

Federal Department of the Environment, Transport, Energy and Communications DETEC

Federal Office of Civil Aviation FOCA UAS Authorization and Oversight

APPLICATION FOR AN OPERATIONAL AUTHORIZATION (SORA)

Instructions

- Please fill out this form <u>after</u> your first contact with FOCA and hand it in together with substantiating material.
- Documentation naming must be consistent, i.e. document ID must match name as declared on Master Data List (MDL). Refer to FOCA-UAS-APP-3 for a MDL Template.
- The documentation submitted must follow the level of robustness (levels of integrity and assurance) identified when applying the SORA methodology. Do not send more documentation than required by the applicable level of robustness (low, medium, high). FOCA will not review any out-of-scope documentation and its content will remain solely under the responsibility of the applicant/operator.
- Further substantiation or documentation might be required upon request by FOCA.

Step # 3 - Gro	und Risk Mitigations -	- SORA Annex B
Robustness	Remarks (e.g. <u>DVR</u>)	Reference to documentation
□ None		Document ID:
🗆 Low		Chapter/section:
□ Medium		Page number:
🗆 High		
🗆 Low		Document ID:
🗆 Medium		Chapter/section:
🗆 High		Page number:
□ None/Low		Document ID:
🗆 Medium		Chapter/section:
🗆 High		Page number:
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□ None/Low		Document ID:
🗆 Medium		Chapter/section:
🗆 High		Page number:
	Robustness None Low Medium High Low Medium High None/Low Medium High	 None Low Medium High Low Medium High None/Low Medium High None/Low Medium Medium Medium

Step # 5 - Strategic Air Risk Mitigations – SORA Annex C			
	ARC reduction	Remarks	Reference to documentation
Air Risk Class	If yes, specify:		Document ID:
mitigation	ARC to ARC		Chapter/section:
			Page number:

	Step # 6 - Tactical Mit	igations Performanc	ce Requirements – SORA Annex D
	TMPR	Remarks	Reference to documentation
TMPR level	□ VLOS (not required)		Document ID:
	□ BVLOS, requirement:		Chapter/section:
	🗆 No / ARC-a		Page number:
	🗆 Low / ARC-b		
	Medium / ARC-c		
	🗆 High / ARC-d		
	Detect		Document ID:
			Chapter/section:
			Page number:
	Decide		Document ID:
			Chapter/section:
			Page number:
TMPR	Command		Document ID:
function			Chapter/section:
lanotion			Page number:
	Execute		Document ID:
			Chapter/section:
			Page number:
	Feedback loop		Document ID:
			Chapter/section:
			Page number:
TMPR	TMPR integrity and		Document ID:
robustness	assurance objectives		Chapter/section:
			Page number:

	Step # 7 – Recap - Claimed SAIL	
🗆 SAIL I	□ SAIL III	□ SAIL V
🗆 SAIL II	□ SAIL IV	□ SAIL VI

• The SAIL determines the required robustness of the OSO.

• In line with AMC to Art.11 of EU2019/947, SAIL III operations need to comply with OSO#4 at low robustness.

Step # 8 - Operational Safety Objectives – SORA Annex E Note: Some OSOs are grouped according to Annex E			
	Robustness	Remarks (e.g. DVR)	Reference to documentation
OSO #01 Ensure that the UAS operator is competent and/or proven	 □ Optional □ Low □ Medium □ High 		Document ID: Chapter/section: Page number:
OSO #02 UAS manufactured by competent and/or proven entity	☐ Optional ☐ Low ☐ Medium ☐ High		Document ID: Chapter/section: Page number:
OSO #03 UAS maintained by competent and/or proven entity	□ Low □ Medium □ High		Document ID: Chapter/section: Page number:

OSO #04 □ Optional Document ID: UAS developed to authority □ Medium □ Capter/section: Page number: □ Optional □ Comment ID: UAS is designed considering □ Optional □ Document ID: UAS is designed considering □ Optional □ Comment ID: UAS is designed considering □ Optional □ Comment ID: UAS is designed considering □ Optional □ Comment ID: CSO #06 □ Optional □ Document ID: CS Ink characteristics are appropriate for the operation □ Optional □ Document ID: Inspection of the UAS to ensure consistency with the ConOps □ Low □ Document ID: Inspection of the UAS to ensure consistency with the ConOps □ Low □ Document ID: Operational procedures □ High □ Document ID: Operational proces propudide dreas or gatherin		Robustness	Remarks (e.g. DVR)	Reference to documentation
recognized design standards Dow Page number: OSO #05 Optional Document ID: UAS is designed considering system safety and reliability Optional Document ID: OSO #06 C3 link characteristics are appropriate for the operation Dow Chapter/section: OSO #07 Ispection of the UAS to ensure consistency with the ConOps Document ID: Chapter/section: Ost #08, #11, #14, #21 Operational procedures Document ID: Chapter/section: Operational procedures Idedium Chapter/section: Page number: OSO #09, #15, #22 Low Document ID: Chapter/section: Page number: Ober mumber: Document ID: Chapter/section: OSO #10, #12, #14, #21 Low Document ID: Chapter/section: Ost #10, #12 Low Document ID: Chapter/section: Safe design (Note: Only eppicable drama group of pouble drama g	OSO #04	□ Optional		Document ID:
OSO #05 High Chapter/section: Page number: Chapter/section: Page number: Medium High Document ID: Chapter/section: Page number: Document ID: Chapter/		□ Low		
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OSO #18 Optional Document ID: Optional	Remote crew is fit to operate	🗆 Medium		•
Automatic protoction of the flight		🗆 High		Page number:
Automatic protoction of the flight		Optional		
	Automatic protection of the flight	🗆 Low		Chapter/section:
envelope from human error Medium Page number:	envelope nom numan enor	🗆 Medium		Page number:
🗆 High		🗆 High		
OSO #19 Document ID:	OSO #19	Optional		Document ID:
Safe recovery from human error Low Chapter/section:	Safe recovery from human error	-		
Medium Page number:		🗆 Medium		Page number:
🗆 High		🗆 High		
OSO #20 Optional Document ID:	OSO #20	-		Document ID:
A human factors evaluation has		-		Chapter/section:
been performed and the human				Page number:
machine interface (HMI) found Image appropriate for the mission Image				

	Robustness	Remarks (e.g. DVR)	Reference to documentation
OSO #22 The remote crew is trained to identify critical environmental conditions and to avoid them	□ Low □ Medium □ High		Document ID: Chapter/section: Page number
OSO #23 Environmental conditions for safe operations are defined, measurable and adhered to	□ Low □ Medium □ High		Document ID: Chapter/section: Page number:
OSO #24 UAS is designed and qualified for adverse environmental conditions	☐ Optional☐ Low☐ Medium☐ High		Document ID: Chapter/section: Page number:

Step # 9 - Adjacent area/airspace considerations			
	Containment	Remarks (e.g. DVR)	Reference to documentation
Safety	□ Basic		Document ID:
requirement	Enhanced		Chapter/section:
			Page number:

The documents and references are index in the following MDL:

MDL ID / Version:	

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 understand that the submission of this document is considered as official application step and will be invoiced in accordance with <u>Article 38</u>, paragraph 1a of the Ordinance on the Fees of the Federal Office of Civil Aviation (SR 748.112.11).
- □ I, the undersigned, hereby declare that the UAS operation will comply with:
 - Any applicable European Union and national rules.
 - The limitations and conditions defined in the authorization provided by the competent authority.

Place, Date	Name
	Signature

Next steps

- Please send this request including MDL and all relevant documentation to: rpas@bazl.admin.ch
 - The documentation submitted must follow the level of robustness (levels of integrity and assurance) identified when applying the SORA methodology. Do not send more documentation than required by the applicable level of robustness (low, medium, high).
 - o Further substantiation or documentation might be required upon request by FOCA.
 - FOCA will not review any out-of-scope documentation and its content will remain solely under the responsibility of the applicant/operator.
- FOCA will then provide you with a feedback on the expected timeline for the next steps of the review.