

Appendix B to Chapter 2

STANDARDIZED FRAMEWORK FOR THE IDENTIFICATION OF REGIONAL AND NATIONAL HIGH-RISK CATEGORIES OF OCCURRENCES

Note.— The criteria below may be used for inclusion and removal of occurrences from the high-risk categories of occurrences (HRC) list.

<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
Number of fatalities.	Fatalities by accident occurrence categories (as per CICTT).	1) Analyse the classification of occurrences. 2) Identify categories that resulted in the highest number of fatalities.
Fatality risk.	Fatality risk by accident or serious incident occurrence categories (as per CICTT).	1) Analyse the classification of occurrences. 2) Identify events that are linked to occurrence categories with the highest number of fatalities (in terms of severity) associated with the potential outcome. • For example, a serious incident that did not result in any fatalities but involved air proximity issues, traffic collision avoidance system (TCAS)/airborne collision avoidance system (ACAS) alerts, loss of separation or near collisions between aircraft in flight would be coded as “mid-air collision” (as per CICTT occurrence categories) due to the fatality rate associated with a potential mid-air collision (in other words, if the mid-air collision occurred, as the outcome of the occurrence there would be multiple fatalities).
Number of accidents and serious incidents.	Number of accidents or serious incidents by occurrence categories (as per CICTT).	1) Analyse the classification of occurrences. 2) Identify categories that resulted in the highest number of accidents and serious incidents.
Breakdown (based on a minimum of five-year data set).	Frequency of occurrences.	1) Use a five-year rolling average. 2) Consider including use of rate-based data (for example, sectors flown).

<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
	Commonality of occurrence across the region.	If an occurrence category appears in multiple States in the region, consider it potentially a regional occurrence (in the RASP) or a national one (in the NASP).
	Use of information from accidents.	1) Focus on pre-cursors and contributing factors. 2) Use different sources, such as ICAO and industry. 3) Develop and monitor associated safety performance indicators.
Consideration of global and national HRCs in setting R-HRCs.	Commonality of HRCs and other risk categories of occurrences as per the Global Aviation Safety Plan (GASP) and in NASPs of multiple States in the region.	1) Analyse the GASP to identify G-HRCs: a) the GASP calls for RASPs of regions to address the G-HRCs, consider them as potential R-HRCs; and b) reference the GASP public website: www.icao.int/gasp. 2) Analyse NASPs of States in the region to identify common N-HRCs: a) if the same N-HRC is included in several plans, consider it a potential R-HRC; and b) reference the NASP library: www.icao.int/nasplibrary. 3) Consider other risk categories of occurrences listed in the GASP or in NASPs of multiple States in the region.
Consideration of global and regional HRCs in setting N-HRCs.	Commonality of HRCs and other risk categories of occurrences as per the GASP and the corresponding RASP.	1) Analyse the GASP to identify G-HRCs: a) the GASP calls for NASPs of States to address the G-HRCs, consider them as potential N-HRCs; and b) reference the GASP public website: www.icao.int/gasp. 2) Analyse the corresponding RASP to identify R-HRCs: a) the RASP calls for NASPs of States in the region to address R-HRCs, consider them as potential N-HRCs; and b) reference the RASP library: www.icao.int/rasp. 3) Consider other risk categories of occurrences listed in the GASP and the RASP.

<i>Criteria</i>	<i>Specifics</i>	<i>Methodology</i>
Rationale for decision-making.	Additional points for consideration when selecting HRCs.	1) Consider constraints from limited resources, and the need to focus on a shorter list of high-risk items: limit the number of HRCs included in the plan. 2) Although the process of selecting HRCs prioritizes fatalities and risk of fatalities and injuries, consider inclusion of serious incidents with low fatality risk but high frequency of occurrence.
