Semtech Corporation

Occupational Health & Safety Management System (OHSMS) Manual

The occupational health & safety management system set forth in this document shall define the scope of the OHSMS implemented at Semtech Corporation headquartered in Camarillo, CA (hereafter referred to as "the organization" or Semtech) and compliance to the standards of ISO 45001:2018 (hereafter referred to as "ISO 45001").

CORPORATE OHSMS MANUAL
Table of Contents

CORPORATE OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM MANUAL 5
1. GENERAL REQUIREMENTS 5
2. HIERARCHY OF DOCUMENTS 5
3. ADJUNCT PROCEDURE, SPECIFICATION OR LOCAL SITE MANUAL 5
4. DEFINITIONS (ACRONYMS AND ABBREVIATIONS) 6
4.1 PLM: Product Lifecycle Management 6
4.2 CEO: Chief Executive Officer 6
4.3 QAM: Quality Assurance Manager 6
4.4 Q&R: Quality and Reliability 6
4.5 APQP: Advanced Product Quality Planning 6
4.6 PPAP: Production Part Approval Process 6
4.7 CAPA: Corrective Action, Preventive Action 6
4.8 CAR: Corrective Action Request 6
4.9 PAR: Preventive Action Request 6
4.10 SCAR: Supplier Corrective Action Request 6
4.11 NA: Not Applicable 6
4.12 NS: Not Scored 6
4.13 QC: Quality Control 6
4.14 HR: Human Resources 6
4.15 LMS: Learning Management System 6
4.16 OFI: Opportunity for Improvement 6
4.17 ORT: On-going Reliability Testing 6
4.18 CMRT: Conflict Mineral Reporting Template 6
4.19 SAR: Supplier Action Request 6
4.20 CR: Customer Request 6
4.21 ECO: Engineering Change Order 6
4.22 MCO: Manufacturing Change Order 6
4.23 AVL: Approved Vendor List 6
4.24 QMS: Quality Management System 6
4.25 CCare: Customer Care Action Request 6
4.26 SFDC: Sales Force Dot Com 6
4.27 ERP: Enterprise Resource Planning 6
4.28 SAP: Systems Applications and Products (in Data Processing) 6
4.29 MRB: Material Review Board 6
4.30 NCMR: Non-Conforming Material Review 7
4.31 CF: Counterfeit / Fraudulent 7
4.32 OCM: Original Contract Manufacturer 7
4.33 OEM: Original Equipment Manufacturer 7

4.34 RMA: Return Material Authorization 7
4.35 COD: Certificate of Destruction 7
4.36 EMS: Environment Management System 7
4.37 DMR: Design Modification Record 7
4.38 PCN: Process or Product Change Notification 7
4.39 EOL: End of Life 7
4.40 RoHS: Restriction on Hazardous Substances 7
4.41 REACH: Registration, Evaluation, Authorization and restriction of Chemicals 7
4.42 WEEE: Waste Electrical and Electronic Equipment 7
4.43 3TGs: Tungsten, Tantalum, Tin and Gold. Metals pertaining to conflict mineral program 7
5. RELATED DOCUMENTS 7
5.1 Updated Documents 8
5.2 External Reference Documents 8
5.2.1 ISO 9001 8
5.2.2 AS 9100 8
5.2.3 ISO 14001 8
5.2.4 IATF 16949 8
5.2.5 OHSMS 45001 8
5.3 Internal Reference Documents 8
5.3.1 SFBN-4MRP6X: Corporate Quality Manual 8
5.3.2 PSAZ-5AFU9J: Change Control Procedure 8
6. CONTEXT OF THE ORGANIZATION (Clause 4) 9
***Understanding Semtech Corporation and its contents* (Clause 4.1)** 9
6.1 Semtech Corporation 9
6.2 Signal Integrity Products 10
6.3 Protection Products 11
6.4 Wireless & Sensing Products 11
6.5 Power & High-Reliability Products 11
6.6 Semtech's Competition 12
6.7 Interested Parties (Clause 4.2) 12
7. SEMTECH KNOWLEDGE 13
8. OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM (Clause 4.4) 14
8.1 Leadership Team Commitment and Responsibilities (Clause 5.1) 14
8.3 Occupational Health & Safety Policy / Leadership Focus (Clause 5.2) 15
8.4 Scope of Management Systems (Clause 4.3) 16
8.5 Occupational Health & Safety Policy (Clause 5.2) 17
8.6 Consultation and Participation (Clause 5.4) 17
8.7 Achieving Semtech's Objectives, Targets and Goals / Planning Focus (Clause 6.2) 18
9. RISK MANAGEMENT / EFFECT OF UNCERTAINTY / PLANNING (Clause 6) 19
9.1 Opportunity Based Risk (Clause 6.1) 20
9.2 Risk Based Threats (Clause 6.1) 20

9.3 Process Methodology 21
10. RISK RATING ASSIGNMENT 23
11. RISK ASSESSMENT PROCESS 25
12. **PLANNING (Clause 6)** 28
12.1 *Aspects and Hazard Identification (Clause 6.1.2.1)* 28
12.2 Identification of Significant Hazards & Aspects (Clause 6.1.2.2) 28
12.3 Assessment of Opportunities and Improvement of OHSMS (Clause 6.1.2.3) 29
12.5 Responsible Functions/Business Unit 30
12.6 *Legal and Other Requirements / Compliance Obligations (Clause 6.1.3)* 30
12.7 Objectives, Targets and Programs / Environmental Objectives 31
13. **IMPLEMENTATION AND OPERATION / SUPPORT & OPERATION (Clause 7 & 8)** 31
13.1 *Resources, Roles, Responsibility and Authority (Clause 7.1)* 31
13.2 Competence, Training and Awareness (Clause 7.2 & 7.3) 32
13.3 *Communication (Internal & External) (Clause 7.4, 7.4.2, 7.4.3)* 32
13.4 *Documented Information (Clause 7.5)* 33
13.5 *Control of Documented Information / Creating and Updating (Clauses 7.5.2 & 7.5.3)* .. 33
13.6 *Operational Planning & Control (Clause 8.1)* 34
13.7 *Emergency Preparedness and Response (Clause 8.2)* 35
14. PERFORMANCE & EVALUATION (Clause 9) 35
14.1 Monitoring and Measurement (Clause 9.1) 35
14.2 *Evaluation of Compliance (Clause 9.1.2)* 36
14.3 Internal Audit (Clause 9.2) 36
14.4 Management Review (Clause 9.3) 36
15. IMPROVEMENT (Clause 10) 37
15.1 Incident, Nonconformity & Corrective Action, Preventive Action (Clause 10.2) 37
15.3 *Control of Records* 38
16. CONTINUAL IMPROVEMENT SEQUENCE & INTERACTION 39
17. PROCESS INTERACTION 40
18. CORRELATION BETWEEN ISO 45001:2018 & OHSAS 18001:2007 41

CORPORATE OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM MANUAL

1. GENERAL REQUIREMENTS

Semtech has created this Occupational Health & Safety Management System Manual to detail how the Occupational Health & Safety Management System (OHSMS) has been established, and how it will be documented, implemented and maintained on all relevant levels of the organization.

2. HIERARCHY OF DOCUMENTS

Unless otherwise specifically agreed to or approved by the Corporate Quality Manager, in the event of any conflict between the provisions of this procedure, forms, guidelines or requirements, the order of precedence is as follows: (i) this Occupational Health & Safety Manual and any Addendum or any Appendices thereto; (ii) and then Semtech Corporate Quality Manual (iii) any regulatory requirement or statute (iv) any applicable approved customer requirement contract or agreement (v) as applicable the ISO, AS, or IATF standard.

3. ADJUNCT PROCEDURE, SPECIFICATION OR LOCAL SITE MANUAL

Typically, no adjunct procedure, or specification is needed or required in place of this manual. If a local site has an established process or site manual exceeding, not circumventing, the guidelines and requirements of this manual then such a site manual may be authorized keeping the guidelines below in mind.

Exception to this corporate manual at the local site level requires a local site manual outlining the exception, approved and controlled within PLM document management system and approved by both the site Quality Manager, site Safety Manager and the Corporate Quality Manager. Furthermore, an exception clause must be inserted within their applicable local Supplemental Occupational Health & Safety Manual if so created.

When an exception is identified, documented, and approved, the Supplemental Occupational Health & Safety Manual shall be identified within the Relationship tab of the relevant Agile PLM workflow.

The Injury, Illness Prevention Plan (IIPP) has been developed site to site and acts as an Addendum to this OHSMS manual identifying critical processes, training requirements, incident investigations and improvement efforts.

4. DEFINITIONS (ACRONYMS AND ABBREVIATIONS)

The terms and acronyms identified below are typical in their use within Semtech's management systems, processes and not solely for the use within this document.

4.1 PLM: Product Lifecycle Management
4.2 CEO: Chief Executive Officer
4.3 QAM: Quality Assurance Manager
4.4 Q&R: Quality and Reliability
4.5 APQP: Advanced Product Quality Planning
4.6 PPAP: Production Part Approval Process
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4.40 RoHS: Restriction on Hazardous Substances
4.41 REACH: Registration, Evaluation, Authorization and restriction of Chemicals
4.42 WEEE: Waste Electrical and Electronic Equipment
4.43 3TGs: Tungsten, Tantalum, Tin and Gold. Metals pertaining to conflict mineral program
4.44 IATF: International Automotive Task force
4.45 SMD: Surface Mount Device
4.46 MSL: Moisture Sensitivity Level
4.47 IMDS: International Material Data System
4.48 RBA: Responsible Business Alliance (formally, EICC)
4.49 RMI: Responsible Minerals Initiative
4.50 RRMI: Responsible Raw Material Initiative
4.51 RLI: Responsible Labor Initiative (formally, EICC Code of Conduct)
4.52 RRA: Risk Readiness Assessment
4.53 RMAP: Responsible Mineral Assessment Process
4.54 CTQ: Critical to Quality
4.55 CTF: Critical to Function
4.56 CTS: Critical to Safety
4.57 ADAS: Advanced Driver Assistance System
4.58 LiDAR: Light Detection and Ranging
4.59 IIPP: Injury Illness Prevention Plan
4.60 OHSMS: Occupational Health Safety Management System

5. RELATED DOCUMENTS

Related documents noted below and throughout this document are applicable to the extent noted herein.

The related documents listed below and referenced throughout this document provide further background information and guidance. Within

such referenced document there may contain listed applicable documents which must also be considered.

5.1 Updated Documents

User is responsible to verify current or applicable revision level within PLM Document Management System prior to use.

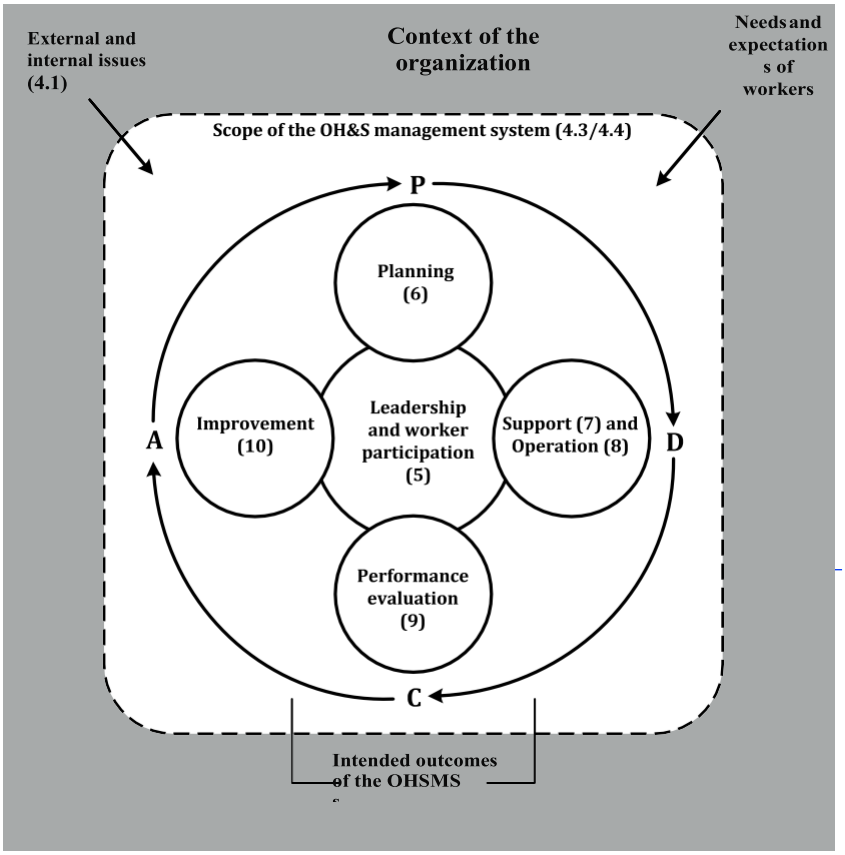
5.2 External Reference Documents

5.2.1 ISO 9001
5.2.2 AS 9100
5.2.3 ISO 14001
5.2.4 IATF 16949
5.2.5 OHSMS 45001

5.3 Internal Reference Documents

5.3.1 SFBN-4MRP6X: Corporate Quality Manual
5.3.2 PSAZ-5AFU9J: Change Control Procedure
5.3.3 KFID-4KWSAP: Control of Quality Records
5.3.4 SEMDOC004964: Risk Management
5.3.5 SEMDOC000586: Injury, Illness Prevention Plan
5.3.6 SEMDOC004924: Confined Space Program

6. CONTEXT OF THE ORGANIZATION (Clause 4)



Note: Numbers listed refer to ISO 45001 Clauses

Each business unit comprising Semtech Corporation acknowledges and adheres to The Plan – Do – Check – Act methodology and the elements of planning, support, operations, performance evaluation and improvement in order to maintain worker safety as well as product superiority in today's business environment.

Understanding Semtech Corporation and its contents **(Clause 4.1)**
Understanding Semtech Corporation and its content impacted by internal and external risks, occupational health and safety concerns are carried through this OHSMS manual from the understanding of Semtech and is various business units, the identification of internal and external risks, the risk assessment process determining its impact and guidelines on monitoring and achieving its goals and targets.

6.1 Semtech Corporation

Semtech Corporation, incorporated on December 19, 1960, is a supplier of high performance analog and mixed-signal semiconductor products, and advanced algorithms for high-end consumers. Semtech Corporation

designs, develops and markets a range of products for commercial applications, which are sold into the enterprise computing, communications, consumer and industrial end-markets. Semtech Corporation's product lines include Signal Integrity, Protection, Wireless and Sensing, and Power and High-Reliability. Applications for the industrial market include video broadcast studio equipment, automated meter reading, smart grid, wireless charging, military and aerospace, medical, security systems, automotive, Internet of Things (IoT), industrial and home automation, video security and surveillance, and other industrial equipment. Enterprise computing end-markets include desktops, notebooks, servers, graphic boards, printers, monitors, datacenter related equipment, passive optical networks, storage networks and computer peripherals. Communications end-market applications include third generation (3G) or fourth generation (4G) or Long Term Evolution (LTE) wireless base stations, long-haul optical networks, carrier networks, switches and routers, cable modems, signal conditioners, wireless local area network (LAN) and other communication infrastructure equipment.

Semtech Corporation is dedicated to improving overall worker health and safety through awareness, training and improvement efforts, consistently identify and control occupational health and safety risks, reduce the potential for incidents, help achieve compliance with health and safety legislation and continually improve program performance.

6.2 Signal Integrity Products

Semtech Corporation designs, develops and markets a portfolio of optical communications, broadcast video, surveillance video, active cable transceiver and backplane products used in a range of enterprise computing, industrial, communications and consumer applications. Its portfolio of integrated circuits (ICs) for optical transceivers, backplane applications and high-speed interfaces ranges from 100 megabits per second (Mbps) to 100 gigabits per second (Gbps). Its security and surveillance products for high-definition closed circuit television (HDcctv) enable upgrade of analog closed circuit television installations to digital HD, using the installed base of coaxial cable (COAX) cabling, and its integrated transmit and receive products enable the HDcctv standards-compliant designs.

Semtech Corporation sells advanced wired communication and ultra-high speed Serializer/Deserializer (SerDes) products for long haul optical transport communication.

6.3 Protection Products

Semtech Corporation designs, develops and markets protection devices, which are referred to as transient voltage suppressors (TVS). Its portfolio of protection solutions include filter and termination devices that are integrated with the TVS device. Its protection products are found in a range of applications, including smart phones, liquid crystal display (LCD) televisions (TVs), set-top boxes, tablets, computers, notebooks, base stations, routers, automobile and industrial instruments.

6.4 Wireless & Sensing Products

Semtech Corporation designs, develops and markets a portfolio of radio frequency products used in a range of industrial, medical and communications applications, and sensing products used in industrial and consumer applications. Its sensing interface platforms can interface to any sensor and output digital data in any form. The proximity sensing capability of its devices enables user interface solutions for mobile and consumer products. Its wireless and sensing products can be found in a range of applications in the industrial, medical and consumer markets.

Semtech's **LoRa** devices and **wireless** radio frequency technology (**LoRa** Technology) is a long range, low power **wireless** platform that has become the de facto technology for Internet of Things (IoT) networks worldwide.

6.5 Power & High-Reliability Products

Semtech Corporation designs, develops and markets power product devices that control, alter, regulate and condition the power within electronic systems. The product types within the power product line include switching voltage regulators, combination switching and linear regulators, smart regulators, charge pumps and wireless charging. Its Power products feature integrated functionality for the communications, industrial and computing markets, and small form factor products for mobile phones, notebook computers, computer peripherals and other consumer devices. The primary application for these products is power regulation for enterprise computing, communications, consumer and industrial systems. Its discrete semiconductor products consist of rectifiers, assemblies (packaged discrete rectifiers) and other products that are used to convert alternating currents into direct currents, and to protect circuits against high voltage spikes or high current surges. Its products are found in a

range of applications, including industrial, military, medical, automotive, aerospace and defense systems, including satellite communications.

6.6 Semtech's Competition

The Company competes with

- STMicroelectronics,
- NXP Semiconductors N.V.,
- ON Semiconductor Corporation,
- Infineon Technologies AG,
- Texas Instruments Incorporated,
- Maxim Integrated Products, Inc.,
- M/A-COM Technology Solutions Holdings, Inc.,
- Inphi Corporation,
- Broadcom Limited,
- Applied MicroCircuits Corporation,
- Linear Technology Corporation,
- Maxim Integrated Products Inc.,
- Microsemi Corporation,
- Monolithic Power Systems,
- Silicon Laboratories,
- Atmel Corporation,
- Analog Devices Inc. and
- Cypress Semiconductor Corp.

Not only does Semtech complete with these companies on multiple business levels, but also on occupational health and safety impact studies and environmental compliance issues between our suppliers, contractors, and visitors to better serve our customers, employees and relevant stakeholders.

6.7 Interested Parties (Clause 4.2)

Semtech Corporation strives to consistently provide product and services that meet our customer and any applicable regulatory requirements. In the context herein Semtech has identified its interested parties and noted their needs and expectations.

- Administration & Workers expect to perform their jobs using safe equipment, sufficient training to do their job safely, be alerted when issues arise, have immediate resource, whether HR or supervisory, to bring attention or ask questions, and work in a safe and secure work environment.
- Sales & Marketing expect timely release of product documents and customer request processing validating environmental compliance within a safe and secure work environment

- Business Unit Management and Engineering expect processing of Non-Conforming Material Requests, and new products timely release to market meeting regulatory environmental requirements within a safe and secure work environment and promote safe working condtions, reducing health risks at our supplier sites
- Quality & Reliability expect timely processing and closure of corrective action request stemming from compliance or safety issues while working within a safe and secure work environment
- Operations group expect complete reliability testing on new products and notification when failures occur in the area of environmental compliance within a safe and secure work environment
- External Customers expect robust and low cost product. Timely response to quality issues, closures on corrective actions, CMRT declarations, environmental analytical reports and request for product information through our RoHS Compliance table or through request while maintaining compliance to all regulatory health and safety regulations.
- Suppliers expect Semtech engineering and quality support to address potential product issues, periodic performance review, and support for customer visits, audits and CMRT validation process while maintaining compliance to all regulatory and Semtech health and safety regulations or requirements.

7. SEMTECH KNOWLEDGE

Semtech Corporation's supervisors and managers shall determine what knowledge and to what level is necessary for the various operation and processes to achieve conformity of products, services and occupational health and safety. This training shall be maintained and be made available to the extent necessary pursuant to 7.1.6 of ISO 9001:2015, ISO 14001:2015, ISO 45001:2018 and IATF 16949. Such training and knowledge may come as a result from several sources such as;

- Source material from customers
- Source material from standards, procedures or specifications
- Education, experience, training
- Regulatory requirements
- Improvement actions pursuant to incident, accident investigations
- Process or Product trends or analysis or
- Process modifications or updates

8. OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM (Clause 4.4)

*8.1 Leadership Team Commitment and Responsibilities (*Clause 5.1)

Semtech's Leadership Team is responsible to identify resource requirements, provide adequate resources and assign trained personnel for management, performance of work and verification activities including monitoring, tracking, measuring performance and continual improvement.

The leadership team can provide evidence of its commitment to the development and implementation of the OHSMS and continually improve its effectiveness by communicating to the company of meeting customer as well as statutory and regulatory requirements, establishing the occupational health & safety policy, ensuring that health & safety objectives are established, conducting management reviews and ensuring adequate resources, and help drive risk reduction at supplier sites involving health and safety.

The President and CEO of Semtech Corporation, along with his leadership team, have taken the responsibility and authority as defined within this manual and other relevant corporate documentation, to empower and designate key personnel. This has been communicated, and continues to be communicated through our employee indoctrination training.

Additionally, Semtech's Leadership team can ensure that customer requirements are determined and are met with the aim of enhancing customer satisfaction, minimizing environmental impact, and ensuring personnel health & safety.

Semtech executes it's health and safety policy through it's Supplier Code of Conduct aimed at reducing risk and managing safe working conditions of our suppliers, visitors, and employees.

Link to Semtech website Code of Conduct;
https://www.semtech.com/uploads/quality/Semtech-Expectation-Code-of-Conduct.pdf

8.2 Organizational Roles, Responsibilities and Authorities (Clause 5.3)

Roles, responsibilities and authorities are defined, documented and communicated in the organizational chart referenced in the Corporate Quality Manual. The Corporate HR Safety Director has been appointed as Semtech OHSMS Management Representative in order to ensure the OHSMS is maintained in accordance with the requirements of ISO 45001. The OHSMS representative shall report to top management on the performance of the OHSMS for review and recommendations for improvement, especially when establishing the inputs into the management review.

8.3 Occupational Health & Safety Policy / Leadership Focus (Clause 5.2)

Semtech's Leadership Team has determined that the following occupational health & safety policy: best expresses their overall intentions and directions for the corporation in its quest for employee health and safety, regulatory compliance, safe working environment and reducing the potential for injury and accidents, including our commitment to meeting and/or exceeding the needs of our employees, visitors and, provides a framework for establishing and reviewing health and safety objectives.

Semtech's Leadership Team reviews this Occupational Health & Safety policy for suitability periodically throughout the year. Whenever the health & safety policy is modified, the change shall be communicated using 'best practice' methods to ensure the policy is understood at appropriate levels in the organization.

Semtech measures the effectiveness of the Occupational Health & Safety Policies through a variety of channels. They include but are not limited to;

- Occupational Health & Safety Key Performance Indicators
- Monitoring and tracking Objectives and Targets
- Monitoring and reviewing Aspect and Hazard listing
- Monitoring and reviewing Significant Aspect listing
- Maintaining ISO 45001 and ISO 14001 certification

8.4 Scope of Management Systems (Clause 4.3)

Semtech Corporation is a global manufacturing company empowering a network of design, manufacturing and test facilities. As these facilities develop and execute their management systems their scope may vary slightly, but the overall intent is to execute pursuant to Semtech's goals and requirements, relevant industry standards, while meeting customer requirements and expectations.

The scope of the OHSMS includes services and activities associated with:

- Semtech Corporate, Semtech Camarillo;

  The Design, Development of Protection Product, Management of Manufacturing and Engineering Processes, the Marketing and Sales of Commercial, Military and Industrial Semiconductor Components, Modules, Assemblies and Associated Products which occur at Semtech's corporate headquarters at 200 Flynn Road, Camarillo, California 93012.

- Semtech Irvine:

  The Manufacture, and Test of Transport and Data Communication High Performance Analog Integrated Circuits and Modules which occur at 5141 California Ave, Suite 150, Irvine, California 92617

- Semtech Colorado, Inc.

  Process development and manufacture of wafer level packaging, die level packaging and package assembly which occur at 1025 Elkton Drive, Colorado Springs, CO 80907

- Semtech San Diego
  The Design of Commercial, Industrial Semiconductor Components and Associated Products which occur at 10301 Meanley Drive, Suite 100, San Diego, California 92131

8.5 Occupational Health & Safety Policy (Clause 5.2)

Management is committed to the safety, health and wellbeing of every employee at Semtech Corporation (the “Company”). It is the Company’s goals to provide a safe and healthful environment for all employees and visitors. In support of this goal, the Company is committed to complying with all legal and other requirements related to operational health and safety and every employee is required to follow guidelines established in our injury and illness Prevention Program and associated Occupational Health & Safety Manual.

Prevention of injuries and occupational illness is consistent with sound management practices and optimum employee relations; hence an aggressive injury and illness prevention effort is a key accountability of every manager, supervisor, and employee. Safety, quality, and productivity go hand-and-hand. Injuries and occupational illnesses result in lost work days, physical disability, pain and suffering, loss of earnings, equipment damage, and poor quality, all of which can directly or indirectly affect productivity and profitability. A formal Injury and Illness Prevention Program, combined with safe working conditions and good housekeeping controls, is an essential tool in achieving maximum productivity, quality, and profit goals for the Company.

There is no place at the Company for an employee who does not work safely or who endangers the safety of fellow workers. It is essential that all managers and supervisors insist on maximum safety performance and awareness from the employees under their direction by enthusiastically and consistently administering all safety rules and regulations.

Each of us has a duty to recognize, report, and act on hazardous situations before they can lead to injury or illness. The cooperation of every employee in detecting and controlling hazards is vital to the effectiveness of the Injury and Illness Prevention Program through our Occupational Health & Safety Management System. Only through working together and commitment to continual improvement can we achieve our goal of a safe and healthy work environment.

8.6 Consultation and Participation (Clause 5.4)

Involvement of workers in the OHSMS and the processes that support it is a key requirement of effective OH&S management as it enables Semtech top management to make informed decisions.

Semtech Corporation shall;

- Provide, in a timely manner, access to clear, understandable and relevant information about the OHSMS through this manual and its relevant IIPP;
- Identify and remove obstacles to participation such as failure to respond to employee suggestions, language or literacy difficulties, policies that discourage employee participation, and minimize those that cannot be removed;
- Encourage consultation with non-managerial employees relating to a range of OH&S issues such as safety walk-thrus, accident investigations
- Encourage the participation of non-managerial employees in a range of OH&S activities and decisions in identifying safety aspects and hazards, improvement recommendations

Semtech's functional groups determine the best way of ensuring effective consultation and participation and whether it needs to set up formal mechanisms such as health and safety committees. While consultation is about seeking workers' views, and considering them, before making a decision, participation is about joint decision-making, e.g. jointly undertaking a risk assessment and agreeing actions or being involved in deciding Semtech's OHSMS policy and objectives.

8.7 Achieving Semtech's Objectives, Targets and Goals / Planning Focus (Clause 6.2)

8.7.1 Minimize the number of job accidents by;

- Awareness training on Occupational Health and Safety
- Corrective measures from complete accident investigations
- Identifying hazards and risk areas and allowing personnel to be aware of them through postings, and safety briefings
- Listing goals and targets for reduction efforts
- Monitoring and measuring reduction efforts
- Taking action when necessary such as creating Preventive Action or Continuous Improvement Projects in PLM to ensure focus on this goal

8.7.2 Sustained certification to ISO 45001

- Following up on certification findings and opportunities for improvement

8.7.3 Understanding and complying with customer, legal and other requirements by;

- Using 'flow down' process when customer submits their health and safety requirements, Semtech will flow down this information to our suppliers

- Conduct yearly legal review of regulatory and stator requirements updating our processes as needed
- Conduct occupational health and safety internal audits and include an element of health and safety compliance in areas of audit.
- Updating our awareness training presentation and ensuring Semtech HR issues the presentations to our new hires as well and recurring training to Semtech personnel

8.7.4 OHS Target

- The target is to have < 5 days lost due to accidents through all departments.

9. RISK MANAGEMENT / EFFECT OF UNCERTAINTY / PLANNING (Clause 6)

The business of Semtech Corporation involves risk, the effects of uncertainty whether positive or negative. Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood of impact to the environment or safety measures and controls.

In order for Semtech to be successful Semtech acknowledges that it must consciously take risks where the potential and probability of positive return is high and eliminate or minimize risks that can only detract from success in minimizing environmental impact or eliminating health & safety threats to personnel.

Semtech Corporation carries out its business in an environment that is not totally predictable. Semtech's employees, managers, and leadership team make decisions and take actions where the results are uncertain and where the effects of decisions and actions taken by others or of natural events cannot be fully anticipated.

In order to obtain excellent results, Semtech Corporation must be successful in managing its risks and in managing and minimizing the damage associated with "threat based risks" and reducing the potential occupational health or safety concerns.

Semtech Corporation has taken action to identify uncertain events and to take action to maximize the contribution of opportunities and to minimize the detriment of dangers to personnel and impact to the environment. This supports the long term profitable growth in an uncertain business environment meeting environmental regulatory and statutory requirements

reducing impact to the environment creating a safe and healthy work environment for personnel, contractors and visitors.

Where risk management seeks to understand what might go badly in a business decision or business plan, risks associated with opportunity based risk looks for what might go better.[3]

9.1 Opportunity Based Risk (Clause 6.1)

To maximize the positive contributions of opportinity based risk, Semtech Corporation will continuously identify opportunities, set goals, anticipate future change and plan actions to realize opportunities and goals according to the Annual Business Plan, Health & Safety goals and targets, MITs program, management reviews and Performance Evaluations.

Opportunities may arise at any time. The decision to act or not to act on an opportunity should be informed by the relative probabilities of favorable or unfavorable outcomes and by the confidence of associated output.

Some important risk factors are the potential effects of a change in marketing analysis, competition, regulatory requirements, environmental conditions, heal & safety conditions, public relations impact, infrastructure, inaction and cost or return on investment or implementation of control measures.

9.2 Risk Based Threats (Clause 6.1)

Risk based threats can arise from the business environment, from the physical environment, from the human environment and from historical events or from unanticipated future events, public perception or environmental impact.

To minimize the negative effects of threats, Semtech Corporation will identify these types of risks and will evaluate on a regular basis their potential impact and the probability of their occurrence.

Semtech Corporation will take positive steps to determine the source of such risk and will take all reasonable actions to minimize or eliminate the root cause, minimize the potential losses, eliminate safety issues, minimize environmental impact or to compensate for them.

Where no action makes business sense, Semtech Corporation will bear the risk with continuous prudent intelligence to ensure that timely action is taken to minimize exposure to threats associated with such risk.

9.3 Process Methodology

Risk management can be described as the process of proactively working with stakeholders to minimize the risks and maximize the opportunity associated with good management decisions.[5] Risks are about the possibility of an adverse consequence.[6]

Good risk management relies on adaptability in response to change.[7] Risk management ensures that Semtech Corporation identifies and understands the risks to which it is exposed.

Semtech Corporation continuously face environments in which uncertainty is constantly challenging the existing ways of doing business and the way that risk needs to be managed. However, the upside to risk, that is often overlooked, is that the feared uncertain event could have a desired outcome. This is a positive risk or opportunity and needs to be managed to ensure a good result. Having a clear understanding of all risks allows Semtech to measure and prioritize them and take the appropriate actions to minimize environmental impacts, eliminate safety hazards and reduce business losses.[9]

Opportunity management is the process that converts the chance to decisiveness and is increasingly becoming embedded in the culture of Semtech organizational groups as they mature and broaden their understanding of the value that managing uncertainty can bring.

Semtech Corporation acknowledges that in order for positive risk or opportunity management to be effective in creating or protecting value, the environment, personnel, contractors or visitors it has become an integral part of the management processes, and embedded in the culture and practices throughout Semtech.

9.3.1 Opportunity Risk – Internal

Semtech Corporation has listed some internal elements associated with opportunity risk which include;

- Customer
- Marketing
- Quality
- Business Units
- Finance
- Investor Relations
- Human Resources
- Legal

- Design
- Operations
- Information Technology & Security
- Sales

9.3.2 Risk Impact and Probability

Semtech Corporation has identified key risks and assigned a method of impact – probability rating to each. Refer to External Risk – Risk Impact / Probability Chart

9.3.3 External Risk

Semtech Corporation has identified several external risk factors impacting the corporation and business. These factors include;

- Technology
- Market
- Competition
- Customer
- Material Sourcing Vendor
- Supplier Sourcing Backup
- Supplier Resources
- Supplier Certification
- Semtech Certification
- Business Performance
- Business Cycle
- ASP
- Business Interruptions
- Product Liability
- Product Inventory & Lifecycle
- Cost of Product Compliance
- Risk to IP
- Foreign Currency Market
- Increase Tax Liability
- Industry Consolidation
- Distributor Termination
- Product Environmental and Conflict Minerals Compliance
- Global Health Crisis such as Coronavirus, SARs, Influenza,…

10. RISK RATING ASSIGNMENT

Semtech Corporation assigned ratings to each element of the risk based on experience, training, and input from stakeholders.

Impact Probability chart and process assigns a rating to Impact, Probability, Detectability then through a simple calculation

- ***Impact X Probability***
  Detectability

10.1 Ratings Definitions

Ratings assigned are based on the calculation noted in the table referenced above. Ratings levels span;

- 1; Trivial
- 2; Tolerable
- 3; Moderate
- 4; Substantial
- 5; Intolerable

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10.2 External Risk – Risk Impact / Probability Chart

The chart identifies the risk impact and probability associated with various external risks. Refer to Semtech's Aspects / Impacts / Significant Aspect listings for risk assignments associated with specific environmental or health & safety conditions.

The impact and probability assignment were determined by Semtech's management team and are reviewed annually. Last review: April 2019.

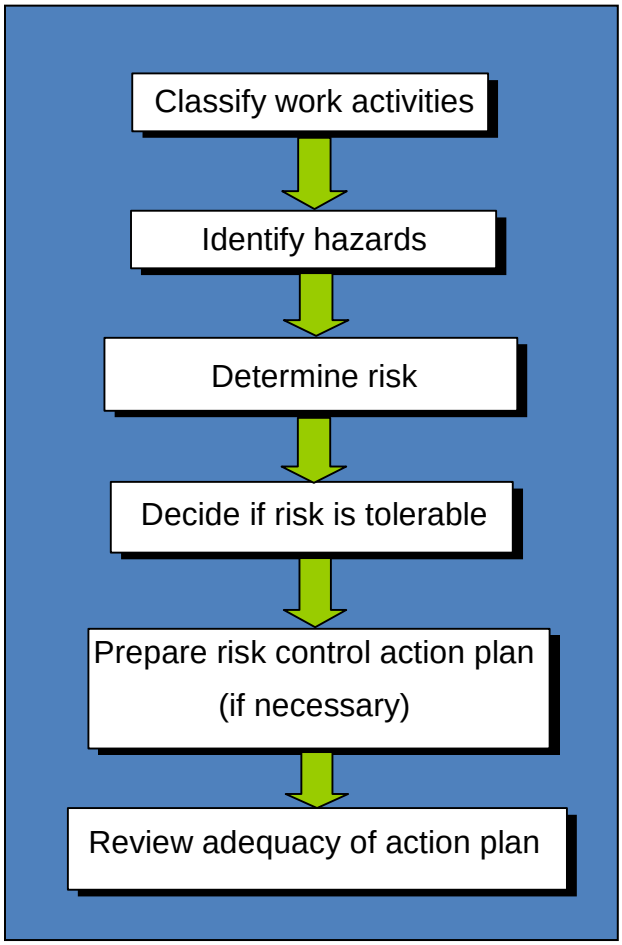
http://media.corporate-ir.net/media_files/IROL/99/99862/ar2018/assets/pdf/Semtech_2018_10KAR.pdf

Context Issues	Impact (1-5)	Probability (1-5)	Detectability (1-5)	Impact X Probability ÷ Detectability
Technology	**3**	**4**	**4**	**3**
Market	**5**	**4**	**5**	**4**
Competition	**4**	**4**	**4**	**4**
Customer	**5**	**3**	**5**	**3**
Material Sourcing; Vendor	**4**	**3**	**5**	**2.4**

Supplier Sourcing: Back-up	**3**	**3**	**5**	**1.8**
Supplier Resources	**3**	**4**	**4**	**3**
Supplier Certification	**2**	**2**	**3**	**1.33**
Semtech Certification	**2**	**1**	**2**	**1**
Reduced Business Performance	**5**	**2**	**4**	**2.5**
Reduced Business Cycle	**3**	**2**	**3**	**2**
Reduced ASP	**4**	**3**	**4**	**3**
Business Interruptions	**5**	**4**	**5**	**4**
Product Liability & Ins.	**4**	**3**	**3**	**4**
Obso. Inventory & Product Lifecycle changes	**3**	**3**	**4**	**2.25**
Cost of Product Compliance to Ind. Stnds.	**3**	**4**	**4**	**3**
Risk to IP	**4**	**2**	**4**	**2**
Foreign currency market	**4**	**2**	**3**	**2.6**
Increase Tax Liability	**4**	**3**	**3**	**4**
Industry Consolidation	**5**	**3**	**3**	**5**
Distributor risk of term.	**4**	**2**	**4**	**2**
Product Environmental compliance & conflict mtls	**4**	**1**	**4**	**1**
Global Health Crisis	**4**	**3**	**3**	**4**

11. RISK ASSESSMENT PROCESS

To establish a process for risk assessment and identifying hazards, Semtech Corporation has established this basic flow to help identify elements within the assessment process.



11.1 Classify Work Activities

To enable this process, identifying work activities can include;

- Geographical locations within or outside a company's premises
- Stages within a production process or within the provisions of a service
- Planned or reactive work or
- Define tasks such as Global Health Crisis

11.2 Identify Hazards

To help identify Hazards and risks, Semtech's CFT have categorized hazards and risks as either;

- Mechanical
- Electrical
- Radiation
- Substances
- Fire and explosion

11.3 Hazards and risks associated with Work Activities

- Slips or falls
- Falls from heights
- Fall from ladder
- Falls from tools, materials from heights
- Inadequate headroom
- Hazards associated with manual lifting or handling of tools, materials..etc.
- Hazard associated with confined space
- Hazards from machinery associated with assembly, operation, maintenance, modification, or repair
- Vehicle hazards covering site transport or travelling by road
- Fire and explosion
- Violence to staff
- Substances that maybe inhaled
- Substances or agents that could damage the eye
- Substances that could cause damage to sking through contact or being absorbed through the skin
- Substances that could cause harm by being ingested
- Exposure to harmful energies such as electricity, radiation, vibration, or noise
- Contractors' activities
- Sudden illness brought on by work or contagent through contact or exposure

11.4 Determine Risk

Risk from a hazard should be determined by estimating the potential severity of harm and the likelihood that such harm will occur. Refer to SEMTECH 001.

11.5 Decide if Risk is tolerable

One simple method for deciding whether risks are tolerable. Risks are classified according to their estimated likelihood of their potential severity of harm

RISK	Slightly Harmful	Harmful	Extremely Harmful
Highly Unlikely	**TRIVIAL**	**TOLERABLE**	**MODERATE**
Unlikely	**TOLERABLE**	**MODERATE**	**SUBSTANTIAL**
Likely	**MODERATE**	**SUBSTANTIAL**	**INTOLERABLE**

11.6 Prepare Risk Control Action Plan (procedure) if necessary

The Risk categories described form the basis for deciding whether improved controls re required and the timescale for such action.

The outcome of a risk assessment should be an inventory of actions prioritized to create, maintain or improve controls.

RATING	RISK	ACTION
1	**Trivial**	No action is required and no documentation records need to be kept
2	**Tolerable**	No additional controls are required. Monitoring is required to ensure that the controls are maintained.
3	**Moderate**	Efforts should be made to reduce the risk, but the costs of prevention should be carefully measured and limited. Risk reduction measures should be implemented within a defined time period.
4	**Substantial**	Risk mitigation efforts must be considered. Considerable resources may have to be allocated to reduce the risk. Where the risk involves work in progress, urgent action should be taken.
5	**Intolerable**	Risk mitigation efforts must be in place and monitored until the risk has been reduced. Action plans, goals and targets will need to be reassessed, revised or replaced to reduce the risk.

11.7 Review Adequacy of Action Plan / Procedure

When the action plan or procedure is necessary it is created, or modified it should be reviewed by relevant stakeholders to ensure adequate measures are in place to bring risk level to a tolerable state.

11.8 Creating or Modifying Control Measures

Risk Assessment should be viewed as a continuing process. The adequacy of control measures should be subject to continual review and revised when necessary.

Reference Documents

Corporate Ouality Document; SEMDOC004964,	Risk Management Program

12. **PLANNING (Clause 6)**

12.1 ***Aspects and Hazard Identification (Clause 6.1.2.1)***

Semtech is committed to minimizing its environmental, health and safety impacts and does so by screening probable environmental & safety aspects, identifying significant environmental & safety impacts and setting forth environmental & safety objectives. Semtech incorporates its environmental management programs together with the occupational health & safety management programs.

12.2 Identification of Significant Hazards & Aspects (Clause 6.1.2.2)

Semtech has developed procedures for screening probable and identifying significant health and safety aspects.

Three times a year the Safety committee convenes with each department to review health and safety potentials and identify probable safety aspects. Once probable safety aspects are identified, each item is scored according to the criteria set and defined in Identifying Aspects and Impacts procedure (SEMDOC000583).

Identified significant safety aspects are then ranked and documented on the Significant Aspects List noting each department responsible / contributing to the identified safety impact.

Management together with Environmental Management Representative discusses each significant aspect and devises health & safety programs aiming at ameliorating health & safety impacts.

Each occupational health & safety management program is measurable and monitored on quarterly basis on SEMTECH006, KPI & Scorecard, with the

exception of legal compliance which is measured on yearly basis (Legal and Other Requirements, SEMTECH003).

12.3 Assessment of Opportunities and Improvement of OHSMS (Clause 6.1.2.3)

Semtech has implemented and maintain processes to assess its occupational health and safety opportunities through its internal ausit process, safety committee reviews, hazards and aspect listings, legal reviews, and through scoring and monitoring processes.

These processes help asses the performance or Semtech's OHSMS taking into consideration changes to business structure, policies and related activities such as;

- Hazards and risks when planning and designing development processes, site infrastructure, equipment, and associated materials;

- Modification of working processes including the alleviation of monotonous and repetitive work;
- Introduction of new technology to ameliorate high-risk activities;
- Collaborating in forums that focus on issues relating to occupational health and safety.
- Introduction of job safety analysis and task-related assessments;
- Implementation of permit-to-work processes;
- Implementation of ergonomic and other injury prevention-related assessments;
- Improvement of the occupational health and safety culture wthin Semtech;

12.4 Semtech views the following as opportunities to improve the OHSMS to include;

- Enhancing the visibility of top management's support for the OHSMS;
- Improving employees consultation and participation in health and safety decision making;
- Enhancing the incident investigation process;
- Improving two-way communication on health and safety issues and promoting occupational health and safety in the work place;
- Expediting corrective actions to address health and safety nonconformities;
- Improving competency in identifying hazards, dealing with health and safety risks and implementing appropriate controls;
- Adopting a risk assessment approach to conducting OHSMS audits;

- Viewing employees at all levels as a key resource;
- Ensuring that the management review promotes a strategic and critical evaluation of the OHSMS.

12.5 Responsible Functions/Business Unit

All managers together with Environmental Management Representative are responsible for insuring the effectiveness of this OHSMS element by developing an aspect and impact listing, monitoring, tracking and rating the impact of such aspects and assigning a risk probability assessment. Measuring effectiveness is determined if Semtech meets or exceeds its annual Objectives and Targets.

Semtech combines its OHSMS Objectives and Targets with its EMS Objectives and Targets, Semtech004.

Reference Documents

Corporate EH&S Document; SEMDOC000583,	Identifying Environmental Aspects and Impacts
Corporate EH&S Document; SEMTECH-001 • SEMTECH-0001 Irvine	Environmental Aspects Screening and Significance Form
Corporate EH&S Document; SEMTECH-002 • SEMTECH-0002 Irvine	Significant Environmental Aspects List
Corporate EH&S Document: SEMTECH-004 • SEMTECH-004 Irvine	Semtech Objectives and Target
Corporate EH&S Document: SEMTECH-006	Objectives Programs & Scorecard
Corporate Quality Document SEMDOC004964;	Risk Management Program

12.6 *Legal and Other Requirements / Compliance Obligations (Clause 6.1.3)*

Semtech identifies and maintains a registry of all legal and other requirements. Legal requirements include federal, state and local requirements along with customer and Semtech defined requirements.

Legal and other requirements are reviewed on yearly basis to assess Semtech compliance. Legal requirements are reviewed keeping the organization's environmental, health & safety aspects in mind.

All legal and other requirements identified are taken into the consideration in establishing, implementing and maintaining the organization's OHSMS.

Reference Documents

Corporate EH&S Document; SEMDOC000584	Environmental Compliance Legal Requirements Review
Corporate EH&S Document; SEMTECH-003 • SEMTECH-003 Irvine	Legal and Other Requirements Review – FORM

12.7 Objectives, Targets and Programs / Environmental Objectives

Semtech has established, implemented and shall maintain a program to document the health & safety objectives and targets on the Semtech EMS and OH&S Objectives and Targets list, Semtech004. The objectives and targets shall be measurable and consistent with the policies covering environmental and occupational health & safety. The objectives and targets shall also take into account the significant aspects and hazards identification of Semtech, technological options, financial, operational and business requirements and the views of interested parties.

The objects and targets list shall include the departments responsible for achieving the specific objective and/or target. This list and the status of the objectives shall be reviewed during the management review and revised accordingly.

Reference Documents

Corporate EH&S Document; SEMTECH – 004 • SEMTECH-004 Irvine	Semtech Objectives and Target

13. IMPLEMENTATION AND OPERATION / SUPPORT & OPERATION (Clause 7 & 8)

13.1 *Resources, Roles, Responsibility and Authority (Clause 7.1)*

Semtech has made available resources such as human resources, organizational infrastructure, technology and financial resources to establish, implement, maintain and improve the OHSMS.

Roles, responsibilities and authorities are defined, documented and communicated in the organizational chart referenced in the Corporate Quality Manual. Furthermore the Corporate Safety Officer has been appointed as Occupational Health & Safety officer.

Semtech Safety Officer will ensure the OHSMS is maintained in accordance with the requirements of ISO 45001. The Safety Officer shall report to top management on the performance of the OHSMS for review and recommendations for improvement, especially when establishing the inputs into the management review.

13.2 Competence, Training and Awareness (Clause 7.2 & 7.3)

Semtech has identified its training needs associated with its health & safety aspects and OHSMS in the Corporate General Training Procedure (KFID-4JCPZD) referenced in the Corporate Quality Manual. The organization provides training and keeps associated records and they are referenced in the Corporate Quality Manual.

Reference Documents

Corporate Document; KFID-4JCPZD	Corporate General Training Procedure

13.3 *Communication (Internal & External) (Clause 7.4, 7.4.2, 7.4.3)*

Internal Communication, as defined within ISO 9001, and ISO 45001 have been accepted and adopted by Semtech to ensure that appropriate communication processes are established and that such communication takes place regarding the effectiveness of the QMS and OHSMS. This is also further elaborated on in the Corporate Quality Manual.

Semtech provides information about its health & safety aspects and impacts upon request. However, Semtech may choose not to share the details about its health & safety impacts and aspects if it deems the inquiry is unjustified.

Semtech will not communicate its significant health & safety aspects to potential clients unless it is specifically required as part of a job bid, even then top management will make the final decision on whether or not to communicate the organization's significant aspects.

Semtech's Customer Request process is the controlling media whereby customers can request health & safety compliance data, submit compliance surveys, or request compliance review of their documents and requirements.

Through this process, Semtech's quality team gathers all supporting documents, completes surveys and prepares responses which are forwarded back to the customer.

Reference Documents

Corporate Quality Document; SEMDOC000724	Corporate Customer Request Procedure

13.4 *Documented Information (Clause 7.5)*

Per the requirements of ISO 45001 standard, the organization has documented several aspects of the OHSMS. The health & safety policy is documented in this supplemented OHSMS Manual and is posted at various onsite locations. The objectives and targets are documented on the Semtech Objectives and Targets form. A description of the scope of Semtech's occupational health & safety management system is documented within this OHSMS Manual.

A description of the main elements of the OHSMS with its IIPP is the main purpose of the documentation contained herein the OHSMS Manual. Documents and records required by ISO 45001 and also the documents and records that are necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects are identified as Environmental Health and Safety documents and kept within PLM, Product Lifecycle Management system.

The interaction of key processes including both ISO 9001, ISO 45001 and ISO 14001 are documented in the Corporate Quality Manual as well as refererncd throughout this OHSMS Manual.

13.5 *Control of Documented Information / Creating and Updating (Clauses 7.5.2 & 7.5.3)*

Section 1.5 of Semtech Corporate Quality Manual, Control of Documents, defines procedures in place for proper document control. This procedure addresses what is necessary for approving documents prior to use, reviewing and updating documents as necessary, re-approving documents, ensuring the changes and the current revision status of status of documents are identified, ensuring that relevant versions of applicable documents are available at points of use, ensuring the document remain legible and readily identifiable, ensuring that documents of external origin determined by the organization to be necessary for the planning and operation of the OHSMS are identified and their distribution control and for preventing the unintended

use of obsolete documents and apply suitable identification to them if they are retained for any purpose.

Reference Documents

Corporate Document; PSAZ-5AFU9J	Corporate Change Control
Corporate Document; PSAZ-5AFNKG	Corporate Document Control

13.6 *Operational Planning & Control (Clause 8.1)*

Operational planning and controls are methods, systems, processes, and equipment that safeguard the environment. These can be special containers, containment or isolation arrangements, alarms and automatic shutdown mechanisms, communication requirements, instructions and procedures, training programs, etc.

Semtech has identified and planned those operations that are associated with the identified significant aspects consistent with the safety policy and the objectives and targets to ensure they are carried out under specified conditions. Semtech Significant Aspect List (FORM SEMTECH-002 lists significant aspects and identifies departments responsible for control methods for minimize the impact of the aspects.

Additionally, Semtech's conflict mineral program ensures its supply chain is monitored for compliance to RBA / RMI, customer and Semtech's requirements ensuring Tantalum, Tungsten, Tin and Gold metals are not procured or smeltered in conflict areas pursuant to the Dodd-Frank Ack of 2010 or mined using child or forced labor practices in conditions which violate human rights.

Reference Documents

Corporate EH&S Document; SEMTECH-002 • SEMTECH-002 Irvine	Significant Environmental Aspect List
Corporate EH&S Document; KFID-4N8SER	Semtech Hazardous Communication Procedure
Corporate EH&S Document; KFID-4K8LX9	Hazardous Waste Handling
Corporate EH&S Document; SEMDOC000660	Evaluating Vendors Affecting Environmental Aspects
Corporate EHS & Quality Document; SEMDOC004924	Corporate Confined Space Policy & Program
Corporate Quality Document; SEMDOC004328	Conflict Mineral: Semtech's Policy, Program and Expectations

13.7 *Emergency Preparedness and Response (Clause 8.2)*

Semtech is committed to safety and health of all of its employees. The organization has defined corporate safety policy in Corporate Illness and Injury Prevention Program (IIPP) and this includes procedure that outlines different emergency procedures. IIPP contains procedures for the following emergency and safety procedures:

- Emergency Procedures
- Enforcement and Disciplinary Policies and Procedures
- Health and Safety Training Program
- Accident Reporting and Investigation
- Hazard Abatement

Reference Documents

Corporate EH&S Document; SEMDOC000586	Semtech Injury & Illness Prevention Plan
TDC EH&S Document; HR-01-101	Semtech Irvine Injury & Illness Prevention Plan
Corporate EH&S Document: KFID-4N8SER	Semtech Hazardous Communications Procedure

14. PERFORMANCE & EVALUATION (Clause 9)

14.1 Monitoring and Measurement (Clause 9.1)

Semtech is in compliance with monitoring and measurement requirements as stated in both ISO 9001 and ISO 45001. All measurement and monitoring of health & safety objectives programs are documented in Semtech Objectives Programs Scorecard and conducted according to Semtech EH&S Monitoring and Measurement procedure (SEMDOC000731).

In line with its QMS and EH&S policies, the organization will work with its direct suppliers to assist in obtaining and maintaining their management systems to the requirements of both ISO 9001 and ISO 14001 and if applicable ISO 45001.

Reference Documents

Corporate EH&S Document; SEMDOC000731	Semtech EH&S Monitoring and Measurement
Corporate EH&S Document; SEMTECH-006 • SEMTECH-006 Irvine	Semtech EH&S Objectives Programs Scorecard

14.2 *Evaluation of Compliance (Clause 9.1.2)*

Semtech has created procedures for legal and other requirements review and internal auditing. Legal and other requirements review is noted in section 12.4 of this OHSMS Manual. Internal Auditing is referenced in 14.3 of this OHSMS Manual and further detailed in the Corporate Quality Manual section 21.2.

Reference Documents

Corporate EH&S Document; SEMDOC000584	Environmental & Hazard Compliance Legal Requirements Review
Corporate EH&S Document; SEMTECH-003 • SEMTECH-003 Irvine	Legal and Other Requirements Review – FORM
Corporate Document; KFID-4L3S3E	Corporate Internal Audit Program

14.3 Internal Audit (Clause 9.2)

Semtech has created a procedure for performing internal audit of the OHSMS at planned intervals to determine whether the OHSMS conforms to the planned arrangements of ISO 45001. Corporate Quality Manual section 21.2 outlines Internal Auditing Policies and Procedures.

It is the responsibility of the environmental representative to plan and conduct OHSMS internal audits as well as report results to the management and retain records. The environmental representative shall ensure objectivity and impartiality when selecting auditor for the internal audit if necessary.

Reference Documents

Corporate Document; KFID-4L3S3E	Corporate Internal Audit Program

14.4 Management Review (Clause 9.3)

Top Management reviews the organization's OHSMS as part of its regular annual business management system meetings. Management meetings are further defined in the Corporate Quality Manual. Corporate Management Review outlines inputs, outputs and documentation of business management system meetings.

Management reviews can be further defined by the business unit management team based on business and operational needs whereby extending the review cycle to a less frequent period.

Reference Documents

Corporate Document; SFBN-4MFN3G	Corporate Management Review

15. IMPROVEMENT (Clause 10)

15.1 Incident, Nonconformity & Corrective Action, Preventive Action (Clause 10.2)

Semtech has in place procedures for corrective and prevention actions, continuous improvement as required by ISO 9001 and ISO 45001. Corrective Action Request System as described in detail in section 22 of the Corporate Quality Manual and encompasses both requirements of ISO 9001 and ISO 45001.

Forms and reports noted within the Injury, Illness Prevention Plan (IIPP, SEMDOC-000586) have sections dedicated for referencing CAPA reports.

Prevention Action System is described in detail in section 23 of the Corporate Quality Manual and encompasses requirements of both ISO 9001 and ISO 45001.

Actions are taken accordingly to the magnitude of the health & safety impacts that are encountered as a result of noncompliance and necessary changes, if any, will be made to the OHSMS.

15.2 Continual Improvement (Clause 10.3)

Semtech Corporation embarks upon a model of continuous improvement. Such actions are clearly noted throughout our business processes.

Continuous Improvement is part of Semtech's quality system as a proactive measure to improve efficiency, reduce costs, reduce environmental impact, minimize helth & safety impact and enhance product and services

Continuous Improvement is described in detail in section 11 of the Corporate Corrective Action, Preventive Action & Continuous Improvement procedure.

The continuous improvement process enables any one to plan, document and execute such a plan or project.

Reference Documents

Corporate Document; PSAZ-5AMMXS	Corrective Action, Preventive Action and Continuous Improvement

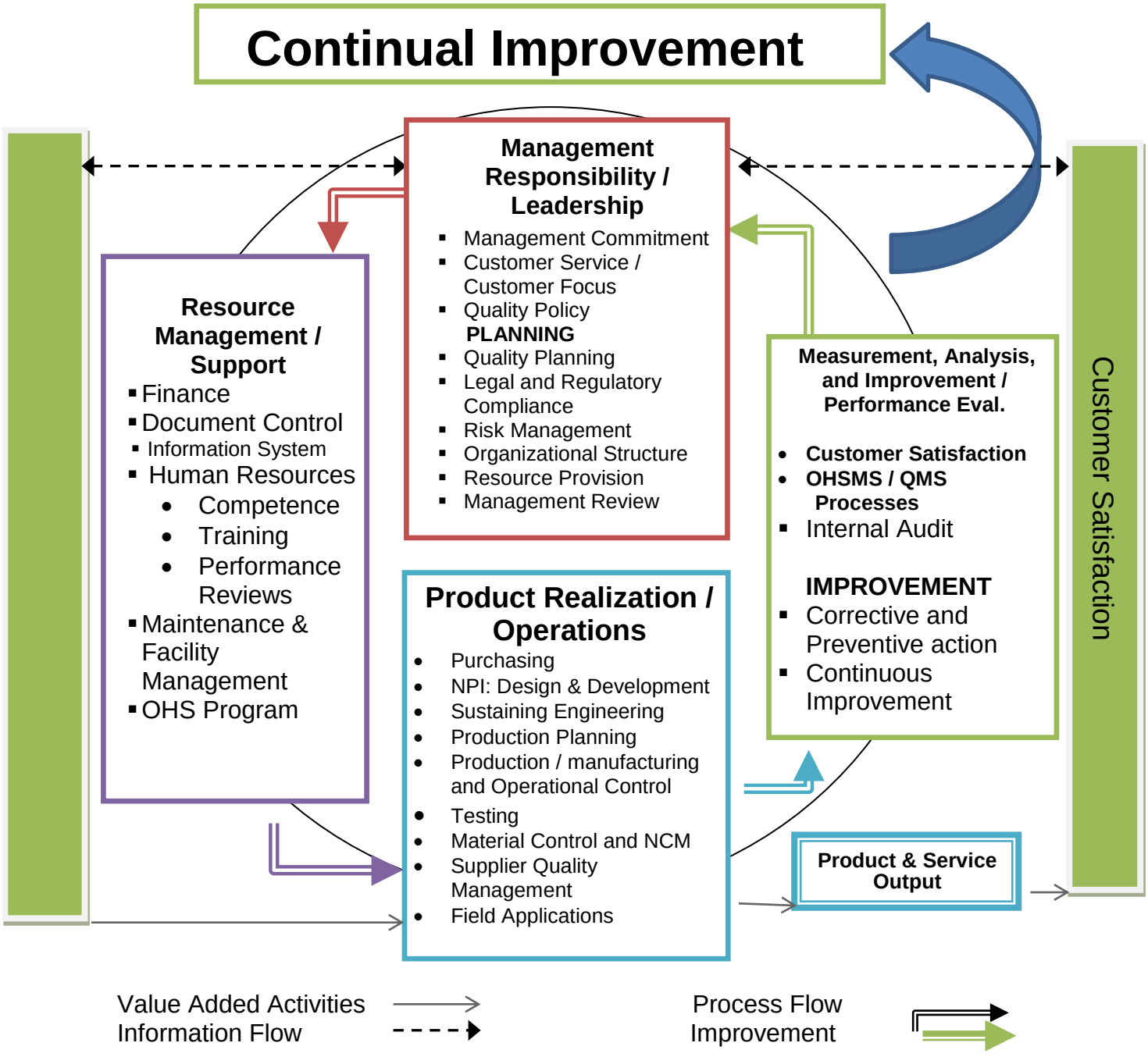
15.3 *Control of Records*

Semtech has created a procedure to address both document and record control as required by ISO 9001 and ISO 45001. Corporate Quality Manual describes has a detailed reference to Semtech policies, procedures and responsibilities. Documents and records are maintained to demonstrate conformity to the OHSMS and to ISO 45001.

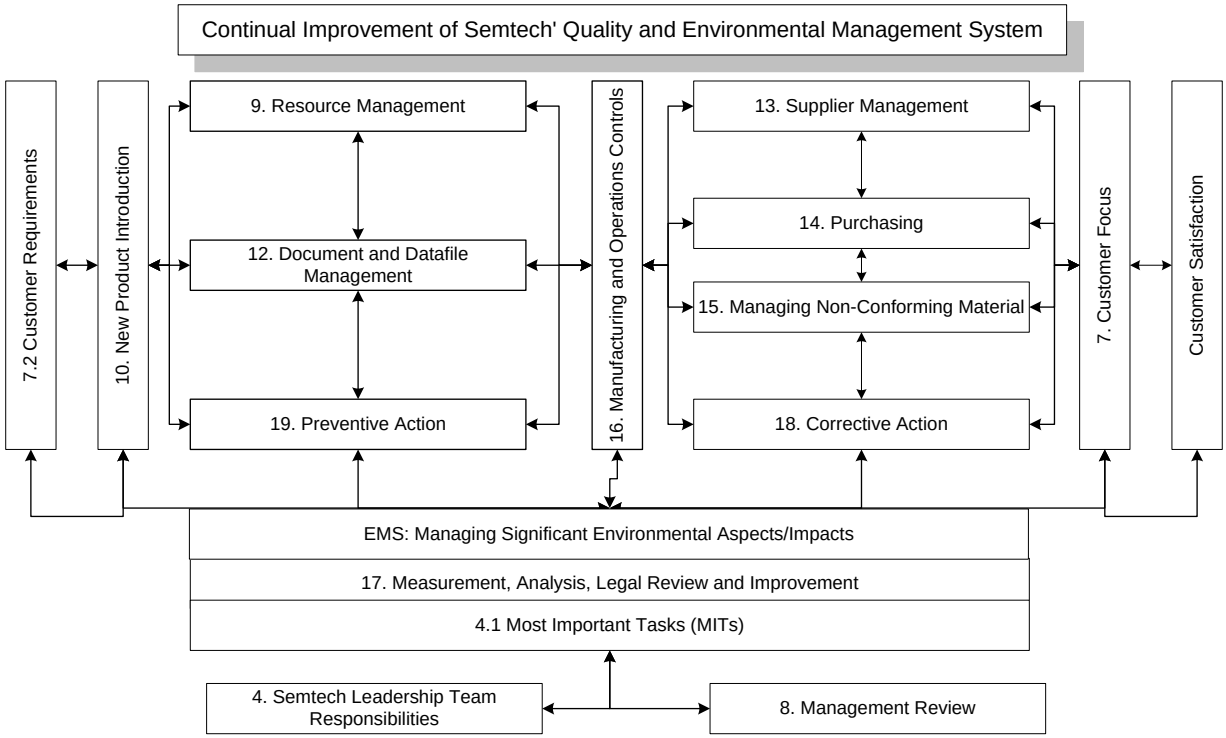
Reference Documents

Corporate Document; KFID-4KWSAP	Control of Quality Records
Corporate Document; PSAZ-5AFU9J	Change Control Procedure

16. CONTINUAL IMPROVEMENT SEQUENCE & INTERACTION



17. PROCESS INTERACTION



18. CORRELATION BETWEEN ISO 45001:2018 & OHSAS 18001:2007

This section provides a cross reference between ISO 45001:2018 & OHSAS 18001:2007 requirements

It should be noted that there will not be full correspondence between the requirements of the two standards on an equivalent topic, and that the following tables are an approximation only.

Table 18.1 - Correspondence between ISO 45001 and OHSAS 18001:2007

ISO 45001:2018		OHSAS 18001:2007	
Context of the organization (title only)	4	-	New requirement [see also 4.6 h) in Management review]
Understanding the organization and its context	4.1	-	New requirement [see also 4.6 h) in Management review]
Understanding the needs and expectations of workers and other interested parties	4.2	4.4.3.2	Participation and consultation (in part) [see also 4.6 b) and c) in Management review]
Determining the scope of the OH&S management system	4.3	4.1	General requirements (in part)
OH&S management system	4.4	4 4.1	Management system General requirements
Leadership and worker participation (title only)	5	4.4.3	Communication, participation and consultation (title only)
Leadership and commitment	5.1	4.4.1	Resources, roles, responsibility, accountability and authority
OH&S Policy	5.2	4.2	OH&S policy
Organizational roles, responsibilities and authorities	5.3	4.4.1	Resources, roles, responsibility, accountability and authority
Consultation and participation of workers	5.4	4.4.3.2	Participation and consultation
Planning (title only)	6	4.3	Planning (title only)
Actions to address risks and opportunities (title only)	6.1	4.1 4.3.1	General requirements Hazard identification, risk assessment and determining controls
General	6.1.1	4.4.6	Operational Control
Hazard identification and assessment of risks and opportunities (title only)	6.1.2	4.3.1	Hazard identification, risk assessment and determining controls
Hazard identification	6.1.2.1	4.3.1	Hazard identification, risk assessment and determining controls
Assessment of OH&S risks and other risks to the OH&S management system	6.1.2.2	4.3.1	Hazard identification, risk assessment and determining controls
Identification of OH&S opportunities and other opportunities to the OH&S management system	6.1.2.3	-	New Requirement

Determination of legal requirements and other requirements	6.1.3	4.3.2	Legal and other requirements
Planning action	6.1.4	4.4.6	Operational Control
OH&S objectives and planning to achieve them (title only)	6.2	4.3.3	Objectives and programme(s)
OH&S objectives	6.2.1	4.3.3	Objectives and programme(s)
Planning to achieve OH&S objectives	6.2.2	4.3.3	Objectives and programme(s)
Support (title only)	7	4.4	Implementation and operation (title only)
Resources	7.1	4.4.1	Resources, roles, responsibility, accountability and authority
Competence	7.2	4.4.2	Competence, training and awareness
Awareness	7.3	4.4.2	Competence, training and awareness
Communication	7.4	4.4.3.1	Communication
General	7.4.1	4.4.3.1	Communication
Internal communication	7.4.2	4.4.3.1	Communication
External communication	7.4.3	4.4.3.1	Communication
Documented information (title only)	7.5	4.4.4 4.5.4	Documentation Control of records
General	7.5.1	4.4.4 4.5.4	Documentation Control of records
Creating and updating	7.5.2	4.4.5 4.5.4	Control of documents Control of records
Control of documented information	7.5.3	4.4.5 4.5.4	Control of documents Control of records
Operation (title only)	8	4.4	Implementation and operation (title only)
Operational planning and control (title only)	8.1	4.4.6	Operational control
General	8.1.1	4.4.6	Operational control
Eliminating hazards and reducing OH&S risks	8.1.2	4.3.1 4.4.6	Hazard identification, risk assessment and determining controls Operational control
Management of change	8.1.3	4.3.1 4.4.6	Hazard identification, risk assessment and determining controls Operational control
Procurement (title only)	8.1.4	4.4.6	Operational control
General	8.1.4.1	4.4.6	Operational control
Contractors	8.1.4.2	4.3.1 4.4.3.1 4.4.3.2 4.4.6	Hazard identification, risk assessment and determining controls Communication Participation and consultation Operational control
Outsourcing	8.1.4.3	4.3.2 4.4.3.1 4.4.6	Legal and other requirements Communication Operational control
Emergency preparedness and response	8.2	4.4.7	Emergency preparedness and response
Performance evaluation (title only)	9	4.5	Checking (title only)
Monitoring, measurement, analysis and performance evaluation (title only)	9.1	4.5.1	Performance measurement and monitoring
General	9.1.1	4.5.1	Performance measurement and monitoring

Evaluation of compliance	9.1.2	4.5.2	Evaluation of compliance
Internal audit (title only)	9.2	4.5.5	Internal audit
General	9.2.1	4.5.5	Internal audit
Internal audit programme	9.2.2	4.5.5	Internal audit
Management review	9.3	4.6	Management review
Improvement (title only)	10	4.6	Management review
General	10.1	4.6	Management review
Incident, nonconformity and corrective action	10.2	4.5.3 4.5.3.1 4.5.3.2	Incident investigation, nonconformity, corrective action and preventive action (title only) Incident investigation Nonconformity, corrective action and preventive action
Continual improvement	10.3	4.2 4.3.3 4.6	OH&S Policy Objectives and programme(s) Management review