



# APPLICATION FOR AN OPERATIONAL AUTHORIZATION (SORA)

## Part 2

### Instructions

- Please fill out this form after 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 - Ground Risk Mitigations – SORA Annex B			
Mitigations	Robustness	Remarks (e.g. <a href="#">DVR</a> )	Reference to documentation
<b>M1 Strategic mitigations for ground risk</b>	<input type="checkbox"/> None <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>M1 Tethered operation</b> (Only fill in if tethered operation)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>M2 Effects of ground impact are reduced</b> (e.g., parachute)	<input type="checkbox"/> None/Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>M3 An emergency response plan (ERP) is in place, the UAS operator is validated and effective</b>	<input type="checkbox"/> None/Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:

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

**Step # 6 - Tactical Mitigations Performance Requirements – SORA Annex D**

	TMPR	Remarks	Reference to documentation
<b>TMPR level</b>	<input type="checkbox"/> VLOS (not required) <input type="checkbox"/> BVLOS, requirement: <input type="checkbox"/> No / ARC-a <input type="checkbox"/> Low / ARC-b <input type="checkbox"/> Medium / ARC-c <input type="checkbox"/> High / ARC-d		Document ID: Chapter/section: Page number:
<b>TMPR function</b>	Detect		Document ID: Chapter/section: Page number:
	Decide		Document ID: Chapter/section: Page number:
	Command		Document ID: Chapter/section: Page number:
	Execute		Document ID: Chapter/section: Page number:
	Feedback loop		Document ID: Chapter/section: Page number:
<b>TMPR robustness</b>	TMPR integrity and assurance objectives		Document ID: Chapter/section: Page number:

**Step # 7 – Recap - Claimed SAIL**

<input type="checkbox"/> SAIL I	<input type="checkbox"/> SAIL III	<input type="checkbox"/> SAIL V
<input type="checkbox"/> SAIL II	<input type="checkbox"/> SAIL IV	<input type="checkbox"/> 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. <a href="#">DVR</a> )	Reference to documentation
<b>OSO #01</b> Ensure that the UAS operator is competent and/or proven	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #02</b> UAS manufactured by competent and/or proven entity	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #03</b> UAS maintained by competent and/or proven entity	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:

	<b>Robustness</b>	<b>Remarks (e.g. <a href="#">DVR</a>)</b>	<b>Reference to documentation</b>
<b>OSO #04</b> UAS developed to authority recognized design standards	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #05</b> UAS is designed considering system safety and reliability	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #06</b> C3 link characteristics are appropriate for the operation	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #07</b> Inspection of the UAS to ensure consistency with the ConOps	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSOs #08, #11, #14, #21</b> Operational procedures	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #09, # 15, #22</b> Remote crew training	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSOs #10, #12</b> Safe design ( <i>Note: Only applicable when operating over populated areas or gatherings of people</i> )	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #13</b> External services supporting UAS operations are adequate for the operation	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #15</b> Remote crew trained and current and able to control the abnormal situation	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #16</b> Multi-crew coordination	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #17</b> Remote crew is fit to operate	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #18</b> Automatic protection of the flight envelope from human error	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #19</b> Safe recovery from human error	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:
<b>OSO #20</b> A human factors evaluation has been performed and the human machine interface (HMI) found appropriate for the mission	<input type="checkbox"/> Optional <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High		Document ID: Chapter/section: Page number:

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

Step # 9 - Adjacent area/airspace considerations			
	Containment	Remarks (e.g. <a href="#">DVR</a> )	Reference to documentation
<b>Safety requirement</b>	<input type="checkbox"/> Basic <input type="checkbox"/> Enhanced		Document ID: Chapter/section: Page number:

The documents and references are index in the following MDL:

<b>MDL ID / Version:</b>	
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#### 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 [Article 38](#), 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.

<b>Place, Date</b>	<b>Name</b> <b>Signature</b>
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#### Next steps

- Please send this request including MDL and all relevant documentation to: [rpas@bazl.admin.ch](mailto: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).
  - 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.