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| Oxfordshire County Council Logo |
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| **Trial Engagement Questionnaire** (Connected and Automated Vehicles) |
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|  | Name of the entity responsible for the trials |   | Name of Safety Contact  |   |   |
|  |  |  |
|  | Role of Safety Contact in Organisation/ Consortium |   | Contact Email  |   |   |
|   |  |  |
|   | Contact Number  |   |   |
|   |  |  |
|   | Please summarise the trial objectives and roles and responsibilities of each organisation, if applicable: |   |
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|   |  |  |
|   | Please summarise the trial route and any relevant infrastructure to be used. Share a map of the trial route where possible: |   |
|   |
|   |  |  |
|   | Please summarise the extent to which the public will be involved in the trial and detail your plans for public engagement. If carrying passengers (other than trial staff) please detail the role of public passengers: |   |
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|  |   |
|   |  |   |
|  | Please describe the trial vehicles including the type and category, the number of vehicles and how many vehicles will be in operation at the same time: |  |
|  |   |  |
|   |  |  |
|   | Please provide a high-level summary of the operational design domain (ODD) of the automated driving system including the boundaries and limitations of system operation. Reference to BSI PAS 1883 is encouraged: |   |
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|   |  |  |
|   | Please summarise what data you will be sharing with the local authority, in what format and what frequency: |   |
|   |
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|   |  |  |
|   | Intended trial dates | From: |  | To: |   |
|   |  |  |
|   | Intended trial running times |  From: hrs  |  |  To: hrs  |   |
|  |  |  |
| ***IMPORTANT (PLEASE READ)**** *Responsibility for conducting trials, testing and operating services operating on Oxfordshire County Council roads and/or facilities remain with the trialling organisation/consortium.*
* *All permissions and licenses needed for the trial must be acquired for this application. Oxfordshire County Council may request evidence of these to support the trials.*
* *This assessment does not cover requirements for trialling of certain advanced technologies such as trialling remote safety driver functions. Please contact OCC as soon as possible regarding requirements for advanced trials.*
* *Oxfordshire County Council or its contractors do not accept liability for endorsing trials within areas under their authority based of the answers given in this document.*
* *This document may be shared upon first engagement in order communicate Oxfordshire County Council’s requirements. However, it should be completed just prior to your intended trial date in order to provide OCC with the most up to date information.*
* *Additional evidence may be provided to Oxfordshire County Council to support your trial. Based on the answers given, Oxfordshire County Council may ask for documented evidence to support the claims made. Oxfordshire County Council reserve the right to refuse testing endorsement without giving any reason or explanation.*
* *A detailed crisis communications plan is needed for all trials so that relevant parties are notified effectively in the event of an incident. The designated trial point of contact for the OCC must be referenced in the crisis communications plan and notified of all incidents that occur.*
* *Questions marked in* ***BOLD*** *relate to mandatory requirements under OCC policy or requirements under UK law. Failure to comply with any of these requirements will lead to the application being refused.*
* *The following regulations are of particular relevance:*
* *Automated and Electric Vehicles Act 2018*
* *Road Vehicles Construction & Use Regulations 1968*
* *Road Vehicles (Approval) Regulations (including ECWVTA, NSSTA, IVA frameworks or exemption procedures)*
* *Road Traffic Act 1988*
* *General Data Protection Regulations (GDPR) 2018*
* *Questions in this document refer to specific UK standards and guidance. If you comply with equivalent international standards, then answer ‘N/A’ to the relevant question and state the equivalent standards that you comply with instead in the ‘additional information’ box provided.*
* *Compliance with the laws and regulations cited in this document does not guarantee compliance with all relevant UK law. Compliance with all other relevant regulation should be ensured. The trialling organisation is responsible for ensuring that the trial is being conducted under all relevant UK law.*
* *Please fill out the following questionnaire by placing an “X” in the appropriate box. By signing the document at the end, you declare that the answers you provide are correct and accurate and can be supported by suitable evidence. Please email the completed form to cav@oxfordshire.gov.uk*
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| **1. Operational Safety** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 1 | **Have you created an operational safety case specific to this trial?** |  |  |  |
| 2 | Has the safety case been prepared by a competent and experienced person using accurate and timely information regarding the trial? |  |  |  |
| 3 | Has the safety case been reviewed by an impartial or independent person (i.e. a person not directly involved with preparing the Safety Case)? |  |  |  |
| 4 | Has the safety case been prepared in line with BSI PAS 1881: *Assuring the Safety of Automated Vehicle Trials and Testing*? |  |  |  |
| 5 | **Is the trial/test compliant with all relevant sections of the DfT Code of Practice: *Automated Vehicle Trialling*?** |  |  |  |
| 6 | **Have you conducted a hazard analysis and risk assessment for this trial?** |  |  |  |
| 7 | Have appropriate mitigations been put in place for all identified trial risks that demonstrates these risks have been to be reduced as low as reasonably practicable (ALARP)? |  |  |  |
| 8 | Have you developed and documented operational guidance that outlines safe working practices to be followed and the roles and responsibilities of all trial staff to assure safety and security? |  |  |  |
| 9 | Has a suitable emergency response plan been developed and communicated to all trials staff and other relevant stakeholders? (Relevant stakeholders likely include, but are not limited to OCC, project/consortium partners and the emergency services) |  |  |  |
| 10 | Have the emergency services been notified about the trial and consulted in the development of the emergency response plan? |  |  |  |
| 11 | Have all staff received adequate safety training and have a comprehensive understanding of the operational guidance and emergency response plan? |  |  |  |
| 12 | Has vehicle recovery been planned? |  |  |  |
| 13 | Has appropriate vehicle storage been secured for the trial? |  |  |  |
| 14 | Have you taken all reasonable steps to monitor the environmental conditions (weather data, public works information) to ensure they are appropriate for the trials  |  |  |  |
| Additional Information: |
| **2. Safety Operator Information** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 15 | Will the Safety Operator be sat in the vehicle during trialling? |  |  |  |
| 16 | Will the Safety Operator still have direct control over the vehicle (i.e. standard steering wheel, accelerator and brakes pedals) |  |  |  |
| 17 | Will the Safety Operator have access to all vehicle controls during trialling including ancillary controls such as headlights, turn signals, etc. |  |  |  |
| 18 | Does the Safety Operator have any other responsibilities other than supervision and control of the vehicle? (e.g. engaging with participants, communicating with the software engineer) If yes, please detail. |  |  |  |
|   |  |  |
| 19 | **Can Safety Operator** **resume control at all periods during the trial?** |  |  |  |
|   | Has the training and assessment of the Safety Operator confirmed that: |  |
| 20 |  - They are familiar with the normal behaviour of the system as well as incorrect or unexpected behaviour |  |  |  |
| 21 |  - The have knowledge of the vehicle's designated Operational Design Domain (ODD) and what conditions are outside its ODD |  |  |  |
| 22 |  - They are familiar with the trial route (including knowledge of typical traffic, local road user behaviours, high-risk areas/features, places of relative safety, stopping points for passengers) |  |  |  |
| 23 |  - They can respond appropriately to all known failure modes of the vehicle/system and in hazardous situations  |  |  |  |
| 24 |  - They can implement safe working practices and operational guidance requirements for the trial |  |  |  |
| 25 |  - They are aware of their roles and responsibilities in responding to emergency scenarios |  |  |  |
| 26 | **Is the Operator(s) medically fit to conduct the trial? This can be evidenced by self-declaration by the drivers** |  |  |  |
| 27 | **Do all Safety Operator** **hold an appropriate vehicle category driving license for the trial vehicle?** |  |  |  |
| 28 | Is the Safety Operator required to view display screens and/or mobile devices while operating the trial vehicle?  |  |  |  |
| 29 | Will a second person be in the vehicle during trialling to support the safety driver in monitoring the system? |  |  |  |
| Additional Information: |
| **3. Vehicle Build and Compliance** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 30 | **Are the trial activities, vehicles, equipment and personnel insured?** |  |  |  |
| 31 | Is the trial vehicle registered? If it is a prototype |  |  |  |
| 32 |  **- Does the vehicle build comply with the mandatory requirements for prototype vehicles under ‘Road vehicles (construction and use) regulations 1986’, ‘Road vehicles authorised weight regulations 1998’ and ‘Road vehicles lighting regulations 1989’ (RVLR)’.**  |  |  |  |
| 33 | If no: |  |
| 34 |  **- Has the base vehicle model been approved (Type Approval, Individual Vehicle Approval, Small Series Type Approval)?** |  |  |  |
| 35 |  **- Has the vehicle been taxed?** |  |  |  |
| 36 |  **- Have all physical modifications made to the vehicle(s) been conducted by an appropriately qualified individual?** |  |  |  |
| 37 |  **- Is the vehicle compliant with the Road Vehicles (Construction and Use) Regulations 1968? If no; please detail areas of non-compliance** |  |  |  |
|   |  |  |
| 38 |  **- Has adequate dispensation been sought for non-compliance with the legal requirements?** |  |  |  |
| 39 |  **- Does the trial vehicle have a valid MOT certificate (ignore if the vehicle is under 3 years old)?** |  |  |  |
| Additional Information: |
| **4. Trial Route Information** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 40 | Have you conducted a route safety assessment which demonstrates that the route is suitable for the vehicle and the type of testing to be conducted? |  |  |  |
| 41 | Are additional controls required on the route to facilitate the trial and ensure safety? If yes, please detail |  |  |  |
|   |   |  |
| 42 | Are changes or additions to infrastructure (such as signage, stopping areas, or fixed monitoring equipment) required along the route required to safely operate the trial? If yes: |  |  |  |
| 43 |  - Have all necessary permissions and approvals been acquired? |  |  |  |
| 44 | **Will the vehicle always be operated under the posted speed limits?** |  |  |  |
| 45 | Will the vehicle normally operate significantly under the posted speed limit? If yes, please state what speed | mph |  |  |  |
| 46 | As part of the trial, are you operating/trialling a passenger or freight service? If yes: |  |  |  |
| 47 |  - Has CCAV been informed? |  |  |  |
| 48 |  **- Have all appropriate permissions and licenses (including licenses for both the vehicle and driver) been acquired?** |  |  |  |
| Additional Information: |
| **5. Vehicle System Safety** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 49 | Have appropriate system safety assessments been conducted for the systems or subsystems under trial, including any systems modified post vehicle registration and any systems not previously approved |  |  |  |
| 50 | Do the systems safety assessments demonstrate that all risks are ALARP, in line with best practice, standards and guidance? |  |  |  |
| 51 | Has a comprehensive ODD been developed in line with the requirements in BSI PAS 1881: *Assuring the Safety of Automated Vehicle Trials and Testing* and BSI PAS 1883: *Operational Design Domain (ODD) taxonomy for an automated driving system (ADS)*? |  |  |  |
| 52 | Has sufficient pre-trial safety testing been conducted and documented that, as a minimum, verifies: |  |  |  |
| a |  - That the system can operate safely within the ODD |  |  |  |
| b |  - That the driver is alerted of transitions between automated and manual driving modes |  |  |  |
| c |  - That the system can safely transfer control to the safety operator or transition to the intended minimal risk condition in the event of a system fault or external factor |  |  |  |
| d |  - That the safety driver can override the system at any time and safely maintain control within the boundaries of the road carriageway |  |  |  |
| Additional Information: |
| **6. Data and Cyber security** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 53 | **Are you capturing the minimum data required to be compliant with the DfT Code of Practice: *Automated Vehicle Trialling*?** |  |  |  |
| 54 | **Do you have a mechanism for capturing data for collision investigation (e.g. an event data recorder) in compliance with DfT Code of Practice: *Automated Vehicle Trialling?*** |  |  |  |
| 55 | **Are you capturing personal data (As defined by the General Data Protection Regulations or the Data Protection Act 2018)? If yes:** |  |  |  |
| 56 |  **- Have you conducted and implemented an appropriate Data Privacy Impact Assessment (DPIA)?** |  |  |  |
| 57 |  **- Is there a way for members of the public to obtain information about the use of their personal data?** |  |  |  |
| 58 | Has a physical and cyber security assessment been conducted? |  |  |  |
| 59 | Has the system been designed against security threats in accordance with BSI PAS 11281 and PAS 1885: *The fundamental principles of automotive cyber security*? |  |  |  |
| 59 | Have all identified security risks been demonstrated to be reduced as low as reasonably practicable (ALARP) with supporting evidence documented in the safety case? |  |  |  |
| 60 | Does the trial involve the use of Vehicle to vehicle (V2V), Vehicle to infrastructure (V2I) or Vehicle to Anything (V2X) technology for safety critical functions (e.g. vehicle control)? |  |  |  |
| 61 |  - If yes, has adequate testing been conducted and documented to ensure the veracity and authenticity of the communications? |  |  |  |
| Additional Information: |
| **7. Safety Monitoring and Continuous Improvement** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 62 | Do you have a change control process to manage software, hardware or operational changes relating to the automated vehicle’s operation for the trial duration? |  |  |  |
| 63 | Do you have an incident and near miss reporting procedure? |  |  |  |
| 64 | Do you have a safety monitoring plan for the trial for continuous feedback and improvement of the trial safety management and safety case? |  |  |  |
| 65 | Is a suitable maintenance process in place to check and maintain the vehicle and equipment for the duration of the trial? |  |  |  |
| Additional Information: |
| **8. Trial Participants** |
| **#** | **Description** | **YES** | **NO** | **N/A** |
| 66 | Will participants be involved in this trial? (if no, ignore questions 65-70) |  |  |  |
| 67 | Will the trial be providing a service to the participants (e.g. point A to B passenger transport, rather than A to A)? If yes, |  |  |  |
| 68 |  **- Have all appropriate permissions and licenses been sought to allow the service to operate?** |  |  |  |
| 69 | Will participants ride aboard the vehicles during trials? |  |  |  |
| 70 | Are the participants members of the public? |  |  |  |
| 71 | Has the ethical impact of using human trial participants been considered through an ethics process, such as one outlined in UK government *Guidance for Social Research- Ethical Assurance for Social Research in Government*?  |  |  |  |
| 72 | Have control measures been put in place to address the identified ethical concerns? |  |  |  |
| Additional Information: |

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| ADDITIONAL INFORMATION |
|   | Please state in simple, non-technical terms, what the highest priority risks posed to members of the public are and state how they are being controlled: |   |
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|  | Please use this space to provide any additional detail if necessary: |  |
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