

**BEFORE THE  
DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION  
WASHINGTON, D.C.**

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**IN THE MATTER OF**

**Petition of Woolpert, Inc. for Exemption**

**Docket Number: FAA-2014-0506**

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**COMMENTS OF THE SMALL UAV COALITION**

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**Introduction**

The Small UAV Coalition<sup>1</sup> is pleased to provide its comments in support of the petition for exemption submitted by Woolpert, Inc. (“Woolpert”) under section 333 of the FAA Modernization and Reform Act of 2012 (“the Act”). Woolpert proposes to operate the Nova Block III unmanned aircraft vehicle and system (“UAV” and “UAS”) manufactured by Altavian Nova, to conduct aerial acquisition and research over rural portions of the State of Ohio in support of government entities, agriculture, scientific studies, wildlife monitoring, and forestry. Members of the Small UAV Coalition share an interest in advancing regulatory and policy changes that will permit the operation of small UAVs in the near term, beyond the line of sight, with varying degrees of autonomy, for commercial, consumer, recreational and philanthropic purposes. Coalition members are concerned that the current pace of regulatory and policy development, particularly in the U.S. but also in some other countries, has impeded and will impede small UAV development, services, and benefits for consumers. We encourage the Federal Aviation Administration (“FAA”) to establish, as soon as possible, a regulatory environment for small UAVs, such as Woolpert’s, that will foster safe experimentation and innovation so that globally important development work and operations can occur here in the U.S.

Although the focus of these comments is the Woolpert petition, the Coalition recognizes that UAV policy in the U.S. may have ramifications worldwide. There are many UAV manufacturers

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<sup>1</sup> Members of the Small UAV Coalition include 3D Robotics, AirWare, Amazon Prime Air, DJI Innovations, Google, GoPro, and Parrot.

outside of the U.S. who are or soon will be ready to market their products and services in the U.S., and many U.S. corporations have expanded their small UAV development activities overseas. Moreover, other countries may follow or adopt U.S. regulations or policies for their domestic UAV operations. It should be a U.S. policy imperative, therefore, to foster innovative technologies that promise consumer and public benefits, while addressing safety, as soon as possible. The FAA should work expeditiously to implement its section 333 authority with these policy considerations in mind. The Small UAV Coalition seeks to work with the FAA to expedite testing and operation of small UAVs in the United States. Reasonable regulations, waivers and exemptions, with safety, security, and privacy as their foundation, will encourage the growing domestic and international opportunities.

Clarity and clear guidelines are needed from the FAA for development and operation of small UAVs, whether those UAVs are used for recreational or commercial purposes. Because of their size, weight, speed, and the altitude at which they will typically operate, small UAVs such as the ones to be operated by Woolpert pose considerably less safety risk than larger UAVs, such as UAVs that are used for defense and other aerospace purposes. The Small UAV Coalition urges the FAA to adopt an evaluation framework for UAV operations under section 333 that weighs the relative safety issues and risks of UAVs by class, rather than adopting artificial distinctions among UAVs based upon commercial and non-commercial operations.

### **The Woolpert Petition**

As noted above, Woolpert's petition seeks FAA permission to conduct aerial acquisition and research over rural portions of the State of Ohio. We note that, aside from the geographic area in which it proposes to conduct UAV operations, Woolpert's petition is in all material respects identical to its petition in docket FAA 2014-0398, in which the Small UAV Coalition filed comments in support. Although Woolpert's proposed small UAV operations may pose no greater risk than small UAVs that are used by hobbyists and modelers (because of weight, altitude, etc.), Woolpert has proposed to abide by much stronger safety measures than are required for these groups. The Small UAV Coalition does not believe that heightened safety measures should be required for Woolpert simply because of the commercial nature of its operations. Small UAVs that operate for any purpose, commercial or non-commercial, should be judged based upon the precautions taken for safe operation, taking into consideration the relevant technical parameters of the UAV and UAS.

Woolpert proposes to use an Altavian Nova Block III UAS, which is a fixed-wing single-propeller aircraft, weighing 15 pounds with an electric motor powered by a lithium polymer battery. Uplink, downlink, and video communications will be made on the 902-928 MHz (ISM band) and 2.5 GHz (ISM band) frequencies. Woolpert's maximum operating altitude for its UAVs is 1,000 feet Above Ground Level (AGL), but intends to operate its UAVs under 400 feet AGL unless when necessary to comply with 14 C.F.R. 91.119. Woolpert proposes to operate its UAV, within the line of sight of the pilot (and safety observer), only over rural areas of the State of Ohio that are not near populated areas, airports, or state roads. Each Woolpert pilot will hold a valid commercial pilot certificate with first or second class medical certificate, and a safety observer will assist the pilot on each operation.

The Small UAV Coalition offers the following comments in support of the Woolpert petition:

**Consistent with Section 333, the FAA should authorize UAV operations for Woolpert in the near term, including in advance of the small UAV rulemaking.**

In section 333 of the Act, Congress directed the FAA to determine if certain UAV operations may be authorized even in advance of the completion of the small UAV rulemaking mandated in section 332 if operations will not “create a hazard to users of the national airspace system or the public or pose a threat to national security.”<sup>2</sup>

Section 333 is best understood in conjunction with the mandated small UAV rulemaking under section 332.<sup>3</sup> Congress directed the FAA, under section 332, to publish a final small UAV rule by August 2014. In contrast, Congress directed the FAA, under section 333, to determine by August 2013 whether certain unmanned aircraft systems may be operated safely even before completion of the section 332 rulemaking. Although neither deadline was met, we believe it is imperative that the FAA continue to push forward with both initiatives, expeditiously processing and approving petitions filed under section 333, such as the Woolpert petition. The clear intent of Congress was to direct the FAA to authorize certain UAV operations on an expedited basis, including in advance of completing the rulemaking.<sup>4</sup> Woolpert has made a strong showing justifying grant of the requested authority.

**Section 333 directs the FAA to authorize UAV operations that may safely operate in the national airspace system; Woolpert’s petition demonstrates safe operations.**

Congress gave the FAA authority to determine whether certain unmanned aircraft systems may be operated safely in the national airspace system,<sup>5</sup> and listed in section 333 seven factors for the FAA to consider. The FAA is to consider operational risks and steps that can be taken to

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<sup>2</sup> Section 333 states in relevant part:

(a) IN GENERAL.— Notwithstanding any other requirement of this subtitle, and not later than 180 days after the date of enactment of this Act, the Secretary of Transportation shall determine if certain unmanned aircraft systems may operate safely in the national airspace system before completion of the plan and rulemaking required by section 332 of this Act[.]

(b) ASSESSMENT OF UNMANNED AIRCRAFT SYSTEMS— In making the determination under subsection (a), the Secretary shall determine, at a minimum—

(1) which types of unmanned aircraft systems, if any, as a result of their size, weight, speed, operational capability, proximity to airports and populated areas, and operation within visual line of sight do not create a hazard to users of the national airspace system or the public or pose a threat to national security; and

(2) whether a certificate of waiver, certificate of authorization, or airworthiness certification under section 44704 of title 49, United States Code, is required for the operation of unmanned aircraft systems identified under paragraph (1).

(c) REQUIREMENTS FOR SAFE OPERATION. — If the Secretary determines under this section that certain unmanned aircraft systems may operate safely in the national airspace system, the Secretary shall establish requirements for the safe operation of such aircraft systems in the national airspace system.

<sup>3</sup> There is no pertinent legislative history that sheds any light on the meaning of this provision.

<sup>4</sup> In section 332(b)(1), Congress directed the publication of a rule for small unmanned aircraft systems “to the extent the systems do not meet the requirements for expedited operational authorization under section 333 of this Act.” Congress clearly intended for the FAA to proceed expeditiously to authorize safe operation and experimentation of small UAVs.

<sup>5</sup> Subsections 333(a) and (c) provide that safety in the national airspace system is the ultimate consideration.

eliminate or reduce such risks. In the view of the Small UAV Coalition, risk should be the touchstone for any and all FAA rules, waivers, and exemptions governing UAVs.

We recognize that, in implementing the Federal Aviation Act as Congress directed, the FAA historically has imposed greater requirements on commercial operators than on general aviation. However, those requirements derive from a legitimate public concern over passenger safety on manned aircraft that serve as common carriers for public transportation, and do not apply to operation of small unmanned aircraft, such as the UAV operations proposed by Woolpert.

Unlike the model aircraft concept defined in section 336, the FAA's safety evaluation of UAV operations does not hinge on whether the operation is public, commercial, recreational or philanthropic.<sup>6</sup>

Finally, the Small UAV Coalition wishes to respond to comments filed by the Air Line Pilots Association ("ALPA") in other section 333 exemption dockets, in which ALPA argues that all aircraft, manned and unmanned, in the National Airspace System ("NAS") "must operate to the same high level of safety." This position is at odds with the explicit direction by Congress in the Federal Aviation Act,<sup>7</sup> that the FAA promulgate safety regulations considering "(A) the duty of an air carrier to provide service with the highest possible degree of safety in the public interest, and (B) differences between air transportation and other air commerce." Requirements imposed on common carriers for air transportation under Parts 121 and 135 are much more stringent than requirements imposed on general aviation under Part 91. Certainly requirements may differ depending on whether a UAV will be operating in Class A or Class G airspace. Manned aircraft are currently subject to different requirements based on the airspace in which they are operated. Here, Woolpert proposes to operate its UAVs below 400 feet AGL (except when necessary to comply with 14 C.F.R. 91.119), away from any populated area and at least five miles from any airport or helipad. These precautions are more than adequate to ensure safe operations by Woolpert.

While the Coalition is committed to ensuring the safety of small UAV and UAS operations in the National Airspace System, we believe FAA safety regulations should be proportionate to the risks posed by the particular UAV operations proposed, distinguishing small UAVs from other UAVs. Small UAV operations, such as those proposed by Woolpert, pose minimal risks to safety and should, therefore, be subject to minimal and appropriate regulations.

**When evaluating the Woolpert petition, the FAA should consider the seven factors Congress directed the FAA to consider, but the FAA should recognize that this list is not exhaustive or requisite.**

As Woolpert's petition shows, factors other than the seven factors set forth by Congress in section 333 are relevant. In section 333, Congress directed the FAA to consider the following

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<sup>6</sup> Although Congress in section 336 limited the special rule for model aircraft to aircraft "flown for hobby or recreational purposes," the FAA need not and should not apply a commercial/non-commercial distinction in its small UAV rulemaking under section 332 or when considering petitions for exemption and other requests under section 333. All regulations and policies with respect to small UAVs should be safety and risk-based, taking into consideration size, weight, speed, altitude, etc., and this approach should be taken in evaluating Woolpert's petition.

<sup>7</sup> 49 U.S.C. 44701(d) and 44702(b).

when making section 333 determinations: size, weight, speed, operational capability, proximity to airports, proximity to populated areas, and operation within visual line of sight. But in the words immediately preceding this list, Congress stated that the FAA is to consider these factors “at a minimum.” The FAA may consider additional relevant factors not enumerated in section 333, including some factors that are addressed in Woolpert’s petition, such as: location, the airspace and altitude of its small UAV operations, and pilot training and experience.

Each of the seven identified factors identified by Congress is potentially relevant to the FAA’s safety risk determination, but not all of these factors are a prerequisite for every exemption. In particular, the FAA cannot interpret section 333 as prohibiting operations beyond the visual line of sight in every case. If Congress intended any factor to be a requirement, it would have mandated such restrictions by law.

It is incumbent on the FAA to evaluate each factor within the context of the applicant’s proposed UAV operations. Consider the factor of weight. Congress did not provide a weight (or size) limit for model aircraft, and provided that a small UAV (for purposes of the small UAV rulemaking under section 332) could weigh up to 55 pounds (section 331(6)). Congress did not provide a weight (or size) limit in section 333. Whether the weight of the aircraft poses an undue safety risk will depend on the facts and circumstances of the particular UAV operations: altitude of operation, airspace for operation, and geographic area. In Woolpert’s case, the weight of its small UAV, with camera, is less than 15 pounds. Considering the altitude and area in which its small UAVs will be operated, Woolpert’s UAV operations will pose negligible safety risk to other aircraft, national security, or persons on the ground.

Other factors the FAA may consider include speed and proximity of UAV operations to airports and populated areas. With respect to speed, the relevance of this factor depends on the facts and circumstances of the particular UAV operations. The speed of a UAV operating in the same airspace as commercial aircraft operations is a legitimate safety factor. However, the speed of a UAV operating below 400 feet AGL should be evaluated with respect to safely maneuvering, detecting and avoiding. Woolpert’s small UAVs will travel no faster than 58 knots, but the operations covered by this petition will take place below 400 feet AGL, within the visual line of sight. Thus, these operations do not create any safety risk that is not more than adequately mitigated.

The proximity of UAV operations to airports and populated areas are also relevant factors. There are over 19,000 airfields in the United States; of these, only 5,000 or so are public use airfields. Over 3,000 airports are listed in the National Plan of Integrated Airport Systems, but only 500 of these have commercial service. The safety risk of a UAV operating close to an airfield that is not public is appreciably less (and easily managed) compared with UAVs operating proximate to commercial service airports such as John F. Kennedy International Airport or Chicago O’Hare International Airport. Woolpert states that will operate its UAVs at least 5 miles from an airport or helipad.

The risk of UAV operations that are close to populated areas is highly dependent on the specific facts and circumstances. Congress did not define “populated area” and it is not apparent that this concept is the same as or similar to the concept of “congested area” in 14 C.F.R. 91.119. Similar to the concept of shielding (used in determining electromagnetic interference), tall buildings or

structures between airports or populated areas and the proposed small UAV operation may allow a small UAV to operate without a safety risk, despite the operation's proximity to either. There is often a congregation of people present on a closed set where a UAV will be used for filming; however, the UAV may be operated safely nearby or inside a populated area. Woolpert states that it will operate its UAVs away from any populated area as designated on VFR sectional aeronautical charts.

Finally, Congress also directed the FAA to consider operational capability of the UAV. Woolpert states that the Nova Block III UAV is currently being operated safely in the National Airspace System (NAS) pursuant to 14 Certificates of Authorization granted to several colleges and universities and the U.S. Army Corps of Engineers.

We believe the relevant factors for the FAA's UAV evaluation, whether or not identified in section 333, should be viewed through the lens of the particular UAV operations that are proposed in each petition, including Woolpert's petition. In considering whether to authorize UAV operations, the FAA should evaluate and balance these factors using safety and security as cornerstones, not rigidly adhere to a list of factors that may or may not be relevant or important to particular UAV operations. In the view of the Small UAV Coalition, there should be no question that Woolpert's proposed operations satisfy the seven factors set forth by Congress and several additional mitigating factors that will ensure the safety and security of Woolpert's proposed small UAV operations.

**Section 333 permits the FAA to authorize UAV operations without type, production, or airworthiness certification; Woolpert has demonstrated that no such certification is necessary.**

Congress expressly vested in the FAA authority to determine the substantive safety requirements to impose on UAV operations under section 333. Congress also left to the FAA the question of how authorizations would be granted pursuant to section 333. It tasked the FAA with determining *whether* a certificate of waiver, certificate of authorization or airworthiness certification under 49 U.S.C. 44704 should be required.

Woolpert's petition, similar to other petitions, seeks an exemption from the airworthiness certification regulation.<sup>8</sup> Given the nature of its proposed operations, we believe an exemption from the certification requirements for restricted category aircraft is warranted. Restricted category aircraft are so named because the FAA certifies aircraft for a special purpose operation, such as agricultural, aerial surveying, patrolling of pipelines and power lines, aerial advertising, and "any other operation specified by the FAA."<sup>9</sup> An operator of a restricted category aircraft is required to have obtained type, production, and airworthiness certificates. The type, production, and airworthiness certification processes are unnecessary if the FAA and the UAV operator agree on certain operational limitations to ensure safety (similar to limitations on an airworthiness certificate). The operational limitations proposed by Woolpert should be

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<sup>8</sup> 14 C.F.R. Part 21. In the alternative, Woolpert seeks the FAA to authorize its UAV pursuant to special conditions that achieve an equivalent level of safety as the requirements for a restrictive category airworthiness certificate.

<sup>9</sup> 14 C.F.R. 21.25(b).

more than adequate to grant an exemption from the airworthiness certification regulation. Furthermore, we note that similar small UAV operations, conducted by hobbyists and modelers, are appropriately permitted without such certification.

Woolpert also relies on its proven, safe operational history for its UAVs (pursuant to Certificates of Authorizations issued to public agencies noted above), and its adoption of a Safety Management System (“SMS”), to demonstrate the safety of its operations and to obviate airworthiness certification. A safe operational record and the adoption of an SMS are two factors supporting a grant of Woolpert’s petition.

As noted, each Woolpert pilot will hold a valid commercial pilot certificate with first or second class medical certificate, and be assisted by safety observer. As a general matter, however, the Small UAV Coalition does not believe that traditional pilot certification requirements for manned aircraft are necessary or appropriate for operators of small unmanned aircraft. Although the requirement for a pilot to hold an airman certificate is statutory, section 333 of the Act instructs the FAA to consider whether to require, waive, or exempt the enumerated certificates “at a minimum.” The FAA should waive or exempt the pilot certification requirement with respect to small UAS operators under section 333 as well as under its general waiver/exemption authority in the Federal Aviation Act.<sup>10</sup> The manifold innovative UAV technologies, particularly for small UAVs, should not be subject to a one-size-fits-all paradigm with respect to pilot certification. Applying manned aircraft pilot certification requirements to small unmanned aircraft is not necessary as a matter of safety, and does not make sense as a matter of public policy.

**Section 333 permits the FAA to use any administrative process to authorize UAV operations.**

Congress also left to the FAA the question of how the substantive safety requirements under section 333 would be imposed. Congress provided no guidance other than to expedite operational authorizations, including in advance of completing the small UAV rulemaking under section 332. Woolpert’s petition for exemption is one of over 30 petitions docketed since the FAA invited entities to submit petitions.

Although the FAA may use its Part 11 exemption process to authorize UAV operations under section 333, the FAA also has broad authority under the Federal Aviation Act to grant an exemption from any safety regulation “if the Administrator finds the exemption in the public interest.”<sup>11</sup> In evaluating Woolpert’s petition and other petitions filed under section 333, it may be more appropriate to assess the safety impact, if any, of the particular small unmanned aircraft operations that are proposed, rather than to engage in a comparison with Federal Aviation Regulations adopted with manned aircraft in mind.

We encourage the FAA, in granting an exemption petition under section 333, to advise the public, where it is appropriate, that a subsequent petition requesting the same relief under the same material facts will be granted. For the FAA’s own administrative convenience, and for the benefit of small UAV innovation, the FAA can and should make public interest and safety

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<sup>10</sup> 49 U.S.C. 44701(f).

<sup>11</sup> 49 U.S.C. 44701(f).



determinations more broadly than in case-by-case exemption proceedings. Three illustrations, among many others, may be found in section 333 petitions for exemption filed to date, including Woolpert's. For example, the Federal Aviation Regulations require that the approved Airplane Flight Manual, the aircraft registration certificate, and the aircraft airworthiness certificate be carried on board the aircraft.<sup>12</sup> For all small UAVs, regardless of the nature of their operations, these requirements are impractical and may be remedied simply by ensuring these documents are maintained in the UAV operator's identified ground station. Consistent with the intent of section 333, the FAA can impose this requirement across the board. Congress directed the FAA in section 333 to determine which "types of operations" may be conducted safely in the national airspace system; thus, Congress contemplated the making of generally applicable safety determinations apart from and in advance of the small UAV rulemaking.

### **Section 333 authority does not expire on the publication of a small UAV rule.**

Congress directed the FAA, under section 333, to determine whether certain unmanned aircraft systems may be operated safely even before completion of the section 332 rulemaking. However, section 333 is not temporary authority which expires with the publication of a final small UAV rule. There is no "sunset" provision. If Congress had intended section 333 authorizations to expire, or that the FAA would no longer entertain petitions for exemption after publication of a final rule, it would have included such a provision. For instance, Congress included a sunset provision for its pilot program for passenger facility fee authorizations at non-hub airports.<sup>13</sup> Congress inserted sunset triggers in connection with age standards for pilots operating certain types of flights.<sup>14</sup> A view that section 333 authorizations must expire or be superseded by the small UAV rule is unsupported by the statutory text. There is no basis to opine that UAV operations under section 333 and upcoming small UAV rules will not exist in parallel. Rather, section 333 gives the FAA the necessary flexibility to grant case-by-case authority and foster the development of the U.S. UAV industry.

### **The small UAV rulemaking will benefit from safety determinations made by the FAA under section 333, including making a positive decision on Woolpert's petition in the near term.**

The Small UAV Coalition believes the FAA should adopt and propose some of the precedents it sets in granting section 333 petitions as part of the small UAV Notice of Proposed Rulemaking, provided that it exercises proportionality, taking into account specific classes of UAVs, such as the particular characteristics of small UAVs. As we have made clear, the Small UAV Coalition firmly believes that operators will employ different technologies and standards commensurate with the particular capabilities of the UAS and the particular capabilities of the UAV operations. It may be that some technologies and protocols may be generally applicable, but others should be tailored to specific classes of UAV/UAS technology. We encourage the FAA to adopt the broadest and most flexible approaches at this stage to ensure continued innovation of technology and standards that will allow for safe small UAV operations across a myriad of small UAV/UAS technologies and applications.

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<sup>12</sup> 14 C.F.R. 91.9(b), 91.203(a) and (b).

<sup>13</sup> 49 U.S.C. § 40117(1)(7).

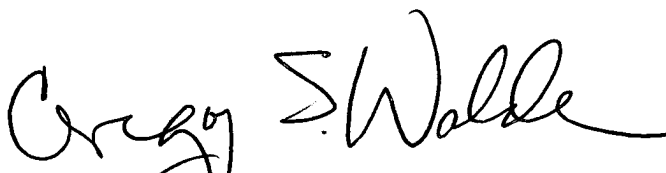
<sup>14</sup> 49 U.S.C. 44729(c)(2) & (d).

We also believe that the experience the FAA and the UAV industry gain from UAV operations authorized under section 333, as well as the experience gained at FAA test sites and elsewhere, can improve and accelerate the rulemaking process. Allowing Woolpert and other petitioners to begin near-term operations under section 333, with appropriate conditions and limitations, will provide innovators the necessary physical and regulatory space to pioneer technologies and develop viable business models. This experience and knowledge also will allow the FAA to develop the optimal regulatory framework that both promotes safety and supports growth of a very promising industry by allowing the FAA to learn from operations pursuant to section 333 authority and incorporate insights and lessons learned into the regulatory framework. All of this will allow manufacturers, operators and other interested parties to effectively participate in the rulemaking process with real-world data, observations and analysis.

## Conclusion

Woolpert's petition demonstrates that its small UAS operations can be conducted safely on privately owned or controlled property, with a number of voluntary safety precautions. In the view of the Small UAV Coalition, the FAA should expeditiously grant Woolpert authority under section 333. The Small UAV Coalition is pleased to support this petition and to recommend that the FAA apply section 333 flexibly in this case. The Small UAV Coalition believes that Woolpert's operations will provide a valuable opportunity for the FAA to advance the Congressional goal of permitting small UAVs to fly commercially in the U.S. safely and in the near future.

We believe the relevant factors for the FAA's evaluation of the Woolpert petition – including several factors we have identified that are not enumerated in section 333 – all support grant of the Woolpert petition. In considering whether to authorize UAV operations such as Woolpert's, the FAA should evaluate and balance these factors using safety and security as cornerstones. The Small UAV Coalition hopes that the FAA will create a regulatory environment for UAVs that will foster safe and innovative experimentation and operations for companies such as Woolpert, so that globally important UAV development work can occur in the United States.



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