



Document Title: Element 13 - Assurance		Document Identifier: 126666597
Document Owner: Manager, EHS Mosaic Management System (MMS)		Approver: Director, EHS Services
Effective Date: April 1, 2025	Review Due Date: April 1, 2028	Originating Department: EHS - Environment, Health, and Safety

TABLE OF CONTENTS

1. PURPOSE	2
2. SCOPE	2
3. ROLES AND RESPONSIBILITIES	2
3.1 EHS Services	2
3.2 Business Unit	2
3.3 Site	2
3.4 Element Sponsor	2
3.5 Element Owner	3
3.6 Workers	3
4. SITE REQUIREMENTS	3
4.1 General	3
4.2 Self-Assessments	3
4.3 Inspections	3
5. TRAINING	4
6. REVIEW	4
7. REFERENCES	4
8. DOCUMENT CONTROL	4
9. REVISION HISTORY	5

1. PURPOSE

The Mosaic Assurance Element establishes the minimum requirements for verification that the Elements of the Mosaic Management System (MMS) are meeting the requirements of the MMS. The element and its requirements will support determining whether Environmental, Health, and Safety (EHS) risks are being managed to an acceptable level, legal requirements are being met, and if the MMS continues to be adequate, effective and continually improving.

2. SCOPE

The requirements of the MMS apply to all of Mosaic with limited exceptions of mergers and acquisitions that are not yet operated by Mosaic.

3. ROLES AND RESPONSIBILITIES

3.1 EHS Compliance Assurance

- 3.1.1** Maintain a plan for EHS assurance activities including compliance audits and self-assessments.
- 3.1.2** Define methodology and frequency of conducting EHS assurance activities in consultation with legal department, Business Unit (BU) management and Site management.
- 3.1.3** Conduct required assurance activities based on a defined frequency.
- 3.1.4** Mentor and train audit team members in assurance activities and processes.
- 3.1.5** Facilitate required compliance assessments at the global level.

3.2 Business Unit

- 3.2.1** Communicate the findings, observations, and opportunities to Site management and the applicable workers.
- 3.2.2** Identify qualified individuals to conduct audits, self-assessments and inspections
- 3.2.3** Conduct EHS Assurance activities, including self-assessments, and compliance reviews.
- 3.2.4** Provide support for site's self-assessments and review/approve final version of the schedule.

3.3 Site

- 3.3.1** Ensure appropriate and adequate personnel are trained to meet the element requirements.
- 3.3.2** Assign qualified individuals to conduct site or BU specific self-assessments, inspections and interim compliance reviews, and to participate in global EHS audits
- 3.3.3** Conduct EHS Assurance activities, including site or BU specific self-assessments, compliance reviews, inspections; identify and monitor corrective and preventive actions to completion; and evaluate for effectiveness, when necessary.
- 3.3.4** Assign individuals from the site to assume overall responsibility for managing site implementation and compliance with this Element as Element Sponsor and Element Owner.

3.4 Element Sponsor

- 3.4.1** Champion the implementation, maturity, and improvement of this Element at the site-level.

- 3.4.2 Monitor prioritization and resourcing of identified corrective actions.

3.5 Element Owner

- 3.5.1 Facilitate the integration of the element requirements into operations and business practices.
- 3.5.2 Ensure that CAPAs associated with findings from assurance activities are established, communicated and monitored through closure.
- 3.5.3 Facilitate the planning and preparation for assurance activities at the site.
- 3.5.4 Monitor prioritization and resourcing of identified corrective actions.
- 3.5.5 Ensure a quality process is developed for reviewing corrective and preventive actions.

3.6 Workers

- 3.6.1 Participate in EHS Assurance activities, including self-assessments, inspections, audits, compliance reviews, as directed.

4. SITE REQUIREMENTS

4.1 General

- 4.1.1 Necessary resources must be made available to support the EHS Audit & Assurance Program as scheduled.
- 4.1.2 The findings, observations and opportunities must be reviewed following the requirements of Element 12 – Management Review.
- 4.1.3 Corrective actions must be planned for, monitored, and completed as appropriate to address the findings, observations and opportunities, following the requirements of Element 14 – Preventive Actions, Handling of Incidents, and Nonconformities and the EHS Audit & Assurance Program. Priority should be given to findings associated with regulatory requirements.

4.2 Audits and Self-Assessments

- 4.2.1 Audits and self-assessments shall be completed as directed by EHS Compliance Assurance.
- 4.2.2 Audits and self-assessments shall be conducted by qualified personnel (site or third-party) to ensure the findings and observations are objective, consistent, and impartial.
- 4.2.3 Findings, including observations and opportunities, shall be made available to relevant Site Management, BU Leadership, and applicable workers.
- 4.2.4 In addition to self-assessments by the EHS Audit & Assurance Program, the BU or site shall define a schedule and complete self-assessments applicable to BU or Site-specific programs.
- 4.2.5 The findings, observations and opportunities must be reviewed following the requirements of Element 12 - Management Review.

4.3 Inspections

- 4.3.1 Sites shall have a process in place for planning, conducting, and reviewing regular inspections of work areas to verify if the EHS risks are being properly managed and controlled. Any new risks identified shall follow the requirements of Element 3 – Risk Assessment and Planning.
- 4.3.2 The process must be made available for use and updated on a regular basis.

5. TRAINING

All employees will receive training on assurance as appropriate to their duties/tasks. Refresher training will be provided in the event the MMS is modified or otherwise revised.

6. REVIEW

The Assurance Element will be reviewed at least every three years by EHS Services and updated as needed. Appropriate communication will occur, as needed, to ensure all employees and contractors are aware of the change.

7. REFERENCES

- EHS Audit & Assurance Program
- Self-Assessments Protocols
- Element 3 – Risk Assessment and Planning
- Element 8 – Document and Record Control
- Element 12 – Management Review
- Element 14 – Preventive Actions, Handling of Incidents, and Nonconformities

8. DOCUMENT CONTROL

All MMS documents will be controlled in the Mosaic document management system. Any printed documents must be date stamped with the date printed to monitor that the most current version is reviewed.

All documents and records must be retained per the requirements of Element 8 – Document and Record Control and local retention schedules

9. REVISION HISTORY

Revision Date	Revision Number	Description of Change
April 1, 2024	1.0	3.1.2 – Removed “workers”. 3.3.2. Added “site or BU specific” – changed from “...qualified individuals to conduct self-assessments,...” to “...qualified individuals to conduct site or BU specific self-assessment...” 3.3.3. Added “site or BU specific”, removed “interim” and changed “preventative” to “preventive” – changed from “...activities, including self-assessments, interim compliance reviews, inspections, identify and monitor corrective and preventative actions...” to “...activities, including site or BU specific self-assessments, compliance reviews, inspections, identify and monitor corrective and preventive actions...” 4.1.3. Changed “Preventative” to “Preventive” 4.2.4. Removed “can be self-assessed on a frequency defined under site’s discretion, based on risk and significance” and included “The BU or sites shall define a schedule and complete self-assessment against applicable BU programs in accordance with BU EHS documents.” 4.2.6. Changed “Preventative” to “Preventive” 4.3.1. Added “EHS” and removed “and environmental aspects” – changed from “...to verify if the risks and environmental aspects are being properly managed...” to “to verify if the EHS risks are being properly managed...” 4.3.3. Changed “Preventative” to “Preventive” 6. Review changed from “yearly” to “at least every three years”
April 1, 2025	2.0	3.1.5. Change “conformance” to “compliance” 3.3.1 Change “these” to “the element”. 3.4.2. Remove “Establish, communicate, and monitor the corrective actions resulting from the EHS Audit & Assurance Program.” 3.5.2. Change “Establish, communicate, and monitor the closure of corrective actions associated with findings from assurance activities.” To “Ensure that CAPAs associated with findings from assurance activities are established, communicated and monitored through closure.” 3.5.5. Remove “Assess and monitor the status of corrective and preventive actions until closure” 4.2.2. Remove “appropriately training and”

		4.2.3. Change “communicated” to “made available” 4.2.6. Remove “Actions must be taken as appropriate to address findings, observations and opportunities following the requirements of Element 14 – Preventive Actions, Handling of Incidents, and Nonconformities and the EHS Audit & Assurance Program.” 4.3.3. Remove “Corrective actions from inspections must be tracked and managed on EHS online platform and follow the requirements of Element 14 - Actions, Handling of Incidents, and Nonconformities and the EHS Audit & Assurance Program.”
--	--	---