



MMS North America Business Program

Document and Record Control

Document and Record Control Program

Location / Applicability: North America Business & North America Supply Chain Facilities	Originating Department: North America Management System
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1 PURPOSE

The purpose of this program is to define responsibilities and establish methods for performing document and record control activities for the North American Business (NAB) & North America Distribution Facilities. This program sets out the processes to be used for managing the lifecycle of Mosaic Management System (MMS) documents and records to fulfill legal and other requirements as well as maintain effective operations.

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 APPENDICES

No Appendices to this program.

4 GENERAL REQUIREMENTS

4.1 Business Unit (BU)

- 4.1.1 Review BU programs for changes resulting from document and recordkeeping and ensure that current versions of all BU Environmental Health and Safety (EHS) documents and records are readily accessible as needed.
- 4.1.2 Responsible for developing this program to serve as site-specific documentation/record control guidelines. The Corporate MMS Elements and the Legal and Other Register were consulted in the creation of this procedure.

4.2 Site

- 4.2.1 Ensure site compliance with documents and record retention in accordance with the Global Records and Information Policy.
- 4.2.2 Ensure site compliance with the Corporate and BU Document and Record Control Programs.
- 4.2.3 Ensure that Content Server is utilized to store and review all EHS documents and that all controlled documents are reviewed at least every 3 years as defined by legal and other requirements.
- 4.2.4 All controlled documents must:
 - 4.2.4.1 Have an effective date, document owner, revision, and review calendar. All controlled documents in Content Server contain these items and they are listed in the PowerBi Document Control Matrix. Additionally, the owner and effective date are provided in Brava View! and printed copies.



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- 4.2.4.2 Have a subject matter expert (SME). The NAB and Distribution BUs consider document owners to be the subject matter experts.
 - 4.2.4.3 Have been reviewed and approved through the Content Server Controlled Document Workflow Process.
 - 4.2.4.4 Be available as the most current version to affected workers.
- 4.2.5 Sites must identify storage locations and retention requirements for the controlled hard copies of electronic documents (EHS Policy, Emergency Action Plans, Standard Operating Procedures, Lock-out Tag-out procedures, etc...) This can be done inside of Content Server metadata or as a standalone document.
- 4.3 Document Management Administrators
 - 4.3.1 Communicate document workflow status as required by this program.
 - 4.3.2 Maintain Content Server metadata, permission and group information and access.
 - 4.3.3 Provide consultation to sites on record retention and destruction requirements.
 - 4.3.4 Provide troubleshooting on all Content Server structure, access, and workflow issues.
- 4.4 Document Owners
 - 4.4.1 Perform document reviews as required. Utilize the Mosaic Document Control Matrix in PowerBi to monitor review cycles.
 - 4.4.2 Any change to a document requires a procedural management of change (MOC) workflow. At a minimum, the following is required:
 - 4.4.2.1 A Content server procedural MOC workflow
 - 4.4.3 Notify site Document Management Administrators if document owners are no longer correct and need to be changed.
- 4.5 Document Workflow Approver
 - 4.5.1 Reviews proposed changes to controlled document and approves or rejects.
- 4.6 Element Owner/Sponsor
 - 4.6.1 See roles and responsibilities as listed in the Corporate Document and Record Control MMS Element.

5 Internal and External Controlled Documents and Records

- 5.1 Sites shall be using the Content Server to control the review of EHS Related documents. Related documents shall be reviewed at least every three years OR sooner in the event:
 - Operations or requirements are modified.
 - Defined by legal and other requirements.
 - Defined by location-specific requirements.



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- 5.2 The EHS document review schedule is defined and maintained in Content Server and displayed in PowerBi.
- 5.3 Sites will perform retention in accordance with the Global Records and Information Management Policy and Retention Schedule.
- 5.4 Required document structure for controlled documents should be managed within Content Server. All controlled documents should contain:
 - Contain an effective date, document owner, and a subject matter expert/owner.
 - Metadata within Content Server will contain the revision and review information.
 - Content Server will manage workflows for review and approval and the availability to workers.

6 Obsolete Documents

- 6.1.1 Document Management Administrators manage obsolete documents for the sites through reference and archive folders and permissions.
 - 6.1.1.1 Archive folders are established for documents that have been replaced and will not need to be accessed by the site. A workflow is generated to retire the document and permissions do not allow for general viewing. Retention is controlled through metadata in Content Server.
 - 6.1.1.2 Reference folders are established for documents that have been replaced and may need to be accessed by the site. Reference folders are marked as reference and the documents within are not controlled. These documents should not be used for operation or decision making unless run through a workflow approval. Retention is controlled through metadata in Content Server.

7 Confidential Documents

- 7.1.1 Internal controlled documents in Content Server are controlled through permissions, including any confidential documents. Sites do not typically have confidential documents, those are controlled at a BU level in Content Server through permissions. Document management administrators can confirm if a site has confidential documents through reporting.

8 Inactive Versions

- 8.1.1 Inactive versions of documents in Content Server are controlled through Content Server programming as well as the management of the site document management administrators. Retention and destruction of inactive versions are managed by the document management administrators through the direction of corporate records and the legal department.



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9 Communication

- 9.1 Monthly Site Communication – Document management administrators will communicate at least monthly with each site on upcoming workflows, overdue workflows, and out-of-date owners.

10 TRAINING

10.1 Training

The following table outlines the training required for Document and Record Control:

Audience	Training Elements / Topics	Frequency	Method
Salaried	Controlled Document Workflow Training	Initial	Workday
All	Document and Record Control – General Awareness	Initial	Workday
Approvers	Workflow Approver Training	Initial	Workday

Retraining

- 10.1.1 Refresher Training for Document and Record Control shall be given in the event that the MMS is modified.

11 PROGRAM REVIEW

- 11.1 North America MMS Team will review this program every 3 years and update as required.

12 RECORD RETENTION

- 12.1 Refer to the US retention schedule and Canada retention schedule for record retention policy.

13 DEFINITIONS

- 13.1 All definitions in this program can be found in the [EHSS Corp Reference Glossary of Terms](#).

14 REFERENCES

References (Number and title)
Mosaic Management System Elements (folder link)
Content Server Controlled Document Workflow Procedure – End User Guide
EHSS Corp Reference Glossary of Terms



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References (Number and title)
BU Environmental Health and Safety documents
BU MMS Scorecard
Global Records and Information Management Policy
Document and record training resources

15 REVISION LOG

Rev. No.	Rev. Date	Revised By	Reason for Revision
0	June 30 2023	MMS	Initial release
01	June 17 2024	MMS	Minor Clerical Changes