



# APPLICATION FOR AN OPERATIONAL AUTHORIZATION (SORA)

## Part 1

### Instructions

- This form is the starting point of the FOCA evaluation process.
- Please refer to the document referenced FOCA-UAS-GM-Part1 (Guidance to Application Form for an Operational Authorization - Part 1) for a detailed guidance on how to fill out this form.
- Please fill out this form completely before first contact with FOCA. Incomplete forms will be rejected.

General Information							
0.1	UAS Operator Registration Number (ID)						
0.2	UAS Manufacturer / Type Certificate holder						
0.3	UAS Model name						
0.4	Type of UAS configuration <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> Plane (fixed wing)</td> <td><input type="checkbox"/> Hybrid/VTOL</td> </tr> <tr> <td><input type="checkbox"/> Helicopter</td> <td><input type="checkbox"/> Lighter than air</td> </tr> <tr> <td><input type="checkbox"/> Multirotor</td> <td><input type="checkbox"/> Other, please specify: _____</td> </tr> </table>	<input type="checkbox"/> Plane (fixed wing)	<input type="checkbox"/> Hybrid/VTOL	<input type="checkbox"/> Helicopter	<input type="checkbox"/> Lighter than air	<input type="checkbox"/> Multirotor	<input type="checkbox"/> Other, please specify: _____
<input type="checkbox"/> Plane (fixed wing)	<input type="checkbox"/> Hybrid/VTOL						
<input type="checkbox"/> Helicopter	<input type="checkbox"/> Lighter than air						
<input type="checkbox"/> Multirotor	<input type="checkbox"/> Other, please specify: _____						
0.5	Do you tether the UAV during the operation? <input type="checkbox"/> Yes <input type="checkbox"/> No						
0.6	Maximum characteristic dimension [m]						
0.7	Maximum take-off mass [kg]						
0.8	UAS speeds [m/s] Fixed-wing: Cruise speed = Rotorcraft: Maximum speed = [optional] Max rate of climb = Max rate of descent =						
0.9	Is there a <a href="#">DVR</a> or a <a href="#">TC</a> for this operation and this UAS? If yes, please specify:						
0.10	Number of UAS used in operation and related serial number(s)						
0.12	Do you intend to transport dangerous goods? <input type="checkbox"/> Yes. Please specify reference to Operations manual (ConOps): _____ <input type="checkbox"/> No						
0.13	Mode of operation <input type="checkbox"/> Visual line of sight (VLOS) <input type="checkbox"/> Extended visual line of sight (EVLOS) <input type="checkbox"/> Beyond visual line of sight (BVLOS)						
0.14	Does the remote pilot control more than one UA simultaneously? <input type="checkbox"/> Yes <input type="checkbox"/> No						
0.15	Location of the operation (Refer to Step #1 for further details) <input type="checkbox"/> Location-specific <input type="checkbox"/> Location-independent						
0.16	Upper limit of the operational volume						

## Specific Operations Risk Analysis (SORA)

### Concept of Operations (ConOps)

<b>Step #1</b>	<p><b>#1</b>  <b>Description of proposed operations including the locations</b>                  (Refer to <a href="#">GM2 UAS.SPEC.030(2)</a> of EU2019/947 for the definitions and conditions of 'generic' versus 'precise' operational authorization )</p> <p><b>Important note:</b> FOCA must gain sufficient evidence or confidence that the UAS operator is able to complete the assessments on its own to deliver a 'generic/location-independent' Operational Authorization.</p>	<ul style="list-style-type: none"> <li>If 'PRECISE' / <i>location-specific (field 0.15)</i>: Please provide the GPS coordinates for the operational volume (flight geography and contingency volume), the ground risk buffer and the air risk buffer (if available) as a separate file in txt, kmz or kml format.</li> <li>If 'GENERIC' / <i>location-independent (field 0.15)</i>: Please provide reference to documented process for the determination of operational volume and buffers and the assessment of the local conditions and their compliance limitations.</li> </ul> <p>Give reference to the file &amp; section:                  _____</p>
	Short description of proposed operations	

### Intrinsic Ground Risk Class (iGRC)

<b>Step #2</b>	<p><b>#2.1</b>  <b>Type of operational areas on the ground</b> (including FG, CV and GRB)</p>	<input type="checkbox"/> Controlled ground area <input type="checkbox"/> Sparsely populated area <input type="checkbox"/> Populated area <input type="checkbox"/> Over assemblies of people
	<p><b>#2.2</b>  <b>Resulting iGRC</b></p>	
	[Optional] Remarks/reasoning	

### Final Ground Risk Class (fGRC)

<b>Step #3</b>	<p><b>#3.1</b>  <b>Specify the applied ground risk mitigations</b></p>	<p>M1 Strategic mitigations</p> <input type="checkbox"/> None <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<p>M1 Tethered operation (only if applicable)</p> <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		<p>M2 Effects of ground impact are reduced</p> <input type="checkbox"/> None / Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
		<p>M3 An emergency response plan (ERP) is in place, validated and effective</p> <input type="checkbox"/> None / Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
	<p><b>#3.2</b>  <b>Final GRC</b></p>	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/> 6 <input type="checkbox"/> 7 <input type="checkbox"/> ≥8 <input type="checkbox"/>	
	[Optional] Remarks		

Initial Air Risk Class (iARC)		
Step #4	<b>#4.1</b> <b>Classification of the airspace where the operation is intended to be conducted</b> (Multiple answers possible)	<input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> G <input type="checkbox"/> Restricted area (LS-R) <input type="checkbox"/> Danger area (LS-D) <input type="checkbox"/> TMZ <input type="checkbox"/> RMZ
	<b>#4.2</b> <b>Specify the initial Air Risk Class (of the Operational Volume)</b>	<input type="checkbox"/> ARC-a <input type="checkbox"/> ARC-b <input type="checkbox"/> ARC-c <input type="checkbox"/> ARC-d
	[Mandatory] Reasoning for choosing iARC	
Strategic air risk mitigations and residual Air Risk Class		
Step #5	<b>#5.1</b> <b>Specify if strategic mitigations of the Air Risk Class are applied</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<b>#5.2</b> <b>Residual Air Risk Class</b> (after strategic mitigation)	<input type="checkbox"/> ARC-a <input type="checkbox"/> ARC-b <input type="checkbox"/> ARC-c <input type="checkbox"/> ARC-d
	[Mandatory] If strategic mitigations are applied, please specify:	

TMPR and robustness level		
Step #6	<b>#6</b> <b>Tactical Mitigations Performance Requirements (TMPR)</b> (Refer to <a href="#">Art. 11 AMC1 Annex D</a> of 2019/947)	<input type="checkbox"/> VLOS (no requirements) <input type="checkbox"/> BVLOS, robustness requirement: <input type="checkbox"/> None (ARC-a) <input type="checkbox"/> Low (ARC-b) <input type="checkbox"/> Medium (ARC-c) <input type="checkbox"/> High (ARC-d)
	[Optional] Remarks	
SAIL determination		
Step #7	<b>#7</b> <b>Specific Assurance and Integrity Level (SAIL)</b>	<input type="checkbox"/> SAIL I <input type="checkbox"/> SAIL II <input type="checkbox"/> SAIL III <input type="checkbox"/> SAIL IV <input type="checkbox"/> SAIL V <input type="checkbox"/> SAIL VI

Identification of Operational Safety Objectives		
<b>Step #8</b>	<b>#8 Operational Safety Objectives</b>	To be addressed in FOCA-UAS-APP-2 (Part 2 of Application) No action needed here.
<b>Adjacent area / airspace considerations</b>		
<b>Step #9</b>	<b>#9.1 Adjacent area</b>	<input type="checkbox"/> Sparsely populated area <input type="checkbox"/> Populated area <input type="checkbox"/> Over assemblies of people <u>Remark:</u>
	<b>#9.2 Adjacent airspace</b>	<input type="checkbox"/> ARC-a <input type="checkbox"/> ARC-b <input type="checkbox"/> ARC-c <input type="checkbox"/> ARC-d <u>Remark:</u>
	<b>#9.3 Containment type</b>	<input type="checkbox"/> Basic containment <input type="checkbox"/> Enhanced containment
	[Mandatory] Reasoning	
<b>Comprehensive safety portfolio</b>		
<b>Step #10</b>	<b>#10 Compliance matrix for safety requirements</b>	To be addressed in FOCA-UAS-APP-2 (Part 2 of Application) No action needed here.

**Declaration**

- I have read the latest applicable SORA version and its annexes.
- I have read the guidance material and filled out this form accordingly.
- I, the undersigned, hereby declare that the UAS operation will comply with:
  - Any applicable European Union and national regulation.
  - The limitations and conditions defined in the authorization provided by the competent authority.

Place & Date	Contact E-mail, Name and Signature	<i>-FOR FOCA ONLY-</i>
	Signature:	

**Next steps**

- Please send the request for Operational Authorization to [rpas@bazl.admin.ch](mailto:rpas@bazl.admin.ch).
- The request must contain:
  - At minimum this application form, duly fulfilled and signed.
  - Any related and needed documentation to support the application form (e.g. ConOps file)
  - Do not send unnecessary documents (e.g., Training syllabus), not required at this stage of the application process (Part 1).
- Upon receipt, the application will be subject to a preliminary examination at a charge.
- FOCA will contact you and get in touch for a high-level assessment before proceeding to FOCA-UAS-APP-2 (Part 2 of Application Form).
- Incomplete or incorrect documents will be require a complete update and a renewal of the application to the applicant.