Document Title: MMS.I-08-Document and Record Control			Document Identifier: 126559712
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: Environment, Health, and Safety	

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1. PURPOSE

The Mosaic Document and Record Control Element establishes the additional requirements for the control of documentation and records related to and in support of Mosaic's Management System (MMS) and the Global Records and Information Management Policy and ensures that documents and records are stored and managed in a way that can be readily available upon request.

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. DEFINITIONS

3.1 Approver – The person ultimately accountable for the correct and thorough completion of an internal document, as well as the person to whom the Document Owner is accountable.

3.2 Document Owner - The person who has responsibility for ensuring the review and approval/re-approval process takes place in a timely manner and acts as a contact for answering questions regarding document changes which may arise regarding the document.

4. ROLES AND RESPONSIBILITIES

4.1 Corporate Counsel

4.1.1 Establish and communicate all document and record requirements to affected stakeholders.
4.1.2 Establish and communicate the requirements of the Global Records and Information Management Policy.

4.2 EHS Services

4.2.1 Establish a structure for storing and managing global Environment, Health, and Safety (EHS) documents in Mosaic's electronic information system in accordance with Mosaic's record retention schedules.
4.2.2 Provide access to global EHS documents in Mosaic's electronic information systems.
4.2.3 Establish a set review schedule for documents controlled by EHS Services.
4.2.4 Manage document and record review and acceptance processes for EHS Services documents.
4.2.5 Communicate all document and record changes to affected stakeholders following the requirements of Element 10 - Management of Change.
4.2.6 Ensure current version of all global EHS documents and records are readily available.

4.3 Business Unit

4.3.1 Review Business Unit (BU) programs for changes resulting from document and record updates.
4.3.2 Submit appropriate change requests to update document and record registers based on applicable BU changes following the requirements of Element 7- Communication, Participation, and Consultation, and Element 10 - Management of Change.

4.3.3 Ensure current version of all BU EHS documents and records are readily accessible as needed.

4.4 Site

4.4.1 Review site programs for changes resulting from document and recordkeeping updates.
4.4.2 Ensure site compliance with documents and record control measures in accordance with the Global Records and Information Management Policy.
4.4.3 Review site procedures for changes resulting from document and record register changes.
4.4.4 Ensure workers are trained on the documentation and record control requirements as applicable to their work activities.
4.4.5 Ensure current version of all site EHS documents and records are readily available.
4.4.6 Assign individual(s) from the site to assume overall responsibility for managing site implementation and compliance with this Element as Element Sponsor and Element Owner.

4.5 Element Sponsor

4.5.1 Champion the implementation, maturity, and improvement of this element at the site-level.
4.5.2 Ensure effective application of document and records management requirements.
4.5.3 Ensure integration of requirements into operations.
4.5.4 Communicate document control and records issues and continuous improvement opportunities to Site Leadership.

4.6 Element Owner

4.6.1 Ensure that an EHS document review schedule is developed and maintained based on the MMS requirements.
4.6.2 Facilitate consistent application of EHS document and record management requirements.
4.6.3 Develop plans to address gaps and ensure system maturity.
4.6.4 Assess and monitor the performance of this Element.

4.7 Workers

4.7.1 Understand and apply the document and record control requirements as applicable to their work activities.
4.7.2 Use the most current version of a document.

5. SITE REQUIREMENTS

5.1 Document and Record Control

5.1.1 Identify “controlled” documents. A document or record is “controlled” if the document or record is:

- Identified by the Global Document Hierarchy;
- Identified by the BU Document Hierarchy;
- Related to the MMS;
- Related to the BU EHS documents.

5.1.2 Sites should develop and maintain document and record control processes for managing records, document owners, and document/record storage locations in compliance with MMS and local/state/federal requirements.

5.1.3 Internal Controlled Documents are:

- Developed for the MMS;
- Maintained in Mosaic's electronic information system to ensure that the most current revision is readily available for the appropriate user.
- Developed or revised by request of workers with consultation of management to determine or validate the necessity.
- New or revised MMS documents shall:
  - Identify the document owner responsible for maintaining the document and ensuring its periodic review;
  - Follow a workflow for review and approval;
  - Contain an effective date, document owner, revision number and next review date; and
  - Be communicated to all impacted workers per Element 7- Communication, Participation, and Consultation and Element 10 - Management of Change.

5.1.4 Establish a review schedule for all site EHS documents (i.e., procedures, tools, training materials, etc.). At a minimum, documents must be reviewed at least every three years or as:

- Operations or requirements are modified;
- Defined by legal and other requirements, or
- Defined by location-specific requirements.

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

5.1.6 Deploy a process to ensure confidential and/or sensitive EHS records are identified and controlled.

5.1.7 External Controlled Documents are:

- Documents of external origin that have been determined to be necessary for the planning and operation of the MMS.
- Entered into and managed as controlled documents in the Mosaic document control system.

5.2 Document and Record Storage

5.2.1 Register technical documents and verify they are available and up to date.

5.2.2 Ensure documents and records are managed and maintained in accordance with MMS requirements, applicable legal or other requirements, local retention schedules.

5.3 Document and Record Destruction

5.3.1 Protect inactive versions of controlled documents from inadvertent use.

5.3.2 Determine the length of time inactive versions of controlled documents shall be retained by referencing the applicable Retention Schedules.

5.3.3 Dispose of obsolete business records that have met the retention requirements per the Global Records and Information Management Policy and procedural information location on the Mosaic employee portal.

6. TRAINING

All applicable workers will receive training on document and record control. Refresher training will be provided in the event the MMS is modified or otherwise revised.

7. REVIEW

The Document and Record Control Element will be reviewed at least every three years and updated as needed. Appropriate communication will occur, as needed, to ensure all employees and contractors are aware of the changes.

8. REFERENCES

- Element 7 - Communication, Participation, and Consultation
- Element 10 - Management of Change
- Global Records and Information Management Policy

9. DOCUMENT CONTROL

All MMS documents will be controlled in the Mosaic document management system. All controlled documents should have a watermark identifying the owner, effective date, review date, and document ID.

All documents and records must be retained per the requirements of this Element and local retention schedules.

10. REVISION HISTORY

Revision Date	Revision Number	Description of Change
April 1, 2024	1.0	Definition Section has been added 7. Review changed from "yearly" to "at least every three years" 8.0 Reference Section, added Global Records and Information Management Policy Changed "corporate EHS" to "EHS Services" throughout document Changed "corporate document" to "global documents" throughout document

April 1, 2025	2.0	4.1.2 Remove “Communicate and ensure” from “Establish and communicate” the requirements of the Global Records and Information Management Policy. 4.5.3. Remove “and site objectives” from “Ensure integration of requirements into operations.” 4.6.1 Add “based on the MMS requirements”.5.1.2. Change “Identify who controls a document and its storage locations and designate responsibilities for developing site-specific documentation/record control guidelines and managing records.” To “Sites should develop and maintain document and record control processes for managing records, document owners, and document/record storage locations in compliance with MMS and local/state/federal requirements.” 5.1.3. Change “revision and review calendar” to “ revision number and next review date” 6 Change “on the contents of the MMS” to “ document and record control” 7 Change “The Documentation” to “the Document and “Corporate EHS Services” to “Record Control Element”. 9 Change “Any printed documents must be date stamped with the date printed to monitor that the most current version is reviewed.” To “All controlled documents should have a watermark identifying the owner, effective date, review date, and document ID.”