

IMPLEMENTATION SERVICES
- Statement of Work -
Mobile

December 12, 2019
Proprietary and Confidential



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1 INTRODUCTION

RLDatix has prepared the following Statement of Work (SOW) to provide you with details on the implementation of your RL6 software. This SOW is not a legal document; it does not supersede any license agreements or other signed agreements between RLDatix and the Client. This document's intention is to outline the package of services that were purchased along with the RL6 system.

This document outlines the project scope, RLDatix's responsibilities, the Client's responsibilities, assumptions and timeline estimates for the project. Any changes to this document will be handled through the project change request (PCR) procedure outlined in this SOW. If a service is not listed in this document, it is not considered part of this project.

This SOW is intended solely for the Client and RLDatix only. As such, it is understood that this material will only be disclosed on a confidential basis for select use by employees and advisers retained for this project. This SOW cannot be distributed to anyone who is not directly involved with this project without express written permission from RLDatix.

2 PROJECT SCOPE

2.1 Included in the Scope

RLDatix will perform the following:

1. Delivery of implementation services as specified on the order form
2. Collaboration on developing, monitoring and maintaining a project plan
3. Apply new licensing to enable access to Mobile functionality
4. System integration testing of basic system functionality and configuration
5. Support and guidance in application configuration changes
6. Training system administrators on all administration aspects of Mobile components and basic system functionality & workflows (i.e., “train-the-trainer”)
7. Transfer to the Support and Client Excellence teams upon rollover to production

2.2 Excluded From the Scope

RLDatix will not perform the following during implementation:

1. Implementation of products or delivery of services not listed on the order form
2. Evaluation of the Client’s current practices, policies and procedures for the purposes of performance improvement
3. Setup of additional system environments and databases
4. Troubleshooting issues relating to the Client’s IT infrastructure, including networking and obtainment of a valid HTTPS certificate
5. Mass deployment of the Mobile application on to end-user devices
6. Installation of non-RLDatix software, servers, workstations or any other hardware
7. Migration of data to RL6 from other systems unless otherwise specified in the order form
8. Export of RL6 data to other systems or third parties other than those specified in the order form
9. Training of end-users

3 PROJECT OUTLINE

The following section provides an overview of the project phase.



The RLDatix implementation process is designed to get our clients up and running quickly using a proven methodology that ensures success. After over 1800 implementations, our process has been refined to emphasize training that enables clients to configure their own RL6 software with the support of an RLDatix Implementation Specialist.

3.1 Phase 0 – Readiness

During the first phase of the project, the Client will assemble a project team and complete tasks assigned in the welcome call. These tasks include determining whether use of RL6 Mobile will enable external usage, estimating through-put, assessing and/or preparing local servers and databases, obtaining a HTTPS certificate from a valid authenticator, determining manual versus auto-configuration settings, identifying users to triage Mobile files per site, and provisioning VPN client access to RLDatix (no tunnel required). Once this is complete, the Client will be assigned an implementation team and RLDatix will schedule a project kick-off call. For greater detail, please refer to the steps in the Project Plan.

Deliverables:

1. Welcome call and preparatory task assignments. Technical resources or mobile team must attend the welcome call.
2. Signed Statement of Work
3. Server and database reviews/builds in accordance with RLDatix technical specifications (Client)
 - Must have through-put to handle anticipated number of connections
 - Must have a valid HTTPS certificate on every server
4. Completed technical workbook (Client)
 - If Client is planning external use of Mobile Submission, firewall exceptions may have to be created
5. Implementation resources assigned
6. Preliminary project plan
7. Application Orientation focusing on the Mobile workflow
8. Preliminary plan for deployment to end-users – limited versus mass deployment (Client & RLDatix)
9. Completed file: user spreadsheet for Mobile file triage users (Client)
10. Project kick-off call

Client resources involved	Time commitment
Project Sponsor	5 hours
Project Manager	2-3 hours/week
End User Representative	1-2 hours
System Administrator	2-4 hours
Technical Representative	2-5 hours/week

Duration of Phase: 1 month (this estimate assumes responsiveness and a moderate to high degree to which the Client’s IT/Mobile team is integrated with the project.)

3.2 Phase 1 – Installation and Configuration

Phase 1 focuses on installing (as of 6.6), upgrading (if necessary), and configuring the Client’s RL6 Mobile components. RLDatix will work closely with the Client’s IT resources to support the Client’s IT/Mobile resources to ensure that users can securely connect to the Mobile application. At the same time, RLDatix will build on the existing knowledge of the Client’s system experts by providing training on RL6 Mobile workflow and administration. The Client will have approximately 2 weeks to complete any configuration changes required with the guidance and support of the RLDatix.

Deliverables:

1. Four Admin training & configuration sessions which build on a System Administrator’s current knowledge of Risk and/or Feedback (1 hour each session):
 - a. Fields, pick lists, and forms: modifications to Mobile Management form
 - b. Info Centers and scopes for Mobile file triages
 - c. User profiles for Mobile file triages
 - d. Alerts to support the Mobile workflow
2. Completed configuration changes (Client with guidance and support from RLDatix)
3. Installation/License adjustment of application on testing, training and production servers
4. If RL6 Mobile was purchased as an add-on component, all configurations in Phase 1 will be performed in the production environment. A copy from Production to Training will take place at the end of Phase 1

Client resources involved	Time commitment
Project Sponsor	1-2 hours
Project Manager	2 hours/week
End-User Representative	1 hour/week
System Administrator	2-3 hours/week
Technical Representative	3-5 hours/week

Duration of Phase: 2 weeks (estimated)

3.3 Phase 2 – Testing

Phase 2 focuses on testing the installed and configured application in preparation for the client’s deployment of Mobile. RLDatix will conduct a thorough Systems Integration Test (SIT) to validate that all the basic application components and interfaces to the Client’s internal systems function correctly. Once this test is complete, the Client will conduct user acceptance testing (UAT) to validate that the application configuration supports data collection and workflow needs. In addition, testing will include validating internal and if applicable, external access to the RL6 Mobile application, auto configuration functionality (if applicable), and successful submission of files.

Deliverables:

1. Full Systems Integration Test (RLDatix)
2. User acceptance test (Client)
 - a. Users can connect to RL6 and log in to the system using their mobile device
 - b. Replicate testing among different users on different devices
 - c. Configuration, scope, templates, and alerts support workflow from submission to file closure
3. Support and guidance for the Client to adjust the configuration as required based on testing results
4. Finalized configuration

Client resources involved	Time commitment
Project Sponsor	2-5 hours dependent on scope of deployment
Project Manager	2-3 hours/week
End-User Representative	2-3 hours/week
System Administrator	1-2 hours/day
Technical Representative	5 hours/week

Duration: 1.5 weeks (estimated)

3.4 Phase 3 – Roll Over to Production

Phase 3 focuses on the final preparations required for the client’s deployment of RL6 Mobile. During this phase, RLDatix will provide training for the Client’s trainers to effectively train end-users. Once this is done and the completed configurations are prepared in the production environment, the implementation project is complete and the Client will be transferred to the Support and Client Excellence teams for ongoing support.

Note: Phase 3 is not dependent on the Client completing end-user training. Once the configurations have been completed in the production environment, the Client can begin reporting at any time.

Deliverables:

1. Train-the-Trainer training
 - a. How to download RL6 Mobile from App Store
 - b. Auto-configure feature
 - c. Submitting events
 - i. If applicable: Anonymous Submission
 - ii. Best practice for taking images and voice notes in regards to PHI & security
 - d. Workflow actions specific to Mobile file triage
2. Training for IT champion and/or mobile team
 - Please note: before contacting Support, Client should be able to rule out network issues, VPN access issues and device permissions that affect the RL6:Mobile connection to RL6.
3. Configurations completed in production environment
4. Transfer to Client Excellence and Support
5. Support during initial deployment of RL6 Mobile providing deployment occurs within timeframe specified in agreed upon Project Plan with RLDatix.

Client resources involved	Time commitment
Project Sponsor	2-5 hours
Project Manager	3 hours/week
End-User Representative	2-3 hours/day
System Administrator	2 hours/day
Technical Representative	2 hours/week

Duration: 2 weeks (estimated)

4 ROLES AND RESPONSIBILITIES

The following section provides information about the roles and responsibilities of both the RLDatix and the Client project teams.

4.1 RLDATIX

4.1.1 RLDatix Project Sponsor

RLDatix will provide a designated Project Sponsor who will:

- Address escalations or project issues that require authority beyond that of the RLDatix Project Manager
- Ensure that the necessary resources are committed to the project

4.1.2 RLDatix Project Manager

RLDatix will provide a designated Project Manager who will:

- Collaborate with the Client Project Manager on the Project Plan
- Ensure all RLDatix project tasks are completed as per the Project Plan
- Resolve project bottlenecks
- Escalate issues to the appropriate party for resolution as needed
- Manage the change control procedure for those tasks which are outside the scope of this project
- Be the primary point of contact for the Client project team

4.1.3 RLDatix Implementation Lead

RLDatix will provide a designated Implementation Lead who will:

- Conduct the Application Orientation, Admin and Train-the-Trainer training
- Support the Client Implementation Lead with configuration of the software
- Provide support during UAT and deployment of RL6 Mobile
- Collaborate with the Client and RLDatix Project Managers, as required
- Escalate issues to the appropriate party for resolution as needed
- Participate in project meetings, as outlined in the Project Plan

4.1.4 RLDatix Technical Lead

RLDatix will provide a designated Technical Lead who will:

- Install the RL6 software in collaboration with the Client Technical Representative and the Client System Administrator
- As defined in RLDatix's responsibilities listed above, configure the RL6 software components as specified on the order form
- Conduct the SIT along with the Client resources, as outlined in the Project Plan
- Provide support during UAT and the rollover to production
- Escalate issues to the appropriate party for resolution as needed
- Participate in project meetings, as outlined in the Project Plan

Please note that several of the roles and responsibilities listed above may be handled by a single individual. Each role does not necessarily represent a separate RLDatix resource.

4.2 THE CLIENT

4.2.1 Client Project Sponsor

The Client will provide a designated Project Sponsor (ideally a senior member of the organization) who will:

- Demonstrate management-level support and commitment to the project
- Serve as the ultimate decision maker regarding how the project proceeds
- Communicate the project status to senior leadership
- Ensure that the necessary resources are committed to the project

4.2.2 Client Project Manager

The Client will provide a designated Project Manager who is skilled at handling cross-functional project implementations, and who knows how to get things done within the Client's organization. The Client Project Manager will:

- Collaborate with the RLDatix Project Manager on the Project Plan
- Ensure all project tasks are completed as per the Project Plan
- Resolve project bottlenecks
- Escalate issues to the appropriate stakeholders for resolution
- Manage the change control procedure for those tasks which are outside the scope of this project
- Be the primary point of contact for the RLDatix project team

4.2.3 Client End-User Representative

The Client will designate End-User Representative(s) who will:

- Possess a solid understanding of the file management processes as well as the overall project objectives
- Be available throughout the Install & Configuration phase of the project
- Be available to answer questions or provide input during the project
- Participate in the User Acceptance Testing
- Perform and coordinate end-user education

4.2.4 Client System Administrator

The Client will designate a System Administrator who will:

- Provide Level 1 support to end users and provide day-to-day administration of the system after the rollover to production
- Work with the RLDatix project team during SIT and UAT
- Learn the RL6 system and be available for training, as specified in the Project Plan
- Make custom configurations with the support of the RLDatix Implementation Lead
- Be available to provide system support to end-users, as necessary

4.2.5 Client Technical Representative

The Client will designate a Technical Representative who will:

- Have sufficient knowledge of networking, security, and Client IT infrastructure
- Provide RLDatix with system access and participate in the RL6 software installation
- Provide RLDatix with network access and participate in the workstation configuration, if necessary
- Execute appropriate backups of the testing, training and production environments, as required
- Provide ongoing technical support during SIT, UAT and after the rollover to production

Please note that the roles and responsibilities listed above may be handled by a single individual. Each role does not necessarily require a separate Client resource.

5 PROJECT ASSUMPTIONS

To execute the project successfully, several key assumptions have been made. Deviations that arise during the project may impact project timelines and the scope of work provided by RLDatix. If any such situations occur, RLDatix and the Client Project Managers will meet and agree on the appropriate course of action.

Project:

- All project-related work will be performed as per the Project Plan within designated timelines
- Additional hours will be purchased by the Client in the event that the hours included in the order form are insufficient
- Changes to the Project Plan will be mutually agreed upon between RLDatix and the Client through the change control process
- RLDatix representatives will participate in meetings, as required, either in person or by telephone. Time spent in remote/on-site meetings is counted towards the purchased service hours.

Technical:

- The servers or virtual machines for testing, training and production environments meet or exceed the specifications provided by RLDatix and are ready according to the Project Plan
- The Client network and servers have capability to handle anticipated through-put
- The Client will install and configure the servers (operating systems, patches, virtual machines, etc.) prior to the RL6 software being installed
- The Client's technical staff are familiar with internal systems and network settings
- The Client technology infrastructure is sufficient to support reasonable performance of the RL6 system
- Technical support will be available to RLDatix throughout this project
- RLDatix will be provided with access (including VPN access) to all of the necessary software, systems and servers to perform its responsibilities as part of this project

Organizational:

- Support during implementation and after transition to Support will be provided in accordance with the RLDatix Software Support and Maintenance Guide (<https://www.rldatix.com/en-us/company/terms>)
- Client System Administrator(s) and RLDatix will track all software-related issues via the RLDatix Support Center
- If applicable, the Client will be responsible for all expenses related to onsite services including, but not limited to, airfare, accommodation, car and mileage, food and other living expenses, as per the RLDatix Client Services Guide (see separate guide for details)

6 SERVICE HOURS

The Service Hours listed on the Order Form represent the maximum amount of time that RLDatix resources will provide as part of this project. Great care has been taken to properly scale the Service Hours to this project. In most cases, the Service Hours should be sufficient to achieve successful implementation. In the event that the Service Hours listed are not sufficient, additional time from RLDatix can be purchased.

Travel time is not deducted from the quoted implementation service hours and is not billed to the Client. All expenses related to travel, such as airfare, car, mileage, hotel and living expenses are billable and are not included in the Order Form.

RLDatix will track all time spent by all RLDatix resources on the implementation project. Activities tracked include, but are not limited to:

- All remote and on-site meetings and conference calls
- Communications by phone or email
- Technical and non-technical assistance
- Configuration activities
- Internal RLDatix meetings related to the project
- Preparation of notes/minutes/documentation, etc.

RLDatix will provide regular updates on service hour use, at a frequency agreed upon with the Client Project Manager. RLDatix will inform the Client when utilization is approaching 50% and 75%. At that time, RLDatix may also make a recommendation for the best use of the remaining hours and/or the purchase of additional service hours.

Upon completion of the implementation project, unused service hours will expire and cannot be transferred to other products or services.

7 CHANGE CONTROL

The following is a detailed explanation of the process for making a change to the project scope and/or this SOW, if required.

1. A Project Change Request (PCR) will be the vehicle for communicating change. The PCR will describe the change, the rationale for the change and the impact the change will have on the project.
2. The designated Project Manager of the requesting party will review the proposed change and determine whether to submit the request to the other party.
3. Both Project Managers will review the PCR and determine if it is necessary. If both agree, then the PCR will be investigated by RLDatix.
4. The results of the investigation including any designs, costs and timeline estimates will be presented to the Client Project Manager for discussion and approval.
5. Upon signed approval by the Client Project Manager, RLDatix will commence work as outlined in the PCR.

8 PROJECT DELAYS

RLDatix recognizes and accepts that there may be delays during the project life cycle due to events beyond the control of both RLDatix and the Client. Such delays may include, but are not limited to, delays in obtaining project approvals, weather issues, personal emergencies and personnel changes. RLDatix considers these delays a normal part of conducting business and will work together with the Client to accommodate these types of delays.

RLDatix reserves the right to reassign resources and/or re-prioritize this project if a delay occurs due to a lack of response from the Client or the Client requested suspension of the project due to other priorities or extended changes in personnel, and those changes result in scheduling conflicts with other RLDatix projects. This may result in a restart date that may or may not match the Client's desired date.

Project delays may also add more RLDatix hours to the project. This situation will be handled using the change control process outlined previously.

9 COMPLETION CRITERIA

RLDatix will have fulfilled its obligations under this SOW when any one of the following first occurs:

- RLDatix achieves the deliverables and checkpoints described in this SOW; or,
- The implementation service hours listed on the order form have expired; or,
- The Client is successfully transferred to the Client Excellence and Support teams.

<Client Name>

Implementation Project – Authorization to Proceed

RLDatix will provide services to <Client Name> to implement the RLDatix products successfully into production as outlined in this Statement of Work dated December 12, 2019.

The signature below indicates our agreement and acceptance of the proposed scope of work and authorizes RLDatix to begin work on this project.

<Client Name>

Authorized Signature: _____

Name: _____

Title: _____

Date: _____

RLDatix

Authorized Signature: _____

Name: _____

Title: _____

Date: _____