



Document Title: Element 3 - Risk Assessment and Planning		Document Identifier: 126674468
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 Identifying and Assessing Risks	3
4.2 Risk Controls and Implementation.....	4
5. TRAINING	4
6. REVIEW	4
7. REFERENCES.....	4
8. DOCUMENT CONTROL.....	5
9. REVISION HISTORY	5

1. PURPOSE

The Mosaic Risk Assessment and Planning Element establishes the minimum requirements for operations to identify and understand environmental, health, and safety (EHS) risks and impacts, and apply a consistent approach for implementing controls for reducing or eliminating risks.

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 Services

- 3.1.1 Provide guidance and oversight for the risk assessment process.

3.2 Business Unit

- 3.2.1 Provide financial resources to the sites to secure implementation of the control measures to reduce the risk to acceptable levels according to the Risk Assessment program.
- 3.2.2 Define a Risk Assessment Procedure and Risk Assessment Matrix (RAM) to provide direction to the sites in assessing and controlling risk.
- 3.2.3 Identify and critically analyze the BU's most significant risks.

3.3 Site

- 3.3.1 Maintain site EHS Risk Register with all existing and new risks identified.
- 3.3.2 Request and allocate necessary resources for the implementation of control measures to an acceptable level of risk.
- 3.3.3 Appoint a Cross-Functional Team (CFT) for the purpose of identifying and assessing risks, selecting appropriate control measures, and conducting the annual risk review for the top 25 combined risks.
- 3.3.4 Review the site's top 25 combined (safety, health, environmental) risks based on inherent risk scores in the Risk Register on an annual basis.
- 3.3.5 Review the site's top 25 combined (safety, health, environmental) risks based on residual risk scores in the Risk Register on an annual basis.
- 3.3.6 Follow local regulation requirements for review frequency and communicate with workers the EHS risks associated with their tasks.
- 3.3.7 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 risk assessment schedule, activity, and issues.
- 3.4.3 Facilitate resolution of identified issues and resource needs associated with risk assessment completion and corrective action plans.

- 3.4.4 Ensures integration of risk assessment requirements into operations and location objectives.
- 3.4.5 Communicates risk assessment program performance and status of corrective actions to the site.

3.5 Element Owner

- 3.5.1 Facilitate and influence the application, integration, maturity, and continuous improvement of this element and its requirements at the site
- 3.5.2 Establish, communicate, and monitor the EHS Risk Assessment process.
- 3.5.3 Ensure prioritization of identified EHS risks and development of corrective action plans.
- 3.5.4 Develop plans to address gaps and ensure system maturity and improvement.
- 3.5.5 Provide routine feedback to Element Sponsor and other Element Owners affected by the risk assessment process.

3.6 Workers

- 3.6.1 Identify and communicate new EHS risks or concerns with site leadership.
- 3.6.2 Understand EHS risks and controls in place in their specific work areas.
- 3.6.3 Participate in completing risk assessments for their operations.

4. SITE REQUIREMENTS

4.1 Identifying and Assessing Risks

- 4.1.1 Review the site's top 25 combined (safety, health, environmental) risks based on inherent risk scores and the top 25 combined risks based on residual scores and in the Risk Register on an annual basis.
- 4.1.2 Methodologies must be implemented for EHS hazard recognition and identification. Risk or hazard assessments must be conducted for existing or newly identified EHS risk, and must be included as part of:
 - Work permitting activities;
 - Planning for new activities;
 - As part of an incident investigation process; and
 - Managing a change in processes, equipment, or conditions.
- 4.1.3 EHS risks must be entered into the site EHS Risk Register according to the BU EHS Risk Assessment Procedure, and include, but are not limited to:
 - Operational task risks,
 - Operational non-routine task risks,
 - Process risks, and
 - Situational risks.
- 4.1.4 EHS risks must be rated following the process in the BU Risk Assessment Procedure. Two categories of risk must be evaluated and rated for each item entered into the Risk Register:
 - Inherent, and
 - Residual risk
- 4.1.5 Residual risk is rated based on the controls implemented to address the inherent risk.
- 4.1.6 Site leadership must make workers aware of risks in their work areas.

4.2 Risk Controls and Implementation

- 4.2.1 Ensure a Cross-Functional Team is appointed and trained for risk identification, assessment activities, and control selection according to the Risk Assessment Procedure.
- 4.2.2 Control measures must be defined and implemented using the hierarchy of controls included in the BU Risk Assessment Procedure. Control measures must:
 - Eliminate or reduce registered EHS risks to an acceptable level
 - Be sufficient to effectively reduce the inherent risk to a lower residual risk
- 4.2.3 Deploy and monitor action plans, that minimize potential harm to the environment and/or worker health and safety. Action plans must be tracked to ensure they are carried out according to the defined actions and schedule.
- 4.2.4 The sites must keep the risk database up to date. The risks must be reviewed at least when a(an):
 - a. Incident occurs
 - b. New control is added, or existing control is removed
 - c. Process or procedure change impacts the risk entry (often MOC driven)
 - d. Regulatory changes impact the risk entry

5. TRAINING

Training on risk assessments and planning will be provided according to work function. Refresher training will be provided in the event the Risk Assessment and Planning requirements are modified or otherwise revised.

6. REVIEW

EHS Services is to review the EHS Risk Register process at least every three years.

The Risk Assessment and Planning 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 workers are aware of the changes.

7. REFERENCES

- Business Unit Risk Assessment Procedures
- Business Unit Risk Registers
- Element 6 - Training and Competency
- Element 7 - Communication, Participation, and Consultation
- Element 10 - Management of Change
- Element 14 - 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 Control and local retention schedules.

9. REVISION HISTORY

Revision Date	Revision Number	Description of Change
April 1, 2024	1.0	3.3.3. Added "risk review for the top 25 combined risks 3.3.4. and 3.3.5. Clarified that top 25 risks are combined risks (safety, health, environmental) 3.3.6 Removed three-year review requirement. 3.3.7 Added "Follow local regulation requirements for review frequency" 3.3.8 Added "Communicate with workers the EHS risks and controls associated with their tasks" 4.2.4. Removed three-year review requirement. Added language to review if there is an incident, control, process or regulatory change. 6. Changed review of Risk Register process and Element from "yearly" to "at least every three years"
April 1, 2025	2.0	3.2.3. Added "Identify and critically analyze the BU's most significant risks." 3.3.4 Change "Ensure that the site's top 25 combined (safety, health, environmental) risks based on inherent risk scores in the Risk Register are reviewed annually in the Risk Register application" to "Review the site's top 25 combined (safety, health, environmental) risks based on inherent risk scores in the Risk Register on an annual basis". 3.3.5 Change "Ensure that the site's top 25 combined (safety, health, environmental) risks based on residual risk scores in the Risk Register are reviewed annually in the Risk Register application" to "Review the site's top 25 combined (safety, health, environmental) risks based on residual risk scores in the Risk Register on an annual basis". 3.4.5. Remove resource requirements and organizational impacts from, "Communicates risk assessment program performance and status of corrective actions to the site."

		3.5.5 Remove “Assess and monitor the risk assessment activities supporting the MMS.” 4.1.1 Remove “Rate risks in the Risk Register according to the BU Risk Assessment Procedure”. 4.1.2 Add Risk “or hazard” assessments must be conducted... Add “As part of an incident investigation process; and” 4.2.3. Change “mitigate risks and control hazards” to “minimize potential harm to the environment and/or worker health and safety.” 4.4.5 Remove requirement to communicate risk assessment results and action plans. 7 Add “•Element 14 - Actions, Handling of Incidents and Nonconformities”
--	--	---