

JOHN WAYNE AIRPORT ORANGE COUNTY



Safety Management Systems (SMS) Manual

Original: February 24, 2025

Revised:

Signed by:

Charlene Reynolds

A1A526A921AF49F...

Charlene Reynolds
Airport Director
Accountable Executive

DocuSigned by:

Richard Steele

C07B1E2A082D426...

Richard Steele
Deputy Airport Director of Operations
Responsible Executive

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

TABLE OF CONTENTS

1.INTRODUCTION	4
1.1 Version Tracking	4
1.2 Distribution List	5
1.3 Definitions	5
1.4 Glossary	7
2.SAFETY POLICY	8
2.1 Safety Organizational Structure	8
2.2 Applicability	9
2.3 Management Commitment	9
2.4 SMS Committee	10
2.5 Safety Objectives	11
3.SAFETY RISK MANAGEMENT	12
3.1 Hazard Identification and Investigation	12
3.2 Operational Risk Assessment (ORA) Process	13
3.3 Leadership Actions	15
4.SAFETY ASSURANCE	16
4.1 Safety Performance Monitoring	16
4.2 Mitigation Monitoring	16
4.3 Confidential Hazard Reporting	17
4.4 Inspections and Assessments	17
5.SAFETY PROMOTION	19
5.1 Training	19
5.2 Communication	20
APPENDIX A – SAFETY POLICY STATEMENT	22
APPENDIX B – SAFETY OBJECTIVES	23
APPENDIX C – SNA RISK MATRIX	24

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

APPENDIX D – AIRCRAFT OPERATIONS AREA	25
APPENDIX E – SAFETY HAZARD REPORTING FORM	26

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

1.INTRODUCTION

This Safety Management System (SMS) Manual serves to provide guidance for the processes and procedures to support SNA SMS in compliance with Title 14 Code of Federal Regulations (CFR) Part 139 – Subpart E – Airport Safety Management System. The manual will be reviewed annually and updated as appropriate to reflect changes in the safety environment.

SMS is a systematic approach to managing safety and includes four components: safety policy, safety risk management, safety assurance, and safety promotion (Figure 1). The SMS functions through a series of complementary processes and procedures aimed at identifying, measuring, controlling, and eliminating or mitigating safety risks. These processes and procedures are coordinated and supported by an organizational structure where the safety roles and responsibilities are defined and understood by the participants.

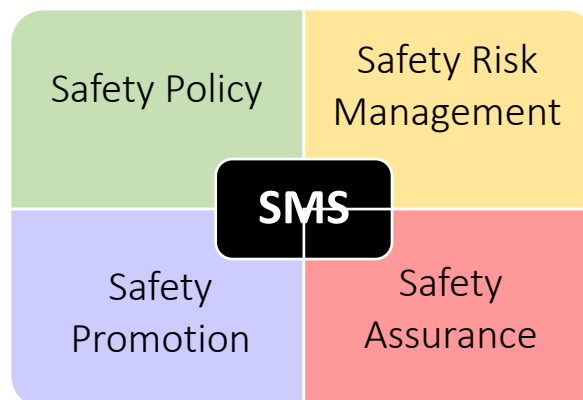


Figure 1. SMS Components

1.1 Version Tracking

When an authorized change is made to the SNA SMS Manual, an advisory email message will be sent to the distribution addresses, informing the recipients of the update and new version. The Operations division will maintain the documentation and tracking of the SMS Manual and distribute updated versions. The responsibility for noting and acting on amendments rests with users of the SMS Manual.

Version	Changes	Approval Date	Effective Date
1.0	Original document		

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

1.2 Distribution List

The SNA SMS Manual is available electronically. A master hard copy of the FAA-accepted SMS Manual will be kept within the Operations division office, and electronic copies may be printed for internal office use. Hard copies printed by recipients of the electronic distribution are not controlled. Care must be taken to ensure that paper copies are disposed of or fully amended at the expiration date.

Position	SNA Division	Role/Responsibility
Airport Director	Administration	Accountable Executive
Assistant Airport Director	Administration	Safety Advocate
Deputy Airport Director, Operations	Operations	Responsible Executive
Deputy Airport Directors	All Divisions	Safety Advocate
Airside Operations Manager	Operations	Safety Leadership
Maintenance Director	Maintenance	Safety Advocate
SMS Manager	Operations	Safety Leadership

1.3 Definitions

Accident: an unplanned event or series of events that results in death, injury, or damage to, or loss of, equipment or property.

Accountable Executive (AE): an individual designated by the certificate holder to act on its behalf to implement and maintain the Airport SMS. The Accountable Executive has ultimate responsibility to the FAA, on behalf of the certificate holder, for the safety performance of operations conducted under the certificate holder's Airport Operating Certificate.

Hazard: any existing or potential condition that can lead to injury, illness, or death to people; damage to or loss of a system, equipment, or property; or damage to the environment. A hazard is a condition that could foreseeably cause or contribute to an accident and is a prerequisite to an accident or incident.

Incident: an occurrence other than an accident that affects or could affect the safety of operations.

Initial Risk Assessment (IRA): the application of the Five-Step¹ Safety Risk Management (SRM) is a process by which an individual or group addresses an identified hazard, resulting in an identified risk level. An initial risk assessment may lead to the implementation of risk controls or mitigation.

¹ The Five-Step SRM Process is defined in the Federal Aviation Administration (FAA) Office of Airports Safety Management System (SMS) Desk Reference (Version 2.1). Advisory Circular 150/5200-37A: p. 4-6, Figure 4-2.

Likelihood: the estimated probability or frequency, in quantitative or qualitative terms, of a hazard's effect or outcome.

Operational Risk Assessment (ORA): internal airport-led assessment of a system or component conducted by a panel of subject matter experts (SMEs) to evaluate risk.

Outcome: a consequence supported by data and expert opinion and based on system constraints.

Residual Risk Assessment (RRA): The resulting risk level after implementing risk controls or mitigation.

Responsible Executive (RE): an individual designated by the Accountable Executive with the authority and responsibility for the day-to-day implementation and operation of the SMS.

Risk: the composite of predicted severity and likelihood of the potential effect of a hazard.

Risk Acceptance: the certification by the appropriate management official that they acknowledge and accept the safety risk that is expected.

Risk Analysis: the process whereby a hazard is characterized for its likelihood and the severity of its effect or harm.

Risk Mitigation: any action taken to reduce the risk of a hazard's effect.

Safety Assurance: the process management functions that evaluate the effectiveness of implemented risk mitigation strategies, support the identification of new hazards, and provide confidence that an organization meets or exceeds its safety objectives through continuous improvement.

Safety Management System (SMS): an integrated collection of processes and procedures that ensures a formalized and proactive approach to safety.

Safety Policy: the statement and documentation adopted by a certificate holder defining its commitment to safety and overall safety vision.

Safety Promotion: the combination of safety culture, training, and communication activities that support the implementation and operation of an SMS.

Safety Risk Management: a formal Five-Step¹ process within the SMS composed of describing the system, identifying the hazards, analyzing, assessing, and mitigating the risk.

Severity: the predicted measure of the results and/or damage of a hazardous condition's potential outcomes.

System: an integrated set of constituent pieces combined in an operational or support environment to meet a defined objective. Elements include people, hardware, software, firmware, information, procedures, facilities, services, and other support facets.

1.4 Glossary

Acronym	Definition
ACM	Airport Certification Manual
AE	Accountable Executive
AOA	Airport Operations Area
CFR	Code of Federal Regulations
FAA	Federal Aviation Administration
IRA	Initial Risk Assessment
ORA	Operational Risk Assessment
RRA	Residual Risk Assessment
SMART	Specific, Measurable, Attainable, Relevant, Time-bound
SME	Subject Matter Expert
SMS	Safety Management System
SRM	Safety Risk Management

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

2.SAFETY POLICY

SNA is committed to the continuous improvement of airport safety and the implementation of SMS. This commitment is exhibited through the adoption of specific activities aimed at:

- Setting the safety standards and policies for the organization
- Encouraging SMS participation
- Allocating resources to support SMS integration
- Facilitating the flow of safety information

The Safety Policy outlines leadership's commitment to safety. It is published on the SNA website (www.OCAIR.com), shared through Safety Awareness Orientation, and included as Appendix A - SAFETY POLICY STATEMENT.

2.1 Safety Organizational Structure

The SNA Safety Organization Structure identifies the positions and offices within the airport that have direct SMS responsibilities as outlined in Section 2.1 Safety Organizational Structure (Figure 2). The Safety Organization Structure is shared through Safety Awareness Orientation.



Figure 2. Safety Organization Structure

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

2.2 Applicability

The Safety Management System (SMS) Manual and its requirements apply to airport, tenant, stakeholder, and County employees, operating within the Aircraft Operating Area (AOA). The Aircraft Operating Area is depicted in the attached Appendix D – AIRCRAFT OPERATIONS AREA.

2.3 Management Commitment

Safety responsibilities are detailed for SMS leadership positions and outlined in Section 3.3 Leadership Actions (Table 1).

Airport Director – Accountable Executive

The Airport Director is the Accountable Executive responsible for the safe operation of the Airport. The Airport Director serves as the ultimate responsible entity for identified hazards, risks, risk acceptance, and corrective action decisions.

Key Safety Responsibilities:

- Approve, endorse, and promote the Safety Policy Statement
- Ensure a Reporting Policy that allows anonymous reporting
- Provide adequate resources to ensure the implementation and management of the SMS
- Provide leadership in addressing safety-related issues
- Promote and encourage a positive safety culture
- Approve safety objectives
- Ensure special investigations and risk assessments are conducted as needed
- Direct and support the Responsible Executive and SMS Manager

Deputy Airport Director, Operations – Responsible Executive

The Deputy Airport Director, Operations is the Responsible Executive and is responsible for the operation and effectiveness of the SMS.

Key Safety Responsibilities:

- Approve, endorse, and promote the Safety Policy Statement
- Ensure suitable, qualified, and competent persons are employed in operational and safety-critical roles
- Provide leadership in addressing safety-related issues
- Promote, encourage, and monitor the safety culture
- Monitor and review safety objectives
- Enable as-needed special investigations and risk assessments

SMS Manager

The SMS Manager is accountable to the Responsible Executive for reporting safety risks identified within the SMS, safety performance of staff assigned to him, guiding and monitoring managers in their safety

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

responsibilities, and monitoring and reporting the effectiveness of the SMS and its processes for continuous safety improvement.

Key Safety Responsibilities:

- Promote the Safety Policy Statement
- Develop and operate the SMS under the direction and approval of the Responsible Executive
- Analyze safety data to identify undesirable trends
- Assist as requested to resolve safety issues with the Airside Operations Manager and other divisions
- Advise managers on safety management, safety issues, safety risk prioritization, and safety risk mitigation
- Develop hazard identification methods, documentation, and Safety Risk Management (SRM) processes
- Monitor safety performance and progress toward the achievement of safety objectives
- Manage safety documentation and record-keeping
- Define roles and responsibilities of SMS staff
- Participate in FAA SRM panels and Safety Assessments as required
- Develop Safety Assurance processes through use of audits, investigations, and analysis
- Develop and provide oversight of safety promotion program
- Guide and develop appropriate SMS education and training for airport staff
- Serve as chair of the SMS Committee

Airside Operations Manager

The Airside Operations Manager is accountable to the Responsible Executive for the safety performance of the personnel and airport operations within their areas of responsibility.

Key Safety Responsibilities:

- Promote the Safety Policy Statement
- Ensure that safety is a priority in all matters pertaining to aviation-related operations
- Encourage the reporting of hazards and incidents
- Implement and maintain the SMS processes and activities described in this Manual as applicable to assigned areas of responsibility
- Develop and implement corrective and preventative actions based on risk assessments
- Communicate with the SMS Manager regarding changes within assigned areas of responsibility that may trigger a risk assessment or review of SMS documentation or procedures
- Promote employee awareness in all matters pertaining to safety
- Ensure employees within assigned areas of responsibility are trained to safely perform their functions

2.4 SMS Committee

The SMS Committee operates at a tactical level and is chaired by the SMS Manager. The SMS Committee panel members are determined as outlined in Section 3.2 Operational Risk Assessment (ORA) Process. The SMS Committee is responsible for:

- Recommending safety objectives and reviewing safety performance
- Conducting and reviewing safety audit findings, serious hazards, or accidents and incidents

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

- Conducting Operational Risk Assessments and voting on risk levels
- Reviewing and proposing safety initiatives, communication, and promotion activities
- Reviewing safety issues involving Airport stakeholders that require coordination
- Making SMS recommendations to the Accountable Executive

The SMS Committee may be comprised of the following voting members:

- Deputy Airport Director, Operations / Responsible Executive
- Airside Operations Manager
- Safety & Loss Control Manager
- Safety Assistant
- Airport Operations Supervisor(s)
- Airport Operations Officers(s)

As needed, technical subject matter experts may join the committee as voting or non-voting members to evaluate specific hazards. The SMS Manager holds the tie-breaking vote, if necessary.

SMS Committee responsibilities cannot be delegated. Only personnel in an official acting capacity may represent an absent committee member. SMS Committee meetings are coordinated by the SMS Manager at least quarterly or may be held more frequently to meet the responsibilities outlined. SMS Committee members are established yearly as part of the Annual SMS Review.

2.5 Safety Objectives

Safety objectives are recommended by the SMS Committee and approved by the Accountable Executive to guide continuous safety improvements. All safety objectives shall be associated with performance indicators, which are used to measure, monitor, and assess the trends toward meeting the defined objectives, verify organizational safety progress, and determine the need for further actions. The safety objectives and procedures for periodic review are identified in Section 4 Safety Assurance and Appendix B - SAFETY OBJECTIVES.

3.SAFETY RISK MANAGEMENT

Aviation operations present inherent hazards and risks. The SNA SMS identifies hazards and communicates risks to leadership. The expectation is that leaders will use mitigation strategies to reduce risks to an acceptable level. If a risk cannot be reduced to an acceptable level, it is expected that risks will escalate, and the appropriate level of leadership will engage as outlined in Section 3.3 Leadership Actions (Table 1). Operations that resulted in unacceptable risk levels will be stopped until mitigations are implemented and/or the risks are accepted by the appropriate authority.

Leadership will determine whether to accept risks. Hazards identified through the Appendix E - SAFETY HAZARD REPORTING FORM as unacceptable must implement mitigation. All risks must be documented as the result of the Operational Risk Assessment (ORA) process and monitored, even if they are deemed acceptable.

Prompt and accurate reporting of hazards and incidents which may compromise the safe and secure conduct of operations is vital to prevent accidents and protect people. Hazard reporting at SNA is free of any form of reprisal and can be done anonymously if the reporter desires. However, reporters are encouraged to provide contact information should questions on the hazard report arise or if the reporter desires hazard report feedback.

3.1 Hazard Identification and Investigation

Hazards may be identified through different avenues, possible triggers include:

Airfield construction	Planning and design of airfield improvements	Activities that may impact aircraft operations	Accidents and incidents	New or proposed standard operating procedures
Introduction of new aircraft class	Unacceptable trends in airport safety objectives	Airfield observations	Implementation of new airfield systems	Changes to air traffic procedures or systems
Deviations from airfield standards	Airside Inspections (i.e. Operations, Maintenance, Safety, Environmental)	Special events	Major safety issue identified (e.g. frequent birdstrikes)	Changes to airside Rules and Regulations

Figure 3. Possible (Non-Exhaustive) Sources of Hazard Identification

Submitted hazard reports will be reviewed and investigated by the SMS Manager within the SNA software system/electronic database, which includes the ability to keep hazard reports confidential as described in Section 4.3 Confidential Hazard Reporting.

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

Any hazard posing an immediate threat to life or property will be promptly communicated to leadership for immediate resolution.

SMS investigations may include interviews, site visits, video and audio recording reviews, or other methods to learn details surrounding the hazard. If a hazard investigation reveals that there is a valid safety concern that the Airport has the responsibility and authority to act upon, it will trigger a risk assessment. If the hazard investigation reveals another entity has the responsibility and authority of a hazard, the SMS Manager will conduct a meeting with the determined risk owner to share details of the hazard report and investigation.

3.2 Operational Risk Assessment (ORA) Process

Hazards that trigger a risk assessment will be reviewed and evaluated by the SMS Committee, unless the SMS Manager determines that specific panel of subject matter experts will be required for proper evaluation. ORAs will follow the Five-Step¹ Safety Risk Management (SRM) evaluation process (Figure 4):

1. Describe the system
2. Identify the hazards
3. Analyze the risk associated with those hazards
4. Assess the risk associated with those hazards
5. Mitigate the risk of identified hazards, when necessary



Figure 4. The Five-Step SRM Process

Step 1: Describe the System

Identify the operating environment in which the hazards will be assessed. The system description serves as the boundary for hazard identification. Operational, procedural, conditional, or physical characteristics are included in the system description.

Step 2: Identify the Hazards

Identify hazards by considering all possible sources of system failure. Depending on the nature and size of the system under consideration, these should include equipment, the operating environment, human factors, operational procedures, maintenance procedures, and external services.

Step 3: Analyze the Risk

For each hazard identified, examine the root cause, existing controls, and the worst credible outcome. The worst credible outcome is the most unfavorable consequence that is realistically possible, based on the system described.

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

Step 4: Assess the Risk

Determine the initial risk assessment (IRA) by comparing the likelihood and severity of the worst credible outcome. This result will align within the SNA Risk Matrix to determine acceptable levels of safety risk. The SNA Risk Matrix, risk definitions, and risk levels are described in Appendix C - SNA RISK MATRIX.

Step 5: Mitigate the Risk

Determine strategies to reduce risk. These efforts may include removing the hazard or implementing alternative strategies to reduce the hazard's risks. If the risk is rated as Critical or High, mitigation strategies must be implemented to lower risk. If the risk is acceptable, mitigation strategies may still be put in place to further reduce or eliminate the risk.

Following the identification of mitigation strategies, a Residual Risk Assessment (RRA) will utilize the SNA Risk Matrix to determine the potential effectiveness of the mitigation and whether the remaining risk aligns with an acceptable level of risk. (If there is no mitigation strategy identified, the IRA and RRA will carry the same risk value.)

The mitigation strategy must be documented and may include:

- Element(s) that contribute to the mitigation strategy
- Implementation phasing of the mitigation strategy elements
- Responsible parties for mitigation strategy elements
- Estimated time to implement each mitigation strategy
- Monitoring of mitigations strategies/controls and their completeness (process described in Section 4.2 Mitigation Monitoring)

ORA results will be recorded in the online software/database Risk Register. Documentation will be maintained for thirty-six consecutive calendar months following the risk assessment and twelve consecutive calendar months after mitigations are completed.

3.3 Leadership Actions

The SNA Risk Matrix aligns with escalating levels of leadership for the responsibility, authority, and accountability of risk and/or mitigation implementation.

Following the ORA, these actions will occur depending on risk levels identified:

Risk Level	Leader	Actions
RRA = None	Airside Operations Manager	1. Accept the risk and approve the mitigation strategy 2. Escalate the risk to the Responsible Executive
RRA = Low	Airside Operations Manager	1. Accept the risk and approve the mitigation strategy 2. Escalate the risk to the Responsible Executive
IRA = Low (w/no-mitigation)	Airside Operations Manager	1. Accept the risk 2. Escalate risk to the Responsible Executive
RRA = Medium	Responsible Executive	1. Accept the risk and approve the mitigation strategy 2. Escalate the risk to the Accountable Executive
IRA = Medium (w/ no mitigation)	Responsible Executive	1. Accept the risk 2. Escalate the risk to the Accountable Executive
RRA = High (mitigation required*)	Responsible Executive	1. Accept the risk and approve mitigation strategy 2. Escalate the risk to the Accountable Executive <i>*Note: This level is only used as an interim risk level while phased mitigation is enacted to lower Critical risk. Additional mitigation strategies are required.</i>
IRA = Critical (mitigation required)	Accountable Executive	1. Acknowledge the risk and accept without mitigation. 2. Approve of SMS Committee mitigation strategies. 3. Provide justification/reason to SMS Committee for reevaluation.

Table 1. Leadership Actions Based on Risk Levels

A leader may choose to escalate a risk because they do not have the authority or resources to support the risk or mitigation strategy. If a risk is escalated, the newly appointed leader can:

1. Accept the risk (and approve the mitigation strategy, if applicable)
2. Escalate the risk to the next leadership level

If an escalated risk reaches the Accountable Executive, he/she may:

1. Acknowledge the risk and accept without mitigation
2. Accept the Risk (and approve of SMS Committee mitigation strategies, if applicable)
3. Provide justification/reason to SMS Committee for reevaluation

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

4.SAFETY ASSURANCE

Safety Assurance aims to ensure that the activities, plans, and actions taken to improve safety are implemented and effective. Safety Assurance evaluates the functionality of the SMS.

4.1 Safety Performance Monitoring

The SMS online software/database will be used to analyze trends in hazard reporting and safety data, which complement the Safety Performance Monitoring Process (Figure 5).

The Operations Division will monitor safety performance during regular inspections in alignment with identified Safety Objectives. Any discrepancies identified in safety performance will result in an updated hazard report. The status and review of implemented controls will be monitored by the SMS Manager using the SMS software. The reviewing process may also include audits or additional inspections. Results will be communicated to the SMS Committee, and whether additional steps are required.

Other sources that are utilized to monitoring safety include, but not limited to:

- Direct communications with the SMS Team/Committee
- Incidents, near misses, citations, violation reports
- Audits and special evaluations
- Data from airport tenants and/or stakeholders

Safety objectives will be monitored by the SMS Manager. Trends will be observed to ensure activities are within a range of acceptable risk. The process for safety performance monitoring:

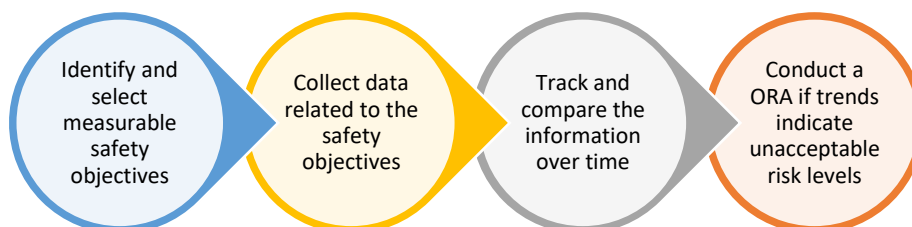


Figure 5. Safety Performance Monitoring Process

Safety objectives will be assessed, reviewed, and updated at the Annual SMS Review, or as necessary to obtain meaningful data and identify trends.

4.2 Mitigation Monitoring

Mitigations will be approved by the appropriate leader (Table 1) and oversight will be assigned to a responsible party as part of the strategy implementation plan. The SMS Manager and/or appropriate SME will determine appropriate time frames to monitor mitigation, as well as the cadence and content for safety assurance activities to evaluate the mitigation effectiveness. In those cases where data indicates mitigations are ineffective, the SMS Manager reverifies the ORA and determines whether the panel should reconvene.

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

4.3 Confidential Hazard Reporting

All employees with AOA privileges may access the electronic confidential hazard reporting portal, which uses the Appendix E – SAFETY HAZARD REPORTING FORM. Information identifying the reporter will be removed from a shared hazard report, unless the report captures intentional or reckless behavior caused by the reporter or the reporter elects to waive anonymity.

The Safety Hazard Reporting Form is accessible and posted in the airport common areas, communicated through recurring stakeholder and tenant meetings, and shared regularly via email. The Safety Hazard Reporting Form is also shared on our internal intranet Safety Page.

Depending on the severity or magnitude of the hazard reported (safety hazards vary in complexity and scale and may require varying time ranges to report the course of action), an initial prompt and automated response will be sent to the reporter through the SNA online software system as the SMS Manager reviews incoming reports.

Follow-up automated updates will be sent to the reporter as mitigations/controls are implemented and during the close-out process once the mitigations have been monitored and deemed effective.

4.4 Inspections and Assessments

Inspections and assessments are proactive means of ensuring continuous safety improvements. Information gathered from these activities shall be used to improve safety processes and potentially identify any additional hazards.

Airfield Self-Inspections

Airfield surface inspections are conducted daily by Airside Operations Officers. These inspections include runways, taxiways, ramps, parking areas, and safety areas in accordance with the Airport Certification Manual (ACM). At the request of the SMS Manager and Airside Operations Manager, Airside Operations Officers will inspect implemented mitigation to ensure the operational effectiveness of the strategy. The results obtained from these daily inspections are recorded and corrective actions are implemented as necessary or documented in a new hazard report.

Annual SMS Review

An Annual SMS Review will evaluate the status of the following SMS initiatives:

- Status of SMS implementation and Part 139 compliance
- Updates to the SMS Manual
- Safety Objectives and performance indicators
- Management responsibilities and accountabilities for safety issues
- Effectiveness of implemented mitigation strategies
- Safety information and data
- Safety communication strategy and methods
- SMS Committee membership

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

The Annual SMS Review shall be chaired by the SMS Manager and include a minimum of the following participants:

- Airport Director/Accountable Executive
- Deputy Airport Director, Operations/Responsible Executive
- Airside Operations Manager

The Annual SMS Review may also include members of the SMS Committee or other relevant subject matter experts.

Safety information will be reported to the Accountable Executive and the Responsible Executive during the SMS Review process. The Accountable Executive and the Responsible Executive have access to the SMS online software/database and can attend all SMS Committee meetings. Hazards that are Critical Risks are sent directly to the Accountable Executive, and High/Medium Risks are sent to the Responsible Executive. (Figure 2 – Safety Organization Structure shows the dotted line relationship to the Accountable Executive and the direct relationship to the Responsible Executive).

5.SAFETY PROMOTION

A positive safety culture is cultivated through training and communication and known as safety promotion. SNA leadership is committed to ensuring staff have appropriate SMS education to complement their safety responsibilities. Communication between operational personnel and management will enable the resolution of safety issues, building upon the practices established within Safety Risk Management and Safety Assurance.

5.1 Training

There are two tiers of SMS training that may be completed: Safety Awareness Orientation and SMS Committee Training. The roles and responsibilities of individuals will dictate the tier of training received. SMS training records will be maintained by the Operations division and retained for twenty-four consecutive calendar months. To complement the two tiers of SMS training provided by SNA, selected SMS support staff may attend additional industry SMS training.

Safety Awareness Orientation

All persons authorized to access the Airport Operations Area (AOA) will complete Safety Awareness Orientation every twenty-four consecutive calendar months. Safety Awareness Orientation will include the following curriculum:

- SNA Safety Policy Statement
- SNA Safety Organization Structure
- Hazard identification
- Hazard reporting process

A record of the Safety Awareness Orientation materials will be retained for twenty-four consecutive calendar months. The Safety Awareness Orientation materials will be reviewed every twenty-four consecutive calendar months (or sooner if necessary) by the SMS Manager. Curriculum updates will be made by the SMS Manager on an as-needed basis.

SMS Committee Training

In addition to Safety Awareness Orientation, all persons serving on the SMS Committee will complete SMS Committee Training every twenty-four consecutive calendar months. This training includes the following curriculum outline:

- Principles of SMS
- SNA Safety Objectives
- SNA Risk Assessments
 - o ORA process
 - o SNA Risk Matrix and leadership alignment
- Safety Promotion strategies, branding, and communication

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

5.2 Communication

The SMS Manager, in coordination with the SMS Committee, will develop and coordinate a communication strategy aimed at promoting safety. Figure 6 depicts concepts for inclusion in the safety communication strategy.



Figure 6. Safety Communication Strategy Concepts

Promotional materials will be created and distributed to communicate critical safety information (e.g., safety performance, reported safety hazard updates, updates to programs/trainings, etc.) provide feedback to the airport community, and disseminate safety lessons learned. These materials will educate staff in their safety roles and responsibilities, inspire hazard reporting, share safety information, and encourage SMS participation.

Examples of promotional and communication tools/material include, but not limited to:

- Communication through recurring stakeholder and safety committee meetings
- Standard Email and Text communications (includes the option for the use of SNA's Everbridge Notification System)
- Material Handouts during the SNA Badging Process
- Notifications distributed from the SNA Safety Hazard Reporting System and online software database
- Postings in common use areas of airport
- SNA Website(s) – External Public Website and Internal County Website

The SMS Manager will maintain records of all safety communications for twelve consecutive calendar months. The safety communication strategy will be reviewed and updated yearly as part of the Annual SMS Review.

JOHN WAYNE AIRPORT (SNA)

SAFETY MANAGEMENT SYSTEM (SMS) MANUAL APPENDICES

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

APPENDIX A – SAFETY POLICY STATEMENT

Safety is the foundation upon which we protect people, passengers, and property. SNA is committed to implementing a Safety Management System (SMS) that establishes a systematic and integrated approach to managing safety.

We all share the responsibility for safety. A thriving safety culture and a safe operating environment can only be achieved when we collaborate. This requires the participation of everyone reporting safety hazards and incidents to prevent injuries and accidents. Reporters can confidently raise safety concerns without fear of reprisal from the Airport.

Our airport community will achieve SMS initiatives as we apply our core values of Respect, Environmental Stewardship, Accountability, Collaboration, and Honesty (R.E.A.C.H.)

Everyone will offer safety-focused Accountability and Collaboration to drive continuous improvement in safety practices and policies. Airport Executive Leadership will support resources and education that enable SMS success. Together, our dedication will continue to cultivate a culture of safety excellence.

Signed by:

A1A526A921AF49F...

Charlene Reynolds
Airport Director
Accountable Executive

DocuSigned by:

C07B1E2A082D426...

Richard Steele
Deputy Airport Director of Operations
Responsible Executive

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

APPENDIX B – SAFETY OBJECTIVES

2025-2026 Preliminary Safety Objectives:

1. Create Foreign Object Debris (FOD) Program in Calendar Year (CY) 2026: Collect and analyze FOD data/weight to establish a baseline metric that may be used for future CY objectives in reducing the annual average weight of FOD. Actions:
 - Increase Participation: Standardized collections/walks amongst stakeholders by establishing quarterly FOD walks and recurring monthly walks conducted by the SNA SMS Manager.
 - Create Incentives: SNA may provide airport handouts or items, such as the SNA Safety Challenge Coin, to those who champion and best support the FOD Program and/or maintain the cleanest ramp(s)/gates.
 - Increase Communication: FOD program efforts, initiatives, findings, and scheduled FOD walks will be communicated during stakeholder/tenant meetings. If a specific company is experiencing increases/repetitive FOD issues, SNA may coordinate with the company's leadership to increase awareness and assist in developing mitigation/control strategies.
2. Create a Safety Inspection Process for Personal Protective Equipment (PPE) use on the ramp in Calendar Year (CY) 2026: The purpose of the PPE inspection is to collect data, analyze findings, and identify gaps in PPE use or missing PPE during ramp tasks. This information may be used for future CY objectives in reducing the annual unsafe use/misuse of PPE. Actions:
 - Standardized Inspection Process: Utilization of the SNA online software/database to inspect and record inspection findings.
 - Increase Awareness: Awareness will be communicated through recurring stakeholder and tenant meetings, findings from the inspection process, and reports concluding the inspection review.

After the initial years of data collection from CY 2026, formal safety objectives will be developed based on hazard data and trend analysis. These safety objectives will be developed using specific, measurable, attainable, relevant, and time-bound (SMART) statements.

APPENDIX C – SNA RISK MATRIX

SNA Risk Matrix							
CONSEQUENCE			SEVERITY	LIKELIHOOD			
People	Facility	Reputation		Improbable Not expected but conceivable during unusual operations or circumstances	Remote Not expected but conceivable during typical operations or circumstances	Probable Reasonably expected during typical operations or circumstances	Frequent Expected to occur during typical operations or circumstances
Fatalities	Unplanned Facility or Surface Closure	Large-Scale National or International Impact	Catastrophic	M7	H12	C14	C16
Serious Injury or Health Effects	Unplanned Closure of Non-Primary Surface or Facility	Considerable National Impact	Major	M6	M9	H13	C15
Minor Injury or Health Effects	Temporary Airport Operation Disruption	Local Community Impact	Minor	L2	M8	M10	M11
First Aid and No Lost Time	Minimum Damage; No Operational Impact	Internal Airport Impact	Minimal	L1	L3	L4	L5

Critical Risk (C14 – C16)

Unacceptable risk. Mitigation must be implemented. Accountable Executive must approve mitigation strategy. Documentation, tracking, monitoring, and management required.

High Risk (H12 – H13)

Maximum acceptable level of risk. Mitigation must be implemented. Responsible Executive must approve mitigation strategy. Documentation, tracking, monitoring, and management required.

Medium Risk (M6 – M11)

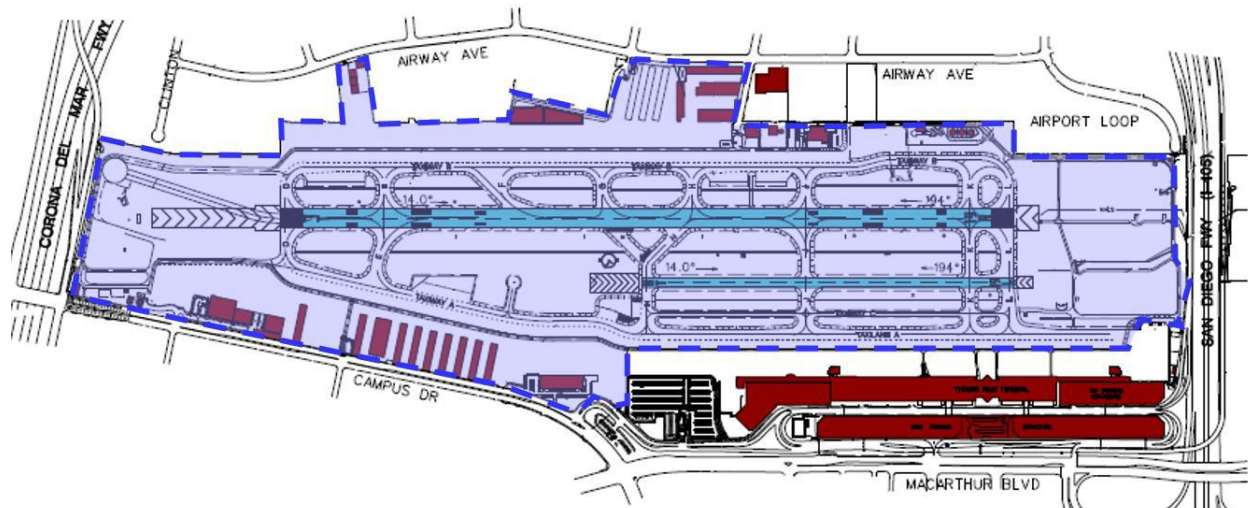
Acceptable level of risk. Mitigation may be implemented. Responsible Executive may approve mitigation strategy. Documentation, tracking, monitoring, and management required.

Low Risk (L1 – L5)

Acceptable without restriction or limitation. Documentation of risk required.

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

APPENDIX D – AIRCRAFT OPERATIONS AREA



WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.

APPENDIX E – SAFETY HAZARD REPORTING FORM

JOHN WAYNE AIRPORT
ORANGE COUNTY



BE AWARE, TAKE CARE

Scan the QR Code to report
potential unsafe conditions.





Immediately call 949.252.5000 to report
emergencies, injuries, hazmat spills,
property damage, and suspicious activity.

JOHN WAYNE AIRPORT
ORANGE COUNTY



Safety Management System

☐ Remain Anonymous

☐ Badge Number

☒ Share my Contact Information

Start Report

WARNING: Unclassified//For Official Use Only (FOUO). FOUO is information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). These systems contain FOUO information that is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public, the media, or other personnel who do not have a valid need to know without prior approval of an authorized John Wayne Airport – Orange County or Orange County Sheriff's Department official. It is intended for only those with a need-to-know due to their operational or business need.