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Advisory Pamphlet (AP)

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**VOLUNTARY REPORTING SCHEME (VRS) AND MANDATORY
OCCURRENCE REPORTING SCHEME (MORS)**



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2. Advisory Pamphlets are intended to provide information and guidance to illustrate a means but not necessarily the only means of complying with the Regulations, or to explain certain Regulatory requirements by providing interpretative and explanatory material. Where an AP is referred to in a 'Note' below the regulation, the AP remains as guidance material.
3. Advisory Pamphlets should be read in conjunction with the referenced regulations.
4. Voluntary Reporting Scheme (VRS) and Mandatory Occurrence Reporting Scheme (MORS) is set out in the schedule hereto.
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Executive Director for Civil Aviation





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1. DEFINITONS AND ABBREVIATIONS

ASR	Aviation Safety Report
MOR	Mandatory Occurrence Report
MORS	Mandatory Occurrence Reporting Scheme
SDCPS	Safety Data Collection and Processing System
VRS	Voluntary Reporting Scheme

2. INTRODUCTION

- 2.1.1. This advisory pamphlet provides guidance material to service providers, operators, and users on the submission of **voluntary reporting system** (VRS) for aviation safety occurrences and hazards and submission of voluntary aviation safety reports (ASRs).
- 2.1.2. This advisory pamphlet also reinforces the guidance on **mandatory occurrence reporting** (MOR).

3. BACKGROUND

- 3.1.1. In accordance with the requirements of a State Safety Programme, NCAA has established a voluntary reporting procedure. The process is called the VRS and includes both occurrence reports and hazards.
- 3.1.2. Incident reporting programmes have proved to be valuable tools in the identification of safety related issues and the definition of corrective actions. In those specific incidents involving human error, the availability of an independent, voluntary, and confidential reporting medium has provided valuable additional information to that available through the formal or mandatory reporting systems.
- 3.1.3. The NCAA Voluntary Reporting Scheme is an independent confidential reporting programme for those involved in civil aviation to report safety related incidents and events.
- 3.1.4. Operators may also consider using this guidance in the development of their own voluntary and confidential reporting systems, as is required by NAMCATS 140.

4. OBJECTIVE

- 4.1.1. The key objective of the voluntary and confidential reporting system is to enhance the safety of aviation activities through the collection of reports on actual or potential safety deficiencies that would otherwise not be reported through other channels. Such reports may involve occurrences, hazards, or threats relevant to the safety of our aviation activities. This system does not eliminate the need for formal reporting of accidents and incidents, as well as the submission of mandatory occurrence reports to the NCAA.
- 4.1.2. It provides a channel for the voluntary reporting of aviation occurrences or hazards relevant to aviation activities, while protecting the reporter's identity, where required.



5. VOLUNTARY REPORTING SCHEME (VRS)

5.1. Overview

- 5.1.1. Although accident/incident rates in commercial air transport operations have reduced to an extremely low level, the number of accidents with human factors causes has not declined at the same rate and thus are now the dominant cause in major accidents.
- 5.1.2. VRS is a voluntary confidential reporting scheme for aviation that allows any person who has an aviation safety concern to report it to the NCAA confidentially. Protection of the reporter's identity is a primary element of the scheme.
- 5.1.3. Noteworthy features of the NCAA VRS include:
- Independence;
 - Broad availability (including flight crew members, air traffic controllers, licensed aircraft maintenance engineers, cabin crew, aerodrome operators, and the general aviation community);
 - Confidentiality of reporters' identities;
 - Analysis by experienced safety officers;
 - Newsletters with broad distribution, locally, regionally, and globally, to improve safety standards by sharing safety information.

5.2. What May be Reported Under VRS?

- 5.2.1. Any matter may be reported if it endangers or could endanger the safety of an aircraft. These may include, but is not limited to, safety concerns in the following areas:
- flight operations;
 - training;
 - aerodrome infrastructure or services;
 - hangar aircraft maintenance;
 - workshop component maintenance;
 - technical fleet management;
 - inventory technical management;
 - engineering planning;
 - technical services;
 - technical records;
 - line maintenance;
 - ground operations, including those involved with aviation security; and
 - passengers regarding movements through and airport including security arrangements.

5.3. Who May Make an Aviation Safety Report (ASR)?

- 5.3.1. Generally, an ASR may be made by anyone who observes or becomes aware of a reportable safety concern. Specifically, flight crew members, air traffic controllers, licensed engineers, approved maintenance organisations, cabin crew members, aerodrome operators, flight dispatchers, and even members of the public, can report events that they feel have a bearing on safety.
- 5.3.2. If you belong to any aviation operational areas or departments, you can contribute to



aviation safety enhancement through the VRS by reporting on occurrences, hazards, or threats relevant to your organization's aviation activities.

5.4. How are ASR Reports Processed?

- 5.4.1. The VRS pays particular attention to the need to protect the reporter's identity when processing all reports. Every report will be read and validated by the NCAA Safety Specialist and entered into the confidential **Safety Data Collection and Processing System** (SDCPS). If the ASR is a security issue, the report will be assessed by the Senior Manager AvSec.
- 5.4.2. The NCAA Safety Specialist may contact the reporter to make sure he/she understands the nature and circumstances of the occurrence/hazard reported and/or to obtain the necessary additional information and clarification.
- 5.4.3. When the NCAA Safety Specialist is satisfied that the information obtained is complete and coherent, he/she will de-identified the report prior to forwarding to the investigating department.
- 5.4.4. Should there be a need to seek input from any third party, only the de-identified data will be used.
- 5.4.5. A response to all ASRs, will be sent to the reporter whenever contact details are available within 1 working day of receipt of the report.
- 5.4.6. The NCAA Safety Specialist will endeavour to complete the processing within ten (10) working days if additional information is not needed. In cases where the NCAA Safety Specialist needs to discuss with the reporter or consult a third party, more time may be needed.
- 5.4.7. If the NCAA Safety Specialist is away from his office for a prolonged period, the alternate NCAA Safety Specialist or Senior Manager: Safety Promotion and Quality will process the submission. Reporters can rest assured that every submission will be read and followed through by the NCAA Safety Specialist.
- 5.4.8. Relevant de-identified extracts may be shared within the NCAA as well as with external aviation stakeholders as deemed appropriate. This will enable all concerned personnel and departments within the NCAA as well as appropriate external aviation stakeholders to review their own operations and support the improvement of aviation safety as a whole.
- 5.4.9. If the content of a submission suggests a situation or condition that poses an immediate or urgent threat to aviation safety, it will be handled with priority and referred, after de-identification, to the relevant organizations or authorities as soon as possible to enable them to take the necessary safety actions
- 5.4.10. The NCAA staff will assess submissions for clarity, completeness, and significance to aviation safety. To do this, the staff may need to contact the reporter. Once satisfied that the submission is as complete as possible, the staff enter the content of the submission into the SDCPS database, which allocates it a unique identification number.
- 5.4.11. ASRs may use the de-identified version of the submission to issue an information-brief



or alert bulletin to a person or responsible organisation in a position to take action in response to the safety concern.

5.5. What are the Possible Outcomes from an ASR Submission?

5.5.1. The desired outcomes are any actions taken to improve aviation safety in response to the identified concern. This can include variations to standards, orders, practices, or procedures or an education campaign.

5.6. Is an Anonymous Submission via the VRS Acceptable?

5.6.1. Anonymous submissions are strongly discouraged, since NCAA staff cannot contact an anonymous reporter to verify the submission or to seek additional information.

5.6.2. NCAA staff must be satisfied that the reporter's motivation for reporting is aviation safety promotion, and that the reporter is not attempting to damage a rival or pursue a commercial/industrial agenda.

5.6.3. If items in 5.6.1 and 5.6.2 above can be satisfied an anonymous report can be processed and while difficult to process it is felt that anonymous reports can still add value to the system.

5.6.4. Another example of an area when anonymous reports may be helpful is where you found yourself in a difficult or incriminating situation and wish to share for the safety benefit of others but don't want to reveal your identity to the regulator. In this situation it is also considered more valuable to have the safety information that to know about, or in the principle of exception, need to take enforcement action on the reporter.

5.7. Why Confidential Reporting Works

5.7.1. When organizations want to learn more about the occurrence of events, the best approach is simply to ask those involved. People are generally willing to share their knowledge if they are assured:

- a. Their identities will remain protected.
- b. There are no disciplinary or legal consequences.

5.7.2. A properly constructed confidential, voluntary, non-punitive reporting system can be used by any person to safely share information.

5.7.3. Only de-identified comments can be discussed within the NCAA.

6. MANDATORY OCCURRENCE REPORT (MOR)

6.1.1. An ASR is a separate scheme to the **Mandatory Occurrence Reporting Scheme** MORS.

6.1.2. Mandatory Occurrence Reporting is defined according to NAMCATS-SMS 140 Appendix A.

6.1.3. MORs may not be anonymous and are required to be submitted on an appropriate form (either the official Occurrence Report form, FSS-GEN-FORM-014 or a form approved by your SMS) to incidents@ncaa.na and daaii@mwt.gov.na.



7. REPORTING

7.1. What Do I Report?

- 7.1.1. A safety report should be filed on any matter that relates to aviation safety, included but not limited to the items discussed below.
- 7.1.2. Aviation safety or security-related incidents or events involving:
- Yourself;
 - Other people;
 - Your organisation or organisations you deal with.
- 7.1.3. Incidents/events can include:
- Errors
 - Individual performance
 - Health & Safety matters affecting Operating Procedures
 - Regulatory aspects
 - Unsafe practices
- 7.1.4. Occurrence reports also include
- Acts of unlawful interference with an aircraft;
 - Conduct that constitutes an offence under the Civil Aviation Act.

7.2. What Do I Not Report?

- 7.2.1. To avoid doubt, the following matters are not reportable safety issues:
- Industrial relations issues and/or terms and conditions of employment problems;
 - Incidents or events with no safety or security content; and
 - Issues involving conflicts of personalities.

7.3. When Do I Report?

- If you wish others to benefit from an important "Lesson Learned"
- When other reporting procedures are not appropriate or are not available
- When you are concerned to protect your identity
- When you have exhausted company/regulatory reporting procedures without the issue having been addressed

7.4. How to Submit/Comment

- 7.4.1. The completed report form – [FSS-GEN-FORM-014](#), with additional pages if required, should be sent to: incidents@ncaa.na and daaii@mwt.gov.na; or
- 7.4.2. You may also simply email incidents@ncaa.na with your concern; or
- 7.4.3. You can complete the online reporting form here: [NCAA Online voluntary reporting form](#) – which may be submitted anonymously if needed.
- 7.4.4. If you wish to deliver reports in person or discuss matters related to a report: contact +264 83 235 2468 to confirm a time to submit the report at:
4 Rudolf Hertzog Street, Auspannplatz, p
Windhoek



8. SUMMARY

8.1. Confidential reporting aims to improve our understanding about human factors issues that affect the safety of air transport operations. It is a confidential reporting system that aims to encourage reporting, yet without identifying the reporter. It does this, so that incidents and events that would not ordinarily come to light are examined for the lessons they can provide on improving flight safety. There is no doubt that a truly confidential system provides a worthwhile adjunct to the mandatory reporting systems and has manifestly been successful in its objectives.