of the California Code of Regulations relative to motor vehicle safety.

(G) It has filed with the Commission the certificate of workers' compensation coverage or statement required by Section 5378.1.

(H) It has provided the Commission an address of an office or terminal where documents supporting the factual matters specified in the showing required by this subdivision may be inspected by the Commission and the Department of the California Highway Patrol.

(I) It provides for a mandatory controlled substance and alcohol testing certification program as adopted by the Commission pursuant to Section 1032.1.

(2) With respect to subparagraphs (B) and (F) of paragraph (1), the Commission may base a finding on a certification by the Commission that an applicant has filed, with the Commission, sworn declaration of ability to comply and intent to comply.

(b) In addition to the requirements in subdivision (a), charter-party carriers shall meet all other state and, where applicable, federal regulations as prescribed.

(c) The Commission may delegate to its executive director or that executive director's designee the authority to issue, renew, or authorize the transfer of, charter-party carrier permits or certificates and to make the findings specified in subdivision (a) that are necessary to that delegated authority.

## II. PREVENTIVE MAINTENANCE PROGRAM

Before completing Section II & III below, you must read the attached yellow printed document titled "A Guide To Filling Out Form PL706-I."

### A. VEHICLE PREVENTIVE MAINTENANCE RECORD REQUIREMENTS

Attached to "A Guide To Filling Out Form PL 706-I" is a copy of a Bus Maintenance & Safety Inspection form (CHP 108A). You may use this form to record preventive maintenance completed on your company's vehicle(s). You may use another vehicle maintenance record, provided that it complies with the requirements outlined in California Vehicle Code Section 34505, and provided you attach a copy when submitting your PL 706-I. (See Section I to "A Guide To Filling Out Form PL706-I" for a written transcription of Section 34505.)

**You must certify to one of the following choices listed below by marking a X in the space provided:**

- I will use the Bus Maintenance & Safety Inspection form (Form CHP 108A) as my company's vehicle preventive maintenance record. I have read California Vehicle Code Section 34505, and I will comply with the preventive maintenance record keeping requirements.
- I will use another preventive maintenance record, **which I have attached.** (***You must attach a copy of your preventive maintenance record to this form.***) I have read California Vehicle Code Section 34505, and I will comply with the vehicle maintenance record keeping requirements.

### B. DAILY VEHICLE RECORD MAINTENANCE REQUIREMENTS

Attached to "A Guide To Filling Out Form PL 706-I" is a daily driver maintenance record titled "Driver's Vehicle Inspection Report." You may use this form to record daily preventive maintenance completed on your company's vehicle(s). You may use another daily maintenance record, provided that it complies with the requirements outlined in the California Code of Regulations Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215, and provided you attach a copy when submitting your PL 706-I. (See Section I to A Guide To Filling Out Form PL706-I for a transcription of Section 1215.)

**You must certify to one of the following choices listed below by marking a X in the space provided:**

- I will use the "Driver's Vehicle Inspection Report." I have read California Code of Regulations Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215, and I will comply with the vehicle maintenance record keeping requirements.
- I will use another daily vehicle maintenance record, **which I have attached.** (***You must attach a copy of your daily vehicle maintenance record to this form.***) I have read California Code of Regulations Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215 (c), and I will comply with the vehicle maintenance record keeping requirements.

**III. SAFETY EDUCATION AND TRAINING PROGRAM**

**You must certify to one of the following choices listed below by marking a X in the space provided:**

- I certify that I have a copy of the California Commercial Driver Handbook. I have read Section III to "A Guide To Filling Out Form PL706-I." I will read the California Commercial Driver Handbook at least every six months, and I will cover the chapters outlined in Section III to A Guide To Filling Out PL706-I describing the minimum carrier safety education training requirements.
  
- I certify that I have purchased a safety education and training program from a safety consultant. I have read Section III to "A Guide To Filling Out Form PL706-I." I will read my safety education training material every six months, covering the chapters outlined in Section III describing the minimum carrier safety education training requirements. (***Attach a copy of the receipt from your safety consultant listing the training material you purchased.***)
  
- I certify that I will operate my business exclusively as a sub-carrier, and that I will participate in a safety education and training program conducted by my prime carrier. Provide that carrier's name and CPUC Permit Number (TCP or PSC-number) below:

Name of Prime Carrier: \_\_\_\_\_ TCP or PSC number: \_\_\_\_\_

Note: Each prime carrier shall make reasonable efforts to ensure that its subcarriers comply with both the vehicle preventive maintenance/ inspection requirements and the safety education and training program requirements.

**IV. CERTIFICATION**

**I (we) certify that I (we) have read and understand the requirements in Sections I through III above and that I am (we are) able to and will comply with each of them; and that the information I (we) have provided on this form, and in the attachments, is true and correct to the best of my (our) knowledge and belief. I (we) certify (or declare), under penalty of perjury, that the foregoing is true and correct.**

\_\_\_\_\_  
Signature of Individual Applicant, or  
Authorized Officer, Managing Member or LLP/LP Partner

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

# A GUIDE TO FILLING OUT FORM PL706-I

**KEEP THIS GUIDE FOR YOUR FILES  
DO NOT RETURN IT WITH YOUR APPLICATION.**

## **I. VEHICLE PREVENTIVE MAINTENANCE RECORD REQUIREMENTS**

California Public Utilities Code Section 5374 (C) and (F) require that all charter-party carriers and passenger stage corporations have a vehicle preventive maintenance program, and certify that the vehicles will be maintained as required by the California Vehicle Code and regulations contained in Title 13 of the California Code of Regulations.

Before the License Section will issue you a permit or certificate you must certify on form PL706-I that you have read California Vehicle Code Section 34505 and California Code of Regulations Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215, and that you will comply with these vehicle maintenance requirements. Below is a transcription of these code sections.

### **A. Vehicle Maintenance Record Requirements**

Pursuant to California Vehicle Code Section 34505:

(a) tour bus operators<sup>1</sup> shall, in addition to the systematic inspection, maintenance, and lubrication services required of all motor carriers, require each tour bus to be inspected at least every 45 days, or more often if necessary to ensure safe operation. This inspection shall include, but not be limited to, all of the following:

- (1) Brake adjustment.
- (2) Brake system components and leaks.
- (3) Steering and suspension systems.
- (4) Tires and wheels.

(b) A tour bus shall not be used to transport passengers until all defects listed during the inspection conducted pursuant to subdivision (a) have been corrected and attested to by the signature of the operator's authorized representative.

---

<sup>1</sup> Section 612 of the California Vehicle Code defines a "Tour Bus" as a bus which is operated by or for a charter-party carrier of passengers, as defined in Section 5360 of the Public Utilities Code, or a passenger stage corporation, as defined in Section 226 of the Public Utilities Code.

(c) Records of inspections conducted pursuant to subdivision (a) shall be kept at the operator's maintenance facility or terminal where the tour bus is regularly garaged. The records shall be retained by the operator for one year, and shall be made available for inspection upon request by any authorized employee of the department. Each record shall include, but not be limited to, all the following:

- (1) Identification of the vehicle, including make, model, license number, or other means of positive identification.
- (2) Date and nature of each inspection and any repair performed.
- (3) Signature of operator's authorized representative attesting to the inspection and to the completion of all required repairs.
- (4) Company vehicle number.

[BUS MAINTENANCE & SAFETY INSPECTION \(Form CHP 108A\)](#). This form is published by the California Highway Patrol and fully complies with the record maintenance requirements outlined in California Vehicle Code Section 34505. You may use this form to record vehicle maintenance conducted on your company's vehicles. If you use another vehicle maintenance form, that form must comply with the requirements discussed above, and you must attach a copy of it to form PL706-I.

## **B. Daily Vehicle Maintenance Record Requirement**

Pursuant to California Code of Regulations, Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215:

(a) General. It shall be unlawful for the driver to drive a vehicle that is not in safe operating condition or is not equipped as required by all provisions of law and this chapter.

(b) Daily Inspection. Pursuant to Section 1202.1 and 1202.2, all drivers shall perform vehicle inspection and submit written reports in accordance with the requirements of Title 49, Code of Federal Regulations, Sections 396.11 and 396.12, as follows:

(1) Before driving a motor vehicle, the driver shall:

- (A) Inspect each vehicle daily to ascertain that it is in safe operating condition and equipped as required by all provisions of law, and all equipment is in good order;
- (B) Review the last vehicle inspection report
- (C) Sign the report, only if defects or deficiencies were noted by the driver who prepared the report, to acknowledge that the driver has reviewed it and that there is a certification pursuant to subsection (f) that the required repairs have been performed. The signature requirement does not apply to listed defects on a towed unit which is no longer part of the vehicle combination.

(2) Subsections (B) and (C) do not apply to school bus drivers or publicly owned and operated transit system drivers.

(c) Daily Report. Every motor carrier shall require its drivers to report, and every driver shall prepare a report in writing at the completion of each day's work on each vehicle operated. School bus drivers' reports shall cover at least the items listed in subdivision (d), and all other drivers' reports shall cover at least the following parts and accessories:

- Service brakes including trailer brake connections
- Parking (hand) brake
- Steering mechanism
- Lighting devices and reflectors
- Tires
- Horn
- Windshield wipers
- Rear vision mirrors
- Coupling devices
- Wheels and rims
- Emergency equipment

(d) School bus drivers. For school bus drivers, the inspection shall include, but is not limited to:

1. All gauges, indicators, and warning devices
2. Horns
3. Driver's seat and seat belts
4. All doors, door emergency releases, and windows
5. All seats, handrails, and modesty panels
6. Interior and exterior lighting systems
7. All heating, cooling, and ventilating systems
8. All glass and mirrors, including adjustment of mirrors
9. Windshield wipers and washers
10. All required emergency equipment
11. All tires, wheels, and lugnuts
12. Brake system
  - (a) Air compressor governor cut in and cut out pressures
  - (b) Static pressure for air loss
  - (c) Applied brake pressure loss
  - (d) Low air pressure warning devices
  - (e) Emergency stopping systems (draining reservoirs in dual systems is not required)
  - (f) Parking brake
  - (g) Antiskid device (if equipped)
  - (h) Vacuum gauge, ensuring it reads not less than 15 inches
  - (i) Low vacuum warning devices
  - (j) Brake pedal for brake adjustment

(e) Report Content. The report shall identify the motor vehicle and all towed vehicles and list any defect or deficiency discovered by or reported to the driver which would affect safety of operation of the motor vehicle or combination or result in its mechanical breakdown. If no defect or deficiency is discovered by or reported to the driver, the report(s) shall so indicate. In all instances, the driver shall sign the vehicle inspection report. On two-driver operations, only one driver needs to sign the report, provided both drivers agree as to the defects or deficiencies. If a driver operates more than one vehicle during the day, a report shall be prepared for each vehicle operated.

(f) Corrective Action. Prior to operating a motor vehicle, motor carriers or their authorized agent(s) shall effect repair of any item listed on the motor vehicle inspection report(s) that would be likely to affect the safety of operation of the motor vehicle or any towed vehicles.

(1) Motor carriers or their agents shall certify on the report(s) which lists any defects or deficiencies that the defects or deficiencies have been corrected or that correction is unnecessary before the vehicle is again dispatched.

(2) Subsection (1) does not apply to school bus or publicly owned and operated transit system motor carriers.

(g) Repairs. Unless the driver of a school bus or SPAB is the mechanic charged with the care and maintenance of the bus, the driver shall not make any repair of the bus or its equipment except necessary emergency repairs on the road.

(h) Exception. Subsection (c) shall not apply to a motor carrier operating only one motor vehicle, provided the motor vehicle is a motor truck or truck tractor, and the motor carrier is the owner and sole driver of the motor vehicle. A motor carrier, otherwise excepted from the reporting requirement by this subdivision, who tows trailers(s) not owned by or leased to that motor carrier, shall submit documented daily report(s) for the trailers as required by subsection (b). Such reports shall be submitted to the person(s) from whom the trailers were obtained.

(i) Private motor carriers of passengers. The exemption provided to private carriers of passengers in 49 CFR Section 396.11(d), shall not apply to intrastate private motor carriers of passengers operating any bus, as defined in Vehicle Code Section 233.

**Attachment A** is a form titled "Driver's Vehicle Inspection Report." This form complies with the requirement discussed in California Code of Regulations Title 13 (Motor Vehicles), Division 2, Chapter 6.5, Section 1215. You may use this form to record daily vehicle maintenance required for your company's vehicle(s). If you choose to use another daily maintenance form, it must conform to the requirements discussed above. You must also attach a copy of the form to form PL706-I.

## II. SAFETY EDUCATION AND TRAINING PROGRAM

Public Utilities Code Section 5374 (E) requires that applicants have a safety education and training program in effect for all employees or sub-carriers operating vehicles used in transportation for compensation. You must provide safety education and training at least twice a year and cover the subject matter listed below. If you have employees or sub-carriers, you must keep records of the training you conducted and the names of your drivers who participated in the training.

If you develop your own safety education and training program, as a minimum, a carrier safety education training program shall cover the following subjects, as set forth in the [California Commercial Driver Handbook](#), published by the Department of Motor Vehicles (DMV):

- Commercial Driver License Program, Qualifications, and Sanctions
- Commercial Driver License Test
- Inspecting Your Vehicles
- Basic Control of Your Vehicle
- Size and Weight of Vehicles and Loads
- Transporting Cargo
- Air Brakes
- Combination Vehicles
- Hazardous Materials

You may obtain a copy of this booklet from your local DMV office, or you may download a copy from the DMV's web page at <https://www.dmv.ca.gov/portal/dmv/detail/pubs/pubs>.

You may purchase a commercially available safety education training program if you wish. You must attach to form PL706-I a copy of the receipt from your safety consultant listing the material you purchased. A program should include:

DOT Federal Motor Carrier Safety Regulations Pocketbook  
Department of Motor Vehicles Commercial Driver Handbook

### BOOKLETS:

Vehicle Inspections

Driving Grades

Drugs/Drinking

Backing

Controlling/Brakes

Extreme Driving Conditions

Flatbeds

Defensive Driving

Emergency Maneuvers

Cornering Techniques

Drivers

Night Driving

Sharing the highway

Skid Control

Preventive Maintenance

Terminal/Yard Procedures

Trailers

Your Daily Log

### **III. PULL NOTICE PROGRAM & REQUIREMENTS**

Public Utilities Code Section 5374 (D) requires that before the Commission issues a charter-party carrier permit or certificate the Commission shall ensure that the applicant participates in a program (DMV's Pull Notice Program) to regularly check the driving records of all persons, whether employees or sub-carriers, operating vehicles used in transportation for compensation. Section 1808.1 of the California Vehicle Code and the Commission's General Order Series 157 and 158 require all Charter-party Carriers and Passenger Stage Corporations to enroll in the DMV's Pull Notice Program and to obtain a "Pull Notice Contract" and a "Requestor Code Number" from the DMV. Operating authority will not be issued to a carrier until the carrier has provided the Commission with a "Pull Notice Contract" and a "Requestor Code Number". The Pull Notice Contract must be in the legal name of the applicant or permit holder.

To participate in the Pull Notice Program and to receive information on how to request periodic driver reports, contact the DMV at:

Department of Motor Vehicles  
Employer Pull Notice Unit  
P.O. Box 944231 – M.S. # H-265  
Sacramento, CA 94244-2310  
(Phone 916-657-6346)  
([www.dmv.ca.gov](http://www.dmv.ca.gov))

#### **IV. A NOTE FROM THE CALIFORNIA HIGHWAY PATROL**

In addition to the above-listed safety requirements, motor carriers operating or directing the operations of any vehicle with a seating capacity of more than 10 passengers, including the driver, must participate in a terminal inspection every 13 months and pay the appropriate terminal inspection fee. To find out what happens during the terminal inspection, get the California Highway Patrol Motor Carrier Safety Compliance Handbook, HPH 84.6. Single copies of this handbook are available for a nominal charge at the CHP Publications Unit, and you may obtain a copy by telephoning (916) 375-2101. Below is a list of the CHP Motor Carrier Safety Unit Offices you can contact in case you have any questions concerning bus and terminal inspections.

#### **CHP Motor Carrier Safety Unit**

- |  |                |
|--|----------------|
| 1. 2485 Sonoma Street, Redding, 96001                    | (530) 225-2098 |
| 2. P.O. Box 2088, Rancho Cordova, 95741                  | (916) 464-2102 |
| 3. 1551 Benicia Road, Vallejo, 94591                     | (707) 648-4180 |
| 4. 4774. W. Jacklyn, Fresno, 93722                       | (559) 445-6992 |
| 5. 411 North Central Ave. Suite 410, Glendale, 91203     | (323) 644-9557 |
| 6. 9330 Farnham Street, San Diego 92123                  | (858) 650-3655 |
| 7. 4115 Broad Street, Suite B-10, San Luis Obispo, 93401 | (805) 549-3261 |
| 8. 847 E. Brier Drive, San Bernardino, 92408             | (909) 806-2414 |

**KEEP THIS GUIDE FOR YOUR FILES  
DO NOT RETURN IT WITH YOUR APPLICATION.**

Carriers should also obtain a copy of the California Vehicle Code (<http://www.leginfo.ca.gov/calaw.html>) and a copy of Title 13, California Code of Regulations (<http://government.westlaw.com/linkedslice/default.asp?SP=CCR-1000>)

# **ATTACHMENT A**







# **ATTACHMENT B**

## DRIVER'S VEHICLE INSPECTION REPORT

CHECK ANY DEFECTIVE ITEMS AND GIVE DETAILS UNDER "REMARKS".

DATE: \_\_\_\_\_

VEHICLE NO: \_\_\_\_\_

- AIR COMPRESSOR
- AIR LINES
- BATTERY
- BRAKE ACCESSORIES
- BRAKES
- CARBURETOR
- CLUTCH
- DEFROSTER
- DRIVE LINE
- ELECTRICAL CONNECTIONS
- ENGINE
- EXHAUST SYSTEM
- FIFTH WHEEL
- FRONT AXLE
- FUEL SYSTEM
- HEAT

- HORN
- INSTRUMENTS & GAUGES
- LIGHTS
  - Head-Stop
  - Tail-Dash
  - Turn Indicator
- MIRRORS
- ON-BOARD RECORDER
- RADIATOR
- REFLECTORS
- REAR END REFLECTORS
- SAFETY EQUIPMENT
  - Fire Extinguisher
  - Flags-Flares-Fuses
  - Spare Bubs & Fuses
  - Spare Seal Beam

- SPRING
- STARTER
- STEERING
- TACHNOGRAPH
- TRANSMISSION
- WHEELS
- WINDOWS
- WINDSHIELD
- WIPERS
- OTHER (Describe)

TRAILER(S) NO.(S): \_\_\_\_\_

- BRAKE CONNECTIONS
- BRAKES
- COUPLING CHAINS
- COUPLING (KING) PIN
- DOOR

- HITCH
- LANDING GEAR
- LIGHTS ALL
- ROOF
- SPRINTS

- TIE DOWNS
- TIRES
- WHEELS
- OTHER (Describe)

REMARKS:

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CONDITION OF THE ABOVE VEHICLE IS SATISFACTORY

DRIVER'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

ABOVE DEFECTS CORRECTED (ATTACH WORKORDER SHOWING WORK TO BE DONE AND PARTS AND MATERIALS USED).

ABOVE DEFECTS NEED NOT BE CORRECTED FOR SAFE OPERATION OF VEHICLE

MECHANIC SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

# **ATTACHMENT C**



ENGLISH  
2017-2018

# CALIFORNIA **COMMERCIAL** DRIVER HANDBOOK



This handbook is available at [www.dmv.ca.gov](http://www.dmv.ca.gov).

**Edmund G. Brown Jr., Governor**  
State of California  
**Brian P. Kelly, Secretary**  
California State Transportation Agency  
**Jean Shiomoto, Director**  
California Department of Motor Vehicles

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*Department of Motor Vehicles  
Legal Office, MS C128  
PO Box 932382  
Sacramento, CA 94232-3820*

# PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA AV PASSENGER SERVICE PILOT PROGRAMS

## CALIFORNIA PUBLIC UTILITIES CODE

### CONTROLLED SUBSTANCES AND ALCOHOL TESTING CERTIFICATION PROGRAM

#### I. GENERAL PROGRAM REQUIREMENTS

All charter-party applicants who propose to employ autonomous vehicle (AV) test drivers who will operate AVs pursuant to the Commission's Drivered AV Passenger Service pilot program must comply with CPUC's controlled substance and alcohol testing certification program requirements. For the Driverless AV Passenger Service pilot program, pursuant to CPUC Decision 18-05-043, all remote operators capable of performing the dynamic driving task must comply with CPUC's controlled substances and alcohol testing certification program requirements as well. For purposes of this program detailed below, "remote operators" capable of performing the dynamic driving task must comply with all requirements applicable to "drivers."

The phrases "remote operator" and "dynamic driving task" used here incorporate the definitions provided in California Code of Regulations, Title 13, Article 3.7 concerning the testing of autonomous vehicles.

In selecting a drug and alcohol consultant to establish a drug and alcohol testing program for your company, you must choose one that has been accepted and approved by the CPUC License Section. A list of approved drug and alcohol consultants is available on CPUC's website.

Public Utilities Code Section 5374 provides that:

The commission shall not issue or renew a charter-party carrier permit or certificate unless the applicant provides for a mandatory controlled substance and alcohol testing certification program as adopted by the commission pursuant to Section 1032.1.

Public Utilities Code Section 1032.1 states that:

1032.1 (a) The commission shall not issue a certificate of public convenience and necessity pursuant to this article unless the applicant provides for a mandatory controlled substance and alcohol testing certification program as adopted by the commission.

(b) The commission, after considering any suggestions made by the Department of the California Highway Patrol, shall adopt a program that includes, but need not be limited to, all of the following requirements:

(1) Drivers shall test negative for each of the controlled substances specified in Part 40 (commencing with Section 40.1) of Title 49 of the Code of Federal Regulations, before employment. Drivers shall test negative for these controlled substances and for alcohol at such other times as the commission, after consulting the Department of the California Highway Patrol, shall designate. As used in this section, a negative test for alcohol means an alcohol screening test showing a breath alcohol concentration of less than 0.02 percent.

(2) Procedures shall be substantially as in Part 40 (commencing with Section 40.1) of Title 49 of the Code of Federal Regulations, except that the driver shall show a valid California driver's license at the time and place of testing, and except as provided otherwise in this section. Requirements for rehabilitation and for return-to-duty and follow-up testing, and other requirements except as provided otherwise in this section, shall be substantially as in Part 382 (commencing with Section 382.101) of Title 49 of the Code of Federal Regulations.

(3) A test for one applicant shall be accepted as meeting the same requirement for any other applicant. Any negative test result shall be accepted for one year as meeting any requirement for periodic testing for that applicant or any other applicant, if the driver has not tested positive subsequent to a negative result. However, an earlier negative result shall not be accepted as meeting the pre-employment testing requirement for any subsequent employment, or any testing requirements under the program other than periodic testing.

(4) In the case of an applicant who is also a driver, test results shall be reported directly to the commission. In all other cases, results shall be reported directly to the applicant.

(5) All test results are confidential and shall not be released without the consent of the driver, except as authorized or required by law.

(6) Applicants shall be responsible for compliance with, and shall pay all costs of, this program with respect to their employees and potential employees, except that an applicant may require employees who test positive to pay the costs of rehabilitation and of return-to-duty and follow-up testing.

(7) The requirements of the program do not apply to any driver required to comply with the controlled substance and alcohol use and testing requirements of Part 382 (commencing with Section 382.101) of Title 49 of the Code of Federal Regulations, or Section 34520 of the Vehicle Code, or to any driver exempted from the provisions of that section.

(c) No evidence derived from a positive test result pursuant to the program shall be admissible in a criminal prosecution concerning unlawful possession, sale or distribution of controlled substances.

(d) On the request of an applicant, the commission shall give the applicant a list of consortia certified pursuant to Part 382 (commencing with Section 382.101) of Title 49 of the Code of Federal Regulations that the commission knows offer tests in California.

(e) The commission shall conduct random and for-cause inspections of applicants' documents supporting compliance with the program.

(f) For purposes of this section, "employment" includes self-employment as an independent driver.

Title 49 of the Code of Federal Regulations (CFR) Part 382: Controlled Substance and Alcohol Use and Testing

To fully understand what is required of you under the CFR, you must obtain a copy of Parts 40 and 382 and become familiar with their directives or obtain one of the controlled substance and alcohol testing program training kits now available on the market.

The following is a brief summary of Part 382.

The CFR requires employers to provide educational materials to their drivers which explain the requirements of Part 382 and the employer's policies and procedures with respect to meeting these requirements (382.601). Further, Part 49 requires employers to provide for a comprehensive drug testing program to ensure that drivers do not operate vehicles while being impaired by alcohol or controlled substances.

Every carrier must conduct pre-employment testing (382.301), post-accident testing (382.303), random testing (382.305) testing due to reasonable suspicion (382.307), follow-up testing (382.311), and return-to-duty testing (382.309).

Employers must advise employees of the resources available to them to resolve problems associated with the misuse of alcohol and the use of controlled substances (382.605).

Employers must ensure that supervisors are properly trained to determine whether reasonable suspicion exists to require a driver to undergo testing (382.603).

Employers shall not permit an employee who has violated the provisions of Part 382 to perform safety-sensitive functions including driving a commercial vehicle.

Title 49 of the CFR Part 40: Procedures for Transportation Workplace Drug Testing Programs

Part 40 provides for the specific procedures for conducting alcohol and controlled substance tests.

II. CONTROLLED SUBSTANCE AND ALCOHOL TESTING CERTIFICATION PROGRAM

**A. Education (Self-employed independent operator is also required to make this showing)**

Unless you have a contract for services from a company which has been prescreened by the Commission staff you must specify the materials you will use to explain to your employees your policies and procedures as an employer with respect to meeting the drug testing requirements of PU Code Section 5374. Attach copies of any written material you will use. If you have a contract with a consultant who is setting up a program for you, write the consultant's name and telephone number in the space below and provide a copy of the contract or agreement you have with this consultant to show that you have purchased his services.

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**B. Supervisor Training**

All persons designated to supervise drivers must receive at least 60 minutes of training on alcohol misuse and receive at least an additional 60 minutes of training on controlled substances use. The training will be used by supervisors to determine whether reasonable suspicion exists to require a driver to undergo testing. You must show proof that your driver supervisor has completed this training or has enrolled in a training program.

C. Provide the name and telephone number of the facility that will manage or perform your alcohol and controlled substance tests. If you have set up your own program, give us the name of the federally certified laboratory that will be performing your drug tests. If you have a contract with a consultant/company who will manage your ongoing drug testing, give us the name and telephone number of the consultant/company performing this service for you as well as a copy of the contract or agreement.

---

Name \_\_\_\_\_ Telephone Number \_\_\_\_\_

D. If there is to be only one driver under the permit, you must enroll that driver in a random testing pool that is managed by an independent company/consultant and provide a copy of the contract or agreement for the random testing service. If you have a contract with a consultant/company who will be managing your testing program list the consultant's/company's name and telephone number below.

---

Name \_\_\_\_\_ Telephone Number \_\_\_\_\_

E. A driver/applicant is any applicant (individual, partner, or officer of a corporation) who is applying for charter-party carrier operating authority who will also drive one of the vehicles to be operated under the charter-party authority.

Are you, or any of the applicants, a driver-applicant?

Yes       No

If yes, the driver/applicant is required to cause a copy of its controlled substance and alcohol tests results to be sent directly to the Commission. This application will not be granted until a copy of the alcohol and controlled substance tests have been received, reviewed and found to be in compliance with Chapter 405.

### III. ORGANIZATIONAL REQUIREMENTS

Name and telephone number of person(s) in your business responsible for controlled substance and alcohol testing certification program who will be managing your random drug testing program:

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Name \_\_\_\_\_ Telephone Number \_\_\_\_\_

### IV. CERTIFICATION

**I (we) certify that I (we) have read and understand the requirements in Sections I. through III. above and that I am (we are) able to and will comply with each of them; and that the information I (we) have provide on this form, and in any attachments, is true and correct to the best of my (our) knowledge and belief. I (we) certify (or declare), under penalty of perjury, that the foregoing is true and correct**

Date: \_\_\_\_\_

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**Signature of Applicant(s)**

**If applicant is a corporation:**

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**Signature of Corporate Officer**

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**Title of Corporate Officer**

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
PROJECTED PROFIT AND LOSS STATEMENT**

For a time period of (check one):  90 Days  120 Days  180 Days  One year

Line No.	ITEM	AMOUNT
	<b>PART I INCOME</b>	
1.	Estimate Revenues	\$ _____
	<b>PART II EXPENSES</b>	
2.	Preventive Maintenance _____	
3.	Repairs _____	
4.	Tires & Tubes _____	
5.	Safety Education and Training Program _____	
6.	Mechanics Wages _____	
7.	Driver and Helper Wages _____	
8.	Drivers, Helper and Mechanic Welfare and Pensions _____	
9.	Fuel & Oil Expenses _____	
10.	Vehicle Leases _____	
11.	Other Transportation Expenses _____	
12.	Rent _____	
13.	Office Wages and Benefits _____	
14.	Other Office Expenses _____	
15.	Legal and Accounting _____	
16.	Insurance, PL & PD _____	
17.	Insurance, Workers' Compensation _____	
18.	Insurance, Cargo _____	
19.	Depreciation _____	
20.	Payroll Taxes _____	
21.	Fuel & Oil Taxes _____	
22.	Vehicle Registrations _____	
23.	P.U.C. Fees & Taxes _____	
24.	Other Taxes & Licenses _____	
25.	Interest _____	
26.	Total Expenses (Add Lines 2 through 25)	\$ _____
27.	<b>NET PROFIT (OR LOSS)* (Line 1 minus Line 26)</b>	<b>\$ _____</b>

\* If a net loss is shown, please explain how the loss will be paid. If the loss is to be paid out of funds currently available, please complete the verification form.

**CERTIFICATION**

**I (WE) CERTIFY (OR DECLARE), UNDER PENALTY OF PERJURY, THAT THE FOREGOING IS TRUE AND CORRECT AND THAT THE PROPOSED SERVICE WILL BE FINANCIALLY ABLE TO OPERATE SAFELY.**

\_\_\_\_\_  
Signature of Individual Applicant, or  
authorized officer, managing member, or LLP/LP partner

\_\_\_\_\_  
Title

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
SCHOOL PUPIL TRANSPORTATION DECLARATION FORM**

Transporting pupils at or below the 12<sup>th</sup> grade level may require that your vehicle(s) and your driver(s) meet special licensing and certification requirements. Even if the transportation has not been arranged with a school, the transportation may still require special vehicle and driver certification if the transportation performed is to or from a school or school-related activity. The definitions for school and school-related activity are broad and could put your company in violation of the laws if transportation is conducted without the proper certifications. Prior to conducting any school pupil transportation, review the applicable laws and ensure that your vehicles and drivers have the necessary certifications and endorsements. If you have questions regarding the transportation, please contact the California Highway Patrol who can assist you to understand the requirements of the laws.

State legislation passed in 2009 added Section 5387(c) to the Public Utilities Code effective January 1, 2010. Section 5387(c) provides that the Commission shall permanently revoke the charter-party carrier certificate or permit of a carrier which commits any of six violations named in paragraph (1) of the section. One of the violations is:

- ***Knowingly employs a bus driver who does not have a current and valid driver's license of the proper class, a passenger vehicle endorsement, or the required certificate to drive a bus.***

California Vehicle Code Section 545 defines a "schoolbus" as a "motor vehicle designed, used or maintained for transportation of any school pupil at or below the 12<sup>th</sup> grade level to or from a public or private school or to or from public or private school activities, unless it meets one of the exceptions stated in the section."

**School related activities** are identified in the California Education Code, Section 35330(1), as field trips or excursions in connection with courses of instruction or school-related social, educational, cultural, athletic, or school band activities to and from places in the state. Additionally, Title 2 of the California Code of Regulations, defines school-related activities, as events "in which the employee's child is participating, including, but not limited to, plays, graduations, field trips, organized sports events, recitals, Scouts, 4-H, Junior Achievement, and Grange."

If you are unsure whether or not your trip with school pupils requires certifications or you seek additional information, please contact your local CHP Motor Carrier Specialist for additional information or clarification.

**Please initial box:**

**I understand that failing to obey California laws governing transporting school pupils may subject my charter-party operating authority to permanent revocation under Public Utilities Code Section 5387(c)(1)(E).**

**CERTIFICATION**

I (we) certify (or declare), under penalty of perjury, that I (we) have read and fully understand the above notice for transporting school pupil and that I (we) am (are) able to and will comply with it. I (we) certify (or declare), under penalty of perjury, that the foregoing is true and correct.

**Date:** \_\_\_\_\_

\_\_\_\_\_  
**Print Name and Title**

**PSG#:** \_\_\_\_\_

\_\_\_\_\_  
**Signature of Applicant(s)**

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
WORKERS' COMPENSATION DECLARATION FORM**

**Carrier Name:** \_\_\_\_\_

**YOUR FILE NUMBER**

**PSG#:** \_\_\_\_\_

When you fill out this form, remember that the term "employee" includes clerical persons as well as drivers and any other persons employed in your carrier operations.

If your business is an OUT OF STATE CORPORATION, please note that you are not subject to the workers' compensation laws of California unless you have employees who reside in California. If you have employees who reside in California, check "B" below; if not check "A".

If you employ persons in your carrier operations in any manner that makes you subject to the workers' compensation laws of California, have your insurance company submit proof of insurance via PUC Insurance **E-Filing** or a certificate of consent to self-insure issued by the Director of Industrial Relations.

Check **one** of the following (read both before choosing):

- A.  **I DO NOT HAVE ANY EMPLOYEES.** If I hire employees in the future, I will submit an amended Workers' compensation Declaration Form to the Commission and contact my insurance company at once and have the required certificate of coverage mailed to the Commission.
  
- B.  **I DO HAVE EMPLOYEES.** (This box also applies to applicants for a permit or certificate who do not now have employees, but will employ workers upon commencement of operations.) I will contact my insurance company and have the required certificate of coverage mailed to the Commission. I understand that the Commission will not issue or reinstate a permit or certificate until it receives my certificate of coverage.

**CERTIFICATION**

**I (we) certify (or declare), under penalty of perjury, that I (we) have read and understand the above requirement regarding workers' compensation and that I (we) am (are) able to and will comply with it. I (we) certify (or declare), under penalty of perjury, that the foregoing is true and correct.**

Date: \_\_\_\_\_

\_\_\_\_\_  
Print Name of Applicant(s)

\_\_\_\_\_  
Signature of Applicant(s)

\_\_\_\_\_  
Signature of Corporate Officer

\_\_\_\_\_  
Title of Corporate Officer

# PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA PARTNERSHIP AGREEMENT

This partnership agreement form must be attached to the original application when a partnership agreement has not been previously reduced to writing.

If the liability of any partner, or partners, to that portion of the public with whom the partnership transacts any of its business is intended to be a limited liability, the certificate required of limited partnerships by Section 15502 or 15621 of the Corporations Code must be executed and recorded and a copy thereof filed with this Commission in lieu of this form.

### LIST THE FOLLOWING INFORMATION FOR EACH PARTNER

NAME	NAME
STREET ADDRESS	STREET ADDRESS
CITY      STATE      ZIPCODE	CITY      STATE      ZIPCODE
AREA CODE      PHONE NUMBER	AREA CODE      PHONE NUMBER
PERCENTAGE INTEREST	PERCENTAGE INTEREST

### Use additional sheets if necessary

List the name(s) of the partner(s), who will be available to explain the operations and procedures of the partnership business and supply any requested records to authorized Commission representatives:

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If there has been an agreement whereby a partner(s) is (are) to assume specific responsibilities such as management, etc., list the name(s) of such partner(s), and his (their) duties:

**Name**

**Responsibility**

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List the name(s) of any partner(s), who will not take an active part in the actual conduct of the partnership business:

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### CERTIFICATION

**We certify (or declare), under penalty of perjury, that we have read and understand the partnership agreement stated above and that the foregoing is true and correct.**

**Date:** \_\_\_\_\_

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**ALL PARTNERS MUST SIGN**

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA  
LIMITED LIABILITY COMPANY EXCLUSION WAIVER**

PLEASE TYPE OR PRINT

Name of Carrier: \_\_\_\_\_

As shown on your permit, certificate, or application

Passenger: PSG \_\_\_\_\_

Vessel: VCC \_\_\_\_\_

**All manager(s)-member(s) requesting exclusion**

Pursuant to California Labor Code §§3351 and 3352, as amended by Assembly Bill 2883, effective January 1, 2017, the following may elect to be excluded from workers' compensation insurance coverage:

*"An individual who is a general partner of a partnership or a managing member of a limited liability company, if that person elects to be excluded by executing a written waiver of his or her rights under the laws governing workers' compensation, stating under penalty of perjury that he or she is a qualifying officer or director, or a qualifying general partner or managing member, as applicable"*

**ACKNOWLEDGEMENT**

I/we acknowledge that this exclusion does not relieve the limited liability company of any liability which may exist for excluded individuals as employees under workers' compensation or employer's liability laws.

I/we will notify the CPUC immediately in writing by submitting an amended form TL706K-LLC and a copy of the amended Statement of Information filed with, and endorsed by, the California Secretary of State.

I/we certify (or declare), under penalty of perjury, that we have read and understand the above requirement regarding exclusion from workers' compensation insurance coverage. I/we certify (or declare), under penalty of perjury, that the foregoing is true and correct.

The following manager(s)-member(s) wish(s) to be excluded under the compensation provisions of the laws governing workers' compensation. Please print and sign your name, then enter the signature date below.

PRINT MANAGER-MEMBER'S NAME	MANAGER-MEMBER'S SIGNATURE	DATE
PRINT MANAGER-MEMBER'S NAME	MANAGER-MEMBER'S SIGNATURE	DATE
PRINT MANAGER-MEMBER'S NAME	MANAGER-MEMBER'S SIGNATURE	DATE
PRINT MANAGER-MEMBER'S NAME	MANAGER-MEMBER'S SIGNATURE	DATE
PRINT MANAGER-MEMBER'S NAME	MANAGER-MEMBER'S SIGNATURE	DATE

(For more manager-member names, additional pages may be used)

# **APPLICATION**

**INSTRUCTIONS and INFORMATION**

**CHARTER-PARTY CARRIER OF PASSENGERS**

**AUTONOMOUS VEHICLE TESTING PILOT PROGRAMS**

## **CALIFORNIA PUBLIC UTILITIES COMMISSION**

**Consumer Protection Enforcement Division**

TRANSPORTATION LICENSE SECTION  
STATE OF CALIFORNIA PUBLIC UTILITIES COMMISSION



**BASIC INFORMATION FOR AUTONOMOUS VEHICLE  
TESTING PILOT PROGRAM APPLICANTS**

Pursuant to Decision 18-05-043, CPUC has authorized two pilot programs for the testing of autonomous vehicles (AVs) in passenger carrier service. Participation in each AV pilot program requires entities to obtain separate transportation charter-party carrier (TCP) authorities from CPUC and to comply with the added requirements of each pilot program.

The purpose of this document is to provide guidance on how to apply for a TCP authority to operate AVs, how to participate in each AV pilot program, and how to keep your authority from CPUC in good standing. Please read all of this information before filling out an application and before contacting CPUC License Section with questions. Thank you!

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## Abbreviations

- AV** Autonomous Vehicle  
**CPUC** California Public Utilities Commission  
**DMV** California Department of Motor Vehicles  
**TCP** Transportation Charter Party. This can refer to a charter-party carrier, a charter-party permit or certificate, or a charter-party carrier number—the number assigned to a TCP carrier by the License Section.

## BEFORE YOU APPLY

### Do you wish to transport members of the public using an autonomous vehicle?

If you wish to transport members of the public (i.e., individuals who are not employees, contractors, or designees of the AV manufacturer) in an AV on public roads in California, it is necessary to possess the appropriate AV Testing Permit from DMV; to obtain TCP authority from CPUC; and to comply with the CPUC’s added requirements contained in Decision 18-05-043 authorizing AV passenger service on a pilot basis.

### Do you possess the appropriate DMV AV Manufacturer’s Testing Permit(s)?

Pursuant to DMV’s AV testing regulations (California Code of Regulations, Title 13, Article 3.7), an AV manufacturer may not conduct testing of an AV on public roads in the State without first obtaining from DMV an Autonomous Vehicle Testing “*Manufacturer’s Testing Permit*” for testing with a driver in the vehicle or a “*Manufacturer’s Testing Permit – Driverless Vehicles*” for testing without a driver in the vehicle.

As such, if you wish to participate in CPUC’s pilot programs for the provision of “Drivered AV Passenger Service” or “Driverless AV Passenger Service” on public roads in California, you must possess the appropriate corresponding AV Manufacturer’s Testing Permit(s) from DMV for testing with a driver or without a driver in the vehicle and maintain the DMV permit(s) in good standing.

### Have you performed at least 30 days of AV testing under your DMV AV Manufacturer’s Testing Permit(s)?

Pursuant to CPUC Decision 18-05-043, an entity that wishes to participate in either AV pilot program must submit an attestation along with its TCP permit application that an AV that is representative of the AV fleet and of the technology that the entity plans to use in offering Drivered AV Passenger Service or Driverless AV Passenger Service has been in actual permitted operations on roads in California for a minimum of 30 days following granting of the relevant DMV AV Manufacturer’s Testing Permit. The attestation must include:

- state date of actual operations on California roads
- geographic location of the operations in California

- times of day and number of hours per day in operation during the 30-day period
- type of environment in which the vehicle has operated such as urban, suburban, or rural
- a statement and map of the Operational Design Domain as stated on the entity's DMV AV testing permit

**Will I need separate authorities from DMV and CPUC for each AV pilot program?**

Yes. In addition to the requirement to possess the appropriate AV Manufacturer's Testing Permit from DMV for testing with a driver or without a driver in the vehicle, for its two AV Passenger Service pilot programs, CPUC is similarly requiring participants to obtain a separate TCP permit for each pilot program.

Each vehicle proposed for testing in CPUC's AV pilot programs must also be authorized for testing by the appropriate DMV AV Manufacturer's Testing Permit. As such, in order to participate in both the Drivered AV Passenger Service and Driverless AV Passenger Service pilot programs, an entity would have to be issued at least two TCP permits – a separate permit for each AV pilot program.

**In order to participate in the Drivered AV Passenger Service pilot program, all AVs authorized under DMV's AV permit for testing with a driver must be listed under the same TCP permit.**

**Likewise, in order to participate in the Driverless AV Passenger Service pilot program, all AVs authorized under DMV's AV permit for testing without a driver must be listed on another TCP permit.**

**Will I need separate authorities for each AV that I wish to operate?**

No. As a charter-party carrier, you may operate any number of vehicles under one certificate or permit. As part of the application process, charter-party carriers must provide the License Section with a list of all vehicles to be operated, including their license plate numbers, VIN numbers, and seating capacities. Thereafter, they must report to the License Section within 10 days of adding or deleting any vehicle from their fleet. The form for this purpose (PL 664-AV) is included in the application packet and may be downloaded from our web site.

**Will I need a commercial vehicle registration for each AV that I wish to operate?**

Yes. Before the License Section will process your request to add a vehicle to your certificate or permit, you must provide us with a copy of the vehicle's registration which must show that the vehicle is registered "commercial." In addition, the registration must show the registered owner or lessee to be the following and as listed on the Statement of Information (SOI) if your entity is a Corporation or LLC:

<b>For this type of entity</b>	<b>the registered owner or lessee must be</b>
Individual	The Individual
General Partnership	One or more of the partners
Corporation	The Corporation or Corporate Officer
LLC	The LLC or Manager Member or Member
LP	The LP or a general partner

**CERTIFICATION OF COMPLIANCE WITH DMV REGULATIONS**

Pursuant to CPUC Decision 18-05-043, an entity that wishes to participate in either AV Passenger Service pilot program must certify that it is in compliance with all DMV regulations.

# INFORMATION ON AV TEST DRIVERS AND “REMOTE OPERATORS”

## Status of AV Test Drivers

Drivers of charter-party vehicles, which include test drivers of AVs that would operate under the Drivered AV Passenger Service pilot program, must be licensed as required by the California Vehicle Code and must comply with the driver-related provisions of Title 13 of the California Code of Regulations.

As is the case for all drivers of charter-party vehicles, AV test drivers must also be the TCP permit or certificate (authority) holder or under the complete supervision, direction and control of the operating carrier, and must be (A) an employee of the authority holder, or (B) an employee of a sub-carrier, or (C) an independent owner-driver who holds charter-party carrier authority and is operating as a sub-carrier.

## Status of Driverless AV “Remote Operators”

For AVs capable of operating without a driver in the vehicle, DMV’s AV testing regulations impose requirements on individuals referred to as “remote operators” who are defined as: *“a natural person who: possesses the proper class of license for the type of test vehicle being operated; is not seated in the driver’s seat of the vehicle; engages and monitors the autonomous vehicle; is able to communicate with occupants in the vehicle through a communication link. A remote operator may also have the ability to perform the dynamic driving task for the vehicle or cause the vehicle to achieve a minimal risk condition.”* (CCR Title 13 Section 227.02(n))

Pursuant to CPUC Decision 18-05-043, for purposes of the Driverless AV Passenger Service pilot program, any “remote operator” capable of performing the “dynamic driving task” – which refers to any of the real-time functions required to operate a vehicle in on-road traffic including but not limited to vehicle signaling, steering, turning, and acceleration – must comply with all TCP permit terms and conditions that apply to drivers of charter-party vehicles. Furthermore, if remote operator services that include performing the dynamic driving task are provided by an entity other than the entity that holds the DMV AV Manufacturer’s Testing Permit – Driverless Vehicles, then the entity providing remote operator services must hold a TCP permit as well.

In effect, both AV test drivers in the Drivered AV Passenger Service pilot program and remote operators capable of performing the dynamic driving task in the Driverless AV Passenger Service pilot program must comply with all terms and conditions of a TCP permit that apply to drivers.

## Proof of Enrollment in DMV Employer Pull Notice Program

All applicants for charter-party carrier authority must enroll in the DMV Employer Pull Notice (EPN) Program. The EPN provides employers and regulatory agencies with a means of promoting driver safety through the ongoing review of driver records. Through EPN, employers of drivers are notified of any of the following on the driving record of any employee driver: convictions, failures to appear, accidents, driver license suspensions or revocations, and any other actions taken against the driving privilege.

DMV AV testing regulations separately require entities, as a condition of obtaining an AV Manufacturer’s Testing Permit, to enroll in the EPN Program. Since possession of a DMV AV Manufacturer’s Testing Permit is also a condition of participating in either CPUC AV Passenger Service pilot program, as part of your application, you will be required to provide the License

Section with a copy of your EPN contract with the DMV (which will include your Requester Code assigned by the DMV).

Furthermore, as CPUC Decision 18-05-043 requires all remote operators capable of performing the dynamic driving task to comply with all TCP permit requirements that apply to drivers, entities wishing to participate in the Driverless AV Passenger Service pilot program must also submit to DMV for inclusion in the EPN Program the requisite information on remote operators capable of performing the dynamic driving task.

## **Proof of Compliance with DMV AV Test Driver and Remote Operator Training Requirements**

DMV AV testing regulations impose training requirements on test drivers of AVs. DMV AV testing regulations require each AV test driver to obtain an “Autonomous Vehicle Testing Program Test Vehicle Operator Permit” from DMV and to complete the AV manufacturer’s test driver training program (CCR Title 13 Section 227.34). A course outline and description of the AV test driver training program must also be provided to DMV (CCR Title 13 Section 227.36). Similarly, DMV regulations require submission of a course outline and description of a “remote operator training program” and certify that each remote operator has completed training sufficient to enable him or her to safely execute the duties of a remote operator.

Pursuant to CPUC Decision 18-05-043, entities that wish to participate in the Driverless AV Passenger Service pilot program must show proof of compliance with DMV regulations on AV driver training and certification to CPUC. In order to do so, CPUC is requiring entities to provide a copy of the DMV AV Test Vehicle Operator Permit issued to each AV test driver listed on the entity’s TCP permit and to provide a copy of the course outline and training program description required by DMV. For the Driverless AV Passenger Service pilot program, CPUC is similarly requesting submission of the course outline and description of a “remote operator training program” provided to DMV.

## **Controlled Substance and Alcohol Testing Certification Requirements**

All applicants for charter-party carrier authority must provide for a drug testing program which includes educational materials for their drivers, training for supervisors and specified testing of drivers for use of controlled substances and alcohol, in accordance with General Order 157 Series (TCP). In selecting a drug and alcohol consultant to establish a drug and alcohol testing program for your company, you must select one that has been accepted and approved by the License Section. You will find a list of approved drug and alcohol consultants on our website, and this will also be included in your application packet.

Furthermore, as CPUC Decision 18-05-043 requires all remote operators capable of performing the dynamic driving task to comply with all TCP permit requirements that apply to drivers, entities wishing to participate in the Driverless AV Passenger Service pilot program must also comply with CPUC’s controlled substance and alcohol testing certification requirements for those remote operators.

## **INFORMATION ABOUT FEES AND FARE COLLECTION**

### **TCP Application Filing Fees**

Participation in CPUC’s AV Passenger Service pilot programs requires authority from CPUC to operate as a charter-party carrier of passengers (TCP) providing for-hire passenger transportation services. The application filing fees for TCP authorities are shown in the table below. No application

will be accepted or processed without the correct filing fee. **FILING FEES ARE NOT REFUNDABLE**. Public Utilities Code § 407 allows refunds of fees paid by charter-party carriers only where the fee was collected in error.

### FILING FEES

	New/Refile*	Renewal
Charter-party “A” certificate	\$1,500	\$100
All other charter-party authorities	\$1,000	\$100

\*The term “refile” refers to an application, where an earlier application from the same legal entity was denied for any reason or where the operating authority has expired before the renewal application was received. Refile fees are the same as New Application fees.

## Public Utilities Commission Transportation Reimbursement Account (PUCTRA) Fees

Charter-party carriers are required to file either annual or quarterly revenue reports (depending on revenues) and to pay a \$25 annual or \$10 quarterly administrative fee plus a percentage of their gross operating revenues. Once your authority is issued, you will receive the necessary forms and instructions by mail. Failure to file these reports by the deadlines shown on them will result in penalties and suspension and revocation of authorities.

## Prohibition on Fare Collection in AV Passenger Service Pilot Programs

DMV AV testing regulations prohibit the charging of fees to members of the public for a ride in a test AV (CCR Title 13 Section 227.26). Pursuant to CPUC Decision 18-05-043, charging monetary compensation for rides is similarly prohibited in the Drivered and Driverless AV Passenger Service pilot programs.

## INFORMATION ABOUT CHARTER PARTY CARRIERS (TCP)

### Types of Charter-Party Carrier Authority

The type(s) of TCP authority that may be obtained for the AV Passenger Service pilot programs are the Charter-Party “Class A” certificate and/or the Charter-Party Permit “P” described below:

“A” Certificate (PUC §§ 5371.1 and 5383)	“P” Permit (PUC § 5384(b))
<ul style="list-style-type: none"> <li>▪ Chartered service</li> <li>▪ May operate vehicles of any seating capacity</li> <li>▪ May operate from any point to any point within California</li> <li>▪ May be transferred (fee: \$300)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chartered service</li> <li>▪ May operate only vehicles seating fewer than 16 including the driver.</li> <li>▪ May operate from any point to any point within California</li> <li>▪ May not be transferred.</li> </ul>

## Statement and Map of Operational Design Domain

Pursuant to CPUC Decision 18-05-043, entities that wish to participate in either AV pilot program must provide a statement and map of the Operational Design Domain as certified to DMV. The statement must describe the roadway type, speed range, environmental conditions, and any other domain constraints.

The map must indicate the geographical area within which AV testing has been confined (“geo-fenced”), and entities must provide to CPUC a link to their website where a map of the geo-fenced

area is provided. Entities must inform CPUC within one (1) business day of any update to the Operational Design Domain map that is approved by DMV.

### **Restriction on Trips to/from/within Airports in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are prohibited from providing passenger service to, from, or within airports unless the airport involved has granted the entity express authority to do so.

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will prevent service to, from, or within airports.

### **Prohibition on Transport of Unaccompanied Minors in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are required to ensure that the service is available only to be chartered by adults 18 years and older.

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will ensure that the service is available only to be chartered by adults 18 years and older.

### **Prohibition on “Fare-splitting” in Driverless AV Pilot**

Pursuant to CPUC Decision 18-05-043, entities wishing to participate in the Driverless AV Passenger Service pilot program are prohibited from allowing more than one chartering party to use the vehicle at any time (“fare-splitting”).

Entities wishing to participate in the pilot program must submit a plan to CPUC indicating how they will limit the use of the vehicle to one chartering party at any given time.

## **INFORMATION ABOUT INSURANCE**

All carriers must have public liability and property damage insurance on file with CPUC before we will issue operating authority to them. In general, the levels of insurance required are contained in CPUC General Order (GO) 115 Series for charter-party carriers.

However, pursuant to CPUC Decision 18-05-043, entities wishing to participate in the AV Passenger Service pilot programs are required to maintain insurance for the AVs offered for the pilot programs in compliance with DMV’s AV testing regulations. In order to obtain an AV Manufacturer’s Testing Permit, DMV AV testing regulations require manufacturers to possess either a \$5 million dollar insurance policy, a \$5 million surety bond, or a certificate of self-insurance to demonstrate evidence of the manufacturer’s ability to respond to a judgment for damages for personal injury, death, or property damage arising from the operations of AVs (CCR Title 13 Section 227.04).

In order to show proof that an entity wishing to participate maintains insurance in compliance with DMV’s regulations, CPUC is requiring the same proof of financial responsibility provided to DMV for purposes of AV Manufacturer’s Testing Permit to be provided to CPUC. For the AVs offered for the pilot programs, given that DMV has allowed its insurance requirements to be satisfied in multiple ways, paper filings are accepted.

## **APPLYING FOR TCP AUTHORITY**

After reading all of this information, if you’ve decided to apply for a TCP certificate or permit in order to participate in the AV Passenger Service pilot programs, you may obtain an Autonomous

Read all of the information in the packet carefully before you begin completing the forms. KEEP A COPY OF EVERYTHING YOU SEND US for your own records.

### **Think about who or what will apply (and have CPUC authority)**

Several types of legal entities may apply for authority. If you are applying for charter-party authority, on the first page of your application, you will check a box indicating whether you are applying as an Individual, a General Partnership, a Corporation, an LLC (limited liability company) or LP (Limited Partnership). All applicants will indicate the *name of the applicant*. That name will be your CARRIER NAME, the *legal entity* to which your permit or certificate will be issued. If you apply as a corporation, LLC or LP, the License Section will verify that the entity is in good standing with the California Secretary of State.

1. Keep in mind that whatever address and phone number you place on your application—including your home address and phone number—they are **public information**, posted on our web site, and available to any member of the public. *We will not accept a P.O. Box or mail drop* for a physical address. If you apply as an individual, your name will be part of that public information. If you apply as a general partnership, the names of all partners are public information. Of course, if you are an officer of a corporation, your name is also public information, though it may not be quite as visible as though you were to apply as an individual. Many carriers choose to have a separate business address and phone number.

### **The difference between “Carrier Name” and “DBA”**

Again, the name under which you apply (individual, partnership, corporation, etc.) will be your “carrier name”, the name (the legal entity) to which your permit or certificate will be issued. This is not to be confused with any *fictitious business name* or “*DBA*” (Doing Business As) you may choose to use.

Example 1: John Doe applied as an individual, doing business as “Acme Limousine Service”. In that case, “*John Doe*” is the carrier name and the permit or certificate holder, and not “Acme Limousine Service”.

Example 2: Mr. Doe forms a corporation, “Doe Transportation, Inc.” doing business as “Acme Limousine Service”. “Doe Transportation, Inc.” is the carrier name and the permit or certificate holder, and not “Acme Limousine Service”.

If you are a charter-party carrier, before you use any fictitious business name, you must inform the License Section in writing of your intent to use it (General Order 157-D, Section 3.06). If you show a DBA on your application, we will print that DBA on your permit or certificate, and will post it on our web site. Otherwise, it is not necessary to state your DBA on any document you send us, and may cause confusion, or worse.

### **Financial Responsibility**

Charter-party carrier applicants must complete Form TL-706-F3, a Projected Profit and Loss Statement. This 1-page form requires you to project (estimate) your revenue and expenses over a stated initial period of operations, which may be 90, 120, 180 days, or one year. Your revenue must be greater than expenses over this period.

### **Your File Number**

The License Section tracks the records of well over 11,000 carriers, not counting the thousands of revoked and expired carriers who sometimes apply to have their authorities re-

activated. The only way we can do that is with File Numbers. Within a few weeks after applying, you will receive a letter from the License Section. On that letter (and every letter you ever receive from us), you will see a File Number. For TCP and PSC carriers, this begins with “PSG” followed by some numbers, for example, “PSG0012345”. Please reference your file number whenever you call, write, or email the License Section. Ideally, it should be prominently displayed on every page of every document you send us. (You can ignore the leading “0’s”, so in the above example, all we need is “PSG12345”.) When your authority is issued, the numbers of your File Number will also be the numbers of your permit or certificate, for example, “PSC 12345” or “TCP 12345-B”. Whenever you contact the License Section, you may refer to that number by any of the prefixes (i.e., “TCP”)

### **Sign all forms**

It is your responsibility to ensure that your application and all attachments are signed. If you are a partnership, all partners must sign; if a corporation, an officer of the corporation; if an LLC, a managing member.

### **Once I apply for my authority or send my registration, may I start operating?**

No. Submitting an application and getting a file number does not give you authority to operate. Only “active” authority allows you to operate. You may operate when you receive a permit or certificate from the License Section, and not until then.

For charter-party applicants, typically, a technician will review your application within 1 - 3 weeks after we receive it; the technician will determine what information and documents are lacking or incomplete. You will receive a letter telling you anything and everything you need to do before your authority can be issued. Thirty days later, if those items have not been completed, you will receive a second letter telling you what remains to be done. Thirty days after that, you will receive a “Final Notice”, advising you that if the remaining items are not completed within 20 days, we may deny your application. We will wait at least those 20 days before denying your application, and will be somewhat more flexible if you communicate, and we can see that you are making a good faith effort. You will have plenty of opportunities to get everything done before we will deny your application. HOWEVER, there is a limit to how long we will keep an application pending before we deny it. Do not send us an application if you’re not absolutely sure you’ll be ready to start operating within 3 months. Once again, filing fees are not refundable, so if your application is denied, you must refile and pay the application fee again.

### **How long will it take to get my permit or certificate issued?**

That will depend largely upon how complete and accurate your application is when you submit it *and* how responsive you are to our requests for additional information or documents. Make sure you follow the instructions in the application and respond to letters from the License Section in a timely manner. Charter-party applicants who are attentive to these details can typically have their authority issued within about 3-6 weeks, sometimes less.

## **PARTICIPATING IN AV PASSENGER SERVICE PILOT PROGRAMS**

### **Passenger Notice and Consent**

Unlike taxi service, all transportation performed by TCPs must be arranged beforehand. TCP transportation is *chartered* by a party (person or group) called the “chartering party.” Usually, the chartering party is also taking the transportation, but the chartering party may also arrange the transportation on behalf of another person or group. In passenger service provided by a TCP, the driver must have a *completed waybill* in his or her possession at all times during the trip showing,

among other things, the name and address of the person requesting or arranging the transportation (the chartering party), the time and date when the charter was arranged, and whether it was arranged by telephone or written contract, the number of persons in the charter group, the name of at least one passenger, and the points of origin and destination.

Pursuant to CPUC Decision 18-05-043, before beginning service, entities wishing to participate in the AV Passenger Service pilot programs must file with CPUC a plan for how they will provide notice to passengers that they are being offered AV passenger service through a pilot program and demonstrate a means by which the passenger explicitly consents, by electronic or written confirmation, to receive AV passenger service. The plan must describe the notification and confirmation process. During the offer/consent exchange, entities must provide to the passenger a photo of the vehicle that will provide the service.

### **Quarterly Service Data Reporting**

Pursuant to CPUC Decision 18-05-043, each entity participating in the AV Passenger Service pilot programs must submit on a quarterly basis a verified report containing the following data, disaggregated and anonymized, to provide information regarding each AV operating in the pilot programs:

- Total quarterly vehicle miles traveled during passenger service by all vehicles in the entity’s list of Autonomous Vehicle equipment, provided per-vehicle
- Total quarterly vehicle miles traveled during passenger service that are served by electric vehicles or other vehicles not using an internal combustion engine, provided per-vehicle
- Total quarterly vehicle miles traveled during passenger service, from the vehicle’s starting location when it first accepted a trip request to the pickup point for each requested trip, expressed in miles and provided per-vehicle
- Amount of time each vehicle waits between ending one passenger trip and initiating the next passenger trip, expressed as both a daily average and a monthly total in hours or fraction of hours for each vehicle (idling or dwell time)
- Vehicle occupancy (total number of passengers) in each vehicle for each trip
- Total number of accessible rides requested per quarter that are fulfilled
- Total number of accessible rides requested per quarter that are unfulfilled because of a lack of accessible vehicles
- Total number of accessible rides requested per quarter that are declined by the driver

The disaggregated anonymized data must be provided in electronic Excel or other searchable and sortable spreadsheet format and be provided in tables with separately labeled columns that identify the data reported in each column. The reporting periods and associated submission dates of these reports are provided below:

<b>Reporting Period</b>	<b>Report Submission Date</b>
November 1 - January 31	March 1
February 1 - April 30	June 1
May 1 - July 31	September 1
August 1 - October 31	December 1

Each verified report must clearly indicate the period of time (by dates) covered in each report. The reporting period begins when the entity receives confirmation from the Consumer Protection and Enforcement Division that an AV has been successfully added to the carrier's passenger equipment list on file with the CPUC.

Each entity participating in the pilots shall respond thoroughly and promptly to requests from CPUC staff to verify and ensure the accuracy and completeness of all data reports. CPUC staff will post these reports on its website as soon as they are complete, and will note on its website any delayed report, including the cause of the delay.

### **Submittal of DMV-Required Reports**

Pursuant to CPUC Decision 18-05-043, all entities wishing to participate in the AV Passenger Service pilot programs must submit to CPUC all reports required to be submitted to DMV under its AV testing regulations, including collision reports to CPUC simultaneously with DMV and the annual AV "disengagement" reports.

In addition, entities wishing to participate in the Driverless AV Passenger Service pilot program must provide to CPUC their process in the event of a collision, law enforcement interaction plan, disclosure to the passenger regarding collection and use of personal information, and all other reports or plans required under DMV AV testing regulations.

### **Recording of Passenger-Remote Operator Communications**

In addition, entities wishing to participate in the Driverless AV Passenger Service pilot program must record all communications between passengers and remote operators while each driverless AV is providing passenger service and retain the recording for one year from the date of the communication. The recordings shall be provided to CPUC upon request. The claimed confidentiality of the recordings shall be governed by CPUC GO 66-D.

## **MAINTAINING, RENEWING, AND TRANSFERRING TCP AUTHORITY**

### **Keep your Authority Active**

Once you have your authority, you must keep it active in order to continue operating. Your responsibilities include:

- Generally paying prompt and careful attention to all mail you receive from the CPUC. Under normal circumstances, we will notify you of any impending suspension, and tell you what you must do to prevent it, in plenty of time for you to do so.
- Notify the CPUC of any change to your mailing address and any other contact information. The Change of Information form is located in our website.
- Address all correspondence to "CPUC License Section" as shown throughout this document. The CPUC has many divisions, branches, etc., so it is not obvious where your mail should go unless you specify. Include your File Number on all documents, including checks.
- Keep copies of all forms and correspondence with the License Section. We handle many thousands of documents every month, and occasionally a document is misplaced or misdirected. This will be far less inconvenient for you if you have backup copies.
- Work with your insurer(s) to keep your insurance active and on file with us at all times. (**NOTE:** Insurers are required to notify us in writing, no less than 30 days before a carrier's policy is to be cancelled, which may mean only that the policy's term is about to expire. When we receive such a notice, we send a "Notice of Impending Suspension" to the carrier stating that its authority will be

suspended on a specific date—in about 30 days—unless the *carrier* acts to have the policy continued, or to have a replacement policy filed with us. If you receive such a Notice from us, it will not help you to call us. You must contact your insurer to have the necessary certificate sent to us.)

- Pay your quarterly or annual fees on time (you will receive notification in the mail when these are due, and all necessary forms and instructions).
- Charter-party carriers must apply for renewal no less than 3 months prior to expiration, as required by CPUC regulation.

We will notify you by mail any time your authority is suspended, revoked, expired, or reinstated. If you have any doubts about your authority status, you may verify it on CPUC's web site, which is updated several times daily, or contact the License Section. If your authority is suspended, revoked, or expired you may not operate. Only "active" authority allows you to operate.

### **Obey All Laws**

Your authority may be suspended or revoked for violations of laws and regulations governing your business. You are responsible for knowing and following these requirements, including the following:

The Public Utilities Code. Sections pertaining specifically to charter-party carriers are §§ 5351 through 5420. Many of these sections contain references to other California codes, such as the Vehicle Code. Carriers are also responsible for obeying those laws as well.

CPUC General Orders. CPUC General Order (GO) 157 Series contains rules and regulations governing charter-party carriers. You are responsible for knowing and following all applicable regulations in these General Orders. General Orders are available on line at <http://www.cpuc.ca.gov/generalorders/>.

### **TCP Authority Expiration and Renewal**

All charter-party permits and certificates expire after 3 years. If the carrier completes and submits a renewal application with enough time for the License Section to process its application, the authority will be renewed for another 3 years, and there will be no lapse in authority. The expiration date of your authority will appear on the permit or certificate itself. We will send you a renewal application approximately 120 days prior to your expiration date. You are required (by CPUC General Order 157-D) to complete and return this to us no less than 3 months prior to expiration. The filing fee for renewal applications is \$100 for all types of permits and certificates.

Applying late for renewal can have severe consequences, starting with the fact that your authority may expire before the renewal process is completed, forcing you to cease operations until your authority is renewed. If the License Section receives your renewal application after your authority has already expired, *even if you mailed it before expiration*, your renewal application will not be accepted, and you must submit a "refile" application. The fee for a refile is the same as for a new application: \$1,000, or \$1,500 for an "A" certificate. **Filing too close to your expiration date can cost you an additional expense of \$900 or \$1,400 in addition to loss of revenue as a result of the expiration of your operating authority.**

**If you have thoroughly read the preceding material and still have other questions, you may contact the License Section for assistance.**

**Email:** [licensing@cpuc.ca.gov](mailto:licensing@cpuc.ca.gov)

**Mail:** CPUC License Section  
505 Van Ness Avenue  
San Francisco, CA 94102

**Your input telling us how we can make the information above more clear or useful to our customers in the future is welcome! Address input to: [licensing@cpuc.ca.gov](mailto:licensing@cpuc.ca.gov).**

**THANK YOU from the License Section!**